

CALIFORNIA TRANSPORTATION COMMISSION

Adoption of the 2017 California Transportation Plan Guidelines



Resolution G-17-14

- 1.1 WHEREAS,** California statute and federal regulations require the California Department of Transportation (Caltrans) to prepare a statewide long-range transportation plan, generally known as the California Transportation Plan (CTP), every 5 years; and
- 1.2 WHEREAS,** the California Transportation Commission (Commission), in cooperation with Caltrans, and commencing with the update to the CTP that is required on or before December 31, 2020, is authorized per Government Code Section 14524.3 to prescribe study areas for analysis and evaluation by Caltrans and to establish guidelines for the preparation of the CTP; and
- 1.3 WHEREAS,** the Commission, recognizing the need for timely preparation of CTP Guidelines to inform the preparation of the CTP that is due in 2020, in consultation with Caltrans and various state agencies, on June 30, 2016 held a “Kick-Off” meeting with approximately 250 participants to begin the process of developing the CTP Guidelines; and
- 1.4 WHEREAS,** the Commission formed the CTP Guidelines Workgroup (Workgroup) from the stakeholders that attended the June 30, 2016 Kick-Off to serve as an advisory committee for CTP Guidelines development while representing their constituencies’ perspectives and reporting back to their respective agencies and organizations; and
- 1.5 WHEREAS,** since June 30, 2016 the Workgroup devoted a substantial amount of time and effort toward developing the necessary technical and policy guidance set forth in the 2017 CTP Guidelines; and
- 1.6 WHEREAS,** the CTP Guidelines were developed to achieve the following objectives:
 - (1) Provide a cohesive policy framework and document structure for Caltrans to consider and use in the development of future CTPs that will inform multi-modal transportation policy and investment decisions;
 - (2) Identify and seek to ensure compliance with federal regulations and state statutory requirements for the development and content of the CTP;
 - (3) Identify state policies for inclusion in the CTP; and
 - (4) Identify study areas for future analysis in the statewide transportation planning process.
- 2.1 NOW, THEREFORE, BE IT RESOLVED,** that the Commission hereby adopts the attached 2017 CTP Guidelines; and
- 2.2 BE IT FURTHER RESOLVED,** that the Commission directs staff to make any minor technical corrections needed and post the final 2017 CTP Guidelines on the Commission’s website.



May 2017

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2017 California Transportation Plan

Guidelines

Adopted by the California Transportation Commission on
May 17, 2017

Pursuant to California Government Code Section 14524.3

Commissioners

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SECTION 1 INTRODUCTION

Purpose of the CTP Guidelines

Federal regulations and state statute require the California Department of Transportation (Caltrans) to prepare a long-range (20+ years) statewide transportation plan every five years. Senate Bill (SB) 486 (DeSaulnier, 2014) authorized the California Transportation Commission (CTC) to establish guidelines for updates to the California Transportation Plan (CTP). The primary purpose of the 2017 CTP Guidelines is to provide a cohesive policy framework and document structure for Caltrans to consider and use in the development of future CTPs. It is intended to be used by the Caltrans staff responsible for the preparation of the CTP. The CTP Guidelines also identify and ensure compliance with federal regulations and state statutory requirements; and also identify state policies for inclusion in CTP. These Guidelines are intended to be reviewed and updated with each CTP cycle (every 5 years) to ensure consistency with existing law.

CTP Guidelines Promote:

- A cohesive statewide policy framework
- Adherence to statutory requirements
- Study areas for analysis & inclusion
- Inform multi-modal transportation investment decisions

What is the California Transportation Plan?

The CTP, as required by federal and state law, is a long-range, fiscally unconstrained planning document that describes the state's transportation system priorities and a roadmap for future investment. The CTP sets forth a statewide plan for California's complex transportation system that includes both people and freight, motorized and non-motorized transportation modes, smart mobility and active transportation, a growing mix of fuels and technologies, and is tied to the welfare of the state's economy, environment, and communities. SB 391 (Liu, 2009) expanded the scope of the CTP by requiring that the plan address how the state will achieve maximum feasible emission reductions in order to attain a statewide reduction of greenhouse gas emissions to 1990 levels by 2020, and an 80 percent reduction below 1990 levels by 2050. The CTP serves as the guiding document for statewide and regional transportation policy, and should be informed by the state's modal plans, regional transportation plans (RTPs) and other relevant plans and analytic reports. The CTP should be prepared and presented in a format that is understandable to all Californians.

CTP and Regional Transportation Plans

The CTP is prepared by Caltrans, and Regional Transportation Plans (RTPs) are developed by California's Metropolitan Planning Organizations (MPOs) and Regional Transportation Planning Agencies (RTPAs). Both the CTP and RTPs incorporate and inform each other of the current regional and statewide priorities for the transportation system. One key difference is that RTPs are financially constrained and contain projects, whereas the CTP is unconstrained and does not contain a list of transportation projects.

MPOs and RTPAs are the entities that receive state, and federal transportation planning funds to accomplish regional transportation planning activities. One of the functions of the RTPs is the development of a policy framework and strategies that are integrated with state priorities and shape a respective region's long-range planning goals and is generally presented in the format of an RTP.

The CTP and RTPs are built from an extensive foundation of research, data, and modeling, and are informed by an extensive amount of policy and mode-specific planning and programming documents developed at every level of government: local, regional, state, and federal.

Together, the CTP and RTPs should provide a picture of California's future transportation system. This includes the major policy and investment decisions that will impact travel behavior, infrastructure, transportation technology development, public health and California's businesses and communities over the decades to come. Given the iterative nature of the transportation planning process, the CTP and RTPs work through their regular update cycles to both incorporate and inform each other of the current regional and statewide priorities for the transportation system. Given the importance of these documents, it is critical that they are developed and implemented within a consistent policy framework. CTP and RTP goals and policies should be integrated where applicable and consistent with state and federal fiscal constraint requirements, this is addressed in Section 2 (p. 6-10) of the CTP Guidelines.

Figure 1 | Comprehensive, Cooperative and Continuing Planning



CTP and Caltrans Modal Plans

The CTP provides the overarching policy framework and statewide priorities for transportation planning and acts as an umbrella to inform the Caltrans modal plans. The CTP incorporates research, policies, strategies, and findings of the Caltrans modal plans. However, the modal plans are a means to implementing the CTP and the CTP is informed by adopted modal plans. Because of this relationship, the modal plans should start with the policy framework developed in the CTP when initiating modal plan development. This relationship is seen in Figure 2.

Table 3 below identifies the six modal plans prepared and regularly updated by Caltrans.

Table 1 | Current Caltrans Modal Plans

PLAN	NEXT UPDATE	PLAN FEATURES
INTERREGIONAL PLAN Interregional Transportation Strategic Plan (ITSP)	2020	The ITSP provides guidance for the identification and prioritization of interregional transportation improvements to be funded in the Interregional Transportation Improvement Program. The plan is the guiding document for all investment in the interregional transportation system.
FREIGHT PLAN California Freight Mobility Plan (CFMP)	2019	The primary purpose of the plan is to identify freight routes and transportation facilities that are critical to California's economy. The CFMP comprehensively addresses short and long-range state freight planning activities. The plan consists of a vision, goals and a three-tiered freight project list with Tier I investments considered the highest priority for investment.
RAIL PLAN California State Rail Plan (CSRP)	2018	This plan complies with state and federal law and provides a long-term plan for freight and passenger rail, including establishing a vision and plan for an integrated passenger rail network including high-speed, intercity and regional.
AVIATION PLAN California Aviation System Plan	2018	This plan includes updated programs and directives to better support aviation in California.
TRANSIT PLAN Statewide Transit Strategic Plan	2017	This plan helps the state and partners gain a better understanding of present and future roles and responsibilities to support public transportation.
BICYCLE AND PEDESTRIAN PLAN California Statewide Bicycle and Pedestrian Plan (CSBPP)	2017	The first-ever CSBPP will be completed in 2017 and will plan for safe and integrated bicycle and pedestrian projects for enhanced connectivity with all modes of transportation.

Figure 2 | Transportation Planning Process

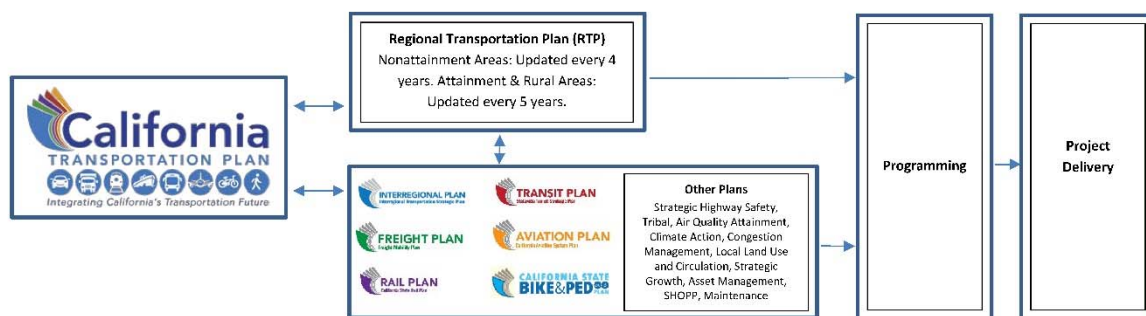


Table 2 provides a summary and comparison of RTP and CTP requirements pursuant to SB 375 (Steinberg, 2008) and SB 391 (Liu, 2009). These bills are described further in Section 1 - Legislative and Policy Requirements.

Table 2 | RTP and CTP Comparison Matrix

RTP and CTP Comparison Matrix		
	RTP - SB 375	CTP - SB 391
Financial Constraint Requirement	YES	NO
Project Specific Detail	YES	NO
Sustainable Community Strategy (SCS) Requirement	MPOs must prepare a sustainable communities strategy	Caltrans must assess how SCS implementation will influence the configuration of the statewide multimodal transportation system
Greenhouse Gas (GHG) Reduction Target	The California Air Resources Board (ARB) requires reduction targets to be achieved through the SCS, if feasible.	No Specific Target Requires Caltrans to address how the state will achieve maximum feasible emissions reductions in order to attain a statewide reduction of GHG emissions to 1990 levels by 2020 and 80% below 1990 levels by 2050
Forecast Years	Requires reduction targets for 2020 and 2035	Reduction goals for 2020 and 2050
Modeling	Requires CTC, in consultation with ARB, to specify MPO travel demand model requirements. Requires the MPO to publish the methodology, results and key assumptions of travel demand model in a useable and understandable manner	No specific modeling requirements
Applicable Sectors	Automobiles and light trucks	All Transportation Sectors (automobiles, trucks, freight, air, etc.)
Area	MPO region	Entire state
Transportation Network	Regional transportation network - all existing and proposed transportation system improvements, including the state and regionally significant transportation system	Statewide integrated multimodal transportation system needed to achieve a statewide reduction of GHG emissions to 1990 levels by 2020 and 80% below 1990 levels by 2050
ARB Review	Provides MPO GHG reduction targets - Accepts or rejects the MPO determination that the SCS would achieve GHG reduction target	Requires consultation and coordination of activities with ARB
CEQA Review	YES	NO

SB 486 Study Areas

SB 486 (DeSaulnier, 2014) requires that commencing with the 2020 update to the CTP, the CTC is authorized, in cooperation with Caltrans, to prescribe study areas for analysis and evaluation. During the CTP scoping and development process, as well as during plan implementation, Caltrans should identify gaps in subject areas or information critical to CTP objectives for further study.

An example of an effort that Caltrans is currently undertaking (beginning Spring 2017) to identify gaps in subject areas or information critical to CTP objectives, is the Future of Mobility Study. This study will explore the impact of technological, social, economic, and environmental change on Caltrans' long term planning process for transportation in California. The University of California Berkeley's Transportation Sustainability Research Center will be working with Caltrans to form an advisory committee, create a survey of questions to interview professionals in the field, conduct a literature review, create presentations and a webinar, and write a final white paper. The goal of this research is to provide Caltrans with a picture of what the future of transportation might look like and provide a base for improved decision-making and planning.

Some additional examples of activities that should be considered to accomplish this include:

- Identification of the transportation system effects and policy implications resulting from emerging trends and technological advances, including sources of information and any technical resources that may be available in this area. This information should then be used to identify and plan for transportation system needs. This process should also identify appropriate modifications to existing CTP policies and strategies, as well as new strategies and recommendations for future plan iterations.
- Identification of gaps in data availability during the performance measure selection process and plan implementation. Results of this effort should then be used to formulate specific recommendations in future CTPs for the development of tools and information needed to establish clear, quantifiable performance objectives for all of the CTP policies.
- Conducting an ongoing performance monitoring process to evaluate each performance objective using the associated target and data source. Feedback on the progress made toward the target could then be reported both internally and externally to partner agencies. This would allow for reexamination, refinement, and calibration of planning tools to improve desirable performance to meet the specified performance target and the associated goal and policy.
- Development of an interim report that identifies the goals, policies, strategies, and performance measures in existing Sustainable Communities Strategies, Alternative Planning Strategies, RTPs, and Caltrans modal plans. The interim report could provide an assessment of how each plan influences the transportation system. This interim report could then serve to inform the policy, strategies, and recommendations elements included in the subsequent CTP.

SECTION 2 | LEGISLATIVE AND POLICY REQUIREMENTS

Under federal and state requirements, Caltrans is tasked with considering certain factors in the development of the CTP. The CTP is also informed and guided by state and regional policies and the latest empirical research and data. As the CTP is developed, these and other factors, shall be considered and reflected in the goals, policies, recommendations, and performance objectives. Prior to starting the development of the next CTP, Caltrans staff shall thoroughly review existing federal and state requirements as well as relevant state policies and plans to ensure consistency. More details and specific statutes can be found in Appendix A – Federal and State Planning Requirements.

Federal Requirements

The policies, regulations, and mandates established by the federal government determine and influence many of the Caltrans' programs, responsibilities and resources, including the CTP. Federal requirements for the development of a statewide long-range transportation plan are identified in the following Code of Federal Regulations (CFR) and United States Code (USC) sections: 23 CFR 450, 23 USC 135, 23 USC 150, and 49 USC 5304. The full text of these regulations is included in Appendix A - Federal and State Planning Requirements. Highlights of these federal requirements are identified below.

23 CFR Part 450.200 –

Requires each state to carry out a continuing, cooperative, and comprehensive statewide multimodal planning process.

23 CFR Part 450.216 –

- (a) The long-range statewide transportation multimodal plan must have a minimum 20-year forecast.
- (b) The plan should include capital, operations and management strategies, investments, procedures, and other measures to ensure the preservation and most efficient use of the existing transportation system.
- (c) The plan must reference and summarize applicable transportation studies and reports, including emergency relief and disaster preparedness plans.
- (d) The plan should include a safety element that summarizes the priorities of the Strategic Highway Safety Plan.
- (e) The plan should include a security element that summarizes the goals specified in transit safety and security planning processes.
- (f) The plan must be developed in cooperation with the state's metropolitan planning

organizations (MPOs), rural regional transportation planning agencies (RTPAs) and federally recognized Native American Tribal Governments.

- (g) The plan must be developed in consultation with state, tribal and local resource agencies.
- (h) The plan must include a discussion of potential environmental mitigation activities.
- (i) Interested stakeholders must be given an opportunity to comment on the plan.
- (j) The plan should include a financial element that identifies the funding that may possibly be available. (It should be noted that California Government Code Section 65072(b) specifically forbids the CTP to include a list of projects.)

23 U.S. Code Section 135(d) (1) –

Requires Caltrans to consider the eight following planning factors when developing the statewide long-range transportation plan:

- Economic vitality
- Safety
- Security
- Accessibility and mobility of people and freight
- Environmental and energy sustainability and planning consistency
- Enhance integration and system connectivity
- Efficient system management and operation
- Preservation of the existing system

Title 23 U.S. Code Section 150(b) -

The CTP planning process must also use a performance-based approach to support the seven following national goals:

- **Safety** - achieve a significant reduction in traffic fatalities and serious injuries on all public roads.
- **Infrastructure condition** - maintain the highway infrastructure asset system in a state of good repair.
- **Congestion reduction** - achieve a significant reduction in congestion on the National Highway System.
- **System reliability** - improve the efficiency of the surface transportation system.
- **Freight movement and economic vitality** - improve the national freight network, strengthen the ability of rural communities to access national and international trade markets, and support regional economic development.
- **Environmental sustainability** - enhance the performance of the transportation system while protecting and enhancing the natural environment.
- **Project delivery delays reductions** - reduce project costs, promote jobs and the economy, and expedite the movement of people and goods by accelerating project completion.

In addition, new applicable legislation, requirements and state policy should be identified throughout the development of the CTP.

State Requirements

California state government plays an equal role in the transportation planning process. The laws, and policies established by the state determine and influence the development and content of the CTP. Key highlights of state requirements are included below. The full text of these sections and other state law pertaining to the CTP is available in Appendix A - Federal and State Planning Requirements.

California Government Code

Section 65070(a) states that it is in the “interest of the State of California to have an integrated state and regional transportation planning process.” federal law mandates the development of a state and Regional long-range transportation plan as a prerequisite for receiving federal transportation funds. It is the intent of the state legislature that these plans shall be a cooperative process involving state, local, and RTPAs, air quality management districts (AQMD), transit operators, and the goods movement industry.

65071.

Caltrans shall update the California Transportation Plan consistent with state statute. Beginning December 31, 2015, the CTP shall be updated every five years.

65072.

The California Transportation Plan shall include all of the following:

- A. A policy element that describes the state’s transportation policies and system performance objectives. These policies and objectives shall be consistent with legislative intent described in Sections 14000, 14000.5, 14000.6, and 65088.
- B. A strategies element that shall incorporate the broad system concepts and strategies synthesized from the adopted regional transportation plans prepared pursuant to Section 65080. The California Transportation Plan shall not be project specific.
- C. A recommendations element that includes economic forecasts and recommendations to the Legislature and the Governor to achieve the plan’s broad system concepts, strategies, and performance objectives.

65072.1.

The California Transportation Plan shall consider all of the following subject areas for the movement of people and freight:

- A. Mobility and accessibility.
- B. Integration and connectivity.
- C. Efficient system management and operation.
- D. Existing system preservation.

- E. Safety and security.
- F. Economic development, including productivity and efficiency.
- G. Environmental protection and quality of life.
- H. Wildlife movement across transportation infrastructure (pending passage of AB 1630)

65072.2.

In developing the CTP, Caltrans shall address how the state will achieve maximum feasible emissions reductions in order to attain a statewide reduction of greenhouse gas emissions to 1990 levels by 2020 as required by the California Global Warming Solutions Act of 2006, and 80 percent below 1990 levels by 2050, taking into consideration the use of alternative fuels, new vehicle technology, tailpipe emissions reductions, and expansion of public transit, commuter rail, intercity rail, bicycling, and walking. The plan shall identify the statewide integrated multimodal transportation system needed to achieve these results.

65073.

Caltrans shall consult with, coordinate its activities with other select state agencies, air quality management districts, public transit operators, and the regional transportation planning agencies for review and comment. Caltrans shall also provide an opportunity for input by the general public. Prior to adopting the plan or update, the department shall make a final draft available and provide sufficient time for the Legislature and Governor to review and comment. The CTC may present the results of its review and comment to the Legislature and the Governor. The Governor shall adopt the plan and submit the plan to the Legislature and the Secretary of the United States Department of Transportation.

Executive Orders

Executive Orders enacted in recent years have broadened the scope of the transportation planning process. These new responsibilities require Caltrans to address specific issues and to consider new approaches in transportation planning on a statewide scale when developing the CTP. Executive Orders include:

Executive Order S-3-05 (2005)

Commits the state to reduce GHG emissions to 2000 levels by 2010, to 1990 levels by 2020, and to 80 percent below 1990 levels by 2050, a level consistent with current scientific evidence regarding the reductions needed to stabilize the climate.

Executive Order B-16-12 (2012)

Establishes benchmarks to update the state's zero-emission vehicle infrastructure and support up to one million vehicles and the widespread use of zero-emission vehicles for public transportation and freight transport by 2020. Also supports electric vehicle charging integration into the electricity grid. In addition, establishes benchmarks to help achieve 1.5 million zero-emission vehicles by 2025.

Executive Order B-30-15 (2015)

Establishes a new interim statewide GHG emission reduction target to reduce GHG emissions to 40 percent below 1990 levels by 2030 - in order to ensure California meets its target of reducing GHG emissions to 80 percent below 1990 levels by 2050. All state agencies with jurisdiction over sources of GHG emissions must implement measures to achieve reductions of GHG emissions to meet the 2030 and 2050 GHG emissions reductions targets. Furthermore, state agencies shall take climate change into account in their planning and investment decisions, and employ full life-cycle cost accounting to evaluate and compare infrastructure investments and alternatives.

The Executive Order describes four guiding principles that should be followed when planning and making investment decisions:

- Priority should be given to actions that both build climate preparedness and reduce greenhouse gas emissions;
- Where possible, flexible and adaptive approaches should be taken to prepare for uncertain climate impacts;
- Actions should protect the state's most vulnerable populations; and
- Natural infrastructure solutions should be prioritized.

Executive Order B-32-15 (2015)

Directs the Secretary of the California State Transportation Agency (CalSTA), Secretary of the California Environmental Protection Agency (CalEPA), and the Secretary of the Natural Resources Agency to lead other relevant state departments in developing an integrated action plan by July 2016 that “establishes clear targets to improve freight efficiency, transition to zero-emission technologies, and increase competitiveness of California’s freight system.” To meet the directive of this executive order, the California Sustainable Freight Action Plan was prepared and released in July 2016.

CTP Requirements Checklist

A comprehensive list of the federal and state requirements is contained in Appendix B – CTP Legislative Checklist. The checklist is intended to be a guide to help ensure that all requirements regarding the development of the CTP are met.

SECTION 3 | CTP CONTENT AND ORGANIZATIONAL STRUCTURE

Overview

The CTP development process builds on important work already completed during state transportation related planning activities and incorporates a forward-looking perspective of the transportation system appropriate for the next CTP horizon. Therefore, the CTP planning process not only provides guidance, but also a process to integrate statewide long-range modal plans, key programs, regional and other state plans, and analysis tools that build on Regional Transportation Plans/Sustainable Communities Strategies (RTPs/SCSs) and regional land use visions. To illustrate the process through which CTP development occurs, a general timeline indicating high-level tasks to be completed is provided in Appendix C.

This section of the guidelines details the content and organizational structure for the CTP in a way that meets state and federal requirements and supports a cohesive transportation planning process. The CTP is a planning process intended to provide an integrated long-range statewide transportation plan that incorporates Caltrans' modal plans as well as RTPs/SCSs. The CTP integrates these plans and programs to provide a statewide transportation system capable of meeting environmental, mobility, safety, sustainability, and economic objectives.

Therefore, the CTP document should be generally organized in the following format:

1. **Executive Summary**
2. **CTP Introduction**
 - CTP Purpose
 - Summary of Federal and State Requirements
 - Overview of California
 - Summary of California's Transportation System
3. **Policy Element**
 - Vision Statement
 - Goals and Policies
 - Performance Objectives
4. **Strategies Element**
 - Summary of Caltrans' Modal Plans
 - Summary of RTPs
 - Other Statewide Plans
5. **Technical Analysis Element**
 - Modeling and Scenario Analysis

- Scenario Development
 - Economic forecasts and Analysis
 - Modeling processes and scenario analyses with defined assumptions
6. **Recommendations Element**
 - Specific Recommendations
 - Implementation Requirements
 - Steps and Responsibility
 - Timelines and Other Actions Necessary to Implement Policy Framework
 7. **Appendices**

Executive Summary

The Executive Summary provides a brief overview of the entire document including the scenarios; major policy actions; recommendations and actions.

CTP Introduction

The CTP introduction sets the tone of the entire document, and provides a summary of should include an introduction and include the following items:

- Overview and purpose of the CTP.
- Caltrans' role and responsibility in developing a long-range transportation plan.
- Summary of federal and state requirements, including Executive Orders impacting the CTP.
- Overview of California including 20-year projections for population, economy etc.
- Brief summary and overview of California's existing multimodal transportation system.

Four CTP Elements

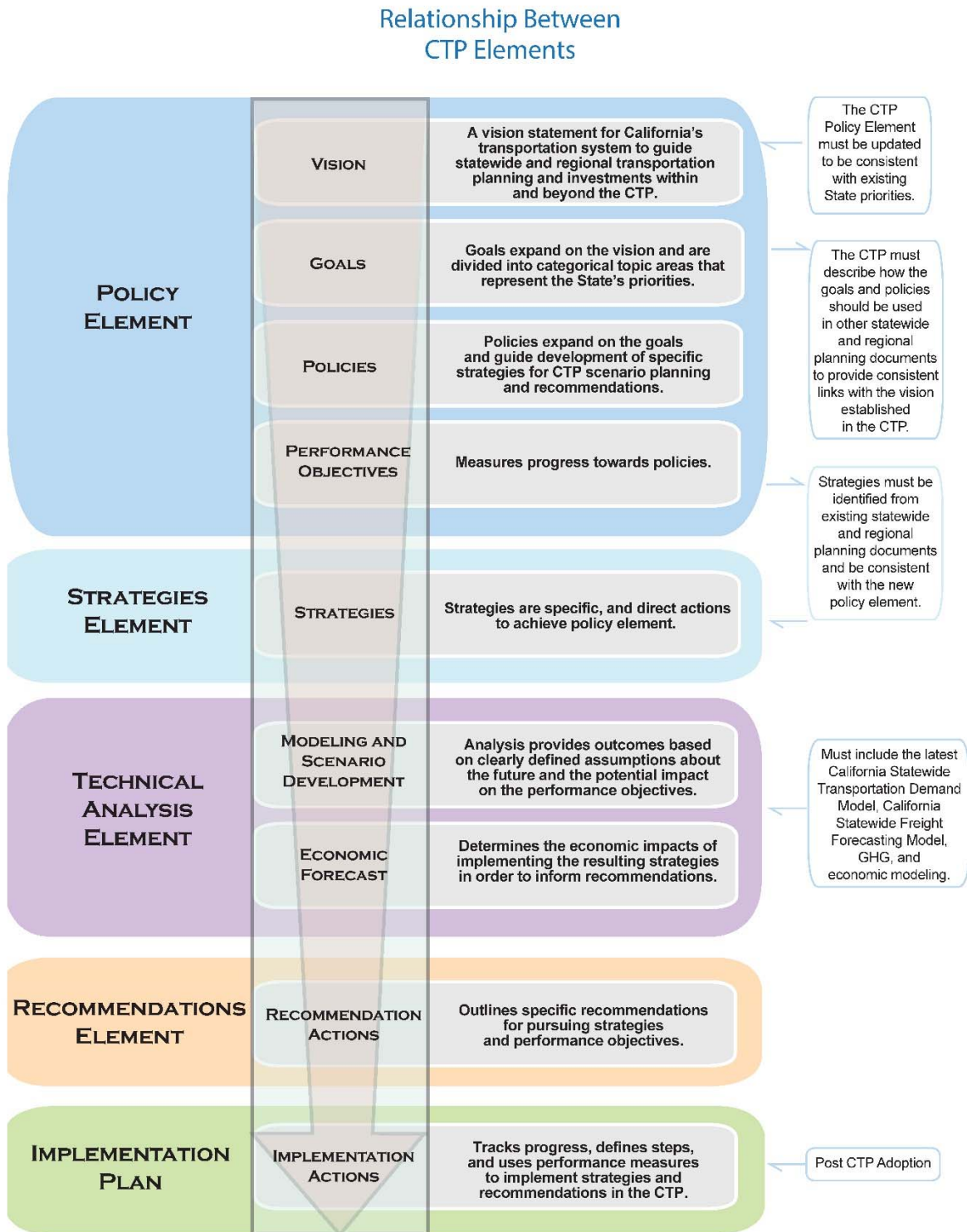
In addition to the introduction, the CTP should include the following elements:

1. Policy Element
2. Strategies Element
3. Technical Analysis Element
4. Recommendations Element

California Government Code Section 65072 requires the CTP contain a policy element, a strategies element and a recommendations element. Although not statutorily required, the CTP shall also include a technical analysis element in order to achieve SB 391 goals. These four elements must be organized to provide a clear framework on how each element works together, identifies recommendations, and better serve the development and implementation of the CTP for meeting California's transportation vision.

These elements are not new. Significant work developing pieces of these elements are already reflected in the current CTP 2040, other state modal plans, and RTPs throughout California. As a result, these existing plans should be used as the starting point for the development of the next CTP. In turn, statewide policy frameworks established in the adopted CTP should be incorporated and used in future modal, strategic, and regional planning efforts. An overview of these elements and how they interrelate is presented in Figure 3 below. The elements described in these guidelines are relevant to, and should be replicated in, other state and regional transportation planning documents.

Figure 3 | Relationship Between CTP Elements



1. Policy Element

Overarching goals, policies and more specific recommendations must also be identified in the plan. Therefore, the development of the CTP's policy framework should take place very early in the process and continue as part of an integrated and coordinated effort with stakeholders. The CTP should be developed as the overarching statement of California's transportation system and the twenty-year plan to achieve statewide goals and objectives of the plan implementation requirements.

The core goals of the CTP should incorporate the eight federally required planning factors (23 USC 135[d][1]) and the seven subject areas identified in California Government Code Section 65072.1

The Policy Element should include the following items:

Vision Statement

The vision statement for California's transportation system should be used to guide statewide and regional transportation planning and investments within and beyond the CTP. The Policy Element of the CTP consists of a vision for the California transportation system for the next 20 (or more) years, as well as goals and policies to help achieve that vision. The CTP should outline a vision statement that is supported by specific goals, policies, strategies, recommendations, and performance measures that strive for a safe, sustainable, transportation system. The vision is also used to guide and inform other statewide and regional planning documents to provide consistency across the state.

Goals and Policies

CTP goals and policies expand on the vision, and should be divided into categorical topic areas that represent the state's overarching priorities to guide the development of specific strategies for CTP scenarios planning and recommendations. The CTP must also describe how the goals and policies should be used in other statewide and regional planning documents to provide consistent links with the CTP vision.

The vision and the CTP Goals and Policies should be informed by the statewide and regional planning efforts. For statewide documents, and Caltrans' Modal Plans in particular, the CTP should establish a structure for goals and policies that can be replicated to ensure consistency across documents and a clear relationship between the modal plans and the overarching CTP.

The CTP 2040 identified the following six core goals to support California’s economy, livability and promote safety and sustainability:

- Improve multimodal mobility and accessibility for all people
- Preserve the multimodal transportation system
- Support a vibrant economy
- Improve public safety and security
- Foster livable and healthy communities and promote social equity
- Practice environmental stewardship

The above six core goals should carry over and be used as a foundation and starting point to prepare the CTP update due December 2020. These six core goals support federal and state requirements and policies. The six goals should be used as a baseline for the development of policies and recommendations.

Performance Objectives

Performance objectives allow progress to be tracked over time. Each CTP policy must have associated performance objectives that include identified targets, measures, and reporting requirements. Targets should be quantifiable, if possible. The CTP should build upon existing performance objectives and targets to include those that best represent the state’s priorities, and promote transparency and accountability.

The CTP must address a performance-based approach for the seven national goals identified in 23 USC 150(b)

Pursuant to Government Code Section 65072(a), the CTP must identify system performance objectives. These transportation objectives are an important part of an ongoing effort to plan for innovative ways to meet the transportation challenges of the future. The CTP must identify measures that are data-driven and quantifiable for the purposes of developing a baseline to monitor the progress of specific goals and policies. As such, the CTP performance objectives should be explicitly tied to the CTP policies, include quantifiable targets, timelines to meet those targets, and references to applicable data sources. To support the use of the established performance objectives throughout the transportation planning process, they should be to the extent possible, measurable at the state, regional, and local level.

To be able to track progress, each CTP policy must have associated performance measures and metrics that transportation professionals can use to support their policy framework and the state’s priorities. The transportation community has completed a significant amount of work resulting in a wide range of performance objectives that the CTP can draw from. In particular, Caltrans identified performance objectives in the CTP 2040 and the Caltrans Strategic Management Plan that should be used as a starting point.

The identification of performance objectives, targets, measures, and reporting requirements will require the input of stakeholders, especially in determining feasibility and appropriateness. Work should begin during the policy framework development to ensure the policies and performance objectives work in concert, and continue for several months after the policy framework is established.

2. Strategies Element

The Strategies Element describes broad system concepts and strategies. The CTP does not include specific projects pursuant to Government Code Section 65072 (b). The Strategies Element includes the identification of system wide concepts and specific strategies supported by modeling and scenario analysis. Strategies, which include broad system concepts, are actionable items with the capability of being quantitatively modeled or quantitatively assessed. While specific transportation projects cannot be identified, the strategies should serve to narrow and direct the types of projects and actions to be undertaken.

Strategies should be identified through a public process that synthesizes new ideas and those included in existing RTPs and state modal plans, and are should be consistent with the vision, goals, and policies established early in the development of the CTP. Strategies should be used as inputs during the modeling and scenario analysis to refine the strategies concepts resulting in associated recommendations for future implementation.

Strategies development should take place once the policy framework is established since the strategies are informed by, and tied directly to, the policies. The initial set of strategies is needed in the beginning of the process to feed into the modeling and scenario analysis.

The Strategies Element should provide an adequate summary of:

1. Caltrans Modal Plans and Planning Efforts

The CTP should specifically identify each of the modal transportation plans prepared by Caltrans and provide a summary of key findings of each of these planning documents. The modal plan summary should include key points or recommendations and identify future funding allocations or anticipated funding needs necessary to implement the modal plan.

In addition to the modal plan summary, the CTP should also summarize and consider preservation and maintenance needs as identified in the 10-Year State Highway Operation and Protection Program (SHOPP) Plan, the State Highway System Asset Management Plan, and the State Highway System Maintenance Plan. The preservation and maintenance summary should inform strategies and recommendations for meeting system needs and identify funding necessary to preserve and maintain the existing system.

In addition to integrating modal transportation plans and preservation and maintenance needs, the CTP should also consider the policy and modeling frameworks of various successful statewide planning initiatives, such as:

- Climate Action Program reports;
- Smart Mobility Framework, Active Transportation, Complete Streets, and Main Street reports;
- California Essential Habitat Connectivity Studies; and
- California Strategic Highway Safety Plan.

While each Caltrans modal plan, statewide policy document, and RTPs/SCSs prepared by regional agencies has a unique purpose and focus, they are all intended to represent priorities for different parts of California's transportation system. The resulting CTP should serve as a guiding document of information for the development of future modal plans, regional plans, programs, and major investment decisions on the transportation system.

2. Regional Transportation Plans

RTPAs and MPOs address transportation from a regional perspective, while the CTP addresses statewide connectivity and travel between regions by identifying the state's transportation system priorities and implementation strategy. It is, therefore, important for the integration of the CTP and the RTPs/SCSs.

Each current RTP prepared by MPOs and RTPAs should be identified in the CTP. The CTP should also include a brief summary of the key RTP findings in either the body of the CTP or in the appendix. Specifically, common themes or actions from the RTPs should be identified and discussed in the CTP. This summary should also include measures the MPO will undertake to achieve its regional GHG emission reduction target.

3. Other Statewide Plans

The success of the CTP ultimately depends on a close collaboration between Caltrans and other partners, including state agencies and interested stakeholders. Following is a list (not comprehensive) of statewide plans that the CTP should be aligned with in the development of the Plans policy framework and recommendations:

- California High-Speed Rail Business Plan (California High Speed Rail Authority [CHSRA])
- Tribal transportation and safety plans (various tribal governments statewide)
- California Transportation Infrastructure Priorities: Vision and Interim Recommendations (California State Transportation Agency [CalSTA])
- Climate Change Scoping Plan and other applicable documents (California Air Resources Board [ARB])
- California Sustainable Freight Action Plan (ARB, California Energy Commission [CEC], CalSTA,

California Environmental Protection Agency [CalEPA], California Natural Resources Agency [CalNRA], Governor's Office of Business and Economic Development [GoBiz])

- State Implementation Plan (ARB)
- Mobile Source Strategy (ARB)
- California's Climate Future: The Governor's Environmental Goals and Policies Report (Governor's Office of Planning and Research [OPR])
- Statewide Wildlife Action Plan (Department of Fish and Wildlife)
- Safeguarding California (California Natural Resources Agency)
- California Water Plan (Department of Water Resources)
- California Statewide Housing Plan (HCD)
- California Statewide Plan to Promote Health and Mental Health Equity & California Wellness Plan (CDPH)
- Integrated Energy Policy Report (CEC)

3. Technical Analysis Element

The Technical Analysis Element must provide data, information and analysis, based on Caltrans most current technical capabilities, for development and evaluation of strategies, recommendations, and performance measures. The analysis element should inform the development of implementation actions.

The element addresses the following two issues:

- Modeling and scenario analyses to provide a variety of tangible outcomes based on different assumptions about the future, and the potential impact of those assumptions on the performance objectives. All assumptions should be documented, clearly identified, understandable, realistic, and consistent with the policy objectives of the plan.
- Economic forecast to determine the economic impacts of implementing the strategies and broad system concepts resulting from the modeling and scenario analysis. The outcomes of the economic forecast must be identified and used to inform the development of recommendations.

The development of the CTP requires robust analytic capability and application for both transportation modeling and economics to support development and comparative analysis of strategies and recommendations. The modeling must incorporate the most up to date data available. The CTP analytic requirements are set forth in Government Code Section 65072(c).

In addition, it is important to consider data such as total Vehicle Miles Traveled (VMT), per capita VMT, and Vehicle Hours of Delay. Data should be compared to other states and the national average to allow the CTP reader a better understanding of how the transportation system and usage compares to other states and national averages.

Modeling and Scenario Analysis

Modeling Methods

- a. The next generation of the California State Travel Demand Model (CSTDM) should be used to support CTP transportation forecasting and scenario analysis. This includes integration of the California Statewide Freight Forecasting Model (CSFFM) and the latest MPO's RTPs and land use information. Caltrans staff will vet data and provide an opportunity for stakeholders to provide modeling feedback.
- b. The CTP should be supported by an Integrated Modeling Approach (IMA) to evaluate strategies to meet the goals of the CTP.
- c. Data is the foundation for any model and IMA requires large amounts of data to capture the travel behavior and land use changes. As a result, Caltrans and other state agencies in California should undertake efforts to improve data collection in these areas for the development of the CTP.
- d. The Air Resources Board's Vision tool should be used to evaluate technology penetration by considering future vehicle and fuel technologies, vehicle efficiency, and alternative fuels.
- e. The demographic component of the CSTDM should be used to analyze alternative socioeconomic forecasts based on the interactions between economic and demographic characteristics. This analysis should also consider effects of millennial and other behavioral changes.
- f. The land use component of the CSTDM should be used to capture the interrelationship between economic activity, transportation system and land use; and modeling years in 10 year increments between 2020 and 2050. This interrelationship will provide better understanding of spatial distribution of economic activity, and types of land use.
- g. Modeling for the CTP should incorporate interactions between demographic, economic, land use, transportation, pricing, and technology (vehicle & fuels) strategies.
- h. The modeling approach for the CTP should address both short-term and long-term goals of the plan and other statewide requirements, and represent the temporal and spatial details of various strategies under consideration.
- i. Tools used for the CTP should be calibrated and validated as described in the Regional Transportation Plan Guidelines.
- j. Strategies that cannot be quantified using the statewide travel demand model or IMA should be estimated using off-model techniques.

- k. In the early stages of the CTP development, Caltrans should pursue opportunities to enhance current modeling capabilities by working closely with other state and regional agencies.

Scenario Development

- a. Based on an initial model run, a matrix of scenarios, with well-defined and documented assumptions should be developed to explore various combinations and magnitudes of strategies to meet the CTP vision and goals. The initial development of the modeling matrix should incorporate recommendations from detailed planning studies (e.g., Multimodal Integrated Corridor Management Plan). The results of this matrix evaluation will help inform synergies and tradeoffs between goals, which will ultimately be used to establish strategy recommendations. The scenarios should be understandable and clear, and if possible, identify the costs and benefits of implementation.
- b. In consultation with various stakeholders, alternative scenarios should be identified, documented, and modeled. The result of this analysis should inform the recommendations to meet the goals of the CTP. An economic impact analysis should be conducted on the final scenario.
- c. Caltrans should reach out to the public and professional communities for input in developing the written scenario analysis included in the CTP.

Economic Forecasts and Analysis

The CTP must include economic forecasts that serve to inform recommendations to achieve the plan's objectives. The economic forecast should identify and determine the economic impacts of implementing the subset of strategies identified through the modeling and scenario analysis. The results of the economic forecast should be used in developing the CTP recommendations including actions necessary to mitigate potential negative economic impacts.

Economic forecasts and analysis in the CTP should include the following:

- a. Caltrans should conduct an economic impact assessment of identified strategies.
- b. Government Code Section 65072.1(f) requires Caltrans to consider "economic development, including productivity and efficiency." Caltrans should apply a comprehensive economic model capable of assessing the statewide economic impacts of transportation investment and policy strategies.
- c. Caltrans should utilize the best available econometric model(s) that meets needs and the objectives of the plan and can be reasonably obtained and deployed with available resources. An econometric model should be capable of assessing transportation investments

and policies and have the ability to assess the economic transactions of different groups, including households and businesses, in an attempt to simulate the economy.

- d. The determination of the level of economic analysis to conduct, and of the economic model(s) to employ, should include, but not be limited to, current practices and availability of land use and transportation demand models to analyze location choices and travel behavior, spatial and temporal interactions relative to economic transactions.
- e. Caltrans should reach out to the public and professional communities for input and review of the economic analysis process. Caltrans should consider developing a team of peers tasked with assisting in the development of economic analysis strategies and methodologies, and to review and provide input in the written analysis included in the CTP.

4. Recommendations Element

CTP recommendations are intended to be broadly applicable, reflect state priorities, and guide transportation planning decisions in meeting the CTP vision. Plan recommendations should be explicitly tied to the CTP goals and policies, identify actions and provide a clear link to the strategies that are supported by the modeling and scenario analysis, and performance objectives.

CTP recommendations should provide specific direction and action needed to achieve the goals and policies. The Recommendations Element should include the following:

- Identify realistic recommendations that are understandable to the general public.
- Specify the lead agency and parties responsible for implementation of the recommendation and action.
- An estimate of timeframe for implementation completion.

To facilitate implementation, recommendations should be organized and structured in a way that clearly identifies each component, and includes partner agencies and a general timeframe for implementation.

Each CTP recommendation should support the policy framework and act as guiding principle for transportation decision makers at all levels of government and the private sector. The importance of “partnership” should be emphasized to develop and implement future transportation policies, programs and major statewide investments to achieve California’s mobility, safety, economy, environmental, and quality of life goals and objectives.

To promote integration of the CTP policy framework into statewide modal planning, CTP recommendations should highlight the relevant CTP goals, policies, performance objectives, and implementation strategies associated with each individual mode.

As mentioned before, the CTP recommendations should be explicitly tied to the CTP goals and policies, and provide a clear link to the strategies that are a result of the technical analysis element

results, performance objectives, and the iterative public and stakeholder outreach effort. Each recommendation should be clear and specifically identify the timeframe and party responsible for implementation.

Broader Considerations to be Included in the CTP

In addition to state and federal requirements, the development of the CTP should also be informed by current state and regional policies, the latest empirical research and data, as well as the needs of California's diverse population as reflected in the public and stakeholder process. As the CTP is developed, these and other factors, should be considered and reflected in the goals, policies, recommendations, and performance objectives.

The CTP should include discussions on broader policy issues impacting transportation such as:

- **Transportation Funding and Financing**

The CTP should address transportation funding and financing needs for plan implementation over the horizon of the plan. The exploration and identification of existing and potential new funding mechanisms and strategies to address identified funding shortfalls should be included in the plan. The CTP should include identification of non-traditional funding sources such as utilizing the Greenhouse Gas Reduction Fund and other funding options.

- **Emerging Trends, Technology Innovations Impacting Transportation**

The CTP has a long-range, 20-year planning horizon and should identify and plan for emerging trends and technological innovations that are likely to shape the movement of people, freight and services over the long term. The policy framework for the CTP should provide an "overview" not only of the current statewide, multimodal transportation system, but also critical factors influencing the planning and operations of transportation systems and an identification of the transportation system needed to achieve the CTP vision.

The overview and analysis should be based on the policy framework, emerging trends and technology advances, and changes expected to the system by other planning efforts. These factors are expected to change the landscape and influence the transportation planning process from the state to regional levels of government. The CTP should identify and discuss the possible technologies and associated infrastructure needs as well as partnerships with the private sector to improve the multi-modal transportation system.

- **Forecasted changes in California's population and demographic make-up.**

The CTP should include an overview of California's changing population and demographics over the 20-year forecast period of the CTP.

- **Impacts of California's housing shortage and regional jobs/housing imbalance.**

There is a direct link between transportation and housing issues and the CTP should explore

solutions to resolve the housing imbalance from a statewide transportation perspective.

- **Role of Freight to California's Economy and the Transportation System**

The freight industry is a major contributor to the state's economy. The CTP should outline this role and also discuss what is necessary to develop a freight transportation system that is consistent with the California Freight Mobility Plan and the California Sustainable Freight Action Plan.

- **Nexus Between Transportation and Public Health**

The CTP should provide an overview of the nexus between public health issues and transportation.

- **California's Different Needs in Rural and Urban Context**

The CTP should address and plan for the transportation differences in heavily urbanized, suburban and rural areas. These factors should be organized into familiar categories such as: accessibility and mobility, integration and connectivity, efficient system management and operation, system preservation, safety and security, economic development, environmental protection and quality of life.

- **Climate Change**

The CTP should guide California's vast transportation network into a modern, sustainable, multimodal and efficient system. The framework to achieve that objective should be consistent with the state's environmental goals and policies and include appropriate metrics and indicators to help achieve climate change priorities and targets. The state policy framework should identify transportation investment decisions that place priority on actions that both reduce greenhouse gas emissions and build climate preparedness.

- **Greenhouse Gas Emissions Mitigation Actions**

The CTP must identify a statewide, integrated, multimodal transportation system to achieve maximum feasible emissions reductions in order to help attain a statewide reduction of GHG emissions to 1990 levels by 2020, 40% below 1990 levels by 2030, and 80% below 1990 levels by 2050. The CTP must identify policies and strategies that support the transition to a zero emission transportation system and contribute to quantifiable reductions in GHG emissions such as the use of alternative fuels, new vehicle technology, tailpipe emissions reductions, and the reduction in Vehicle Miles Travelled (VMT) resulting from the expansion of public transit, commuter rail, intercity rail, bicycling, and walking.

- **Climate Adaptation and Resiliency**

The CTP should summarize actions taken at both the state and regional levels to address potential future impacts to transportation infrastructure as a result of climate change. Based on Executive Orders and enacted legislation, the state is aiming to ensure that people, communities, and natural systems are able to withstand the anticipated exposures, risks and impacts of climate change that are projected to occur as a result of sea level rise, surge,

flooding, erosion, landslides, extreme heat, extreme storm events, land subsidence and other climate related disruptions. Therefore, careful assessment should be conducted to plan and prepare for these impacts.

The Safeguarding California Plan, the Integrated Climate Adaptation and Resiliency Program; and the Adaptation Planning Guide should be reviewed and consulted in developing the CTP. In addition, Assembly Bill (AB) 2087 (Levine, 2016) creates the legal authority for the creation of advanced mitigation credits. As a result, the CTP should identify this program which can be used to meet state goals related to conservation and infrastructure management. The CTP should ensure compliance with AB 2800 (Quirk, 2016) which requires state agencies to take into account the current and future impacts of climate change when planning, designing, operating, maintaining and investing in state infrastructure.

In addition, current research and studies should be utilized to ensure the CTP reflects and discusses potential impacts to transportation infrastructure resulting from climate change. The CTP should also include discussion of climate adaptation and transportation vulnerability and take into account the findings of the Caltrans Vulnerability Assessment Study and the Natural Resources Agency's Climate Adaptation Strategy (Safeguarding California) and any other regionally specific climate studies as appropriate.

SECTION 4 | CONSULTATION, COORDINATION, AND ENGAGEMENT

Federal laws and regulations require public involvement during the transportation planning and decision making process. Title 23, Section 450.210 of the Code of Federal Regulations requires Caltrans, in carrying out the statewide transportation planning process, to develop and use a documented public involvement process that provides opportunities for public review and comment at key decision points. The full text of 23 CFR 450.210 outlining requirements for interested parties, public involvement, and consultation for the development of the CTP is available in Appendix A.

The most recent federal surface transportation reauthorization in 2015, the Fixing America's Surface Transportation Act (FAST Act), affirms the emphasis on providing early and continuous opportunities for public engagement and requires the CTP to be developed in cooperation with the state's MPOs, local transportation officials, Native American Tribal Governments, and other interested parties.

Along with federal requirements, the CTP addresses other laws, regulations and policies that support public involvement. These laws and policies include, but are not limited to, Title VI of the Civil Rights Act of 1964, the Americans with Disabilities Act, and Context Sensitive Solutions. Also, consistent with direction and practices of the U.S. Department of Transportation, the CTP should direct transportation agencies to collaborate with agencies in other sectors in implementing federal laws and regulations which intersect with transportation responsibilities in promoting access to opportunity and diversity in communities.

The passage of SB 391 (Liu, 2009) amended California Government Code Section 65073 requiring Caltrans to consult with and coordinate its activities with the CTC, Strategic Growth Council (SGC), ARB, California Energy Commission (CEC), air quality management districts (AQMDs), and public transit operators, in addition to RTPAs. Caltrans is also required to provide an opportunity for input by the general public.

The CTP is the fundamental document that guides California's transportation future by defining the goals, policies and recommendations to achieve our collective transportation vision. Consultation, coordination, and engagement of the CTP influence long-range transportation policy, and ultimately, the investments made in California's transportation system. As a result, the preparation of the CTP must include extensive stakeholder and public outreach to engage participation throughout the transportation planning process to help determine the direction of the CTP.

Advisory Committees

Caltrans should convene advisory committees as needed to help guide the direction and development of the CTP. The primary role of the committees would be to act in an advisory capacity for the purpose of providing guidance, information, and approvals to Caltrans related to specialized transportation planning concerns and priorities throughout the development of the CTP. Advisory Committees should have clearly defined responsibilities and objectives, should include a diverse group of representatives from various governmental agencies, stakeholders, and advocacy groups, and should be a manageable size to facilitate decision-making. For an example of the membership composition of the advisory committees utilized in the development of past CTPs please see Appendix D –Past Advisory Committee Participants.

State Agency Consultation and Collaboration

Caltrans should consult and collaborate with appropriate state agencies to integrate the CTP with other statewide plans to ensure that strategic and comprehensive recommendations along with implementation responsibilities are well defined in the plan. Other state agencies should engage in the CTP development process to provide specific subject matter input in their respective areas of expertise. For example, the California Department of Housing and Community Development (HCD), the Air Resources Board (ARB), the California Energy Commission (CEC), the Governor’s Office of Business and Economic Development (GoBiz), and the California Natural Resources Agency can and should provide input in the areas of housing, air quality, energy, economic development, and natural resources conservation for consideration in the development of the CTP. Caltrans is encouraged to be broad and inclusive in engaging other state agencies in the CTP process.

Additionally, the CTP shall briefly summarize pertinent state agency planning documents that may have an impact on transportation related issues. This summary will include a description of the activity and should also identify any potential funding identified by that particular state agency.

SB 391 Required Consultation and Coordination

SB 391 amended Section 65073 of the California Government Code related to transportation planning specifically requiring Caltrans to consult and coordinate its activities with, and to make a draft of the proposed CTP including each update available to the following specific entities for review and comment:

- California Transportation Commission (CTC)
- Strategic Growth Council (SGC)
- California Air Resources Board (ARB)
- California Energy Commission (CEC)
- Air Quality Management Districts (AQMD)

- Public Transit Operators
- Metropolitan Planning Organizations (MPOs)
- Regional Transportation Planning Agencies (RTPAs)

Please note that this list only reflects SB 391 and is not exhaustive of the entities that should be involved in the planning process as part of Caltrans responsibility to collaborate with a wide-range of stakeholders in the development of the CTP.

Consultation and Coordination with Native American Tribal Governments

Caltrans must be committed to fostering a positive working relationship with California's tribal governments. Caltrans must ensure that the inherent rights and interests of Native American tribes are considered and addressed in Caltrans transportation planning and decision-making process through government-to-government consultation.

As a result, during the development of the CTP, Caltrans should establish a government-to-government relationship with each tribe. Government-to-government consultation refers to consultation between two governments to reach mutual understanding and, where possible, harmony on policies, programs and projects. The initial point of contact for Tribal Governments should be the Chairperson for each tribe.

The CTP should include documentation of the consultation process including the efforts in establishing channels of communication. The Caltrans Native American Liaison Branch (NALB) can provide assistance.

Federal Requirements

23 United States Code (USC) section 135 (f)(2)(C) requires the CTP be developed in consultation with tribal governments and the Secretary of the Interior. In addition, consultation shall provide an opportunity to ensure consistency between the CTP and tribal long-range transportation plans developed under 25 CFR part 170.

State Requirements

California Government Code §65352.4 defines "consultation" as a "meaningful and timely process of seeking, discussing, and considering carefully the views of others, in a manner that is cognizant of all parties' cultural values and, where feasible, seeking agreement. Consultation between government agencies and Native American tribes shall be conducted in a way that is mutually respectful of each party's sovereignty. Consultation shall also recognize the tribes' potential needs for confidentiality with respect to places that have traditional tribal cultural significance."

Public and Stakeholder Engagement

Meaningful and consistent outreach and coordination are vital components of the transportation planning process. Gathering input from a broad spectrum of transportation partners, stakeholders, and the public is required to ensure an assortment of perspectives and ideas are considered in the decision-making process. The CTP should reflect community values and interests which in turn influence transportation policy and, ultimately, decisions on how transportation funds are invested. It is also a priority that the CTP is developed in the context of a robust and transparent stakeholder and public engagement process, including underrepresented and disadvantaged communities. Creating the CTP involves ongoing public and stakeholder feedback. The Caltrans “Public Participation Plan (PPP) for the CTP and Federal Statewide Transportation Improvement Program” supports the Caltrans’ Mission to involve the public in transportation decision-making and responds to federal laws and regulations that emphasize public engagement. The PPP is a valuable resource that should be followed as a framework for how to engage the general public and stakeholders throughout the development of the CTP. The PPP was updated in June 2013 and is available online at: <http://www.dot.ca.gov/hq/tpp/offices/osp/ppp.html>.

Outreach Methods and Techniques

Caltrans should utilize and document a variety of outreach methods and techniques throughout the CTP development process. The methods utilized should ensure the ability to engage the public – including low-income, people of color, and underserved populations, as well as persons with disabilities, youth, and the elderly. Full and fair participation of all potentially affected communities is one of the three core environmental justice (EJ) principles. Participation of traditionally underrepresented communities in the transportation planning process increases assurance that communities most affected participate in identifying the benefits and burdens associated with the proposed activity, and suggest alternatives to mitigate impacts.

Outreach methods and techniques used for the CTP should communicate information and gather feedback through a user-friendly and interactive website, social media, focus groups, public workshops, webinars, videos, electronic mail, printed materials and other media, presentation, and surveys, or other practices that allow specific input on long-range plan elements. For future CTP updates, the Public Participation Plan offers guidance and valuable insight for outreach methods, techniques, and strategies for involving the public in the planning process.

SECTION 5 | PLAN ADOPTION AND IMPLEMENTATION

Final Review

Pursuant to California Government Code Section 65071, beginning December 31, 2015, Caltrans shall update the California Transportation Plan every five years. Thus, the next update is scheduled to be completed by December 31, 2020.

Pursuant to California Government Code Section 65073, Caltrans shall consult with, coordinate its activities with, and make a draft of its proposed plan, and each update, available to the following specified entities for review and comment. The entities specified below should be engaged throughout the CTP development process and be given sufficient time to review and provide input on the draft plan. One way in which these entities can and should contribute to the CTP development process is through Advisory Committee participation.

This following list reflects California Government Code Section 65073 as amended by SB 391 and is not exhaustive of all entities that should be involved in the planning process.

- California Transportation Commission (CTC)
- Strategic Growth Council (SGC)
- California Air Resources Board (ARB)
- California Energy Commission (CEC)
- Air Quality Management Districts (AQMDs)
- Public Transit Operators
- Metropolitan Planning Organizations (MPOs)
- Regional Transportation Planning Agencies (RTPAs)

In addition, Caltrans shall also provide an opportunity for input by the general public. The draft plan and each update should be available through a notice for a 30-day public review and comment period that solicits and gathers broad input in written or electronic form. Caltrans shall analyze the submissions for possible inclusion in the final draft CTP and post the submissions on the CTP website.

Also, CalSTA is responsible for oversight of Caltrans. Therefore, CalSTA must be directly involved throughout the CTP transportation planning and approval process.

Pursuant to California Government Code Section 65073, prior to adopting the plan or update, Caltrans shall make a final draft available to the Legislature and Governor for review and comment. The CTC may present the results of its review and comment to the Legislature and the Governor.

Final Adoption

Pursuant to California Government Code Section 65073, the Governor shall adopt the plan and submit the plan to the California state legislature and the Secretary of the USDOT, every five years. Historically, the Agency Secretary utilizes delegated authority to approve and adopt the CTP on behalf of the Governor. In order to transmit the plan to the Agency Secretary for approval, Caltrans must prepare and submit an Issue Memo to CalSTA requesting approval of the CTP and signature of transmittal letters to the Legislature and the Secretary of the United States Department of Transportation (USDOT). Caltrans then submits the approved plan to the Legislature and the federal government.

Monitoring, Tracking, and Implementation

Following the completion of the CTP, a specific plan to implement recommendations should be outlined for pursuing strategies and concepts as identified in the CTP. The implementation process should include a timeline of actions and activities, including outreach. Potential outreach actions or activities should include, but not be limited to, an interactive website, social networking tools (Facebook, Twitter), presentations to internal and external governmental agencies and stakeholder groups by Caltrans HQ or district staff, regional workshops, e-mail notifications, newsletters, calendar announcements, printed materials and media, and innovative outreach such as, web posted videos, webinars, webcasting, and blogging, as time and resources allow.

Caltrans' modal plans are one of the key mechanisms, among other planning efforts, through which implementation of the strategies and concepts in the CTP can be achieved. The CTP recommendations and implementation process should be specifically targeted towards incorporating the CTP framework into upcoming modal plans and transportation policies (e.g. system planning, project delivery, etc.), including highlighting the relevant CTP goals, policies, and performance objectives.

As part of the CTP implementation process, an ongoing performance monitoring process will evaluate each performance objective using the associated target and data source. Caltrans must also provide feedback both internally and externally to state and federal partners on the progress made toward the target. This information allows for adjustments through reexamination, refinement, and calibration of planning tools to improve the desirable performance to meet the specified performance target or goal.

The following are monitoring and tracking considerations that should be addressed in the CTP implementation process:

- a. As recommendations are implemented, the associated CTP performance objectives should be used to track progress. This helps support a cohesive and consistent statewide transportation planning process.
- b. Benchmarks should be used to establish a baseline, typically quantifiable, and track implementation in meeting performance measures and goals. Caltrans should use this information to analyze key performance measures and compare them externally with other state transportation departments and against nationally recognized best practices in order to improve the Caltrans' performance targets and goals. Internally, Caltrans should compare current year performance with baseline or previous year data. This analysis will provide a reflective approach towards improvement for effectiveness and efficiency of safety, infrastructure condition, congestion reduction, economic vitality, environmental sustainability, system reliability, freight movement, and reduced project delivery delays.
- c. Specific performance targets should be identified to establish a consistent, flexible, and effective gauge that shows the progress of key performance measure indicators and goals that Caltrans and its transportation partners have set forth to accomplish an integrated sustainable multimodal transportation system within California.
- d. Coordination with other state agencies should be undertaken as needed throughout the implementation process to track application of CTP recommendations across state agency activities and to identify any implementation challenges or additional opportunities that may be encountered. This information should be used to inform the policy, strategies, and recommendations elements included in the subsequent CTP.

ABBREVIATIONS AND ACRONYMS

AB	Assembly Bill
AQMD	Air Quality and Management Districts
ARB	(California) Air Resources Board
CalSTA	California State Transportation Agency
Caltrans	California Department of Transportation
CEC	California Energy Commission
CEQA	California Environmental Quality Act
CFMP	California Freight Mobility Plan
CFR	Code of Federal Regulations
CHSRA	California High-Speed Rail Authority
CHTS	California Household Travel Survey
CIB	California Interregional Blueprint
CSBPP	California Statewide Bicycle and Pedestrian Plan
CSMP	Corridor System Management Plan
CSRP	California State Rail Plan
CSS	Context Sensitive Solutions
CSTDm	California Statewide Travel Demand Model
CTC	California Transportation Commission
CTP	California Transportation Plan
DSMP	District System Management Plan
EO	Executive Order
FAST Act	Surface Transportation Act, Fixing America's Surface Transportation Act
FHWA	Federal Highway Administration
FSTIP	Federal Statewide Transportation Improvement Program
FTIP	Federal Transportation Improvement Program

FTA	Federal Transit Administration
GHG	Greenhouse gas
GO-Biz	Governor's Office of Business and Economic Development
GSP	Gross State Product
HCD	(California Department of) Housing and Community Development
IMA	Integrated Modeling Approach
ISTEA	Intermodal Surface Transportation Efficiency Act
ITIP	Interregional Transportation Improvement Program
ITSP	Interregional Transportation Strategic Plan
LOS	Level of Service
MAP-21	Moving Ahead for Progress in the 21 st Century
MPO	Metropolitan Planning Organization
NAAC	Caltrans Director's Native American Advisory Committee
NALB	Caltrans Native American Liaison Branch
OPR	(California Governor's) Office of Planning and Research
PAC	Policy Advisory Committee
PID	Projection Initiation Document
PPP	Public Participation Plan
RTIP	Regional Transportation Improvement Program
RTP	Regional Transportation Plan
RTPA	Regional Transportation Planning Agency
SAFETEA-LU	Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users
SB	Senate Bill
SCS	Sustainable Communities Strategy
SGC	(California) Strategic Growth Council
SHOPP	State Highway Operation and Protection Program
STIP	State Transportation Improvement Program
TAC	Technical Advisory Committee

TREDIS	Transportation Economic Development Impact System
USC	United States Code
USDOT	United States Department of Transportation
VHD	Vehicle Hours of Delay
VMT	Vehicle Miles Traveled

APPENDIX A | FEDERAL AND STATE PLANNING REQUIREMENTS

Federal Requirements

Title 23 U.S. Code § 135 - Statewide and nonmetropolitan transportation planning

(a) General Requirements

(1)Development of plans and programs.—Subject to section 134, to accomplish the objectives stated in section 134(a), each State shall develop a statewide transportation plan and a statewide transportation improvement program for all areas of the state.

(2)Contents. The statewide transportation plan and the transportation improvement program developed for each state shall provide for the development and integrated management and operation of transportation systems and facilities (including accessible pedestrian walkways and bicycle transportation facilities) that will function as an intermodal transportation system for the State and an integral part of an intermodal transportation system for the United States.

(3)Process of Development

The process for developing the statewide plan and the transportation improvement program shall provide for consideration of all modes of transportation and the policies stated in section 134 and shall be continuing, cooperative, and comprehensive to the degree appropriate, based on the complexity of the transportation problems to be addressed.

(b) Coordination with Metropolitan Planning; State Implementation Plan. A State shall

(1) coordinate planning carried out under this section with the transportation planning activities carried out under section 134 for metropolitan areas of the State and with statewide trade and economic development planning activities and related multistate planning efforts; and

(2) develop the transportation portion of the State implementation plan as required by the Clean Air Act (42 U.S.C. 7401 et seq.).

(c) Interstate Agreements

(1) Two or more States may enter into agreements or compacts, not in conflict with any law of the United States, for cooperative efforts and mutual assistance in support of activities authorized under this section related to interstate areas and localities in the States and establishing authorities the States consider desirable for making the agreements and compacts effective.

(2)Reservation of rights - The right to alter, amend, or repeal interstate compacts entered into under this subsection is expressly reserved.

(d) Scope of Planning Process

- (1) Each State shall carry out a statewide transportation planning process that provides for consideration and implementation of projects, strategies, and services that will—
 - (A) support the economic vitality of the United States, the States, nonmetropolitan areas, and metropolitan areas, especially by enabling global competitiveness, productivity, and efficiency;
 - (B) increase the safety of the transportation system for motorized and nonmotorized users;
 - (C) increase the security of the transportation system for motorized and nonmotorized users;
 - (D) increase the accessibility and mobility of people and freight;
 - (E) protect and enhance the environment, promote energy conservation, improve the quality of life, and promote consistency between transportation improvements and State and local planned growth and economic development patterns;
 - (F) enhance the integration and connectivity of the transportation system, across and between modes throughout the State, for people and freight;
 - (G) promote efficient system management and operation; and
 - (H) emphasize the preservation of the existing transportation system.

(2) Failure to consider factors —The failure to consider any factor specified in paragraph (1) shall not be reviewable by any court under this title or chapter 53 of title 49, subchapter II of chapter 5 of title 5, or chapter 7 of title 5 in any matter affecting a statewide transportation plan, the transportation improvement program, a project or strategy, or the certification of a planning process.

(e) Additional Requirements. In carrying out planning under this section, each State shall, at a minimum—

- (1) with respect to nonmetropolitan areas, cooperate with affected local officials with responsibility for transportation or, if applicable, through regional transportation planning organizations described in subsection (m);
- (2) consider the concerns of Indian tribal governments and Federal land management agencies that have jurisdiction over land within the boundaries of the State; and
- (3) consider coordination of transportation plans, the transportation improvement program, and planning activities with related planning activities being carried out outside of metropolitan planning areas and between States.

(f) Long-range Statewide Transportation Plan.

(1) Development.

Each State shall develop a long-range statewide transportation plan, with a minimum 20-year forecast period for all areas of the State, that provides for the development and implementation of the intermodal transportation system of the State.

(2) Consultation with governments.

(A) Metropolitan areas.

The statewide transportation plan shall be developed for each metropolitan area in the State in cooperation with the metropolitan planning organization designated for the metropolitan area under section 134.

(B)Nonmetropolitan areas.

(i) With respect to nonmetropolitan areas, the statewide transportation plan shall be developed in cooperation with affected nonmetropolitan officials with responsibility for transportation or, if applicable, through regional transportation planning organizations described in subsection (m).

(ii)Role of secretary.

The Secretary shall not review or approve the consultation process in each State.

(C)Indian tribal areas.

With respect to each area of the State under the jurisdiction of an Indian tribal government, the statewide transportation plan shall be developed in consultation with the tribal government and the Secretary of the Interior.

(D)Consultation, comparison, and consideration.

(i) The long-range transportation plan shall be developed, as appropriate, in consultation with State, tribal, and local agencies responsible for land use management, natural resources, environmental protection, conservation, and historic preservation.

(ii)Comparison and consideration.

Consultation under clause (i) shall involve comparison of transportation plans to State and tribal conservation plans or maps, if available, and comparison of transportation plans to inventories of natural or historic resources, if available.

(3)Participation by interested parties.—

(A)In general.—In developing the statewide transportation plan, the State shall provide to—

(i) nonmetropolitan local elected officials or, if applicable, through regional transportation planning organizations described in subsection (m), an opportunity to participate in accordance with subparagraph (B)(i); and(ii) citizens, affected public agencies, representatives of public transportation employees, freight shippers, private providers of transportation, representatives of users of public transportation, representatives of users of pedestrian walkways and bicycle transportation facilities, representatives of the disabled, providers of freight transportation services, and other interested parties a reasonable opportunity to comment on the proposed plan.

(B)Methods. In carrying out subparagraph (A), the State shall, to the maximum extent practicable—

(i) develop and document a consultative process to carry out subparagraph (A)(i) that is separate and discrete from the public involvement process developed under clause (ii);

(ii) hold any public meetings at convenient and accessible locations and times;

(iii) employ visualization techniques to describe plans; and

(iv)make public information available in electronically accessible format and means, such as the World Wide Web, as appropriate to afford reasonable opportunity for consideration of public information under subparagraph (A).

(4)Mitigation activities

(A)A long-range transportation plan shall include a discussion of potential environmental mitigation activities and potential areas to carry out these activities, including activities that may have the greatest potential to restore and maintain the environmental functions affected by the plan.

(B)Consultation.

The discussion shall be developed in consultation with federal, state, and tribal wildlife, land management, and regulatory agencies.

Title 23 U.S. Code § 150 – National goals and performance management measures

(a) Declaration of Policy

Performance management will transform the federal-aid highway program and provide a means to the most efficient investment of federal transportation funds by refocusing on national transportation goals, increasing the accountability and transparency of the federal-aid highway program, and improving project decision making through performance-based planning and programming.

(b) National Goals - It is in the interest of the United States to focus the federal-aid highway program on the following national goals:

(1) Safety —

To achieve a significant reduction in traffic fatalities and serious injuries on all public roads.

(2) Infrastructure condition—

To maintain the highway infrastructure asset system in a state of good repair.

(3) Congestion reduction —

To achieve a significant reduction in congestion on the National Highway System.

(4) System reliability—

To improve the efficiency of the surface transportation system.

(5) Freight movement and economic vitality—

To improve the national freight network, strengthen the ability of rural communities to access national and international trade markets, and support regional economic development.

(6) Environmental sustainability—

To enhance the performance of the transportation system while protecting and enhancing the natural environment.

(7) Reduced project delivery delays—

To reduce project costs, promote jobs and the economy, and expedite the movement of people and goods by accelerating project completion through eliminating delays in the project development and delivery process, including reducing regulatory burdens and improving agencies' work practices.

(c) Establishment of Performance Measures—

(1) In general—

Not later than 18 months after the date of enactment of the MAP-21, the Secretary, in consultation with State departments of transportation, metropolitan planning organizations, and other stakeholders, shall promulgate a rulemaking that establishes performance measures and standards.

(2) Administration — In carrying out paragraph (1), the Secretary shall—

- (A) provide States, metropolitan planning organizations, and other stakeholders not less than 90 days to comment on any regulation proposed by the Secretary under that paragraph;
- (B) take into consideration any comments relating to a proposed regulation received during that comment period; and
- (C) limit performance measures only to those described in this subsection.

(3)National highway performance program —

(A)In general—Subject to subparagraph

(B), for the purpose of carrying out section 119, the Secretary shall establish—

(i) minimum standards for States to use in developing and operating bridge and pavement management systems;

(ii) measures for States to use to assess—

(I) the condition of pavements on the Interstate system;

(II) the condition of pavements on the National Highway System (excluding the Interstate);

(III) the condition of bridges on the National Highway System;

(IV) the performance of the Interstate System; and

(V) the performance of the National Highway System (excluding the Interstate System);

(iii) minimum levels for the condition of pavement on the Interstate System, only for the purposes of carrying out section 119(f)(1); and

(iv) the data elements that are necessary to collect and maintain standardized data to carry out a performance-based approach.

(B)Regions —In establishing minimum condition levels under subparagraph (A)(iii), if the Secretary determines that various geographic regions of the United States experience disparate factors contributing to the condition of pavement on the Interstate System in those regions, the Secretary may establish different minimum levels for each region;

(4)Highway safety improvement program —For the purpose of carrying out section 148, the Secretary shall establish measures for States to use to assess—

(A) serious injuries and fatalities per vehicle mile traveled; and

(B) the number of serious injuries and fatalities.

(5)Congestion mitigation and air quality program —For the purpose of carrying out section 149, the Secretary shall establish measures for States to use to assess—

(A) traffic congestion; and

(B) on-road mobile source emissions.

(6)National freight movement - The Secretary shall establish measures for States to use to assess freight movement on the Interstate System.

(d)Establishment of Performance Targets—

(1)In general —

Not later than 1 year after the Secretary has promulgated the final rulemaking under subsection (c), each State shall set performance targets that reflect the measures identified in paragraphs (3), (4), (5), and (6) of subsection (c).

(2)Different approaches for urban and rural areas—

In the development and implementation of any performance target, a State may, as appropriate, provide for different performance targets for urbanized and rural areas.

Title 23 CFR Part 450 - Subpart B - § 450.206 Scope of the statewide and nonmetropolitan transportation planning process

(a) Each State shall carry out a continuing, cooperative, and comprehensive statewide transportation planning process that provides for consideration and implementation of projects, strategies, and services that will address the following factors:

(1) Support the economic vitality of the United States, the States, metropolitan areas, and nonmetropolitan areas, especially by enabling global competitiveness, productivity, and efficiency;

(2) Increase the safety of the transportation system for motorized and non-motorized users;

(3) Increase the security of the transportation system for motorized and non-motorized users;

(4) Increase accessibility and mobility of people and freight;

(5) Protect and enhance the environment, promote energy conservation, improve the quality of life, and promote consistency between transportation improvements and State and local planned growth and economic development patterns;

(6) Enhance the integration and connectivity of the transportation system, across and between modes throughout the State, for people and freight;

(7) Promote efficient system management and operation;

(8) Emphasize the preservation of the existing transportation system;

(9) Improve the resiliency and reliability of the transportation system and reduce or mitigate storm water impacts of surface transportation; and

(10) Enhance travel and tourism.

(b) Consideration of the planning factors in paragraph (a) of this section shall be reflected, as appropriate, in the statewide transportation planning process. The degree of consideration and analysis of the factors should be based on the scale and complexity of many issues, including transportation systems development, land use, employment, economic development, human and natural environment (including Section 4(f) properties as defined in 23 CFR 774.17), and housing and community development.

(c) Performance-based approach. (1) The statewide transportation planning process shall provide for the establishment and use of a performance-based approach to transportation decision-making to support the national goals described in 23 U.S.C. 150(b) and the general purposes described in 49 U.S.C. 5301.

(2) Each State shall select and establish performance targets in coordination with the relevant MPOs to ensure consistency to the maximum extent practicable. The targets shall address the performance areas described in 23 U.S.C. 150(c), and the measures established under 23 CFR part 490, where applicable, to use

in tracking progress toward attainment of critical outcomes for the State. States shall establish performance targets that reflect the measures identified in 23 U.S.C. 150(c) not later than 1 year after the effective date of the DOT final rule on performance measures. Each State shall select and establish targets under this paragraph in accordance with the appropriate target setting framework established at 23 CFR part 490.

(3) In areas not represented by an MPO, the selection of public transportation performance targets by a State shall be coordinated, to the maximum extent practicable, with providers of public transportation to ensure consistency with the performance targets that public transportation providers establish under 49 U.S.C. 5326(c) and 49 U.S.C. 5329(d).

(4) A State shall integrate into the statewide transportation planning process, directly or by reference, the goals, objectives, performance measures, and targets described in this section, in other State transportation plans and transportation processes, as well as any plans developed pursuant to chapter 53 of title 49 by providers of public transportation in areas not represented by an MPO required as part of a performance-based program. Examples of such plans and processes include the HSIP, SHSP, the State Asset Management Plan for the National Highway System (NHS), the State Freight Plan (if the State has one), the Transit Asset Management Plan, and the Public Transportation Agency Safety Plan.

(5) A State shall consider the performance measures and targets established under this paragraph when developing policies, programs, and investment priorities reflected in the long-range statewide transportation plan and statewide transportation improvement program.

(d) The failure to consider any factor specified in paragraph (a) or (c) of this section shall not be subject to review by any court under title 23 U.S.C., 49 U.S.C. Chapter 53, subchapter II of title 5 U.S.C. Chapter 5, or title 5 U.S.C. Chapter 7 in any matter affecting a long-range statewide transportation plan, STIP, project or strategy, or the statewide transportation planning process findings.

(e) Funds provided under 23 U.S.C. 505 and 49 U.S.C. 5305(e) are available to the State to accomplish activities described in this subpart. At the State's option, funds provided under 23 U.S.C. 104(b)(2) and 49 U.S.C. 5307, 5310, and 5311 may also be used for statewide transportation planning. A State shall document statewide transportation planning activities performed with funds provided under title 23 U.S.C. and title 49 U.S.C. Chapter 53 in a statewide planning work program in accordance with the provisions of 23 CFR part 420. The work program should include a discussion of the transportation planning priorities facing the State.

Title 23 CFR Part 450 - Subpart B - § 450.208 Coordination of planning process activities

(a) In carrying out the statewide transportation planning process, each State shall, at a minimum:

(1) Coordinate planning carried out under this subpart with the metropolitan transportation planning activities carried out under subpart C of this part for metropolitan areas of the State. The State is encouraged to rely on information, studies, or analyses provided by MPOs for portions of the transportation system located in metropolitan planning areas;

(2) Coordinate planning carried out under this subpart with statewide trade and economic development planning activities and related multistate planning efforts;

- (3) Consider the concerns of federal land management agencies that have jurisdiction over land within the boundaries of the State;
- (4) Cooperate with affected local elected and appointed officials with responsibilities for transportation, or, if applicable, through RTPOs described in section 450.210(d) in nonmetropolitan areas;
- (5) Consider the concerns of Indian Tribal governments that have jurisdiction over land within the boundaries of the State;
- (6) Consider related planning activities being conducted outside of metropolitan planning areas and between States; and
- (7) Coordinate data collection and analyses with MPOs and public transportation operators to support statewide transportation planning and programming priorities and decisions.
- (b) The State air quality agency shall coordinate with the State department of transportation (State DOT) to develop the transportation portion of the State Implementation Plan (SIP) consistent with the Clean Air Act (42 U.S.C. 7401 et seq.).
- (c) Two or more States may enter into agreements or compacts, not in conflict with any law of the United States, for cooperative efforts and mutual assistance in support of activities under this subpart related to interstate areas and localities in the States and establishing authorities the States consider desirable for making the agreements and compacts effective. The right to alter, amend, or repeal interstate compacts entered into under this part is expressly reserved.
- (d) States may use any one or more of the management systems (in whole or in part) described in 23 CFR part 500.
- (e) In carrying out the statewide transportation planning process, States should apply asset management principles and techniques consistent with the State Asset Management Plan for the NHS and the Transit Asset Management Plan, and Public Transportation Agency Safety Plan in establishing planning goals, defining STIP priorities, and assessing transportation investment decisions, including transportation system safety, operations, preservation, and maintenance.
- (f) For non-NHS highways, States may apply principles and techniques consistent with other asset management plans to the transportation planning and programming processes, as appropriate.
- (g) The statewide transportation planning process shall (to the maximum extent practicable) be consistent with the development of applicable regional intelligent transportation systems (ITS) architectures, as defined in 23 CFR part 940.
- (h) Preparation of the coordinated public transit-human services transportation plan, as required by 49 U.S.C. 5310, should be coordinated and consistent with the statewide transportation planning process.

Title 23 CFR Part 450 - Subpart B - §450.210 Interested parties, public involvement, and consultation

(a) In carrying out the statewide transportation planning process, including development of the long-range statewide transportation plan and the Statewide Transportation Improvement Program (STIP), the State shall develop and use a documented public involvement process that provides opportunities for public review and comment at key decision points.

(1) The State's public involvement process at a minimum shall:

- (i) Establish early and continuous public involvement opportunities that provide timely information about transportation issues and decision making processes to citizens, affected public agencies, representatives of public transportation employees, freight shippers, private providers of transportation, representatives of users of public transportation, representatives of users of pedestrian walkways and bicycle transportation facilities, representatives of the disabled, providers of freight transportation services, and other interested parties;
- (ii) Provide reasonable public access to technical and policy information used in the development of the long-range statewide transportation plan and the STIP;
- (iii) Provide adequate public notice of public involvement activities and time for public review and comment at key decision points, including but not limited to a reasonable opportunity to comment on the proposed long-range statewide transportation plan and STIP;
- (iv) To the maximum extent practicable, ensure that public meetings are held at convenient and accessible locations and times;
- (v) To the maximum extent practicable, use visualization techniques to describe the proposed long-range statewide transportation plan and supporting studies;
- (vi) To the maximum extent practicable, make public information available in electronically accessible format and means, such as the World Wide Web, as appropriate to afford reasonable opportunity for consideration of public information;
- (vii) Demonstrate explicit consideration and response to public input during the development of the long-range statewide transportation plan and STIP;
- (viii) Include a process for seeking out and considering the needs of those traditionally underserved by existing transportation systems, such as low-income and minority households, who may face challenges accessing employment and other services; and
- (ix) Provide for the periodic review of the effectiveness of the public involvement process to ensure that the process provides full and open access to all interested parties and revise the process, as appropriate.

(2) The State shall provide for public comment on existing and proposed processes for public involvement in the development of the long-range statewide transportation plan and the STIP. At a minimum, the State shall allow 45 calendar days for public review and written comment before the procedures and any major revisions

to existing procedures are adopted. The State shall provide copies of the approved public involvement process document(s) to the FHWA and the FTA for informational purposes.

(b) The State shall provide for non-metropolitan local official participation in the development of the long-range statewide transportation plan and the STIP. The State shall have a documented process(es) for consulting with non-metropolitan local officials representing units of general purpose local government and/or local officials with responsibility for transportation that is separate and discrete from the public involvement process and provides an opportunity for their participation in the development of the long-range statewide transportation plan and the STIP. Although the FHWA and the FTA shall not review or approve this consultation process, copies of the process document(s) shall be provided to the FHWA and the FTA for informational purposes.

(1) At least once every five years (as of February 24, 2006), the State shall review and solicit comments from non-metropolitan local officials and other interested parties for a period of not less than 60 calendar days regarding the effectiveness of the consultation process and any proposed changes. A specific request for comments shall be directed to the State association of counties, State municipal league, regional planning agencies, or directly to non-metropolitan local officials.

(2) The State, at its discretion, shall be responsible for determining whether to adopt any proposed changes. If a proposed change is not adopted, the State shall make publicly available its reasons for not accepting the proposed change, including notification to non-metropolitan local officials or their associations.

(c) For each area of the State under the jurisdiction of an Indian Tribal government, the State shall develop the long-range statewide transportation plan and STIP in consultation with the Tribal government and the Secretary of Interior. States shall, to the extent practicable, develop a documented process that outlines roles, responsibilities, and key decision points for consulting with Indian Tribal governments and federal land management agencies in the development of the long-range statewide transportation plan and the STIP.

Title 23 CFR Part 450 - Subpart B - § 450.216 Development and content of the long-range statewide transportation plan

(a) The State shall develop a long-range statewide transportation plan, with a minimum 20-year forecast period at the time of adoption that provides for the development and implementation of the multimodal transportation system for the State. The long-range statewide transportation plan shall consider and include, as applicable, elements and connections between public transportation, non-motorized modes, rail, commercial motor vehicle, waterway, and aviation facilities, particularly with respect to intercity travel.

(b) The long-range statewide transportation plan should include capital, operations and management strategies, investments, procedures, and other measures to ensure the preservation and most efficient use of the existing transportation system. The long-range statewide transportation plan may consider projects and strategies that address areas or corridors where current or projected congestion threatens the efficient functioning of key elements of the State's transportation system.

- (c) The long-range statewide transportation plan shall reference, summarize, or contain any applicable short-range planning studies; strategic planning and/or policy studies; transportation needs studies; management systems reports; emergency relief and disaster preparedness plans; and any statements of policies, goals, and objectives on issues (e.g., transportation, safety, economic development, social and environmental effects, or energy) that were relevant to the development of the long-range statewide transportation plan.
- (d) The long-range statewide transportation plan should include a safety element that incorporates or summarizes the priorities, goals, countermeasures, or projects contained in the Strategic Highway Safety Plan required by 23 U.S.C. 148.
- (e) The long-range statewide transportation plan should include a security element that incorporates or summarizes the priorities, goals, or projects set forth in other transit safety and security planning and review processes, plans, and programs, as appropriate.
- (f) The statewide transportation plan shall include:
- (1) A description of the performance measures and performance targets used in assessing the performance of the transportation system in accordance with § 450.206(c); and
 - (2) A system performance report and subsequent updates evaluation the condition and performance of the transportation system with respect to the performance targets described in § 450.206(c), including progress achieved by the MPO(s) in meeting the performance targets in comparison with system performance recorded in previous reports.
- (g) Within each metropolitan area of the State, the long-range statewide transportation plan shall be developed in cooperation with the affected Metropolitan Planning Organizations (MPOs).
- (h) For non-metropolitan areas, the long-range statewide transportation plan shall be developed in consultation with affected non-metropolitan officials with responsibility for transportation using the State's consultation process established under § 450.210(b).
- (i) For each area of the State under the jurisdiction of an Indian Tribal government, the long-range statewide transportation plan shall be developed in consultation with the Tribal government and the Secretary of the Interior consistent with § 450.210(c).
- (j) The long-range statewide transportation plan shall be developed, as appropriate, in consultation with State, Tribal, and local agencies responsible for land use management, natural resources, environmental protection, conservation, and historic preservation. This consultation shall involve comparison of transportation plans to State and Tribal conservation plans or maps, if available, and comparison of transportation plans to inventories of natural or historic resources, if available.
- (k) A long-range statewide transportation plan shall include a discussion of potential environmental mitigation activities and potential areas to carry out these activities, including activities that may have the greatest potential to restore and maintain the environmental functions affected by the long-range statewide transportation plan. The discussion may focus on policies, programs, or strategies, rather than at the project level. The discussion shall be developed in consultation with federal, state, and Tribal land management, wildlife, and regulatory agencies. The State may establish reasonable timeframes for performing this consultation.

(l) In developing and updating the long-range statewide transportation plan, the State shall provide citizens, affected public agencies, representatives of public transportation employees, freight shippers, private providers of transportation, representatives of users of public transportation, representatives of users of pedestrian walkways and bicycle transportation facilities, representatives of the disabled, providers of freight transportation services, and other interested parties with a reasonable opportunity to comment on the proposed long-range statewide transportation plan. In carrying out these requirements, the State shall, to the maximum extent practicable, utilize the public involvement process described under § 450.210(a).

(m) The long-range statewide transportation plan may (but is not required to) include a financial plan that demonstrates how the adopted long-range statewide transportation plan can be implemented, indicates resources from public and private sources that are reasonably expected to be made available to carry out the plan, and recommends any additional financing strategies for needed projects and programs. In addition, for illustrative purposes, the financial plan may (but is not required to) include additional projects that would be included in the adopted long-range statewide transportation plan if additional resources beyond those identified in the financial plan were to become available.

(n) The State shall not be required to select any project from the illustrative list of additional projects included in the financial plan described in paragraph (l) of this section.

(o) The long-range statewide transportation plan shall be published or otherwise made available, including (to the maximum extent practicable) in electronically accessible formats and means, such as the World Wide Web, as described in § 450.210(a).

(p) The State shall continually evaluate, revise, and periodically update the long-range statewide transportation plan, as appropriate, using the procedures in this section for development and establishment of the long-range statewide transportation plan.

(q) Copies of any new or amended long-range statewide transportation plan documents shall be provided to the Federal Highway Administration (FHWA) and the Federal Transit Administration (FTA) for informational purposes.

State Requirements

Gov't Code Sec. 65070-65073

65070. (a) The Legislature finds and declares, consistent with Section 65088, that it is in the interest of the State of California to have an integrated state and regional transportation planning process. It further finds that federal law mandates the development of a state and regional long-range transportation plan as a prerequisite for receipt of federal transportation funds. It is the intent of the Legislature that the preparation of these plans shall be a cooperative process involving local and regional government, transit operators, congestion management agencies, and the goods movement industry and that the process be a continuation of activities performed by each entity and be performed without any additional cost.

(b) The Legislature further finds and declares that the last attempt to prepare a California Transportation Plan occurred between 1973 and 1977 and resulted in the expenditure of over eighty million dollars (\$80,000,000) in public funds and did not produce a usable document. As a consequence of that, the Legislature delegated responsibility for long-range transportation planning to the regional planning agencies

and adopted a seven-year programming cycle instead of a longer range planning process for the state.

(c) The Legislature further finds and declares that the Transportation Blueprint for the Twenty-First Century (Chapters 105 and 106 of the Statutes of 1989) is a long-range state transportation plan that includes a financial plan and a continuing planning process through the preparation of congestion management plans and regional transportation plans, and identifies major interregional road networks and passenger rail corridors for the state.

65071. The department shall update the California Transportation Plan consistent with this chapter. The first update shall be completed by December 31, 2015. The plan shall be updated every five years thereafter.

65072. The California Transportation Plan shall include all of the following:

(a) A policy element that describes the state's transportation policies and system performance objectives. These policies and objectives shall be consistent with legislative intent described in Sections 14000, 14000.5, 14000.6, and 65088.

(b) A strategies element that shall incorporate the broad system concepts and strategies synthesized from the adopted regional transportation plans prepared pursuant to Section 65080. The California Transportation Plan shall not be project specific.

(c) A recommendations element that includes economic forecasts and recommendations to the Legislature and the Governor to achieve the plan's broad system concepts, strategies, and performance objectives.

65072.1. The California Transportation Plan shall consider all of the following subject areas for the movement of people and freight:

(a) Mobility and accessibility.

(b) Integration and connectivity.

(c) Efficient system management and operation.

(d) Existing system preservation.

(e) Safety and security.

(f) Economic development, including productivity and efficiency.

(g) Environmental protection and quality of life.

(h) *Wildlife movement across transportation infrastructure (pending passage of AB 1630).*

65072.2. In developing the California Transportation Plan pursuant to Sections 65072 and 65072.1, the department shall address how the state will achieve maximum feasible emissions reductions in order to attain a statewide reduction of greenhouse gas emissions to 1990 levels by 2020 as required by the California Global Warming Solutions Act of 2006 (Division 25.5 (commencing with Section 38500) of the Health and Safety Code), and 80 percent below 1990 levels by 2050, taking into consideration the use of alternative fuels, new vehicle technology, tailpipe emissions reductions, and expansion of public transit, commuter rail, intercity rail, bicycling, and walking. The plan shall identify the statewide integrated multimodal transportation system needed to achieve these results. The department shall complete an interim report by December 31, 2012, which shall include a list and provide an overview of all sustainable communities strategies and alternative planning strategies prepared pursuant to paragraph (2) of subdivision (b) of Section 65080, and shall assess how implementation of the sustainable communities strategies and alternative planning strategies will influence the configuration of the statewide integrated multimodal transportation system. The department shall submit the interim report to the California Transportation Commission and to the Chairs of the Senate Committee on Transportation and Housing, the Senate Committee on Environmental Quality, the Senate Committee on Local Government, the Assembly Committee on Transportation, the Assembly Committee on Natural Resources, and the Assembly Committee on Local Government.

65073. The department shall consult with, coordinate its activities with, and make a draft of its proposed plan, and each update, available to the California Transportation Commission, the Strategic Growth Council, the State Air Resources Board, the State Energy Resources Conservation and Development Commission, the air quality management districts, public transit operators, and the regional transportation planning agencies for review and comment. The department shall also provide an opportunity for input by the general public. Prior to adopting the plan or update, the department shall make a final draft available to the Legislature and Governor for review and comment. The commission may present the results of its review and comment to the Legislature and the Governor. The Governor shall adopt the plan and submit the plan to the Legislature and the Secretary of the United States Department of Transportation.

65073.1. The California Transportation Commission shall review recommendations in the update to the California Transportation Plan prepared by the department in 2015, and every five years thereafter, and prepare specific, action-oriented, and pragmatic recommendations for transportation system improvements. A report containing the specific recommendations shall be submitted to the Legislature and the Governor by December 31, 2016, and every five years thereafter, and in compliance with Section 9795.

Gov't Code Sec. 65088

65088. The Legislature finds and declares all of the following:

- (a) Although California's economy is critically dependent upon transportation, its current transportation system relies primarily upon a street and highway system designed to accommodate far fewer vehicles than are currently using the system.
- (b) California's transportation system is characterized by fragmented planning, both among jurisdictions involved and among the means of available transport.
- (c) The lack of an integrated system and the increase in the number of vehicles are causing traffic congestion that each day results in 400,000 hours lost in traffic, 200 tons of pollutants released into the air we breathe, and three million one hundred thousand dollars (\$3,100,000) added costs to the motoring public.
- (d) To keep California moving, all methods and means of transport between major destinations must be coordinated to connect our vital economic and population centers.
- (e) In order to develop the California economy to its full potential, it is intended that federal, state, and local agencies join with transit districts, business, private and environmental interests to develop and implement comprehensive strategies needed to develop appropriate responses to transportation needs.
- (f) In addition to solving California's traffic congestion crisis, rebuilding California's cities and suburbs, particularly with affordable housing and more walkable neighborhoods, is an important part of accommodating future increases in the state's population because homeownership is only now available to most Californians who are on the fringes of metropolitan areas and far from employment centers.
- (g) The Legislature intends to do everything within its power to remove regulatory barriers around the development of infill housing, transit-oriented development, and mixed use commercial development in order to reduce regional traffic congestion and provide more housing choices for all Californians.

(h) The removal of regulatory barriers to promote infill housing, transit-oriented development, or mixed use commercial development does not preclude a city or county from holding a public hearing nor finding that an individual infill project would be adversely impacted by the surrounding environment or transportation patterns.

Gov't Code Sec. 14000-14000.6

14000. The Legislature hereby finds and declares as follows:

(a) Continued growth in transport demand resulting from population growth, concentration of population in urban areas, and increasing mobility requirements indicate a need for innovative, as well as improved, systems to accommodate increased demand.

(b) The diversity of conditions in California is such as to require a variety of solutions to transportation problems within various areas of the state. Differences in population levels and densities, living patterns, social conditions, topography, climate, environmental circumstances, and other factors should be recognized in determining appropriate solutions to transportation problems in the various areas. Particular attention must be given to differences among the metropolitan, the less urbanized, and the more rural areas of the state. In some cases, future demands, particularly in urban corridors, may prove to be beyond the practical capabilities of a highway solution; while in other cases, environmental conditions may rule out a highway solution. In still other cases, heavy reliance upon highway transportation may prove to be satisfactory for the foreseeable future. Clearly, the appropriate mix of transportation modes throughout California to provide economical and efficient transportation service consistent with desires for mobility, will vary markedly from time to time and from area to area within the state.

In all cases, regional and local expressions of transportation goals, objectives, and policies which reflect the unique characteristics and aspirations of various areas of the state shall be recognized in transportation planning tempered, however, by consideration of statewide interests.

(c) A goal of the state is to provide adequate, safe, and efficient transportation facilities and services for the movement of people and goods at reasonable cost. The provision of adequate transportation services for persons not now adequately served by any transportation mode, particularly the disadvantaged, the elderly, the handicapped, and the young, should be an integral element of the planning process. Stimulation of the provision of transportation not only for speed and efficiency of travel, but also for convenience and enjoyment in shopping, school, cultural, and business pursuits, leisure time travel, and pedestrian travel, is also a state aim. It is the desire of the state to provide a transportation system that significantly reduces hazards to human life, pollution of the atmosphere, generation of noise, disruption of community organization, and adverse impacts on the natural environment. The desirability of utilizing corridors for multimodal transportation, where possible to improve efficiency and economy in land use, is recognized. The coastal zone should be provided with optimal transportation services consistent with local and regional goals and plans, with the objective of conserving the coastal resource.

(d) The responsibilities for decision making for California's transportation systems are highly fragmented. This has hampered effective integration of transportation planning and intermodal coordination. A comprehensive multimodal transportation planning process should be established which involves all levels of government and the private sector in a cooperative process to develop coordinated transportation plans.

(e) Accelerating change and increasing transportation problems require that California take timely action to maintain viable transportation systems. As long lead times are necessary to develop transportation systems, the planning and development of transportation in California should be coordinated by a Department of Transportation. A multimodal transportation department in state government is in keeping with the necessities of contemporary problems and the thrust of federal involvement. However, there is no intent to diminish or preempt the existing authorities and responsibilities of regional, local, and district transportation agencies in their handling of transportation matters which are local or regional in nature.

(f) The stimulation, continuance, and improvement of statewide, regional, and local transportation planning and development are a matter of state concern, and the state should, for this reason, provide a portion of the financial resources and assistance necessary to aid in preparing transportation plans, developing effective transportation decision making processes, and carrying out implementation programs.

14000.5. The Legislature further finds and declares that the role of the state in transportation shall be to:

(a) Encourage and stimulate the development of urban mass transportation and interregional high-speed transportation where found appropriate as a means of carrying out the policy of providing balanced transportation in the state.

(b) Implement and maintain a state highway system which supports the goals and priorities determined through the transportation planning process, which is in conformity with comprehensive statewide and regional transportation plans, and which is compatible with statewide and regional socioeconomic and environmental goals, priorities and available resources.

(c) Assist in the development of an air transportation system that is consistent with the needs and desires of the public, and in which airports are compatible in location with, and provide services meeting, statewide and regional goals and objectives.

(d) Develop a rail passenger network consistent with the needs and desires of the public, and in which the location of rail corridors and their service characteristics are compatible with statewide and regional goals and objectives, except that nothing in this section shall be construed to discourage the development of passenger rail service by privately owned carriers.

(e) Encourage research and development of technological innovation in all modes of transportation in cooperation with public agencies and the private sector.

14000.6. The Legislature further finds and declares all of the following:

(a) California has established statewide greenhouse gas (GHG) emissions targets and requirements to be achieved by 2020 pursuant to the California Global Warming Solutions Act of 2006 (Division 25.5 (commencing with Section 38500) of the Health and Safety Code), which are equivalent to 1990 GHG emissions in the state. These targets and requirements entail approximately a 25-percent reduction in GHG emissions from current levels.

(b) Executive Order S-3-05 further identifies a GHG emissions limit of 80 percent below 1990 levels to be achieved by 2050.

(c) Emissions from the transportation sector account for 38 percent of California's GHG emissions.

(d) The state lacks a comprehensive, statewide, multimodal planning process that details the transportation system needed in the state to meet objectives of mobility and congestion management consistent with the state's greenhouse gas emission limits and air pollution standards.

(e) Recent increases in gasoline prices resulted in historic increases in ridership on public transportation, including transit, commuter rail, and intercity rail, and in historic reductions in vehicle miles traveled by private vehicles. Increased demand for public transportation included a 16-percent increase in light rail ridership in Sacramento, a 15.3-percent increase in rail transit ridership in Los Angeles, a 23-percent increase in bus ridership in Orange County, a 14.4-percent increase in transit ridership in San Diego, a 6.3-percent increase in rail transit ridership in Oakland, and a 22.5-percent increase in transit ridership in Stockton. Current public transportation services and facilities are inadequate to meet current and expected future increases in demand.

Additional Considerations

Fish and Game Code Section 1856 and 1930.5

Section 1852

(h) (1) Mitigation credit agreements may be used to establish the terms and conditions under which mitigation credits can be created by projects that improve wildlife habitat, or that address stressors to wildlife, to an extent that quantifiably exceeds compensatory mitigation requirements established by the department for those projects pursuant to Chapter 6 (commencing with Section 1600) or Chapter 1.5 (commencing with Section 2050) of Division 3. Those projects may include, but are not limited to, the construction of setback levees that result in the creation of more floodplain or riparian habitat than is required to compensate for construction impacts or the construction of transportation facility improvements that remove barriers to fish or wildlife movement and thereby improve the quality of habitat or address stressors to wildlife to a greater extent than is required to compensate for construction impacts. For those projects, the project proponent may submit a draft mitigation credit agreement that proposes the terms and conditions under which mitigation credits may be created and used by or in conjunction with those projects to the department for its review, revision, and approval. The submission may occur concurrently with, or after, an application submitted pursuant to Chapter 1.5 (commencing with Section 2050) of Division 3 or a notice submitted pursuant to Chapter 6 (commencing with Section 1600) or may occur after the application or notice is submitted. Where a draft mitigation agreement is submitted concurrently with the application or notice, the department shall review the draft mitigation credit agreement concurrently with its review of the application or notice and shall, to the maximum extent practicable, complete its review of both the notice or application and the draft agreement concurrently.

Section 1930.5

(a) Contingent upon funding being provided by the Wildlife Conservation Board from moneys available pursuant to Section 75055 of the Public Resources Code, or from other appropriate bond funds, upon appropriation by the Legislature, the department shall investigate, study, and identify those areas in the state that are most essential as wildlife corridors and habitat linkages, as well as the impacts to those wildlife corridors from climate change, and shall prioritize vegetative data development in these areas.

(b) It is the intent of the Legislature that the Wildlife Conservation Board use various funds to work with the department to complete a statewide analysis of wildlife corridors and connectivity to support conservation planning and climate change adaptation activities.

(c) (1) It is the policy of the state to promote the voluntary protection of wildlife corridors and habitat strongholds in order to enhance the resiliency of wildlife and their habitats to climate change, protect biodiversity, and allow for the migration and movement of species by providing connectivity between habitat lands. In order to further these goals, it is the policy of the state to encourage, wherever feasible and practicable, voluntary steps to protect the functioning of wildlife corridors through various means, as applicable and to the extent feasible and practicable, those means may include, but are not limited to:

(2) “Wildlife corridor” means a habitat linkage that joins two or more areas of wildlife habitat, allowing for fish passage or the movement of wildlife from one area to another.

Public Resources Code 71155

Section 71155

(a) Consistent with this part, state agencies shall take into account the current and future impacts of climate change when planning, designing, building, operating, maintaining and investing in state infrastructure.

APPENDIX B | CTP LEGISLATIVE CHECKLIST

The California Transportation Plan (CTP) is prepared pursuant to California Government Code §65070-65074 and §450.214 of Title 23 of the Code of Federal Regulations (CFR), which implements §135 of Title 23 of the United State Code (USC). A comprehensive list of these federal and state requirements are contained in Appendix B. The questions following each code below should act as a checklist or guide to help ensure that all federal and state requirements regarding the development of the CTP are met.

Federal: Title 23 U.S. Code § 135 - Statewide and nonmetropolitan transportation planning

(d) Scope of Planning Process.

(1) Each State shall carry out a statewide transportation planning process that provides for consideration and implementation of projects, strategies, and services that will—

(A) Support the economic vitality of the United States, the States, nonmetropolitan areas, and metropolitan areas, especially by enabling global competitiveness, productivity, and efficiency;

(B) Increase the safety of the transportation system for motorized and nonmotorized users;

(C) Increase the security of the transportation system for motorized and nonmotorized users;

(D) Increase the accessibility and mobility of people and freight;

(E) Protect and enhance the environment, promote energy conservation, improve the quality of life, and promote consistency between transportation improvements and State and local planned growth and economic development patterns;

(F) Enhance the integration and connectivity of the transportation system, across and between modes throughout the State, for people and freight;

(G) Promote efficient system management and operation; and

(H) Emphasize the preservation of the existing transportation system.

✓ **Does the CTP consider the eight planning factors when developing the plan?**

Federal: Title 23 U.S. Code § 150 (b) – National goals and performance management measures

(a)Declaration of Policy.

Performance management will transform the federal-aid highway program and provide a means to the most efficient investment of federal transportation funds by refocusing on national transportation goals, increasing the accountability and transparency of the federal-aid highway program, and improving project decision making through performance-based planning and programming.

(b)National Goals. It is in the interest of the United States to focus the federal-aid highway program on the following national goals:

(1) **Safety** - To achieve a significant reduction in traffic fatalities and serious injuries on all public roads.

(2) **Infrastructure condition** - To maintain the highway infrastructure asset system in a state of good repair.

- (3) **Congestion reduction** - To achieve a significant reduction in congestion on the National Highway System.
- (4) **System reliability** - To improve the efficiency of the surface transportation system.
- (5) **Freight movement and economic vitality** - To improve the national freight network, strengthen the ability of rural communities to access national and international trade markets, and support regional economic development.
- (6) **Environmental sustainability** - To enhance the performance of the transportation system while protecting and enhancing the natural environment.
- (7) **Reduced project delivery delays** - To reduce project costs, promote jobs and the economy, and expedite the movement of people and goods by accelerating project completion through eliminating delays in the project development and delivery process, including reducing regulatory burdens and improving agencies' work practices.

- ✓ **Does the CTP consider the performance-based approach when developing the plan?**

Federal: 23 CFR Part 450, Subpart B – Statewide Transportation Planning and Programming

§450.216 Development and content of the long-range statewide transportation plan.

(a) The State shall develop a long-range statewide transportation plan, with a minimum 20-year forecast period at the time of adoption that provides for the development and implementation of the multimodal transportation system for the State. The long-range statewide transportation plan shall consider and include, as applicable, elements and connections between public transportation, non-motorized modes, rail, commercial motor vehicle, waterway, and aviation facilities, particularly with respect to intercity travel.

- ✓ **Does the CTP cover a minimum 20-year forecast period?**
- ✓ **Does the CTP consider connectivity between public transportation, non-motorized modes, rail, commercial motor vehicle, waterway, and aviation facilities, particularly with respect to intercity travel?**

(b) The long-range statewide transportation plan should include capital, operations and management strategies, investments, procedures, and other measures to ensure the preservation and most efficient use of the existing transportation system. The long-range statewide transportation plan may consider projects and strategies that address areas or corridors where current or projected congestion threatens the efficient functioning of key elements of the State's transportation system.

- ✓ **Does the CTP include strategies that address the preservation, maintenance, and rehabilitation of the existing transportation system?**

(c) The long-range statewide transportation plan shall reference, summarize, or contain any applicable short-range planning studies; strategic planning and/or policy studies; transportation needs studies; management

systems reports; emergency relief and disaster preparedness plans; and any statements of policies, goals, and objectives on issues (e.g., transportation, safety, economic development, social and environmental effects, or energy) that were relevant to the development of the long-range statewide transportation plan.

- ✓ **Does the CTP integrate other agency plans, studies, and reports, including policy, goals, and objectives on issues related to transportation, safety, economic development, social and environmental effects, or energy that were relevant to the development of the CTP?**

(d) The long-range statewide transportation plan should include a safety element that incorporates or summarizes the priorities, goals, countermeasures, or projects contained in the Strategic Highway Safety Plan required by 23 U.S.C. 148.

- ✓ **Does the CTP include a safety element associated with the “California Strategic Highway Safety Plan” as required by 23 U.S.C. §148: Highway Safety Improvement Program?**

(e) The long-range statewide transportation plan should include a security element that incorporates or summarizes the priorities, goals, or projects set forth in other transit safety and security planning and review processes, plans, and programs, as appropriate.

- ✓ **Does the CTP include a security element associated with transit safety and security planning and review processes, plans and programs?**

(f) The statewide transportation shall include a description of performance measures and performance targets and a system performance report.

- ✓ **Does the CTP include a description of the performance measures and performance targets used in assessing the performance of the transportation system in accordance with §450.206(c)?**
- ✓ **Does the CTP include a system performance report and subsequent updates evaluating the condition and performance of the transportation system with respect to the performance targets described in §450.206(c), including progress achieved by the MPO(s) in meeting the performance targets in comparison with system performance recorded in previous reports.**

(g) Within each metropolitan area of the State, the long-range statewide transportation plan shall be developed in cooperation with the affected Metropolitan Transportation Organizations (MPOs).

- ✓ **Does the development of the CTP include consultation and coordination with MPOs?**

(h) For non-metropolitan areas, the long-range statewide transportation plan shall be developed in consultation with affected non-metropolitan officials with responsibility for transportation using the State's consultation process(es) established under §450.210(b).

- ✓ **Does the development of the CTP include consultation and coordination with non-metropolitan local officials as required by 23 C.F.R. §450.210(b)? (See Appendix A, 23 CFR 450.210)**

(i) For each area of the State under the jurisdiction of an Indian Tribal government, the long-range statewide transportation plan shall be developed in consultation with the Tribal government and the Secretary of the Interior consistent with §450.210(c).

- ✓ **Does the development of the CTP include consultation and coordination with tribal governments and the secretary of the interior consistent with 23 C.F.R. §450.210(c)? (See Appendix A, 23 CFR 450.210)**

(j) The long-range statewide transportation plan shall be developed, as appropriate, in consultation with State, Tribal, and local agencies responsible for land use management, natural resources, environmental protection, conservation, and historic preservation. This consultation shall involve comparison of transportation plans to State and Tribal conservation plans or maps, if available, and comparison of transportation plans to inventories of natural or historic resources, if available.

- ✓ **Does the development of the CTP include consultation and coordination with State, Tribal, and local agencies responsible for land use management, natural resources, environmental protection, conservation, and historic preservation?**
- ✓ **Does the CTP include a comparison to State and Tribal conservation plans and map, and inventories of natural and historic resources?**

(k) A long-range statewide transportation plan shall include a discussion of potential environmental mitigation activities and potential areas to carry out these activities, including activities that may have the greatest potential to restore and maintain the environmental functions affected by the long-range statewide transportation plan. The discussion may focus on policies, programs, or strategies, rather than at the project level. The discussion shall be developed in consultation with federal, state, and tribal land management, wildlife, and regulatory agencies. The State may establish reasonable timeframes for performing this consultation.

- ✓ **Does the CTP include a discussion of potential environmental mitigation activities?**
- ✓ **Does the CTP environmental mitigation activities discussion include consultation with federal, state, and tribal land management, wildlife, and regulatory agencies?**

(l) In developing and updating the long-range statewide transportation plan, the State shall provide citizens, affected public agencies, representatives of public transportation employees, freight shippers, private providers of transportation, representatives of users of public transportation, representatives of users of pedestrian walkways and bicycle transportation facilities, representatives of the disabled, providers of freight transportation services, and other interested parties with a reasonable opportunity to comment on the proposed long-range statewide transportation plan. In carrying out these requirements, the State shall, to the maximum extent practicable, utilize the public involvement process described under §450.210(a).

- ✓ **Does the CTP provide stakeholder and public input as described in the public involvement process described under 23 C.F.R. §450.210(a)? (See Appendix A, 23 CFR 450.210)**

(m) The long-range statewide transportation plan may (but is not required to) include a financial plan that demonstrates how the adopted long-range statewide transportation plan can be implemented, indicates resources from public and private sources that are reasonably expected to be made available to carry out the plan, and recommends any additional financing strategies for needed projects and programs. In addition, for

illustrative purposes, the financial plan may (but is not required to) include additional projects that would be included in the adopted long-range statewide transportation plan if additional resources beyond those identified in the financial plan were to become available.

- ✓ **Not applicable per Cal. Gov't Code §65072 (b)**

(n) The State shall not be required to select any project from the illustrative list of additional projects included in the financial plan described in paragraph (l) of this section.

- ✓ **Not applicable per Cal. Gov't Code §65072 (b)**

(o) The long-range statewide transportation plan shall be published or otherwise made available, including (to the maximum extent practicable) in electronically accessible formats and means, such as the World Wide Web, as described in §450.210(a).

- ✓ **Is the CTP available in electronically accessible formats and means, such as the World Wide Web as described in 23 C.F.R. §450.210 (a)? (See Appendix A, 23 CFR 450.210)**

(p) The State shall continually evaluate, revise, and periodically update the long-range statewide transportation plan, as appropriate, using the procedures in this section for development and establishment of the long-range statewide transportation plan.

- ✓ **Cal. Gov't. Code §65071 requires the completion of the CTP by December 31, 2015, and updated every five years thereafter.**

(q) Copies of any new or amended long-range statewide transportation plan documents shall be provided to the Federal Highway Administration (FHWA) and the Federal Transit Administration (FTA) for informational purposes.

- ✓ **Has a copy of the new, updated, or amended CTP been provided to FHWA and FTA?**

State: Government Code Section 65070-65073

65070. (a) The Legislature finds and declares, consistent with Section 65088, that it is in the interest of the State of California to have an integrated State and regional transportation planning process. It further finds that federal law mandates the development of a State and regional long-range transportation plan as a prerequisite for receipt of federal transportation funds. It is the intent of the Legislature that the preparation of these plans shall be a cooperative process involving local and regional government, transit operators, congestion management agencies, and the goods movement industry and that the process be a continuation of activities performed by each entity and be performed without any additional cost.

- ✓ **Does the preparation of the CTP include a cooperative process involving local and regional government, transit operators, congestion management agencies, and the goods movement industry and that the process be a continuation of activities performed by each entity and be performed without any additional cost?**

(b) The Legislature further finds and declares that the last attempt to prepare a CTP occurred between 1973 and 1977 and resulted in the expenditure of over eighty million dollars (\$80,000,000) in public funds and did not produce a usable document. As a consequence of that, the legislature delegated responsibility for long-range transportation planning to the regional planning agencies and adopted a seven-year programming cycle instead of a longer range planning process for the state.

✓ **Not Applicable**

(c) The Legislature further finds and declares that the Transportation Blueprint for the Twenty-First Century (Chapters 105 and 106 of the Statutes of 1989) is a long-range state transportation plan that includes a financial plan and a continuing planning process through the preparation of congestion management plans and regional transportation plans, and identifies major interregional road networks and passenger rail corridors for the state.

✓ **Not Applicable**

65071. The department shall update the CTP consistent with this chapter. The first update shall be completed by December 31, 2015. The plan shall be updated every five years thereafter.

✓ **Is the CTP on schedule for meeting the required five year update cycle beginning December 31, 2015?**

65072. The CTP shall include all of the following:

(a) A policy element that describes the state's transportation policies and system performance objectives. These policies and objectives shall be consistent with legislative intent described in Sections 14000, 14000.5, 14000.6, and 65088.

✓ **Does the CTP include a policy element?**

(b) A strategies element that shall incorporate the broad system concepts and strategies synthesized from the adopted regional transportation plans prepared pursuant to Section 65080. The CTP shall not be project specific.

✓ **Does the CTP include a strategies element?**

(c) A recommendations element that includes economic forecasts and recommendations to the Legislature and the Governor to achieve the plan's broad system concepts, strategies, and performance objectives.

✓ **Does the CTP include a recommendation element?**

65072.1. The CTP shall consider all of the following subject areas for the movement of people and freight:

- a) Mobility and accessibility.
- b) Integration and connectivity.
- c) Efficient system management and operation.
- d) Existing system preservation.

- e) Safety and security.
- f) Economic development, including productivity and efficiency.
- g) Environmental protection and quality of life.
- h) *Wildlife movement across transportation infrastructure (pending passage of AB 1630).*

✓ **Does the CTP consider a-h above?**

65072.2. In developing the CTP pursuant to Sections 65072 and 65072.1, the department shall address how the state will achieve maximum feasible emissions reductions in order to attain a statewide reduction of greenhouse gas (GHG) emissions to 1990 levels by 2020 as required by the California Global Warming Solutions Act of 2006 (Division 25.5 (commencing with Section 38500) of the Health and Safety Code), and 80 percent below 1990 levels by 2050, taking into consideration the use of alternative fuels, new vehicle technology, tailpipe emissions reductions, and expansion of public transit, commuter rail, intercity rail, bicycling, and walking. The plan shall identify the statewide integrated multimodal transportation system needed to achieve these results. The department shall complete an interim report by December 31, 2012, which shall include a list and provide an overview of all sustainable communities strategies and alternative planning strategies prepared pursuant to paragraph (2) of subdivision (b) of Section 65080, and shall assess how implementation of the sustainable communities strategies and alternative planning strategies will influence the configuration of the statewide integrated multimodal transportation system. The department shall submit the interim report to the California Transportation Commission (CTC) and to the Chairs of the Senate Committee on Transportation and Housing, the Senate Committee on Environmental Quality, the Senate Committee on Local Government, the Assembly Committee on Transportation, the Assembly Committee on Natural Resources, and the Assembly Committee on Local Government.

- ✓ **Does the CTP address how the state will achieve statewide GHG emissions reductions to 1990 levels by 2020, and 80 percent below 1990 levels by 2050, taking into consideration the use of alternative fuels, new vehicle technology, tailpipe emissions reductions, and expansion of public transit, commuter rail, intercity rail, bicycling, and walking.**
- ✓ **Does the CTP identify the statewide, integrated multimodal transportation system needed to achieve the maximum feasible GHG emission reductions?**

NOTE: The California Interregional Blueprint (CIB) Interim report was completed December 2012

65073. The department shall consult with, coordinate its activities with, and make a draft of its proposed plan, and each update, available to the CTC, the Strategic Growth Council (SGC), the State Air Resources Board (ARB), the State Energy Resources Conservation and Development Commission, the air quality management districts (AQMD), public transit operators, and the regional transportation planning agencies (RTPAs) for review and comment. The department shall also provide an opportunity for input by the general public. Prior to adopting the plan or update, the department shall make a final draft available to the Legislature and Governor for review and comment. The CTC may present the results of its review and comment to the Legislature and the Governor. The Governor shall adopt the plan and submit the plan to the Legislature and the Secretary of the United States Department of Transportation (USDOT).

- ✓ **Did the development of the CTP include consultation and opportunities for review and comment with the CTC, SGC, State ARB, California Energy Commission (CEC), AQMD, public transit operators, and RTPAs?**

- ✓ **Did the development of the CTP include input by the general public?**
- ✓ **Did the Legislature and Governor have an opportunity to review and comment on the final draft CTP?**
- ✓ **Did the Governor adopt the final CTP and submit copies to the Legislature and USDOT Secretary?**

65073.1. The CTC shall review recommendations in the update to the CTP prepared by the department in 2015, and every five years thereafter, and prepare specific, action-oriented, and pragmatic recommendations for transportation system improvements. A report containing the specific recommendations shall be submitted to the Legislature and the Governor by December 31, 2016, and every five years thereafter, and in compliance with Section 9795.

- ✓ **Did the CTC have an opportunity to review and comment on the draft CTP and submit a report of recommendations to the Legislature and Governor?**

APPENDIX C | CTP PREPARATION TIMELINE

Below is a general timeline indicating potential high-level tasks maybe be completed for the development of the next CTP, which is statutorily required to be completed by December 31, 2020.

TASK	ESTIMATED COMPLETION DATE
2017	
Caltrans staff develop scope of work and timeline for CTP 2050	Fall 2017
Hold Caltrans District and Caltrans Modal Programs group coordination meetings	Fall 2017 (and ongoing)
Complete consultant services contract	Fall 2017
Communicate with Caltrans Forecasting group regarding preliminary updates to the California Statewide Travel Demand Model	November 2017 (and ongoing)
Identify trends and study areas for analysis and evaluation	December 2017 (and ongoing)
2018	
Define preliminary scenarios, policies, performance measures, and advisory committees	January 2018 (and ongoing)
Form advisory committees and hold meetings	June 2018
Develop surveys for the CTP vision and policy framework	June 2018
Gather feedback on potential modeling scenarios	August 2018
Prepare CTP 2050 outreach materials	Fall 2018 (and ongoing)
2019	
Develop 2050 CTP outline	February 2019
Advisory committee comment on direction of outline and goal areas	April 2019
CTP 2050 draft development	Spring-Summer 2019
Hold focus groups and conduct tribal outreach	Spring-Summer 2019
Draft modeling analysis	Summer 2019
Prepare and release CTP 2050 review draft	Summer 2019
Review and incorporate CTP 2050 internal and stakeholder draft comments	Fall 2019
2020	
Final modeling analysis	Early 2020
Prepare and release CTP 2050 public review draft	Spring 2020
Hold advisory committee meetings and public workshops	Spring 2020
Incorporate public comments and prepare final draft	Summer 2020
Submit final draft for review and approval to Caltrans management and CalSTA	September 2020
CalSTA submits final CTP 2050 to Governor, Legislature, and USDOT	December 2020
CTP 2050 adopted and released	December 2020
CTP implementation plan development and update of next CTP Guidelines	Early 2021

APPENDIX D | PAST ADVISORY COMMITTEE PARTICIPANTS

Table 2

GROUPS AND AGENCIES REPRESENTED ON CTP 2040 ADVISORY COMMITTEES

POLICY ADVISORY COMMITTEE REPRESENTATION	
Association of Monterey Bay Area Governments	Inter-Tribal Council of California
Assembly Transportation Committee	Karuk Tribe
California Air Resources Board	Local Government Commission
California Coastal Commission	Metropolitan Transportation Commission
California Association of Councils of Governments	Native American Advisory Committee
California Department of Aging	National Resources Defense Council
California Department of Public Health	Rincon Band of Luiseno Indians
California Energy Commission	Sacramento Area Council of Governments
California High-Speed Rail Authority	San Diego Association of Governments
California State Transportation Agency	San Joaquin Council of Governments
California Transit Association	Senate Staff
California Transportation Commission (staff)	Shasta Regional Transportation Agency
California Walks	Southern California Association of Governments
California Department of Housing and Community Development	Strategic Growth Council
California Department of Rehabilitation	State Independent Living Council
California Department of Water Resources	Tehama County Transportation Commission
El Dorado County Transportation Commission	The Nature Conservancy
Federal Highways Administration	Trinidad Rancheria
Glenn County Planning and Public Works Agency	US Environmental Protection Agency
Governor's Office of Planning and Research	
TECHNICAL ADVISORY COMMITTEE REPRESENTATION	
Association of Monterey Bay Area Governments	Inter-Tribal Council of California
Assembly Transportation Committee	Karuk Tribe
California Air Resources Board	Local Government Commission
California Coastal Commission	Metropolitan Transportation Commission
California Association of Councils of Governments	Native American Advisory Committee

Memorandum

TAB 20

To: CHAIR AND COMMISSIONERS


CTC Meeting: May 17, 2017

PASSED BY

CTC

No.: 4.5

Action

From: 
SUSAN BRANSEN
Executive Director

MAY 17 2017
CALIFORNIA
TRANSPORTATION COMMISSION

Prepared By: Garth Hopkins
Deputy Director

Subject: ADOPTION OF THE 2017 CALIFORNIA TRANSPORTATION PLAN GUIDELINES
(RESOLUTION G-17-14)

ISSUE:

Should the California Transportation Commission (Commission) adopt the proposed 2017 California Transportation Plan (CTP) Guidelines?

RECOMMENDATION:

Staff recommends that the Commission adopt the proposed 2017 CTP Guidelines and allow Commission staff to make any minor technical corrections needed and post the final 2017 CTP Guidelines on the Commission's website.

BACKGROUND:

Pursuant to federal regulations (23 CFR 450.214) and state statute (Government Code Section 14000.6 and 65071 *et al*), the California Department of Transportation (Caltrans) is required to prepare the CTP, which serves as California's statewide long-range transportation plan. The CTP serves as the transportation policy plan designed to meet California's mobility needs and reduce greenhouse gas emissions over the next 20 years. The plan envisions a fully integrated, multi-modal, and sustainable transportation system that supports economic vitality, protects environmental resources, and promotes the health and well-being for all Californians. The CTP provides a common policy framework that will guide Caltrans modal plans and programs as well as inform transportation investments and decisions by all levels of government, the private sector, and key transportation stakeholders.

SB 486 (DeSaulnier, 2014) authorized and encouraged the Commission, in cooperation with Caltrans, to prepare guidelines for the development of the CTP. In February 2016, pursuant to SB 486 and California Government Code Section 14524.3, the Commission initiated the process to develop the first ever CTP Guidelines through a transparent public process with stakeholder input and in direct consultation with staff from Caltrans, the Air Resources Board, and other state agencies.

A kick-off meeting to initiate the CTP Guidelines effort was held June 30, 2016 in Sacramento. Approximately 250 people attended the meeting in person or via webcast. The kick-off included robust dialogue amongst State and Federal Agencies, Tribal Governments, Regional and Local Agencies, as well as organizations representing environmental, social equity, land-use and

business perspectives, and interested stakeholders. At the time important issues for consideration in the development of statewide transportation planning guidance were identified.

Building upon the kick-off meeting, the CTP Guidelines Workgroup was formed to convene subject matter experts and address various policy areas in the guidelines. Workgroup members represented a variety of government agencies and organizations and stakeholders with interests and expertise in areas including, but not limited to, transportation, environmental protection and climate change, freight, public health, housing, social equity, and public safety. The Commission, in partnership with Caltrans, also collaborated closely with other state agencies including the California State Transportation Agency, the California Air Resources Board, the California Department of Housing and Community Development, the California Department of Public Health, the California Natural Resources Agency, and the Strategic Growth Council in the development of the guidelines.

Between July 2016 and April 2017 stakeholder workgroup meetings were held in Sacramento, Los Angeles and Fresno. Workgroup meetings were held via teleconference and WebEx whenever possible to encourage remote participation. Workgroup members were expected to represent their constituencies' perspectives and report back to their respective organizations and agencies on the guidelines development process. Workgroup members worked together to reach general consensus on guidance. Absent general consensus or agreement on statutory provisions, the proposed 2017 CTP Guidelines reflect direct statutory language.

In addition to the workgroup process, three public drafts were circulated for review and comment. Approximately 100 written comments were received, logged, and incorporated as feasible. Commission and Caltrans staff also met with stakeholders as needed to discuss comments that were submitted.

The 2017 CTP Guidelines, as proposed, directly reflect stakeholder input and seek to promote a cohesive statewide policy framework and adherence to statutory requirements, as well as inform multi-modal transportation investment decisions and identify study areas for future analysis as needed.

Attachments:

- Attachment A: Resolution G-17-14
- Attachment B: Final Draft California Transportation Plan Guidelines
- Attachment C: Comment Letter from TRANSDEF received 4-21-17