

**CALIFORNIA TRANSPORTATION COMMISSION  
ADOPTION OF THE 2020 SOLUTIONS FOR CONGESTED CORRIDORS PROGRAM  
GUIDELINES**

**RESOLUTION G-20-26**

- 1.1 **WHEREAS**, Streets and Highways Code Section 2396 requires the California Transportation Commission (Commission) to adopt guidelines for the development of the Solutions for Congested Corridors Program, and
- 1.2 **WHEREAS**, the Solutions for Congested Corridors Program objective is to fund projects that make specific performance improvements and are part of a comprehensive corridor plan designed to reduce congestion in highly traveled corridors by providing more transportation choices while preserving the character of the local community and creating opportunities for neighborhood enhancement projects, and
- 1.3 **WHEREAS**, the Commission in consultation with the California Air Resources Board, developed the 2020 Solutions for Congested Corridors Program Guidelines, and
- 1.4 **WHEREAS**, the Commission held six workshops in multiple locations throughout the state and worked collaboratively with the California Air Resources Board, California Department of Housing and Community Development, California Department of Transportation, transportation planning agencies, county transportation commissions, other local agencies, and other stakeholders to develop the 2020 Solutions for Congested Corridors Program Guidelines, and
- 1.5 **WHEREAS**, the Commission held two public hearings, one in Southern California on December 4, 2019 and one in Northern California on January 29, 2020, and
- 1.6 **WHEREAS**, on December 19, 2019, the Commission transmitted the draft guidelines to the Joint Legislative Budget Committee, the Senate Transportation Committee, and the Assembly Transportation Committee.
- 2.1 **NOW, THEREFORE, BE IT RESOLVED**, that the Commission adopts the 2020 Solutions for Congested Corridors Program Guidelines, and
- 2.2 **BE IT FURTHER RESOLVED**, that the purpose of the guidelines is to identify the Commission's policy, standards, criteria and procedures for the development, adoption and management of the 2020 Solutions for Congested Corridors Program, and thus to provide guidance to applicants, implementing agencies, and the California Department of Transportation, and

- 2.3 **BE IT FURTHER RESOLVED**, that the Commission staff is authorized to make minor technical changes as needed to the guidelines, and
- 2.4 **BE IT FURTHER RESOLVED**, that the guidelines do not preclude any project nomination or any project selection that is consistent with the implementing legislation, and
- 2.5 **BE IT FURTHER RESOLVED**, that the Commission directs staff to post these guidelines to the Commission's website.

**2020**

**SOLUTIONS FOR**

**CONGESTED CORRIDORS PROGRAM**

**GUIDELINES**

**Adopted January 29, 2020**

**Resolution G-20-26**



**California Transportation Commission**

**CALIFORNIA TRANSPORTATION COMMISSION**  
**2020 SOLUTIONS FOR CONGESTED CORRIDORS PROGRAM**  
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## 1. Authority and Purpose

The Road Repair and Accountability Act of 2017, or Senate Bill (SB) 1 (Beall, Chapter 5, Statutes of 2017) created the Solutions for Congested Corridors Program (Congested Corridors Program) and makes two hundred and fifty million dollars (\$250,000,000) available annually to be allocated by the California Transportation Commission (Commission) to projects designed to achieve a balanced set of transportation, environmental, and community access improvements within highly congested travel corridors throughout the state.

These guidelines describe the policy, standards, criteria, and procedures for the development, adoption, and management of the Congested Corridors Program. These guidelines were developed in consultation with the California Air Resources Board, Department of Housing and Community Development, California Department of Transportation (Caltrans), Regional Transportation Planning Agencies, advocacy groups, and other transportation stakeholders. The Commission may amend these guidelines after first giving notice of the proposed amendments. The Commission will make a reasonable effort to amend the guidelines prior to a call for projects or may extend the deadline for project submission in order to comply with the amended guidelines.

## 2. Program Objective

The primary objective of the Congested Corridors Program is to fund projects designed to reduce congestion in highly traveled and highly congested corridors through performance improvements that balance transportation improvements, community impacts, and that provide environmental benefits.

## 3. Schedule

The following schedule lists the major milestones for the development and adoption of the Congested Corridors Program:

Draft Guidelines presented to the Commission	December 4, 2019
Guidelines Hearing, South	December 4, 2019
Guidelines submitted to the Joint Legislative Budget Committee and the Transportation policy committees in the Senate and Assembly	December 29, 2019
Guidelines Hearing, North	January 29, 2020
Adoption of the Guidelines	January 29, 2020
Call for Projects	January 29, 2020
Applications due	June 30, 2020
Release staff recommendations	November 12, 2020
Program adoption	December 2-3, 2020

#### **4. Funding and Program Cycle**

Two hundred and fifty million dollars (\$250,000,000) will be available upon appropriation to the Congested Corridors Program annually. Any unused balance or savings generated will be added to the available funding in the following cycle. The Commission intends to program two years of funding in the 2020 Program in fiscal years 2021-22 and 2022-23.

The 2018 Program exceeded the programming amount by \$6,089,000. Therefore, the capacity for the 2020 Congested Corridors Program will be reduced by that amount. The funding available for the 2020 Program is \$493,911,000.

The last year of programming in the 2018 Program (fiscal year 2020-21) will be carried into the 2020 Program.

#### **5. Comprehensive Multimodal Corridor Plans**

All projects nominated for the Congested Corridors Program must be included in a multimodal corridor plan. All multimodal corridor plans are to be prepared in accordance with the Comprehensive Multimodal Corridor Plan (Corridor Plan) Guidelines adopted by the Commission in December 2018.

For the 2020 Program, if the nominating agency has not prepared a Corridor Plan consistent with the Corridor Plan Guidelines, the nominating agency may use the following types of plans:

Existing Plan – An existing multimodal plan must be consistent with the intent of the Corridor Plan Guidelines, was prepared with a public input process, and utilizes the most recent planning assumptions available, as determined by the agency.

Plan Update – An update to an existing multimodal plan must be consistent with the intent of the Corridor Plan Guidelines. A plan update is expected to include a public input process and utilize the most recent planning assumptions available.

Hybrid Plan – An agency may conduct an integrated analysis of existing plans within a corridor (such as mode specific plans along a corridor). This effort must be consistent with the intent of the Corridor Plan Guidelines. A hybrid plan is expected to utilize the most recent planning assumptions available, and demonstrate that the integrated plans, proposed projects, and modal components proposed in the hybrid plan included a public input process.

New Plan – An agency may use a completely new plan that has been prepared consistent with the intent of the Corridor Plan Guidelines.

Beginning with the 2022 Program, all projects nominated for the Congested Corridors Program must be included in a comprehensive multimodal corridor plan. The comprehensive multimodal corridor plan must be prepared consistent with the approved Comprehensive Multimodal Corridor Plan Guidelines.

## **6. Matching Requirements**

Projects funded from the Congested Corridors Program do not require a match. While there is no match requirement for this funding source, funding leverage is desirable and will be considered in the evaluation of projects as detailed in Section 16.3.

Consideration will also be given to projects that leverage funding from private, federal, state, local or regional sources that are discretionary funds.

## **7. Funding Restrictions**

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

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

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

Consistent with Sections 15 and 16, it is the Commission's intent to fund multiple projects throughout the state, with at least one project in a county with a population of 500,000 or less.

Congested Corridors Program funds shall not supplant other committed funds.

The Congested Corridors Program will not participate in cost increases to the project. Any cost increases must be funded from other fund sources. The implementing agency or agencies must provide evidence of their ability to absorb any cost overruns and deliver the project with no additional funding from the program. For projects jointly nominated by Caltrans and a local agency, the Commission expects the responsibility for payment of cost increases will be negotiated and agreed upon through a funding agreement between both agencies prior to nomination.



The Congested Corridors Program will only fund projects, or segments of projects, that are fully funded, have independent utility, and will be ready to start construction by December 31, 2023.

## **8. Reimbursement**

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

## **9. Eligible Applicants**

A regional transportation planning agency or county transportation commission or authority responsible for preparing a regional transportation improvement plan under Section 14527 of the Government Code or Caltrans may nominate projects for funding.

The Commission encourages the regional agencies and Caltrans to work collaboratively to plan, program, implement, operate and manage transportation facilities as an integrated system with the objective of maximizing available resources and overall transportation system performance. In an effort to encourage collaboration, priority will be given to those projects that are jointly nominated by multiple eligible applicants. For jointly nominated projects, the implementing agency or agencies assume the responsibility and accountability for the project as well as the use and expenditure of program funds.

The Commission expects collaboration and cooperation between the applicable regional transportation agency and Caltrans for all projects on the state highway system.

## **10. Eligible Projects**

The Commission intends to fund transformative projects that make specific improvements designed to reduce congestion in highly traveled and highly congested corridors through performance improvements that balance transportation improvements, community impacts, and that provide environmental benefits.

The Commission encourages projects that align with the state's climate goals and that manage congestion through innovative strategies and encourage multimodal solutions.

These improvements may be on the state highway system, local streets and roads, public transit facilities, bicycle and pedestrian facilities, or required mitigation or restoration or some combination thereof. To the extent beneficial, cost effective and practicable, proposed nominations should incorporate complete street elements into

projects, including but not limited to elements that improve the quality of bicycle and pedestrian facilities and that improve safety for all users of transportation facilities.

Projects eligible for funding under the program include, but are not limited to, the following:

- Addition of high-occupancy vehicle lanes and managed lanes.
- New or existing transit infrastructure improvements for new or improved service including: adding roadway capacity for new or improved transit service, such as bus-only lanes; traffic signal priority for new or improved bus or light rail service; adding rail capacity or implementing other rail improvements; operational and/or safety improvements that allow for faster transit speeds, more reliable service, or more frequent service; improvements at transit stations that allow for improved safety, operational efficiency, or additional capacity.
- Adding new or improving existing rail infrastructure such as: construction of track siding to allow for trains to pass; adding railroad capacity by expanding the number of tracks serving the rail corridor; operational and/or safety improvements that allow for faster train speeds; improvements at rail stations that allow for improved safety, operational efficiency, or additional capacity.
- Transit hubs for multimodal transportation modes including network fare integration and fare modernization systems to increase linked trips.
- Transit hubs or stations and nearby roadways providing accessibility for first mile and last mile connectivity to public transit systems.
- Acquisition of zero-emission buses, and the cleanest available rail cars, locomotives, or other rolling stock.
- Operational improvements such as: interchange and ramp modifications, auxiliary lanes for merging or weaving between adjacent interchanges, passing lanes, curve corrections and alignment improvements, truck climbing lanes, signals and/or intersection improvements, two-way left-turn lanes, channelization, turnouts, railroad at-grade crossings improvements or separations, shoulder widening.
- Closing gaps in the street network including general purpose mainline lanes on local streets and roads.
- Safety improvements such as: wet pavement corrections, curve corrections, shoulder widening, high friction treatment, left turn channelization, safety barriers, new guardrail, end treatments and crash cushions, rumble strips, lighting, glare screen, rock fall mitigation, over crossing pedestrian fencing, or bikeways and crosswalk safety enhancements.
- Direct mitigation or other regulatory requirements of a transportation project or facility funded under the Congested Corridors Program, including restoration or protection of critical habitat and open space.
- Projects that employ advanced and innovative technology, like Intelligent Transportation Systems.

- Projects that include supporting infrastructure for deployment of current and future technologies, such as zero-emission vehicle charging or fueling stations.
- Transportation Management Systems and Transportation Demand Management.
- Bicycle facilities such as dedicated bicycle lanes, separated bikeways, bicycle parking, and secure storage.
- Pedestrian facilities, including: sidewalks, walkways, paths, driveways, crosswalks, median islands, ramps, pedestrian bridges and tunnels.

Projects that propose to construct a toll transportation facility and are successful in the Congested Corridors Program must request approval from the Commission to operate the toll facility in accordance with the Commission's Toll Facility Application Guidelines within 6 months of the project being programmed and prior to allocation.

Highway lane capacity-increasing projects funded by this program shall be limited to high-occupancy vehicle lanes, managed lanes, and other non-general-purpose lanes designed to improve safety for all modes of travel.

General purpose lanes on the state highway system are not eligible for funding in the Congested Corridors Program. If a project nomination includes general purpose lanes as part of the overall project, the nominating agency must certify that no funding from the Congested Corridors Program will fund the general-purpose lanes. In addition, the benefits and impacts of the eligible and ineligible components must be clearly separated and defined in the application. Further, if the project is programmed in the Congested Corridors Program, the recipient agency must track and report project benefits for both components, including the reporting of the net overall project benefits/impacts.

Projects on railroad corridors that do not serve passenger rail are not eligible for funding.

## **11. Delivery Methods**

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

For a project expected to use design-build or design-sequencing delivery method, the Commission will program the Congested Corridor funds in the construction component of the project. The allocation however may be a combined amount to include design, right of way, and construction.

When using the Construction Manager/General Contractor delivery method, the project will be programmed and allocated in the same manner as design-bid-build. During the environmental or design phase, Construction Manager/General Contractor contract

costs are considered environmental and/or design phase expenditures. As the project advances in the design phase, it may be desirable to separate the project into packages for efficiencies in the construction delivery. If this is the case, the project may be separated into separate delivery contracts and the Commission must be notified as soon as possible. The delivery dates and the scope of work must be consistent with the approved baseline agreement.

## **12. Project Segmenting**

Scaling a project into segments because of its size, funding, or delivery schedule may be necessary for certain large corridor projects. When segmenting a project into separate independent segments, the nomination should discuss the total corridor and the reasons for segmenting the project. The nomination should address how each segment of the corridor project will be delivered and include an estimated timeline for completing the overall project and each segment in the corridor.

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

Proposed projects (or segments) that complete a corridor as defined in a Corridor Plan will be given priority for funding.

## **13. Multimodal Projects / Modes / Contracts**

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

If the scope of a project mode includes multiple independent contracts to achieve the benefits as proposed (i.e. a rail project mode may include tracks, vehicle purchases, station improvements), the application must identify the scope, funding plan, and schedule for each contract (each contract should have a separate Project Programming Request Form), including any contracts not requesting Congested Corridors funds. The nomination should explain the strategy for project delivery. If, subsequent to program adoption, the project is divided into independent contracts, it should be reported to the Commission as soon as possible. A project amendment must be approved by the Commission prior to allocation.

#### **14. Screening Criteria**

Nominations will receive an initial screening by the Commission for completeness and eligibility before moving to the evaluation process.

Incomplete or ineligible applications may not be evaluated.

Nominations will be screened for the following:

- Project meets the primary objective of the Congested Corridors Program as specified in Section 2.
- Project is included in an adopted regional transportation plan and, if within the boundaries of a Metropolitan Planning Organization, consistent with an approved Sustainable Communities Strategies determined by the State Air Resources Board to achieve the region's greenhouse gas emissions reduction targets.
- Project is included in a multimodal comprehensive corridor plan as specified in Section 5.
- Project demonstrates that any negative environmental/community impacts will be avoided or mitigated.
- Project demonstrates that all other funds for the proposed project (segment) are committed.

#### **15. Project Rating Process**

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

An agency submitting multiple project nominations must clearly prioritize its project nominations

Each nomination will be evaluated for compliance with the objectives of the program. Each nomination will be rated using primary, secondary, and deliverability criteria as specified in Section 16. Each evaluation criteria will be scored with a "High", "Medium-High", "Medium", "Medium-Low" or "Low". The highest-ranking nominations will be selected for funding.

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

#### **16. Evaluation Criteria**

A project nomination must include documentation regarding the quantitative and qualitative measures validating the project's consistency with policy objectives. Each section must be addressed, including the performance metrics.

### 16.1 Primary Evaluation Criteria

The primary evaluation will be based on how well a project meets the primary objective of the program of addressing congestion by making specific improvements designed to reduce congestion in highly traveled and highly congested corridors through performance improvements that balance transportation improvements, community impacts, and that provide environmental benefits.

- The project shall identify the extent of congestion in the corridor, including the congestion of all modes. The nomination should address current community and environmental impacts with existing condition. The nomination should discuss how much worse will the problem get under the no-build environment. Identify if other improvements have been done in the corridor and the impacts of not completing the corridor. Identify and discuss other issues the corridor faces.
- Discuss the proposed solution in the corridor. How will the proposed improvements relieve congestion? Does the project incorporate multiple modes? How will the project minimize vehicle miles traveled while maximizing person throughput in the corridor? How is the solution balancing transportation, environment and community? Why is this solution the most beneficial improvement in the corridor? What improvements to other modes were considered and why were they not chosen? For highway and local road projects, will the project induce demand?

### 16.2 Secondary Evaluation Criteria

A project nomination shall include documentation regarding the quantitative and qualitative measures validating the project consistency with identified co-benefits of the proposed project.

- Safety – The nomination must address safety issues and concerns in the corridor, including actual reported property, injury, and fatality collisions for the last **5** full years. Demonstrate how the proposed project increases safety for motorized and non-motorized users. Identify and discuss other safety measures the project will address, including health impacts.
- Accessibility– The nomination must address current accessibility issues and concerns in the corridor and how the proposed project will improve accessibility and connectivity to residents and non-residents that travel the corridor or need to travel through the corridor. Demonstrate how the proposed project will provide access to multimodal choices? Will the project close an existing gap in transit and active transportation? How will the project connect to jobs, major destinations and residential areas? Identify and discuss other accessibility measures the project will address
- Economic development and job creation and retention – The nomination must address how the proposed project will support economic development and access to

employment. Does the proposed project improve regional competitiveness? How does the proposed project improve accessibility to economic opportunities and the movement of goods and services in the region? Identify and discuss other economic impacts the project will have.

- Air Quality & Greenhouse Gases –The nomination must address how the proposed project will reduce greenhouse gas emissions and criteria pollutants and advance the State’s air quality and climate goals. What other environmental benefits will the project provide?
- Efficient land use – The nomination must address how the proposed project will support transportation-efficient land use principles. How does the project support mixed-use and in-fill development with multimodal choices? The applicant may also identify local land use policies in place (or in development) in the project area which support efficient land use patterns including but not limited to:
  - A nondiscretionary (by-right) approval process for multifamily residential and mixed-use development;
  - A Specific Plan that allows streamlined plan-level environmental analysis for multifamily residential or mixed-use development;
  - A density bonus ordinance or other procedure whose allowable density increase exceeds the requirements of State Density Bonus Law;
  - Ordinance or policy that allows reduced parking requirements for all sites zoned for multi-family residential or mixed-use development;
  - Policies such as those identified in the Land Use Efficiency Supplement developed in partnership with the California Department of Housing and Community Development available online at: <https://catc.ca.gov/-/media/ctc-media/documents/programs/sccp/2020113-final-sccp-land-use-efficiency-supplement-a11y.pdf>; or
  - Any other policies or programs which may support infill development and/or mixed-use development with multimodal choices.

### **16.3 Deliverability Criteria**

Projects will also be evaluated based on the following deliverability criteria:

- Matching Funds –The project will be evaluated based on the amount of matching funds and the source of funds. Priority will be given to projects that have committed discretionary federal funds at time of project nomination. The commitment should be in the form of a letter or a public announcement issued by the authorizing federal agency. Emphasis will be placed on projects that leverage funding from private, federal, state, local or regional sources that are discretionary funds to the nominating agency. Matching funds will only be considered in the construction component.

Other than State Transportation Improvement Program funds, matching funds will be limited to those funds not allocated by the Commission on a project basis.

In each contract, the matching funds must be expended concurrently and proportionally to the Congested Corridors Program funds, except as noted below. Costs incurred prior to allocation will not be counted towards the match. The Commission may, at the time of programming or allocation, approve non-proportional spending. Adjustments will be made at project closeout to ensure matching funds were spent proportionally to the Congested Corridors Program funds.

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

- Deliverability – Priority will be given to projects that have completed the design and rights of way components of the project, unless the project is being delivered using Design-Build method. If using this method, the start of construction will be the basis for the evaluation.
- Collaboration – Jointly nominated and jointly funded projects are encouraged. For projects that cross jurisdictions, regions may pool their resources to jointly nominate and fund a project. Similarly, regional agencies may pool their resources to jointly nominate and fund projects with Caltrans.

For projects on the state highway system, evidence must be provided of cooperation between the applicable regional transportation agency and Caltrans.

- Cost Effectiveness – Consideration will be given to those projects that provide the greatest benefit in relationship to the project costs. The Commission will consider measurable benefits using the California Life-Cycle Benefit/Cost Analysis or an alternative proposed by the applicant.

## 17. Programming

The Congested Corridors Program will be developed consistent with the annual amount of funds available for the Program. There are no regional guarantees, minimums, or targets for this program. All nominated projects will be evaluated based on the evaluation criteria as specified in Section 16. The Commission will not program more than one-half of the funds available each year to projects nominated exclusively by Caltrans.



## **18. Committed/Uncommitted Funds**

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

The Commission will regard funds as committed when they are programmed by the Commission or when the agency with discretionary authority over the funds has made its commitment to the project by ordinance or resolution. For federal formula funds, including Regional Surface Transportation Program, Congestion Mitigation and Air Quality Improvement Program and federal formula transit funds, the commitment may be by Federal Transportation Improvement Program adoption. For federal discretionary funds, the commitment may be by federal approval of a full funding grant agreement or by grant approval.

Uncommitted funds may only be from the following competitive programs: Trade Corridor Enhancement Program and Local Partnership Program. The agency must indicate its plan for securing a funding commitment, explain the risk of not securing that commitment, and its plan for securing an alternate source of funding should the commitment not be obtained. If a project with uncommitted funds is programmed, all funding commitments must be secured prior to July 1 of the year in which the project is programmed.

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

## **19. Project Amendments**

Project amendments will be considered for the Congested Corridors Program as follows:

- Cost Changes – The Congested Corridors Program will not participate in cost increases to the project. Any cost increases must be funded from other fund sources. If there is a change in the cost estimate, the Commission should be notified as soon as possible in writing explaining the change and the plan to cover the increase. A revised Project Programming Request form identifying the source of funding must also be included.
- Schedule changes – Schedule changes to a project will not be considered unless a time extension was approved as specified in Section 23. For projects programmed in the last year of the 2018 Congested Corridors Program, the agency may request by June 1, 2020 to reprogram the project only once with a justification. The request

must include: a cover letter from all the partners that nominated the project; a clear and concise explanation for the request; the extraordinary circumstances that led to the request; consequences if the request is not approved; and an updated Project Programming Request. The Commission may approve the request only if it finds that an unforeseen and extraordinary circumstance beyond the control of the responsible agency has occurred that justifies the change at the time the 2020 Program is adopted.

- Scope changes – The Commission may consider minor changes to the scope of the project if there are no impacts to the project benefits or the scope change increases the benefits of the project. If the proposed scope changes are significant, and the project benefits are decreased, the Commission will evaluate the proposed changes and make a determination whether to continue funding the project or to delete the project from the program.

## **20. Allocations**

When an agency is ready to implement a project or project component, the agency will submit an allocation request to Caltrans. The typical time required, after receipt of the request, to complete Caltrans review and Commission allocation is 60 days.

The Commission will consider the allocation of funds for a project when it receives an allocation request with a recommendation from Caltrans. The recommendation will include a determination of project readiness, the availability of appropriated funding, consistency with the executed Baseline Agreement, and the availability of all identified and committed supplementary funding. The Commission will only consider an allocation of construction and/or construction support funds to projects that are ready to advertise.

For projects that are ready to advertise, the Commission expects Caltrans to certify that a project's plans, specifications and estimate are complete, environmental and right-of-way clearances are secured, and all necessary permits and agreements (including railroad construction and maintenance) are executed. Projects not ready for advertisement will not be placed on the Commission's agenda for allocation approval. In compliance with Section 21150 of the Public Resources Code, the Commission will not allocate funds for construction prior to documentation of environmental clearance under the California Environmental Quality Act. As a matter of policy, the Commission will not allocate funds for construction of a federally funded project prior to documentation of environmental clearance under the National Environmental Policy Act.

The Commission will approve the allocation in whole thousands of dollars if the funds are available and the allocation is necessary to implement the project as included in the adopted Congested Corridors Program. If there is a cost increase to the project, the implementing agency must submit an updated Project Programming Request that

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

When Caltrans is the implementing agency, construction support costs must be allocated separately from construction capital costs.

The agency must not award the contract for a project until the Commission has allocated the funds for the project.

## **21. Letter of No Prejudice**

The Commission will consider approval of a Letter of No Prejudice to advance a project programmed in the Congested Corridors Program. Approval of the Letter of No Prejudice will allow the agency to begin work and incur eligible expenses prior to allocation. The Letter of No Prejudice Guidelines were adopted in October 2017 and are available on the Commission's website.

## **22. Timely Use of Funds**

Congested Corridors Program allocations must be requested in the fiscal year of project programming and are valid for award for six months from the date of allocation unless the Commission approves an extension. When programmed funds are not allocated within the fiscal year programmed or within the time allowed by an approved extension, the project will be deleted from the Congested Corridors Program.

After award of the contract, the implementing agency has up to 36 months to complete (accept) the contract. At the time of fund allocation, the Commission may extend the deadline for completion of work and the liquidation of funds if necessary to accommodate the proposed expenditure plan for the project.

The Commission may extend the deadline only once for each delivery deadline only if it finds that an unforeseen and extraordinary circumstance beyond the control of the responsible agency has occurred that justifies the extension. The extension will not exceed the period of delay directly attributed to the extraordinary circumstance.

## **23. Delivery Deadline Extensions**

The Commission may extend a deadline for allocation and award upon the request of the implementing agency. The extension will not exceed 12 months. The extension will only be granted if it is for an extraordinary circumstance beyond the control of the implementing agency.

Upon request of the implementing agency, the Commission may extend the deadline for expenditure and for project completion. The extension cannot exceed more than 20

months for project completion and 12 months for expenditure. The extension will only be granted if it is for an extraordinary circumstance.

All requests for project delivery deadline extensions shall be submitted directly to Caltrans for processing prior to the expiration date. The extension request should describe the specific circumstance that justifies the extension and identify the delay directly attributable to the circumstance. Caltrans will review and prepare a written analysis of the proposed extension request and forward the written analysis and recommendation to the Commission for action.

#### **24. Project Cost Savings**

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

Savings at project completion must be returned proportionally except when an agency has, subsequent to project programming, committed additional funds to the project to fund a cost increase. In such instances, savings at project completion may be returned to other fund types first, until the proportions match those at programming. Any additional savings must be returned proportionally, through a Commission action, and made available for programming in subsequent programming cycles.

#### **25. Project Reporting**

SB 1 places responsibility on the Commission to track the performance of and report to the public how well funding recipients are delivering projects receiving Congested Corridors Program funds. The reporting requirements as outlined in the Commission's Accountability and Transparency Guidelines will be required for all projects programmed in the Congested Corridor Program.

#### **26. Project Tracking Database**

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

#### **27. Project Auditing**

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

## **28. Project Signage**

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

## **Attachment 1 – Project Nominations**

Project nominations and supporting documentation must be submitted to the Commission by June 30, 2020. Nominations will be treated in accordance with California Public Records Act requirements and information, subject to those requirements, may be publicly disclosed.

Applicants must submit two (2) hard copies of the nomination package and one (1) electronic copy. Electronic copies should be sent via e-mail to [SCCP@catc.ca.gov](mailto:SCCP@catc.ca.gov).

All nomination materials should be bound, addressed and delivered to:

California Transportation Commission  
Executive Director  
1120 N Street, MS-52  
P.O. Box 942873  
Sacramento, CA 95814

Each project nomination should be limited to 35 pages, excluding information requested in appendices. Each project nomination must use the lettering convention outlined below.

### **A. Cover Letter**

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

Where the project is to be implemented by an agency other than the nominator, documentation of the agreement between the project nominator and implementing agency must be submitted with the nomination.

### **B. Fact Sheet**

- A one-page fact sheet describing the project scope, cost schedule, and benefits (outputs/outcomes). The fact sheet will be posted on the Commission's website and therefore must meet the latest state and federal web accessibility laws.

### **C. General Information**

- Project title, with a brief non-technical description of the project, total project cost and requested amount. If the project includes multiple project modes, each project mode must be described.
- Project background and a purpose and need statement.
- A concise description of the type of project, scope and anticipated benefits (outcomes and outputs) proposed for funding.
- A map (or maps) of the project location.
- Project priority (if agency is submitting multiple nominations).
- When proposing a segment of a corridor, the applicant should discuss the entire corridor and why the project is being segmented. The project must demonstrate the segment proposed for funding has independent utility and include a narrative of the plan to complete remaining improvements of the corridor. If proposing the last segment of the corridor, the nomination should discuss the benefits that have been achieved of all the other segments that have been completed and the benefits of completing the corridor. Conversely, the nomination should address the impacts of not completing the last segment. The analysis should be coordinated with other jurisdictions if the corridor crosses multiple jurisdictions.
- Confirmation that any capacity-increasing project or a major street or highway lane realignment project was considered for reversible lanes pursuant to Streets and Highways Code Section 100.15.
- Confirmation that the proposed nomination is consistent with the current approved Regional Transportation Plan and Sustainable Communities Strategies and to the best of the nominating agency's knowledge, the project(s) proposed for funding is not anticipated to be impacted by the implementation of the Safer Affordable Fuel-Efficient Vehicles Rule.

#### **D. Screening Criteria**

- A description of how the project furthers the goals, performance measures, and targets of the region's Regional Transportation Plan, and, if applicable, the Sustainable Communities Strategy. A link to the approved Regional Transportation Plan / Sustainable Communities Strategy must be included.
- A description of the corridor plan as required in Section 5. A description of how and where the proposed project is included in the corridor plan. An explanation of how the proposed project is consistent with the objectives of the corridor plan. A description of how the corridor plan is consistent with Streets and Highways Code 2391-2394 as explained in Section 9.1 of the 2018 Comprehensive Multimodal Corridor Plan Guidelines. A link to the corridor plan must be included.
- A description of environmental and community impacts as identified in the environmental document. A link to the final environmental document, or the draft environmental document, must be included for all project modes.

#### **E. Evaluation Criteria**

A quantitative and qualitative analysis of the proposed project compared to the no-build environment. Each Criteria identified in Section 16 of the guidelines must be addressed. If a criterion is not addressed the project may not be funded in the Congested Corridors Program.

The required performance metrics on Appendix II will support the narrative of the criteria.

#### **F. Funding and Deliverability**

- A project cost estimate which includes the amount and source of all funds committed to the project and the basis for concluding that the funding is expected to be available.
- Uncommitted funds may only be from those programs identified in Section 18. If uncommitted funding is proposed, the nomination must address the plan for securing a funding commitment, explain the risk of not securing that commitment, and its plan for securing an alternate source of funding.
- Cost estimates should be escalated to the year of proposed implementation and be approved by the Chief Executive Officer or other authorized officer of the implementing agency.
- A description that demonstrates the ability to absorb any cost overruns and deliver the proposed project with no additional funding from this program. For Caltrans implemented projects, Caltrans must demonstrate the plan to secure alternate source(s) to fund potential cost overruns.
- A description of the project delivery plan, including a description of the known risks that could impact the successful implementation of the project and the response plan of the known risks. The risks considered should include, but not be limited to, risks associated with deliverability and engineering issues, and funding commitments.

#### **G. Community Impacts**

- A description of how local residents and community-based organizations were engaged in developing and supporting the project.
- A description of how the final project will address community-identified needs along the corridor with a description and quantification of the benefits the project will provide for disadvantaged communities and low-income areas.
- A description of any negative impacts to a disadvantaged community and low-income community, in terms of displacement or other negative impacts, and any related mitigations.
- Include a map to identify whether or not the project is located in a disadvantaged community or low-income community using the Disadvantage and Low-income Community Maps found at:  
<https://www.arb.ca.gov/cc/capandtrade/auctionproceeds/communityinvestments.htm>  
A region-specific definition of a disadvantaged community may be used.



- Describe the feedback received during the stakeholder engagement process and describe how the public participation and planning process has improved the project's overall effectiveness at meeting the purpose of the program.
- Describe how stakeholders will continue to be engaged in the implementation of project.

**H. Other.**

- Where investment is proposed to improve private infrastructure, the nomination must include documentation of assessment of public and private benefits to show that the share of public benefit is commensurate with the share of public funding. The investment of public funding must be tied to public benefits as demonstrated through a public/private benefit cost analysis. The benefit cost analysis should take into account who owns the asset once the project is completed.
- Documentation for rail investments should acknowledge and describe how the private railroads, regional agencies and appropriate state agencies will come to agreement on public and private investment levels and resulting benefits.

## **Appendix I**

### **Project Programming Request**

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

## **Appendix II - Performance Indicators and Measures**

- Please fill in the table included in this section with the requested information for the proposed project. This information must be consistent with the information in the electronic Project Programming Request form that is submitted with the application under Appendix I.
- Commission staff may contact applicants for additional information.
- Please refer to the Congested Corridors Program Project Metrics Instructions which includes additional information and resources for completing this table:  
<https://catc.ca.gov/-/media/ctc-media/documents/programs/sccp/revised-final-sccp-performance-indicators-and-measures-a11y.pdf>.
- Project metrics are expected to be provided for the scope of the project as defined in the application and as projected for the “Build” scenario versus the “No Build” scenario over a 20-year horizon (with no other alternatives consideration required). If a horizon other than 20 years is utilized, it must be specified in the table. Provide current conditions where applicable and explain current conditions as part of project purpose and need.
- These metrics cover estimated project benefits based on what is known at the time of application.
- Project types include: Local Road, Highway, Transit Rail, Transit Bus, and Active Transportation or any combination thereof. Benefits are reported for the project as a whole.
- A few tools have been identified in the Congested Corridors Program Project Metrics Instructions (<https://catc.ca.gov/-/media/ctc-media/documents/programs/sccp/revised-final-sccp-performance-indicators-and-measures-a11y.pdf>) including the Regional Travel Demand Model, Sub-Regional or Project-Level Models, as well as the Cal-B/C Tools which use travel model data or engineering estimates as inputs to generate project benefits. Applicants are encouraged to use tools that are industry standard to the extent possible, but when there is a need to use an alternate tool, applicants should explain their choice of model and underlying assumptions.
- For cost-effectiveness, documentation supporting the benefits and cost estimates provided in the application should cite, as appropriate, the project study report, environmental document, Regional Transportation Plan, corridor plans, and other studies that provide quantitative and qualitative measures of the project’s costs and benefits, including both congestion and emission reduction benefits.
- The intent of these metrics is not to require a Regional Travel Demand Model run for every project. It is anticipated that project applicants will utilize existing analyses (i.e. project level modeling conducted for the environmental analysis) and use that information coupled with additional off model tools or other simple calculations to estimate the project benefits for the application process.
- For each measure area please specify the horizon year and describe the methodology, assumptions, and data source(s) used as indicated in the SB 1 Accountability and Transparency Guidelines. Columns for this information have been provided in the table below. **For Cal-B/C data and assumptions, applicants must provide an electronic copy of the completed Excel workbook as part of the application submittal.**
- Modeled and observed data may be used. Modeled data used must be calibrated per federal standards.

California Transportation Commission  
2020 Solutions for Congested Corridors Program Guidelines

<b>Measure</b>	<b>Metric</b>	<b><u>Build</u></b>	<b><u>Future No Build</u></b>	<b><u>Change</u></b>	<b><u>Methodology</u></b>	<b><u>Data/Assumptions</u></b>
Congestion Reduction	Project Area, Corridor, County, or Regionwide VMT per capita <b>and</b> total VMT					
	Person Hours of Travel Time Saved					
	Daily Vehicle Hours of Delay					
	Percent Change in Non-Single Occupancy Vehicle Travel*					
	Per Capita and Total Person Hours of Delay per Year*					
Throughput	Peak Period Person Throughout by Applicable Mode*					
	Passengers per Vehicle Service Hour*					
	Bicyclist/Pedestrian Screen Line Counts*					
System Reliability	Peak Period Travel Time Reliability Index					
	Transit Service On-Time Performance					
Safety	Number of Fatalities					
	Rate of Fatalities per 100 Million VMT					
	Number of Serious Injuries					
	Number of Serious Injuries per 100 Million VMT					
	Number of Non-Motorized Fatalities and Non-Motorized Serious Injuries					
	Number of Property Damage Only and Non-Serious Injury Collisions*					
	Accident Cost Savings*					

California Transportation Commission  
2020 Solutions for Congested Corridors Program Guidelines

<b>Measure</b>	<b>Metric</b>	<b><u>Build</u></b>	<b><u>Future No Build</u></b>	<b><u>Change</u></b>	<b><u>Methodology</u></b>	<b><u>Data/Assumptions</u></b>
Economic Vitality	Jobs Created (Direct and Indirect)					
Air Quality & GHG	Particulate Matter (PM 2.5 PM 10)					
	Carbon Dioxide (CO <sub>2</sub> )					
	Volatile Organic Compounds (VOC)					
	Sulphur Dioxides (SO <sub>x</sub> )					
	Carbon Monoxide (CO)					
	Nitrogen Oxides (NO <sub>x</sub> )					
Accessibility	Number of Jobs Accessible by Mode					
	Access to Key Destinations by Mode					
	% of Population Defined as Low Income or Disadvantaged within ½ mile of rail station, ferry terminal, or high-frequency bus stop					
Cost Effectiveness	Cost Benefit Ratio					

\* Indicates an optional metric

### **Appendix III**

#### **State Highway System Project Impact Assessment (Form CTC-0002)**

Applicant must complete ALL fields in Sections I and II. Write N/A if not applicable.

1. Nominating Agency
2. Name of Person submitting the nomination
3. Title
4. Phone
5. Email
6. Project Title - The title must be consistent with the nomination and all project documentation
7. Percentage of project area within State Right of Way:  $(\text{Area within State Right of Way} \div \text{Total project area}) \times 100$
8. Total construction cost of physical project elements within State Right of Way: Provide a separate estimate for the total construction cost (capital and support costs) of the project for only those physical elements and/or portions of elements that are on or within State Right of Way. This includes project elements within State airspace.
9. Indicate the anticipated environmental document that will be required for California Environmental Quality Act and National Environmental Policy Act (ex. Negative Declaration, EIR/ EIS, etc.) Indicate N/A if a National Environmental Policy Act document is not required.
10. Check all that apply.
11. Fully describe the scope of work to be performed within State Highway Right of Way. This includes all new or modifications to any physical assets within State Right of Way.
12. Expected level of Caltrans involvement: Check one based on the amount entered for item 8.

**STATE HIGHWAY SYSTEM PROJECT IMPACT ASSESSMENT****APPENDIX III**

CTC-0002 (NEW 9/2019)

**I. APPLICANT INFORMATION****1. NOMINATING AGENCY****2. NAME OF PERSON SUBMITTING THE NOMINATION****3. TITLE****4. PHONE****5. EMAIL****II. PROJECT INFORMATION****6. PROJECT TITLE****7. PERCENT OF PROJECT AREA WITHIN STATE R/W****8. TOTAL CONSTRUCTION COST WITHIN STATE R/W****9. ANTICIPATED ENVIRONMENTAL DOCUMENT FOR:****CEQA:****NEPA:****10. CHECK ALL OF THE FOLLOWING THAT APPLY:**

PROJECT IS NOT IN AND WILL NOT DISCHARGE INTO AN ENVIRONMENTALLY SENSITIVE AREA AND IS NOT EXPECTED TO NEED AN EIR/EIS

PROJECT DOES NOT REQUIRE FHWA COORDINATION OR APPROVAL

PROJECT DOES NOT REQUIRE RIGHT OF WAY DEDICATION FROM CALTRANS

PROJECT DOES NOT REQUIRE CALTRANS STRUCTURE DESIGN APPROVAL FOR MODIFICATION TO A CALTRANS BRIDGE OR STRUCTURE.

PROJECT DOES NOT REQUIRE DESIGN EXCEPTIONS TO MANDATORY DESIGN STANDARDS (REF. HIGHWAY DESIGN MANUAL, DESIGN INFORMATION BULLETIN 78)

PROJECT DOES NOT REQUIRE ENCHROACHMENT EXCEPTIONS APPROVAL (REF. ENCHROACHMENT PERMIT MANUAL, CH. 300)

**11. DESCRIBE THE SCOPE OF WORK TO BE DONE WITHIN STATE HIGHWAY RIGHT-OF-WAY****12. EXPECTED LEVEL OF CALTRANS INVOLVEMENT:****Cooperative Agreement Oversight Process:** Cooperative Agreement oversight process reviews are generally used for projects with a construction cost within the State Right of Way greater than \$1 Million.**Encroachment Permits Oversight Process:** Office of Encroachment Permits oversight process reviews are generally used for projects with a construction cost within the State Right of Way of \$1 Million or less.**III. CALTRANS PROJECT SUPPORT****SIGNATURE:** \_\_\_\_\_**DATE:** \_\_\_\_\_**PRINT NAME:** \_\_\_\_\_**Deputy District Director Program Project Management**

The above signature indicates, based on available information:

1. Caltrans supports the project;
2. The project is consistent with Caltrans's standards;
3. Durations and start and end dates to achieve the major milestones are reasonable;
4. The funding plan is reasonable.

**IV. ATTACHMENTS**

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