



INTERIM CSIS

Caltrans Strategic Investment Strategy

Version 1.1
March 2022

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Executive Summary

The California Department of Transportation (Caltrans) is committed to leading climate action and advancing social equity in the transportation sector set forth by the California State Transportation Agency (CalSTA) Climate Action Plan for Transportation Infrastructure (CAPTI, 2021). The CAPTI supports the California Transportation Plan (CTP) 2050 (2021) goals that works to meet the State's ambitious climate change mandates, targets, and policies set forth by Executive Order (EO) N-19-19 and N-79-20 (Appendix B & C), signed by Governor Gavin Newsom in 2019 and 2020, respectively. The CTP 2050 is the state's broad vision for the future of the transportation system in California, with a focus on advancing equity and climate priorities by expanding travel options for all Californians.

CAPTI S4.

Advance State
Transportation
Leadership on
Climate and Equity
through Improved
Planning & Project
Partnerships

Additionally, the CAPTI aligns with Caltrans 2020-24 Strategic Plan (2021), which signals a fundamental shift for the Department to lead climate action as a strategic priority for the first time. Caltrans is in a significant leadership role to carry out meaningful measures that advance state's goals and priorities through the development and implementation of the Caltrans Strategic Investment Strategy (CSIS). The CSIS, which implements one of CAPTI's key actions, is envisioned to be an investment framework through a data- and performance-driven approach that guides transportation investments and decisions. This framework includes methodologies and processes for how Caltrans should invest billions of dollars of highly competitive fund programs that will address transportation deficiencies while also achieving the CAPTI Guiding Principles (Appendix A). The ultimate objective of the CSIS is to prioritize our infrastructure investments that address multiple goals and needs and achieving synergistic benefits for the residents of California.



1. Introduction

Interim CSIS

The implementation of CAPTI S4.1 calls for the CSIS to guide project nominations through a data- and performance-driven approach for projects funded by the State Highway Operation and Protection Program (SHOPP) and projects funded by other sources, commonly referred to as Non-SHOPP projects. As SHOPP projects are presently prioritized through a data- and performance-driven approach under Asset Management, the Interim CSIS is focused on prioritizing non-SHOPP projects using a predominantly qualitative approach to guide the investment decision-making process. Caltrans intends to transition the CSIS towards a data- and performance-driven approach prior to SB 1 Cycle 4, when data collection and in-depth analyses can be conducted to establish baselines and performance targets and effectively measure the extent to which Caltrans delivers on the CAPTI Guiding Principles.

The CSIS presents a transparent decision-making framework that guides statewide transportation investments from planning to programming and project delivery. By linking State policies and goals from various statewide guiding documents (CTP 2050, CAPTI, Caltrans Strategic Plan) with transportation needs from Caltrans six modal plans, Caltrans can leverage federal and state discretionary funding through the project nomination process, using standardized methodologies and protocols to evaluate, prioritize, and nominate projects for competitive fund programs.

CAPTI S4.1

Develop and Implement the CSIS to Align Caltrans Project Nominations with the CAPTI Investment Framework.

Ultimately, the CSIS guides how Caltrans nominates the best projects that includes multimodal transportation options to expand mode choices and reduce transportation-related emissions. Through the prioritization process, Caltrans can make well-informed investment decisions and communicate to stakeholders the value of those investments in the communities we serve.



2. Equity

Caltrans acknowledges that communities of color and under-served communities experienced fewer benefits and a greater share of negative impacts associated with our state's transportation system. Some of these disparities reflect a history of transportation decision-making, policies, processes, planning, design, and construction that “quite literally put up barriers, divided communities, and amplified racial inequities, particularly in our Black and Brown neighborhoods.”¹ To create a brighter future for all, the CSIS is committed to implementing concrete actions outlined in the Race & Equity Action Plan (December 10, 2020) that include:



People – We will create a workforce at all levels that is representative of the communities we serve by improving our recruitment, hiring, contracting, and leadership development policies and practices.



Programs & Projects – We will meaningfully engage communities most impacted by structural racism in the creation and implementation of the programs and projects that impact their daily lives by creating more transparent, inclusive, and ongoing consultation and collaboration processes. We will achieve our equity commitments through an engagement process where everyone is treated with dignity and justice. We will reform our programs, policies, and procedures based on this engagement to avoid harm to frontline and vulnerable communities. We will prioritize projects that improve access for and provide meaningful benefits to underserved communities.



Partnerships - By leveraging our transportation investments, we also commit to increasing pathways to opportunity for minority-owned and disadvantaged business enterprises, and for individuals who face systemic barriers to employment.



Planet - We commit to combatting the climate crisis and its disproportionate impact on frontline and vulnerable communities — such as Black and Indigenous peoples, communities of color, the people experiencing homelessness, people with disabilities, and youth. We will change how we plan, design, build, and maintain our transportation investments to create a more resilient system that more equitably distributes the benefits and burdens to the current and future generations of Californians.

¹ California State Transportation Agency Secretary David Kim's Statement on Racial Equity, Justice and Inclusion in Transportation

3. Data- and Performance-Driven Approach

The purpose of the CSIS is to establish a framework with standard methodologies to guide transportation investments through a transparent scoring and prioritization process when nominating Non-SHOPP projects for various discretionary fund programs. While CAPTI specifically calls for CSIS to implement a data- and performance-driven nomination approach, this document establishes a qualitative approach as an interim measure to immediately implement CAPTI. Development of a data-driven approach will involve a multi-disciplinary team comprised of subject matter experts (SME) from various Caltrans HQ and district divisions and programs. This team will conduct in-depth studies and data analyses and establish performance metrics for tracking goals and targets. When implemented effectively, the future of a data- and performance-driven approach will quantitatively determine the best projects to nominate, fund, and sponsor to expand mode choices, advance critical climate and health considerations in transportation, while also addressing inequities in the transportation system.

4. Planning to Programming

The State's six Modal Plans shown in Figure 4.1 link the overarching goals and policies to specific transportation needs and projects. As these modal plans are guided by and support the goals, objectives, and strategies of the CTP 2050, the CTP also unifies regional and modal plans in its comprehensive vision. Hence, future updates of these plans continuously inform and support one another.

District planning documents, such as the District System Management Plan and Corridor Plans/Transportation Concept Reports, are instrumental in facilitating the development of conceptual Non-SHOPP projects to be ready for future programming. Through continuous collaboration between districts and their partner agencies, districts submit nominations of their priority conceptual projects for development of State-Sponsored Project Initiation Document (PID), which is a required document to be eligible for programming. The nomination process for State-Sponsored Non-SHOPP PIDs, which occurs annually, utilizes the processes outlined in this Interim CSIS. Implementation of the CSIS for State-Sponsored Non-SHOPP PIDs encourages Caltrans and partner agencies to deeply consider multimodal, equity, community engagement, climate action, and other key CAPTI principles in early planning efforts, scope development, and throughout the project development process.

Figure 4.1 – List of State Modal Plans

SIX STATE MODAL PLANS

1. California Aviation System Plan Policy Element
2. California Freight Mobility Plan
3. California State Rail Plan
4. Interregional Transportation Strategic Plan
5. Statewide Transit Strategic Plan
6. Towards an Active California: State Bicycle and Pedestrian Plan

5. Transportation Funding and Priorities

Senate Bill 1 (SB 1), the Road Repair and Accountability Act of 2017, is a landmark transportation bill to rebuild California by providing a comprehensive and multi-modal fund set aside for highways, local streets and roads, goods movement, active transportation, and transit through a variety of formulaic and competitive programs. This bill provides new funding opportunities for Non-SHOPP projects, which have historically been funded by the State Transportation Improvement Program (STIP) and local funds. While the passage of SB 1 stabilizes the STIP that has been historically volatile, it also

created new competitive programs to provide additional funding opportunities for state and local agencies, such as the Solutions for Congested Corridors Program (SCCP) and the Trade Corridor Enhancement Program (TCEP)

In November 2021, the Federal Infrastructure Investment and Jobs Act, commonly referred to as the Bipartisan Infrastructure Law, was signed into law. The Bipartisan Infrastructure Law provides the largest Federal investment in public transit in history and establishes new competitive transportation programs with over \$31 billion in funding over the next five years, from fiscal year 2022 to 2026. Additionally, funding for existing Infrastructure for Rebuilding America (INFRA) and Rebuilding American Infrastructure with Sustainability and Equity (RAISE) competitive programs also increased by over 50 percent annually over the next five years.

When leveraging billions of dollars in annual state and federal discretionary fund programs, CAPTI recommends implementing projects that are consistent with the adopted Sustainable Communities Strategies, pursuant to SB 375, and SB 743, which aims to reduce vehicle miles traveled (VMT), combat climate change, promote infill development, and expand multimodal transportation networks. With greater funding opportunities and a stronger commitment to achieve the 10 CAPTI Guiding Principles, the partnership between state and local agencies is increasingly important to advance the right projects from conceptual to PID development and ultimately to programming and construction.



Table 5.1 lists some of the major competitive state and federal discretionary fund programs in which the State is an eligible applicant and Caltrans intends to leverage.

Table 5.1 – State & Federal Discretionary Fund Programs
 (Not All-Inclusive)

Discretionary Funding Programs		Program Cycle	Annual Funding (in millions)
STATE	SB 1 Trade Corridor Enhancement Program (TCEP)	Biennial	\$300
	Transit & Intercity Rail Capital Program (TIRCP)	Biennial	\$275
	SB 1 Solutions for Congested Corridors (SCCP)	Biennial	\$250
	Active Transportation Program (ATP)	Biennial	\$223
	Interregional Transportation Improvement Program (ITIP)	Biennial	\$175
FEDERAL	Bridge Investment Program ♦	Annual	\$2,500
	Nationally Significant Freight and Highway Projects (aka INFRA)	Annual	\$1,600
	Local and Regional Project Assistance (aka RAISE)	Annual	\$1,500
	National Infrastructure Project Assistance (Mega Projects) ♦	Annual	\$1,000
	Building Resilient Infrastructure and Communities (BRIC)	Annual	\$1,000
	Railroad Crossing Elimination Program ♦	Annual	\$600
	Charging and Fueling Infrastructure ♦	Annual	\$500
	Rural Surface Transportation Grant Program ♦	Annual	\$400
	Consolidated Rail Infrastructure and Safety Improvements (CRISI)	Annual	\$362
	Promoting Resilient Operations for Transformative, Efficient, and Cost-Saving Transportation (PROTECT) Grant ♦	Annual	\$280
	Active Transportation Infrastructure Investment Program ♦	Annual	\$200
	National Culvert Removal, Replacement, and Restoration Grants ♦	Annual	\$200
	Reconnecting Communities Pilot Program ♦	Annual	\$200
	Healthy Streets Program ♦	Annual	\$100
	Strengthening Mobility and Revolutionizing Transportation Grant Program (SMART) ♦	Annual	\$100
	Wildlife Crossings Pilot Program ♦	Annual	\$70
	Congestion Relief Program ♦	Annual	\$50
	Prioritization Process Pilot Program ♦	Annual	\$10
Stopping Threats on Pedestrians ♦	Annual	\$5	

♦ New competitive fund programs established under the Bipartisan Infrastructure Law

Within the “fix-it-first” approach and existing funding frameworks, California state transportation infrastructure investments should be prioritized to address transportation deficiencies while also meeting the following 10 CAPTI guiding principles, where feasible:

-  Building towards an integrated, statewide rail and transit network
-  Investing in networks of safe and accessible bicycle and pedestrian infrastructure
-  Including investments in light, medium, and heavy-duty zero-emission-vehicle infrastructure
-  Strengthening our commitment to social and racial equity by reducing public health harms and maximizing benefits to disproportionately impacted disadvantaged communities
-  Making safety improvements to reduce fatalities and severe injuries of all users towards zero
-  Assessing physical climate risk
-  Promoting projects that do not significantly increase passenger vehicle travel
-  Promoting compact infill development while protecting residents and businesses from displacement
-  Developing a zero-emission freight transportation system
-  Protecting natural and working land

6. Strategic Investment Strategy

The Office of Strategic Investment Planning (Investment Planning) leads the investment strategy through various processes and methodologies, from the call for nominations to the nomination of approved projects for competitive programs. This linear process (Figure 6.1) evaluates projects for alignment with CAPTI and program competitiveness to ensure projects provide equitable solutions to transportation problems and increase accessibility for all users, while reducing negative environmental and community impacts. The investment strategy utilizes this process to increase transparency by informing partners and stakeholders of the methodologies that Caltrans uses to evaluate, score, and nominate projects for competitive fund programs.

Figure 6.1 – General Nomination Process

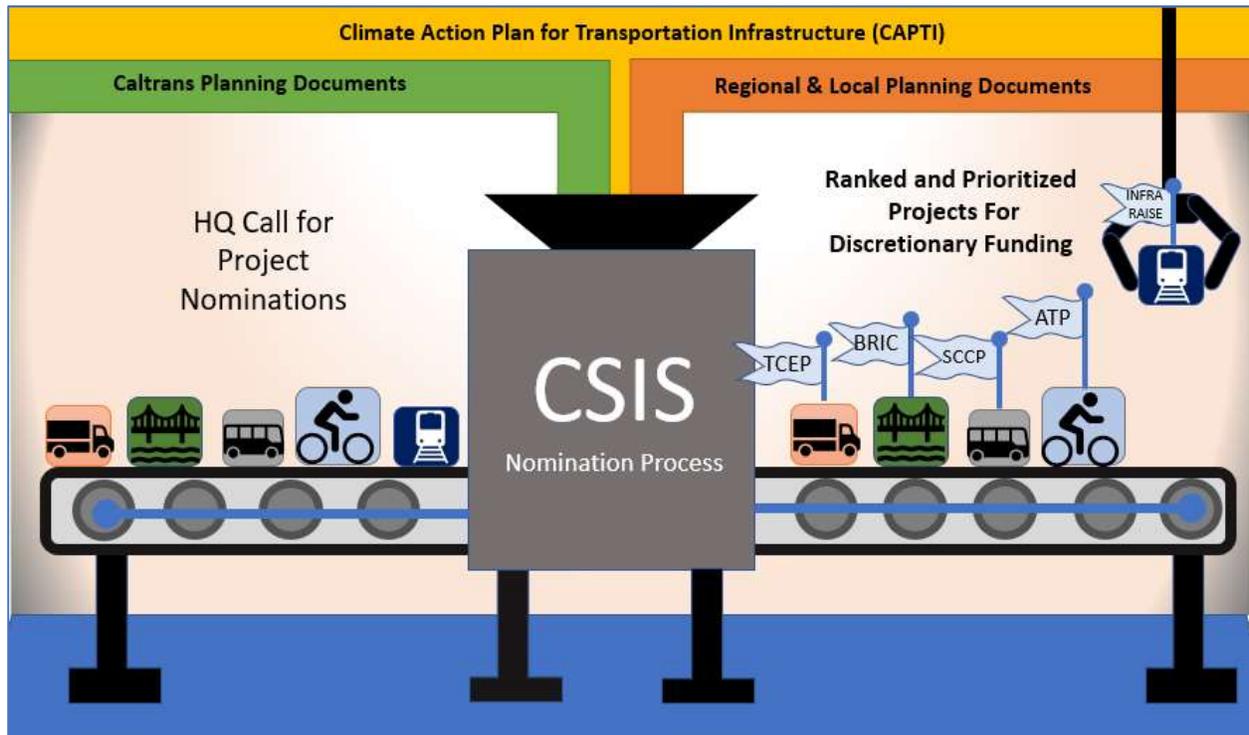


6.1 Project Nomination Process

As illustrated in Figure 6.1.2, the prioritization process within CSIS merges the long and short-range planning documents with projects nominated by districts to ensure alignment and consistency. The end product is a list of prioritized projects being nominated for specific fund programs in which they are eligible.

Prior to HQ Call for Nomination, Caltrans districts are highly encouraged to collaborate with partner agencies and stakeholders to develop a list of district priority projects. Districts then submit their project nominations to HQ via a nomination intake form (Appendix D), which is a mechanism for gathering basic project information and responses to a set of criteria questions that will be used in the project scoring process. Districts are encouraged to consult with the appropriate HQ programs for feedback as they develop responses to the criteria questions prior to submitting their nominations.

Figure 6.1.2 – Project Prioritization Process



6.2 Project Scoring Process

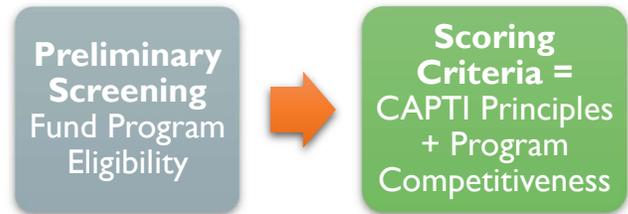
The scoring process consists of establishing the project review committee (hereinafter referred to as reviewers or committee), evaluating responses to a set of scoring criteria, and scoring each criterion based on the scoring rubric (Appendix G). The SME reviewers evaluate and score projects for assigned criteria relating to their area of expertise. The final scores are submitted to Investment Planning, which will be entered in the scoring tool. Within the scoring tool, the scores are collected, averaged, and ranked highest to lowest, with the highest scored project being the #1 recommended project, the second highest being the #2 recommended project, and so forth. This ranking results in a Recommended List of Prioritized Projects that will be shared with the districts.

6.2.1 Preliminary Screening and General Scoring

As the initial step in the scoring process, Investment Planning conducts preliminary screening (Appendix E) of all projects to ensure the projects meet program eligibility before proceeding to the next step.

Projects that pass Preliminary Screening advance to Project Scoring, where projects are evaluated and scored by the committee based on a set of Scoring Criteria (Appendix F) and an associated Scoring Rubric that defines the basis for each score (Appendix G). The scoring criteria consists of the following two key components:

Figure 6.2.1 Preliminary Screening



- **CAPTI Guiding Principles:** All projects are evaluated and scored based on CAPTI. Table 6.2.2 indicates which fund programs align with each CAPTI guiding principle.
- **Program-Specific:** This scoring criteria is specific to the fund program and intended to evaluate the competitiveness of the project for that program. This is not applicable for State-Sponsored Non-SHOPP PID program.

It is important to note that while the scoring criteria will satisfy both CAPTI and program-specific, the criteria languages may differ slightly among the different fund programs.

Table 6.2.2 – CAPTI Applicability for Fund Programs

CAPTI Framework		Funding Programs					
		ATP	INFRA	ITIP	RAISE	SCCP	TCEP
Types of Transportation Investments							
	Building towards an integrated, statewide rail and transit network		✓	✓	✓	✓	✓
	Investing in networks of safe and accessible bicycle and pedestrian infrastructure	✓	✓	✓	✓	✓	✓
	Including investments in light, medium, and heavy-duty zero-emission vehicle infrastructure		✓	✓	✓	✓	✓
How to Invest in Clean Transportation							
	Strengthening our commitment to social and racial equity by reducing public health harms and maximizing benefits to disproportionately impacted disadvantaged communities	✓	✓	✓	✓	✓	✓
	Making safety improvements to reduce fatalities and severe injuries of all users towards zero	✓	✓	✓	✓	✓	✓
	Assessing physical climate risk		✓	✓	✓	✓	✓
	Promoting projects that do not significantly increase passenger vehicle travel	✓	✓	✓	✓	✓	✓
	Promoting compact infill development while protecting residents and businesses from displacement	✓	✓	✓	✓	✓	✓
	Developing a zero-emission freight transportation system		✓	✓	✓	✓	✓
	Protecting natural and working land		✓	✓	✓	✓	✓

6.2.2 Foundation for Scoring Criteria

In Fall 2021, Caltrans developed a set of scoring criteria for the 2021 Interregional Transportation Strategic Plan (ITSP, October 2021) to prioritize projects for the 2022 Interregional Transportation Improvement Program (ITIP, October 2021). The 2021 ITSP scoring criteria, included in Appendix F.4 and accessible [here](#), were based on the CTP 2050 goals and the CAPTI framework, with a focus on achieving interregional corridor objectives, policies, and needs. To maintain consistency, the 2021 ITSP scoring criteria serves as the foundation for developing scoring criteria for other state and federal programs, such as the State-Sponsored Non-SHOPP PID, SB 1 TCEP and SCEP, INFRA, RAISE, as well as new federal competitive programs established by the Bipartisan Infrastructure Bill. The criteria questions may be modified as appropriate to align with program-specific objectives, goals, and needs. The scoring criteria for available fund programs are included in Appendix F.

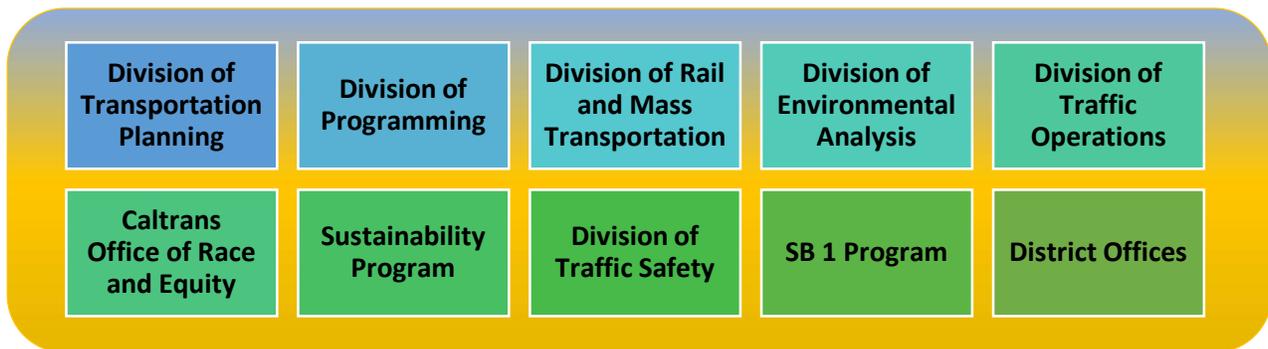
To provide a general framework of scoring criteria development, below is a list of criteria questions from the 2021 ITSP, which is modified to be nonspecific to interregional travel and can be applied to other programs, as appropriate.

1. How does the project improve travel in the corridor?
2. Does the project demonstrate potential for mode shift, including to rail, transit, or active transportation?
3. How does the project impact single occupancy vehicle miles traveled (VMT)?
4. How does the project include and document a meaningful public engagement process to traditionally underrepresented groups (including black, indigenous, and other people of color (BIPOC)), low income, environmental justice communities, and/or their Community Based Organizations) and incorporate local community needs into the project?
5. How does the project impact public health, including from a racial equity standpoint?
6. Does the project make an improvement to an emergency evacuation route identified in an emergency plan/hazard mitigation plan or strategy using an approach that is supported by state/local emergency services?
7. Does the project reduce fatalities and severe injuries for all users in alignment with the Safe Systems approach?
8. Does the project include and/or improve access to zero emission charging or fueling infrastructure?
9. Does the project improve climate adaptation and resiliency by addressing one or more climate risk(s) identified in the Caltrans District Vulnerability Assessments and Adaptation Priority Reports or a regional or local climate change adaptation plan?
10. Does the project minimize the impact on natural resources and ecosystems?
11. Does the project leverage SHOPP investment or other maintenance or rehabilitation funds for the purpose of maintaining or rehabilitating assets in fair or poor condition within the project limits?
12. Does the project leverage partner funds?
13. How does the project impact the economy?

6.2.3 Project Review Committee

A multi-disciplinary project review committee is vital to the success of the scoring process. It is a team of volunteer SMEs (Figure 6.2.3) formed for each fund program cycle to evaluate and score projects. After completion of preliminary screening, a kick-off meeting will be held with the committee to discuss the overall nomination process, including fund program guidelines, scoring rubrics, evaluation materials, and general rules and expectations. Projects are then randomly assigned to the reviewers, who will review the projects against the criteria for which they are assigned as their area of expertise. For example, a reviewer from the Division of Traffic Operations would review the criteria on VMT and Safety for all projects assigned. The reviewers are guided by the Scoring Rubric (Appendix G) and record their scores in the Scoring Sheet (Appendix H), as well as providing justifications for each score given.

Figure 6.2.3 – Project Review Committee
 (Not All-Inclusive)



6.3 Nomination of Approved Projects

Once all the scores are collected in the scoring tool, Investment Planning prepares the Recommended List of Prioritized Projects and submits to Caltrans Executive Management for review and approval of the projects. The final list is also presented to CalSTA for their review and concurrence. Districts are subsequently notified of the nominated projects and to proceed with development of the grant applications.

6.4 Letter of Support

Caltrans is often requested to provide letters of support for projects submitting grant application. For major discretionary fund programs that may not fully align with CAPTI, such as INFRA and RAISE, the projects are evaluated and selected through a similar process described in Sections 6.1 to 6.3, which involves collaboration with the SMEs to evaluate and score support letters to determine if projects align with the CAPTI guiding principles. The scoring process results in a recommended list of support letters that should proceed to Caltrans Director for signature.

There are certain discretionary fund programs where the signature authority is delegated to the District Director to increase efficiency. For major fund programs that fully align with CAPTI, such as the Consolidated Rail Infrastructure and Safety Improvements and Low/No

Emission Vehicle Program, signature authority is delegated to the District Director upon concurrence by HQ SMEs. For smaller grant programs, such as Area of Persistent Poverty and Tribal Transportation Program Safety Fund, the signature authority is delegated to the District Director, and the Districts is responsible for evaluating and selecting projects to support.

HQ Division of Transportation Planning retains the lead role in determining letter of support signature authority for all discretionary fund programs and providing appropriate oversight to ensure projects align with State goals and priorities. The LOS Signature Authority Decision Tree (Attachment I, *under development*) provides general guidance and parameters for signature authority and the extent of HQ evaluation.

7. CSIS Implementation

The CSIS implementation will set the State on a successful path of leveraging discretionary funding sources to achieve State's goals and priorities. This Interim CSIS will focus on a qualitative approach to evaluate, score, and nominate projects as a proactive measure to immediately implement CAPTI until a data-driven approach can be developed. The CSIS will be revisited and modified in late 2022 to early 2023 using SB 1 TCEP & SCCP Cycle 3, ATP Cycle 6, and other past programs as case studies for fine-tuning the methodologies and transitioning to a data and performance approach, where appropriate and feasible. To successfully implement the CSIS, it is paramount that state and local partnerships are successfully established and maintained to ensure project progression and commitment to the CAPTI framework are carried through the life of the project.

Figure 7.1 – CSIS Implementation Timeline *(Subject to Change)*



APPENDIX A: 10 CAPTI Guiding Principles



CAPTI

Climate Action Plan for
Transportation Infrastructure



July 2021 • Final Draft

10 CAPTI Guiding Principles

1. **Building toward an integrated, statewide rail and transit network**, centered around the existing California State Rail Plan that leverages the California Integrated Travel Project to provide seamless, affordable, multimodal travel options in all context, including suburban and rural settings, to all users.
2. **Investing in networks of safe and accessible bicycle and pedestrian infrastructure**, particularly by closing gaps on portions of the State Highway System that intersect local active transportation and transit networks or serve as small town or rural main streets, with a focus on investments in low-income and disadvantaged communities throughout the state.
3. **Investments in light, medium, and heavy-duty zero-emission vehicle (ZEV) infrastructure** as part of larger transportation projects. Support the innovation in and development of the ZEV market and help ensure ZEVs are accessible to all, particularly to those in more rural or remote communities.
4. **Strengthening our commitment to social and racial equity by reducing public health and economic harms and maximizing community benefits** to disproportionately impacted disadvantaged communities, low-income communities, and Black, Indigenous, and People of Color (BIPOC) communities, in urbanized and rural regions, and involve these communities early in decision-making. Investments should also avoid placing new or exacerbating existing burdens on these communities, even if unintentional.
5. **Making safety improvements to reduce fatalities and severe injuries of all users towards zero** on our roadways, railways and transit systems by focusing on context appropriate speeds, prioritizing vulnerable user safety to support mode shift, designing roadways to accommodate for potential human error and injury tolerances, and ultimately implementing a safe systems approach.
6. **Assessing physical climate risk** as standard practice for transportation infrastructure projects to enable informed decision making, especially in communities that are most vulnerable to climate-related health and safety risks.
7. **Promoting projects that do not significantly increase passenger vehicle travel**, particularly in congested urbanized settings where other mobility options can be provided and where projects are shown to induce significant auto travel. These projects should generally aim to reduce VMT and not induce significant VMT growth. When addressing congestion, consider alternatives to highway capacity expansion, such as providing multimodal options in the corridor, employing pricing strategies, and using technology to optimize operations.
8. **Promoting compact infill development while protecting residents and businesses from displacement** by funding transportation projects that support housing for low-income residents near job centers, provide walkable communities, and address affordability to reduce the housing-transportation cost burden and auto trips.
9. **Developing a zero-emission freight transportation system** that avoids and mitigates environmental justice impacts, reduces criteria and toxic air pollutants, improves freight's economic competitiveness and efficiency, and integrates multimodal design and planning into infrastructure development on freight corridors.
10. **Protecting natural and working lands** from conversion to more intensified uses and enhance biodiversity by supporting local and regional conservation planning that focuses development where it already exists and align transportation investments with conservation priorities to reduce transportation's impact on the natural environment.

APPENDIX B: EO N-19-19

EXECUTIVE DEPARTMENT STATE OF CALIFORNIA

EXECUTIVE ORDER N-19-19

WHEREAS California is proof that a bold climate agenda is good for the economy, for workers, for health and for our future, as evidenced by our state having achieved record economic growth while reaching some of the strongest climate goals in the world; and

WHEREAS in the face of inaction on climate change from the federal government, California is a global leader in climate change mitigation efforts through bold climate goals and actions, as well as leadership in the US Climate Alliance and Under2 Coalition, using the state's power as the fifth largest economy in the world to drive positive action; and

WHEREAS California has ambitious and essential climate goals to transition to a healthier, more sustainable and more inclusive economy, including: reducing greenhouse gas emissions 40 percent below 1990 levels by 2030; providing 100 percent of the state's electricity from clean energy sources by 2045; reducing methane emissions and hydrofluorocarbon gases by 40 percent; and adding five million zero-emission vehicles to California's roads by 2030; and

WHEREAS California has made substantial, measurable progress on many of the goals enumerated above, but in recent years, direct tailpipe emission from cars, ships, diesel trains, airplanes, and other transportation sources have remained a stubborn driver of greenhouse gas emissions, totaling 40.1 percent of all greenhouse gas emissions statewide; and

WHEREAS the California Air Resources Board has a fifty-year history of leading the globe in addressing harmful pollution through innovative air pollution control standards, including the nation's first NOx emissions standards for motor vehicles; and

WHEREAS California's renewable energy targets have spurred innovation and private investment in new technologies with California leading the nation in clean technology patents and bringing in more than 50 percent of all clean energy investment in the nation; and

WHEREAS the state has made significant progress in lowering greenhouse gas emissions and mitigating climate risk in California's own state government operations and public schools; and

WHEREAS achieving California's climate goals will require concerted commitment and partnership by government, the private sector, and California residents.



NOW, THEREFORE, I, GAVIN NEWSOM, Governor of the State of California, by virtue of the power and authority vested in me by the Constitution and the statutes of the State of California, do hereby issue the following Order to become effective immediately to require that every aspect of state government redouble its efforts to reduce greenhouse gas emissions and mitigate the impacts of climate change while building a sustainable, inclusive economy.

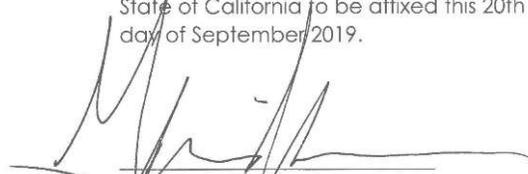
1. To leverage the state's \$700 billion investment portfolio to advance California's climate leadership, protect taxpayers, and support the creation of high-road jobs, the Department of Finance shall create a Climate Investment Framework.
 - a. The Framework shall include a proactive investment strategy for the state's pension funds that reflects the increased risks to the economy and physical environment due to climate change.
 - b. The Framework shall provide the timeline and criteria to shift investments to companies and industry sectors that have greater growth potential based on their focus of reducing carbon emissions and adapting to the impacts of climate change, including but not limited to investments in carbon-neutral, carbon-negative, climate resilient, and clean energy technologies.
 - c. The Framework shall align with the fiduciary responsibilities of the California Public Employees' Retirement System, California State Teachers' Retirement System and the University of California Retirement Program.
 - d. The Department of Finance shall consult with the Governor's Office of Planning and Research, and the California Department of Human Resources on the Framework.
2. The State Transportation Agency shall leverage the more than \$5 billion in annual state transportation spending for construction, operations, and maintenance to help reverse the trend of increased fuel consumption and reduce greenhouse gas emissions associated with the transportation sector. To accomplish this, the State Transportation Agency, in consultation with the Department of Finance, shall:
 - a. Align the state's climate goals with transportation spending on planning, programming and mitigation to achieve the objectives of the state's Climate Change Scoping Plan, where feasible,
 - b. Reduce vehicle miles traveled by strategically directing discretionary transportation investments in support of housing production near available jobs and in accordance with the state's smart growth principles, as defined in Government Code section 65041.1, and taking public health into account,

- c. Reduce congestion through innovative strategies designed to encourage people to shift from cars to other modes of transportation,
 - d. Fund transportation options that contribute to the overall health of Californians and reduce greenhouse gas emissions, such as transit, walking, biking and other active modes, and
 - e. Mitigate increases in transportation costs for lower income Californians.
3. The Department of General Services shall leverage its management and ownership of the state's 19 million square feet in managed buildings, 51,000 vehicles and other physical assets and goods to minimize state government's carbon footprint. To accomplish this, the Department of General Services shall:
 - a. Maximize reduction of greenhouse gas emissions, including harmful diesel emissions, from the state fleet,
 - b. Develop and implement sustainable purchasing policies across state agencies that prioritize the purchase of environmentally preferable goods such as more sustainable food and recycled materials, consistent with state climate policies,
 - c. Reduce greenhouse gas emissions and mitigate climate risk from the state's owned and future-leased buildings,
 - d. Manage energy demand to maximize benefits to the grid, and
 - e. Promote zero-emission vehicle purchasing in state and local government fleets.
4. To accelerate progress towards California's goal of five million zero emissions vehicles sales by 2030, the California Air Resources Board shall:
 - a. Develop new criteria for clean vehicle incentive programs to encourage manufacturers to produce clean, affordable cars,
 - b. Propose new strategies to increase demand in the primary and secondary markets for zero emissions vehicles, and
 - c. Consider strengthening existing or adopting new regulations to achieve the necessary greenhouse gas reductions from within the transportation sector.

IT IS FURTHER ORDERED that as soon as hereafter possible, this Order shall be filed with the Office of the Secretary of State and that widespread publicity and notice shall be given to this Order.

This Order is not intended to, and does not, create any rights or benefits, substantive or procedural, enforceable at law or in equity, against the State of California, its departments, agencies, or other entities, its officers or employees, or any other person.

IN WITNESS WHEREOF I have hereunto set my hand and caused the Great Seal of the State of California to be affixed this 20th day of September 2019.



GAVIN NEWSOM
Governor of California

ATTEST:

ALEX PADILLA
Secretary of State

APPENDIX C: EO N-79-20

EXECUTIVE DEPARTMENT STATE OF CALIFORNIA

EXECUTIVE ORDER N-79-20

WHEREAS the climate change crisis is happening now, impacting California in unprecedented ways, and affecting the health and safety of too many Californians; and

WHEREAS we must accelerate our actions to mitigate and adapt to climate change, and more quickly move toward our low-carbon, sustainable and resilient future; and

WHEREAS the COVID-19 pandemic has disrupted the entire transportation sector, bringing a sharp decline in demand for fuels and adversely impacting public transportation; and

WHEREAS as our economy recovers, we must accelerate the transition to a carbon neutral future that supports the retention and creation of high-road, high-quality jobs; and

WHEREAS California's long-term economic resilience requires bold action to eliminate emissions from transportation, which is the largest source of emissions in the State; and

WHEREAS the State must prioritize clean transportation solutions that are accessible to all Californians, particularly those who are low-income or experience a disproportionate share of pollution; and

WHEREAS zero emissions technologies, especially trucks and equipment, reduce both greenhouse gas emissions and toxic air pollutants that disproportionately burden our disadvantaged communities of color; and

WHEREAS California is a world leader in manufacturing and deploying zero-emission vehicles and chargers and fueling stations for cars, trucks, buses and freight-related equipment; and

WHEREAS passenger rail, transit, bicycle and pedestrian infrastructure, and micro-mobility options are critical components to the State achieving carbon neutrality and connecting communities, requiring coordination of investments and work with all levels of governments including rail and transit agencies to support these mobility options; and

WHEREAS California's policies have contributed to an on-going reduction in in-state oil extraction, which has declined by over 60 percent since 1985, but demand for oil has not correspondingly declined over the same period of time; and

WHEREAS California is already working to decarbonize the transportation fuel sector through the Low Carbon Fuel Standard, which recognizes the full life cycle of carbon in transportation emissions including transport into the State; and

WHEREAS clean renewable fuels play a role as California transitions to a decarbonized transportation sector; and

WHEREAS to protect the health and safety of our communities and workers the State must focus on the impacts of oil extraction as it transitions away from fossil fuel, by working to end the issuance of new hydraulic fracturing permits by 2024; and

WHEREAS a sustainable and inclusive economic future for California will require retaining and creating high-road, high-quality jobs through sustained engagement with communities, workers and industries in changing and growing industries.

NOW THEREFORE, I, GAVIN NEWSOM, Governor of the State of California by virtue of the power and authority vested in me by the Constitution and the statutes of the State of California, do hereby issue the following Order to pursue actions necessary to combat the climate crisis.

IT IS HEREBY ORDERED THAT:

1. It shall be a goal of the State that 100 percent of in-state sales of new passenger cars and trucks will be zero-emission by 2035. It shall be a further goal of the State that 100 percent of medium- and heavy-duty vehicles in the State be zero-emission by 2045 for all operations where feasible and by 2035 for drayage trucks. It shall be further a goal of the State to transition to 100 percent zero-emission off-road vehicles and equipment by 2035 where feasible.
2. The State Air Resources Board, to the extent consistent with State and federal law, shall develop and propose:
 - a) Passenger vehicle and truck regulations requiring increasing volumes of new zero-emission vehicles sold in the State towards the target of 100 percent of in-state sales by 2035.
 - b) Medium- and heavy-duty vehicle regulations requiring increasing volumes of new zero-emission trucks and buses sold and operated in the State towards the target of 100 percent of the fleet transitioning to zero-emission vehicles by 2045 everywhere feasible and for all drayage trucks to be zero-emission by 2035.
 - c) Strategies, in coordination with other State agencies, U.S. Environmental Protection Agency and local air districts, to achieve 100 percent zero-emission from off-road vehicles and equipment operations in the State by 2035.

In implementing this Paragraph, the State Air Resources Board shall act consistently with technological feasibility and cost-effectiveness.

3. The Governor's Office of Business and Economic Development, in consultation with the State Air Resources Board, Energy Commission, Public Utilities Commission, State Transportation Agency, the

8. To support the transition away from fossil fuels consistent with the goals established in this Order and California's goal to achieve carbon neutrality by no later than 2045, the California Environmental Protection Agency and the California Natural Resources Agency, in consultation with other State, local and federal agencies, shall expedite regulatory processes to repurpose and transition upstream and downstream oil production facilities, while supporting community participation, labor standards, and protection of public health, safety and the environment. The agencies shall report on progress and provide an action plan, including necessary changes in regulations, laws or resources, by July 15, 2021.
9. The State Air Resources Board, in consultation with other State agencies, shall develop and propose strategies to continue the State's current efforts to reduce the carbon intensity of fuels beyond 2030 with consideration of the full life cycle of carbon.
10. The California Environmental Protection Agency and the California Natural Resources Agency, in consultation with the Office of Planning and Research, the Department of Finance, the Governor's Office of Business and Economic Development and other local and federal agencies, shall develop strategies, recommendations and actions by July 15, 2021 to manage and expedite the responsible closure and remediation of former oil extraction sites as the State transitions to a carbon-neutral economy.
11. The Department of Conservation's Geologic Energy Management Division and other relevant State agencies shall strictly enforce bonding requirements and other regulations to ensure oil extraction operators are responsible for the proper closure and remediation of their sites.
12. The Department of Conservation's Geologic Energy Management Division shall:
 - a) Propose a significantly strengthened, stringent, science-based health and safety draft rule that protects communities and workers from the impacts of oil extraction activities by December 31, 2020.
 - b) Post on its website for public review and consultation a draft rule at least 60 days before submitting to the Office of Administrative Law.

Department of Finance and other State agencies, local agencies and the private sector, shall develop a Zero-Emissions Vehicle Market Development Strategy by January 31, 2021, and update every three years thereafter, that:

- a) Ensures coordinated and expeditious implementation of the system of policies, programs and regulations necessary to achieve the goals and orders established by this Order.
 - b) Outlines State agencies' actions to support new and used zero-emission vehicle markets for broad accessibility for all Californians.
4. The State Air Resources Board, the Energy Commission, Public Utilities Commission and other relevant State agencies, shall use existing authorities to accelerate deployment of affordable fueling and charging options for zero-emission vehicles, in ways that serve all communities and in particular low-income and disadvantaged communities, consistent with State and federal law.
 5. The Energy Commission, in consultation with the State Air Resources Board and the Public Utilities Commission, shall update the biennial statewide assessment of zero-emission vehicle infrastructure required by Assembly Bill 2127 (Chapter 365, Statutes of 2018) to support the levels of electric vehicle adoption required by this Order.
 6. The State Transportation Agency, the Department of Transportation and the California Transportation Commission, in consultation with the Department of Finance and other State agencies, shall by July 15, 2021 identify near term actions, and investment strategies, to improve clean transportation, sustainable freight and transit options, while continuing a "fix-it-first" approach to our transportation system, including where feasible:
 - a) Building towards an integrated, statewide rail and transit network, consistent with the California State Rail Plan, to provide seamless, affordable multimodal travel options for all.
 - b) Supporting bicycle, pedestrian, and micro-mobility options, particularly in low-income and disadvantaged communities in the State, by incorporating safe and accessible infrastructure into projects where appropriate.
 - c) Supporting light, medium, and heavy duty zero-emission vehicles and infrastructure as part of larger transportation projects, where appropriate.
 7. The Labor and Workforce Development Agency and the Office of Planning and Research, in consultation with the Department of Finance and other State agencies, shall develop by July 15, 2021 and expeditiously implement a Just Transition Roadmap, consistent with the recommendations in the "Putting California on the High Road: A Jobs and Climate Action Plan for 2030" report pursuant to Assembly Bill 398 (Chapter 135, Statutes of 2017).

IT IS FURTHER ORDERED that as soon as hereafter possible, the Order be filed in the Office of the Secretary of State and that widespread publicity and notice be given of this Order.

This Order is not intended to, and does not, create any rights or benefits, substantive or procedural, enforceable at law or in equity, against the State of California, its agencies, departments, entities, officers, employees, or any other person.

IN WITNESS WHEREOF I have hereunto set my hand and caused the Great Seal of the State of California to be affixed this 23rd day of September 2020.



GAVIN NEWSOM
Governor of California

ATTEST:

ALEX PADILLA
Secretary of State

APPENDIX D: Nomination Intake Form

D.1 ATP Nomination Intake Form

1

ATP Cycle 6 Call for Project Nominations Intake Form Worksheet

Please use this **worksheet** to collaborate with partners and compile information before submitting the **ATP Cycle 6 Call for Project Nominations Intake Form** (via Smartsheet). Information collected in both the **worksheet** and **form** will be used by Caltrans DOTP during the project nomination review process for Cycle 6 of the Active Transportation Program (ATP).

IMPORTANT: Nominations must be submitted using the Smartsheet form by COB January 5, 2022.

*This worksheet (as well as other documents listed in Section VII) **must be uploaded** as an attachment to the **Smartsheet form**.*

Intake Form/Worksheet Contents:

- I. [General Information](#)
- II. [Location Information](#)
- III. [Funding Information](#)
- IV. [Political Information](#)
- V. [Project Narratives](#)
- VI. [Contact Information](#)
- VII. [Supporting Documents](#)

Instructions:

- For multiple-choice questions, utilize the check boxes provided.
- For short-answer questions, **please respond directly to the prompts given** (highlighted in gray).
 - Note: Text responses are limited in the Smartsheet form (you may run out of space). Please utilize this worksheet to provide detailed and complete responses.
- **Required questions are marked with an asterisk (*)**.
- Please review the supplemental documents in Section VII.
 - **Required documents include:**
 - ATP Cycle 6 Call for Project Nominations Intake Form Worksheet (this document)
 - Project Map

Please contact Romeo Estrella at Romeo.estrella@dot.ca.gov or Jennifer Synhorst <mailto:Jennifer.Synhorst@dot.ca.gov> with any questions.

Thank you!

I. General Information

1. Project Name*

Please provide a name for the project.

2. Local/Regional Partner(s)

For jointly nominated projects, please identify the local and/or regional partner(s).

3. Source Document

Please indicate if the project is consistent with an adopted RTP (please include a link) and aligned with local and regional priorities (upload documentation). Please list all other planning documents that informed this project proposal.

4. ATP Project Type*

Please indicate the ATP project type.

- Infrastructure (I)
- Plan
- Non-Infrastructure (NI)
- Infrastructure with Non-Infrastructure Components (I + NI)
- Quick-Build

5. ATP Project Size*

Please indicate the ATP project size by total project cost.

- Large Project (Total project cost greater than \$7 million)
- Medium Project (Total project cost more than \$2 million and up to \$7 million)
- Small Project (Total project cost \$2 million or less)

6. ATP Special Project Designation*

Please indicate if the project qualifies for an ATP Special Project Designation.

- Safe Routes to School
- Recreational Trails
- Not Applicable

7. Project Location Description and Scope*

Please describe the location of the project and the project scope. Include specifics, as applicable: Class of bike lane and miles of bike lane; is part of a Safe Routes to School Program; geometric improvement to roadway, etc. Please spell out first instances of acronyms. DO NOT use all-uppercase text to write the entire project description.

8. Project Planning Number (PPNO)

If applicable.

9. Expenditure Authorization (EA)

If applicable. Must be in this format: 12345 (DO NOT include district number).

10. Project Elements

Please identify the project elements. If *Other Active Transportation Mode* is selected, please indicate additional information in the scope.

- Pedestrian
- Bicycle
- Complete Streets
- Transit connections
- Linkage/connections to recreation trails
- Other Active Transportation Modes

11. Current Phase*

Please identify the current phase of the project. Projects already in construction are not eligible for ATP funding.

- PID
- PA&ED
- PS&E / ROW
- N/A

12. Component(s) Requested*

Please identify the components requesting funding from ATP.

- PA&ED
- PS&E
- ROW
- CON
- N/A

13. CON Start Year

Please provide the scheduled start of construction (year). Projects must commence the ROW phase or actual construction within 10 years of receiving pre-construction funding through ATP.

II. Location Information

14. Caltrans District*

Please identify the District(s) in which the project is located.

15. County/Countries*

Please identify the county/counties in which the project is located.

16. Route(s)*

Is the project on a state highway facility, please type the route number (ex: SR-24, type "24"). Please separate routes by commas (ex., "101, 280"). If the project is off system, please type "OFF" and provide street names).

17. Begin Post Mile

Please type NUMBERS ONLY (no hyphens). Utilize the [Postmile Query Tool](#).

18. End Post Mile

Please type NUMBERS ONLY (no hyphens). Utilize the [Postmile Query Tool](#).

19. Disadvantaged Communities*

Does the project qualify as a disadvantage community? Select all that apply. To qualify as a disadvantaged community the community served by the project must meet at least one of the following criteria (Please upload screenshots or documentation of data):

- Median Household Income: (Table ID B19013) is less than 80% of the statewide median based on the most current Census Tract (ID 140) level data from the 2014-2018 American Community Survey (<\$56,982). Communities with a population less than 15,000 may use data at the Census Block Group (ID 150) level. Unincorporated communities may use data at the Census Place (ID 160) level. [Data is available at the United States Census Bureau Website](#).
- [SB 535 Disadvantaged Communities Map \(CalEnviroScreen 3.0\)](#) An area identified as among the most disadvantaged 25% in the state according to the CalEPA and based on the California Communities Environmental Health Screening Tool 3.0 (CalEnviroScreen 3.0) scores (score must be greater than or equal to 39.34).
- National School Lunch Program: At least 75% of public-school students in the project area are eligible to receive free or reduced-price meals under the National School Lunch Program. Data is available at the [California Department of Education website](#). Applicants using this measure must indicate how the project benefits the school students in the project area. Project must be located within two miles of the school(s) represented by this criterion.
- Healthy Places Index: The Healthy Places Index includes a composite score for each census tract in the State. The higher the score, the healthier the community conditions based on 25 community characteristics. The scores are then converted to a percentile to compare it to other

tracts in the State. A census tract must be in the 25th percentile or less to qualify as a disadvantaged community. The live map and the direct data can both be found on the [California Healthy Places Index website](#).

- Median Household Income
- SB 353 Disadvantaged Community (CalEnviroScreen)
- National School Lunch Program
- Healthy Places Index
- Other (If you believe that the project benefits a disadvantaged community, but the project does not meet the mentioned criteria due to a lack of accurate information, the District may attach another means of qualifying for consideration)
- Not Applicable

20. Native American Land*

Is the project located in a Native American Land, OR does the project provide benefits to a Native American Land? [Please use the Native American Land Viewer Map](#).

- Located in Native American Land
- Provides Benefits to Native American Land
- Is Not Located in/Does not Provide Benefits to Native American Land

21. Benefits to Native American Land

If the project is either located in or provides benefits to a Native American Land, please describe the benefits below.

22. Safe Routes to School

Describe how the project is within two miles of a public school or within the vicinity of a public-school bus stop (this does not apply to NI projects with no traffic education or enforcement activities). Demonstrate how the project directly increases safety and convenience for public school students to walk and/or bike to school. (APPLIES TO SAFE ROUTES TO SCHOOL PROJECTS ONLY).

23. Recreational Trails

Describe how the project serves active transportation purposes (such as multi-use paths, Class I bikeways, etc.) that may include, but are not primarily, recreational in nature. (APPLIES TO TRAIL PROJECTS ONLY).

III. Funding Information

24. Project Funding Table

Please fill out applicable cells in the table below to indicate funding requests and related information.

Project Funding								
Project Phase	Total Project Costs (\$1,000s)	Total ATP Funding Request (\$1,000s)	ATP Allocation Fiscal Year	Total Non-ATP Funding (\$1,000s)	Non-Participating Funding (\$1,000s)	"Prior" ATP Funding (\$1,000s)	Leveraging Funding (\$1,000s)	Future Local Identified Funding (\$1,000s)
PA&ED	\$	\$		\$	\$	\$	\$	\$
PS&E	\$	\$		\$	\$	\$	\$	\$
R/W	\$	\$		\$	\$	\$	\$	\$
CON	\$	\$		\$	\$	\$	\$	\$
NI-CON	\$	\$		\$	\$	\$	\$	\$
TOTAL	\$	\$		\$	\$	\$	\$	\$

ATP Cycle 6 Caltrans Project Nomination Intake Form Worksheet
 Division of Transportation Planning
 Office of Strategic Investment Planning
 August 2021

IV. Political Information

25. Congressional Information*

Please select all Congressional District(s) associated with the project location. For reference:
<https://www.govtrack.us/congress/members/map>

26. Key Stakeholders*

Please list key stakeholders.

27. Other Political Considerations

Please describe any other political considerations, such as any political groups or members that support/do not support the project. If there is significant opposition to the project, applicants should summarize any major points of concern raised by the opposition and provide a response.

V. Project Narratives

28. Benefit to Disadvantaged Communities and Advancing Equity

Describe the benefits to the disadvantaged community because of this project. Consistent with CAPTI, please describe how the project advances equity, eliminates transportation burdens for low-income communities, communities of color, people with disabilities, and other disadvantaged groups. Please describe the project's direct benefits to these communities. Explain how the disadvantaged community residents will have physical access to the project. Explain how these groups were involved in early decision-making, and/or explain future active engagement with the community. Address any issues of displacement that may occur because of this project, if applicable.

29. Need

Describe the issue(s) and deficiencies that this project will address. How will the proposed project benefit non-motorized users? What is the project's desired outcome and how will the project best deliver that outcome? How will the project increase walking and/or biking? Describe the identification of walking and bicycling routes to and from schools, transit facilities, community and employment centers, and other key destinations, including increasing and improving the connectivity and mobility of non-motorized users that the project addresses. Consistent with CAPTI, does the project close a gap, particularly by closing gaps on portions of the State Highway System that intersect local active transportation and transit networks, or serve as small town or rural main streets? Does the project provide connections to, or addresses a deficiency in an active transportation network or meets an important community need? If so, please describe.

30. Safety

Consistent with CAPTI, please describe how the project makes safety improvements to reduce the number and/or rate or the risk of pedestrian and bicyclist fatalities and severe injuries toward zero on our roadways by focusing on context appropriate speeds, prioritizing vulnerable user safety to support mode shift, designing roadways to accommodate for potential human error and injury tolerances, and ultimately implementing a safety-systems approach. Please include the identification of safety hazards for pedestrians and bicyclists and how the project is mitigating those hazards.

31. Public Participation and Planning

Identify the community-based public participation process that culminated in the project proposal, which may include noticed meetings and consultation with local stakeholders. Please include evidence on how the local participation process (including the participation of disadvantaged community stakeholders) resulted in the identification and prioritization of the proposed project. Illustrate and provide documentation for how the project was requested or supported by the disadvantaged community residents. If there is significant opposition to the project, applicants should summarize any major points of concern raised by the opposition and provide a response.

32. Context Sensitive Bikeways/Walkways and Innovative Project Elements

Describe how the project uses the “recognized best” solutions appropriate for the local community context, incorporates innovative features, and/or why the context of the project best lends itself to standard treatments/features. Does this project propose any solutions that are new to their region? As you address this question consider the following:

- The posted speed limits and actual speed
- The existing and future motorized and non-motorized traffic volume
- The widths for each facility
- The adjacent land use, and
- How the project is advancing a low(er) stress environment on each facility or a low stress network
 - What is the current stress level? (low, medium, or high?)
 - If the stress level is medium or high, is the project going beyond minimum design standards to maximize potential users of all ages and abilities?

33. Transformative Projects

Describe how your project will transform the non-motorized environment? Address the potential for this project to support existing and planned housing, especially affordable housing. Consistent with CAPTI, explain how the project promote compact infill development by supporting housing for low-income residents near job centers, provide walkable communities, and address affordability to reduce the housing-transportation cost burden and auto trips? How does the project encourage users to choose active transportation over auto travel (mode shift)? Does the project help reduce GHG and/or VMT?

VI. Contact Information

34. Primary Contact Information*

First Name

Last Name

Title

E-Mail Address

Phone Number

35. Secondary Contact Information

First Name

Last Name

Title

E-Mail Address

Phone Number

VII. Supporting Documents

36. Please upload supporting documents to the Smartsheet form. *

Required:

- **Project Nominations Intake Form Worksheet (THIS FORM)**
- **Project Map**

Optional: Project Fact Sheet, Community Engagement Information/Documentation, etc.

D.2 SB 1 SCCP & TCEP Nomination Intake Form

STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION
SCCP AND TCEP CYCLE 3 PROJECT NOMINATION INTAKE FORM

DIVISION OF TRANSPORTATION PLANNING

Rev 11/16/2021

Date:

Project Information				Primary Contact Information								
EA <input type="text"/>	PPNO <input type="text"/>	EFIS ID <input type="text"/>		Name: <input type="text"/>		Email: <input type="text"/>						
Location Description <input type="checkbox"/> On System <input type="checkbox"/> Off System (add Location under Project Description)				Select Program Type								
District <input type="text"/>	County <input type="text"/>	Route <input type="text"/>	Prefix <input type="text"/>	PM Back <input type="text"/>	Suffix <input type="text"/>	Prefix <input type="text"/>	PM Forward <input type="text"/>	Suffix <input type="text"/>	<input type="checkbox"/> SCCP (Complete Page 2)		<input type="checkbox"/> TCEP (Complete Page 3)	
Project Name												
Project Description												
Please select all applicable modes												
<input type="checkbox"/> Bike/Pedestrian <input type="checkbox"/> Complete Street <input type="checkbox"/> Grade Crossing <input type="checkbox"/> Highway <input type="checkbox"/> Highway (Freight) <input type="checkbox"/> ITS <input type="checkbox"/> Managed Lanes <input type="checkbox"/> Rail (Passenger) <input type="checkbox"/> Rail (Freight) <input type="checkbox"/> Transit <input type="checkbox"/> Port/POE												
List Regional Partners and Key Stakeholders						Is the project in an adopted RTP/SCS? <input type="checkbox"/> Yes <input type="checkbox"/> No Is the project in the State Rail Plan? <input type="checkbox"/> Yes <input type="checkbox"/> No Does the project have committed federal funding? <input type="checkbox"/> Yes <input type="checkbox"/> No						
Project Phase, Cost Estimates, and Schedule												
Project Current Phase: <input type="text"/>						Total Project Cost (x\$1,000): <input type="text"/>						
RTL Date: <input type="text"/>						Construction Start Date: <input type="text"/>						
Insert information if the project has received funding from Federal, State, Local, and/or Private sources												
	Funding Agency	Funding Source	Amount (Committed)	Component(s) Funded								
Fund 1	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>								
Fund 2	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>								
Fund 3	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>								
If the project was previously submitted to other funding programs, but did not receive funding, please identify:												
	Funding Agency	Funding Source	Amount (Committed)	Component(s) Funded								
Fund 1	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>								
Fund 2	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>								
Fund 3	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>								

STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION

PROJECT NOMINATION INTAKE SUPPLEMENTAL FORM FOR TCEP PROJECTS

DIVISION OF TRANSPORTATION PLANNING

Rev 11/16/2021

EA

<p>1.) Is the project in the California Freight Mobility Plan 2020 (CFMP)? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>2.) Is the project consistent with the CFMP goals? <input type="checkbox"/> Yes <input type="checkbox"/> No</p>																	
<p>3.) Select one or more of the following high-performance freight attributes within the TCEP project?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Advanced Traveler Information Systems <input type="checkbox"/> Border port of entry efficiency improvements <input type="checkbox"/> Eco-routing <input type="checkbox"/> Emissions reduction infrastructure for idling vehicles/vessels <input type="checkbox"/> Freight rail system improvements <input type="checkbox"/> Freight signal priority <input type="checkbox"/> Freight specific climate resiliency components <input type="checkbox"/> Freight, active transportation conflict reduction <input type="checkbox"/> Port or railyard intermodal capacity/efficiency <input type="checkbox"/> Public ZEV fueling facilities at sites <input type="checkbox"/> Railroad management and operations systems <input type="checkbox"/> Reduction of noise caused by freight movements <input type="checkbox"/> Short sea shipping infrastructure <input type="checkbox"/> Signal and rail freight yard/access spur improvements <input type="checkbox"/> Truck climbing lanes <input type="checkbox"/> Truck parking facilities <input type="checkbox"/> Truck parking information and/or reservation systems 	<p>4.) Select the corridor that your project area is located.</p> <ul style="list-style-type: none"> <input type="checkbox"/> Bay Area <input type="checkbox"/> Central Coast <input type="checkbox"/> Central Valley <input type="checkbox"/> Los Angeles/Inland Empire <input type="checkbox"/> San Diego/Border <input type="checkbox"/> Other <p>5.) Is the project located on a designated Critical Rural Freight Corridor (CRFC) or Critical Urban Freight Corridor (CUFC)?</p> <ul style="list-style-type: none"> <input type="checkbox"/> CRFC <input type="checkbox"/> CUFC <input type="checkbox"/> Designation of CRFC/CUFC by the time of allocation <input type="checkbox"/> Not located on CRFC nor CUFC <p>6.) Is the project located on or benefit the Primary Highway Freight System?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Yes - Project is located on the PHFS <input type="checkbox"/> Yes - Project benefits the PHFS <input type="checkbox"/> No - Project is not located on/project does not benefit the PHFS 																
<p>7.) TCEP Funding Information</p> <p>Cycle 3 Funding Request (X\$1,000) <input style="width: 100px;" type="text"/></p> <p>Cycle 3 Match Amount (X\$1,000) <input style="width: 100px;" type="text"/></p> <p>Proposed Match Funding Source:</p> <div style="border: 1px solid black; height: 40px; width: 100%;"></div>	<p>9.) Identify the phase(s) for which funds are being requested</p> <ul style="list-style-type: none"> <input type="checkbox"/> PA&ED <input type="checkbox"/> PS&E <input type="checkbox"/> R/W Sup <input type="checkbox"/> R/W Cap <input type="checkbox"/> CON Sup <input type="checkbox"/> CON Cap <input type="checkbox"/> Other <p>If requesting pre-construction funds, will the project commence R/W acquisition or actual construction within 10 years of receiving pre-construction funds?*</p> <p style="text-align: right;"><input type="checkbox"/> Yes <input type="checkbox"/> No</p>																
<p>10.) How does the project improve freight movement</p> <div style="border: 1px solid black; height: 80px; width: 100%;"></div>																	
<p>10.a) Please support your response to the question above by providing quantitative data below.</p> <table border="1" style="width: 100%; border-collapse: collapse; text-align: center;"> <thead> <tr> <th style="writing-mode: vertical-rl; transform: rotate(180deg);">Throughput Freight Measures</th> <th>Metric</th> <th>Project Type</th> <th>Results Change-Build vs No Build</th> </tr> </thead> <tbody> <tr> <td></td> <td>Change In Truck Volume</td> <td>Road</td> <td></td> </tr> <tr> <td></td> <td>Change In Rail Volume</td> <td>Rail</td> <td></td> </tr> <tr> <td></td> <td>Change In Cargo Volume</td> <td>Sea Port, Airport</td> <td></td> </tr> </tbody> </table>		Throughput Freight Measures	Metric	Project Type	Results Change-Build vs No Build		Change In Truck Volume	Road			Change In Rail Volume	Rail			Change In Cargo Volume	Sea Port, Airport	
Throughput Freight Measures	Metric	Project Type	Results Change-Build vs No Build														
	Change In Truck Volume	Road															
	Change In Rail Volume	Rail															
	Change In Cargo Volume	Sea Port, Airport															

STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION
PROJECT NOMINATION INTAKE SUPPLEMENTAL FORM FOR SCCP PROJECTS
 DIVISION OF TRANSPORTATION PLANNING
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 EA

1.) Is the project included in a Comprehensive Multimodal Corridor Plan? <input type="checkbox"/> Yes <input type="checkbox"/> No	
2.) Select Strategic Interregional Corridor that is associated with the project. <ul style="list-style-type: none"> <input type="checkbox"/> San Diego/Mexico - Inland Empire <input type="checkbox"/> Central Coast - Central Valley East/West Connectors <input type="checkbox"/> North Coast - Northern Nevada <input type="checkbox"/> Sacramento - Oregon <input type="checkbox"/> High Desert - Eastern Sierras - Northern Nevada <input type="checkbox"/> San Jose/San Francisco Bay Area - Sacramento - Northern Nevada <input type="checkbox"/> San Jose/San Francisco Bay Area - North Coast <input type="checkbox"/> Central Coast - San Jose/San Francisco Bay Area <input type="checkbox"/> South Coast - Central Coast <input type="checkbox"/> Southern California - Southern Nevada/Arizona <input type="checkbox"/> San Jose/San Francisco Bay Area - Central Valley - Los Angeles 	1.a) If marked yes for number 1, click below and add screenshot of the project within the CMCP. <div style="border: 1px solid black; height: 150px; display: flex; align-items: center; justify-content: center; margin: 10px 0;">  </div> or provide a link of the project within CMCP. <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>
3.) SCCP Funding Information <p>Cycle 3 Funding Request (X\$1,000) <input style="width: 100px;" type="text"/></p> <p>Cycle 3 Match Amount (X\$1,000) <input style="width: 100px;" type="text"/></p> <p>Proposed Match Funding Source:</p> <div style="border: 1px solid black; height: 40px; width: 100%; margin-top: 5px;"></div>	4.) Identify the component(s) for which funds are being requested (X \$1,000) <ul style="list-style-type: none"> <input type="checkbox"/> Construction Support <input style="width: 100px;" type="text"/> <input type="checkbox"/> Construction Capital <input style="width: 100px;" type="text"/>

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SCCP AND TCEP CYCLE 3 PROJECT NOMINATION INTAKE FORM - NARRATIVE PORTION
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Consistency with Statewide Priorities and Goals

This section provides an assessment of the projects' consistency with statewide transportation priorities and goals, including the [Climate Action Plan for Transportation Infrastructure \(CAPTI\)](#).

1. Does the project demonstrate potential for **mode shift**, including to rail, transit, or active transportation?

2. How does the project impact single occupancy Vehicle Miles Travelled (VMT)?

3. Does the project include and document a meaningful **public engagement process** to traditionally underrepresented groups (including black, indigenous, and other people of color (BIPOC), low-income, environmental justice communities, and/or their Community Based Organizations) and **incorporate local communities needs** into the project?

4. Is the project located in one or more Disadvantaged Communities?
 Please refer to the definitions and resources listed in the Project Nomination Form Guidance. Please use the mapping tools to search the project location, take a screenshot, and attach map(s) to the Smartsheet form.

- Median Household Income
- SB 535 Disadvantaged Community (CalEnviroScreen)
- National School Lunch Program
- Healthy Places Index
- Federally Recognized Tribal Lands
- Other/Regional Definition
- Not applicable

5. Does the project **reduce fatalities and severe injuries** for all users in alignment with the Safe Systems approach?

6. Does the project include and/or improve access to **Zero Emission Vehicle (ZEV)** charging or fueling infrastructure?

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SCCP AND TCEP CYCLE 3 PROJECT NOMINATION INTAKE FORM - NARRATIVE PORTION

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7. Does the project improve **climate adaptation and resiliency** by addressing one or more climate risk(s) identified in the Caltrans District Vulnerability Assessments and Adaptation Priority Reports or a regional or local climate change adaptation plan?

8. Does the project minimize the impact on **natural resources and ecosystems**?

9. Does the project promote **infill development** and land use patterns while protecting residents and businesses from displacement?

10. **General/Additional Comments or Narratives**

IMPORTANT: This worksheet must be submitted via the [Smartsheet form](#) by COB February 1, 2022.

D.3 State-Sponsored Non-SHOPP PID Nomination Intake Form

STATE OF CALIFORNIA – DEPARTMENT OF TRANSPORTATION
State-Sponsored Non-SHOPP PID Project Nomination Intake Form
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I. General Information

1. Project Name*					2. District Priority* 1	
3. PID Status* <input type="checkbox"/> New (skip #4 & 5) <input type="checkbox"/> Carryover						
4. Carryover Action Plan - Briefly describe District communications with HQ Office of Project Planning						
5. Carryover - Actual/Target M006 Date				6. Target PID Approval Date*		
7. Identify the sources where the project/need derived from. Check all that apply. <input type="checkbox"/> TCR/Corridor Plan <input type="checkbox"/> RTP <input type="checkbox"/> MONSTER List <input type="checkbox"/> Other, specify Comments:						
8. District*	9. EA*	10. County*	11. Route*	12. PM* beg.	end	
13. Location Description and Project Description*						
14. Conceptual/Preliminary Purpose & Need						
15. Project Sponsor* <input type="checkbox"/> Caltrans <input type="checkbox"/> Local Agency <input type="checkbox"/> Other, specify		16. Is this a Local-Sponsored project within county under 40,000 population?* Choose an item.		17. List Known Key Stakeholders		
18. Identify the <u>primary</u> mode(s)* Select up to two. <input type="checkbox"/> Bike/Pedestrian <input type="checkbox"/> Complete Streets <input type="checkbox"/> Freight <input type="checkbox"/> Highway <input type="checkbox"/> Managed Lanes <input type="checkbox"/> ITS <input type="checkbox"/> Port <input type="checkbox"/> Transit <input type="checkbox"/> Rail (Passenger) <input type="checkbox"/> Rail (Freight)				19. Identify any <u>secondary</u> project mode(s)* Select all that apply. <input type="checkbox"/> Bike/Pedestrian <input type="checkbox"/> Complete Streets <input type="checkbox"/> Freight <input type="checkbox"/> Highway <input type="checkbox"/> ITS <input type="checkbox"/> Port <input type="checkbox"/> Transit <input type="checkbox"/> Rail (Freight) <input type="checkbox"/> Rail (Passenger)		
20. Total PY Request to Complete the PID by FY: FY 22/23*				FY 23/24*		

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State-Sponsored Non-SHOPP PID Project Nomination Intake Form
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II. Preliminary Cost and Schedule

Components	Preliminary Estimates (in 1000s)	Potential Funding Sources
21. PA&ED*	\$	
22. PS&E	\$	
23. R/W Support	\$	
24. R/W Capital	\$	
25. Con Support	\$	
26. Con Capital	\$	
27. Project Total*	\$	
Preliminary Schedule:		28. Target Begin PA&ED Year* 29. Target RTL Year*
Comments:		

III. District Self-Assessment: Consistency with Statewide Goals & Priorities

30. Mode Shift*	Choose an item.	35. Expand ZEV Infrastructure*	Choose an item.
31. Reduce VMT*	Choose an item.	36. Address Climate Risk*	Choose an item.
32. Public Engagement*	Choose an item.	37. Natural & Working Lands*	Choose an item.
33. Benefits to DAC*	Choose an item.	38. Infill Development*	Choose an item.
34. Improve Safety*	Choose an item.		

IV. District Contact Information

39. Name (First, Last)*	
40. Title*	41. Phone*

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State-Sponsored Non-SHOPP PID Project Nomination Intake Form
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IV. Consistency with Statewide Goals & Priorities – Scoring Criteria

<p>42. MODE SHIFT: Does the project have the potential for mode shift, including to rail, transit, or active transportation?</p>
<p>43. REDUCE Vehicle Miles Traveled (VMT): What is the potential for the project to impact VMT?</p>
<p>44. PUBLIC ENGAGEMENT: How does the project plan to include and document a meaningful public engagement process that includes community-based participation?</p>
<p>45. BENEFITS TO DISADVANTAGED COMMUNITY (DAC): How does the project plan to incorporate local communities needs to provide benefits to a DAC?</p>
<p>46. IMPROVE SAFETY: Does the project plan to include safety improvements/enhancements to reduce fatalities and severe injuries for all users in alignment with the Safe Systems approach?</p>
<p>47. EXPAND ZERO EMISSION VEHICLE (ZEV) INFRASTRUCTURE: How does the project plan to include and/or improve access to ZEV charging or fueling infrastructure?</p>
<p>48. ADDRESS CLIMATE CHANGE: How does the project plan to improve climate adaptation and resiliency by addressing one or more climate risk(s)?</p>
<p>49. NATURAL AND WORKING LANDS: How does the project plan to minimize the impact on natural resources and ecosystems?</p>
<p>50. INFILL DEVELOPMENT: How does the project plan to promote infill development and transportation-efficient land use patterns while protecting residents and businesses from displacement?</p>

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V. Other Considerations

51. Fix-It-First Approach: How does the project plan to demonstrate a fix-it-first approach?	
52. Priority Location: Is this a priority location for the District? Why or why not?	
53. Innovative and Transformative Solutions: Does the project propose any innovative and/or transformative elements?	
54. Partnership and Stakeholder Engagement: Has there been previous engagement with local, regional, other transportation agencies and/or key stakeholders in supporting the development of this project?	
55. If the project location is in one or more Disadvantaged Communities, please select the source(s) of this determination. See instructions.	
<input type="checkbox"/> Median Household Income <input type="checkbox"/> SB 535 Disadvantaged Community (CalEnviroScreen) <input type="checkbox"/> National School Lunch Program <input type="checkbox"/> Healthy Places Index <input type="checkbox"/> Federally Recognized Tribal Lands <input type="checkbox"/> Other/Regional Definition <input type="checkbox"/> Not applicable	
56. ADDITIONAL CONSIDERATIONS	
Required:	<ul style="list-style-type: none"> • State-Sponsored, Non-SHOPP PID Nomination Intake Form (this document) • Question #20: K-Phase Resource Estimate Breakdown by Functional Units • Question #55: Disadvantaged Community – Screenshot to Support
Optional:	<ul style="list-style-type: none"> • Project Factsheet • Vicinity Map • Data or exhibits in response to Questions #42-50 • Support Letters • Other relevant documents (emails, RTP amendments, Board agenda, etc.)

IMPORTANT INSTRUCTIONS

Please use this worksheet to collaborate with internal and external partners and compile the information prior to completing the submittal form via Smartsheet. Fields marked with an asterisk (*) are required for Smartsheet submittal form at the following link:

<https://app.smartsheet.com/b/form/f5f99bf16454420ea02ddaf5fe0835a4>

Please contact Tracey Frost at tracey.frost@dof.ca.gov with any questions.

DEADLINE: Submit nominations via Smartsheet by **February 28, 2022.**

APPENDIX E: Preliminary Screening

E.1 ATP Screening Checklist

Active Transportation Program Cycle 6 Preliminary Screening Criteria Checklist

- Project is consistent with adopted RTP
- Project is not fully funded (not supplementing funds)
- Project is an eligible project for ATP ([section 13 in 2020 ATP Guidelines](#))
- If applying for pre-construction phase, must also be applying for construction phase
- Projects must be coordinated and aligned with local and regional priorities. Must submit documentation.
- Project cannot be funded through SHOPP
- Minimum Request amount (\$250,000)

E.2 SB 1 SCCP & TCEP Screening Checklist

Solutions for Congested Corridor Program (SCCP) and Trade Corridor Enhancement Program (TCEP) Cycle 3 Preliminary Screening Criteria Checklist

SCCP

- Project in a Comprehensive Multimodal Corridor Plan
- VMT Analysis
- Project is in RTP/SCS
- Requesting CON only funding
- No general-purpose lanes
- Independent Utility & Ready to start CON by December 31, 2025

TCEP

- Align with CFMP Goals and Criteria
- VMT Analysis
- Project is in RTP/SCS
- Project is on or benefits PHFS, CRFC or CUFC by the time of allocation
- Approved PID (PA&ED request only)
- R/W Acquisition or CON within 10 years of allocation

APPENDIX F: Scoring Criteria

F.1 ATP Scoring Criteria

Active Transportation Program Cycle 6 Scoring Criteria

Scoring Criteria	Maximum Points
Community Need	40
Safety	20
Benefits to Disadvantaged Communities and Advancing Equity	20
Public Participation & Planning	10
Context Sensitive & Innovation	5
Transformative Projects	5
Leveraging	5
Total	105

F.2 SB 1 SCCP & TCEP Scoring Criteria

QUESTION#	QUESTION TITLE	APPLICABLE PROGRAM	CAPTI ALIGNMENT
1	Mode Shift	TCEP; SCCP	CAP 1 and CAP 2
2	VMT	TCEP; SCCP	CAP 7
3	Public Engagement and Local Community Needs	TCEP; SCCP	CAP 5
4	Disadvantaged Communities	TCEP; SCCP	CAP 5
5	Reduce Fatalities and Severe Injuries	TCEP; SCCP	CAP 4
6	Zero Emission Vehicle	TCEP; SCCP	CAP 3 and CAP 8
7	Climate Adaptation and Resiliency	TCEP; SCCP	CAP 6
8	Natural Resources and Ecosystems	TCEP; SCCP	CAP 10
9	Infill Development	TCEP; SCCP	CAP 9
10	Leverage Funds	TCEP; SCCP	N/A
11	Improve Freight Movement	TCEP	N/A
12	High-Performance Freight Attributes	TCEP	N/A

F.3 State-Sponsored Non-SHOPP PID Scoring Criteria

QUESTION	CRITERIA QUESTION TITLE	CAPTI ALIGNMENT
1	Mode Shift	CAP 1 and CAP 2
2	Vehicles Mile-Traveled (VMT)	CAP 7
3	Public Engagement	CAP 5
4	Benefits to Disadvantaged Communities	CAP 5
5	Improve Safety	CAP 4
6	Expand Zero Emission Vehicle Infrastructure	CAP 3 and CAP 8
7	Address Climate Change	CAP 6
8	Natural and Working Lands	CAP 10
9	Infill Development	CAP 9

F.4 2021 ITSP Scoring Criteria

The information in this section is also accessible [here](#).

The ITSP must provide direction on how to identify and rank projects for ITIP consideration. Project evaluation criteria is vital to the implementation of the ITSP. The criteria will be used to evaluate projects to ensure they meet the objectives and policies outlined in this plan, including meeting legislative requirements and executive orders.

The project evaluation criteria are based on CAPTI as well as the eight goals identified in this plan and the CTP 2050: safety, climate, equity, quality of life, accessibility, economy, environment, and infrastructure. These criteria may be refined before each STIP cycle to incorporate new policies, altered circumstances, and legislation changes.

The ITIP scoring criteria are one factor in project selection. The responses for each criteria question will receive a score based on the applicable scoring range and each project will receive a final evaluation score totaled across all criteria. Each scoring criterion is weighted equally, with a maximum of three points and a minimum of zero points possible. Scoring criteria questions and ranges may be adjusted for future ITIP cycles.

Table 14: ITIP Scoring Criteria

Interregional Transportation Improvement Program Scoring Criteria	California Transportation Plan 2050 - ITSP 2021 Goals	Scoring Range
REQUIREMENT: Does the project support a facility identified in a strategic interregional corridor summary?	N/A	N/A
Is the project on a priority interregional facility?	N/A	Yes - 3 points; No - 0 points
How does the project improve interregional travel (e.g. freight movement, intercity rail, etc.)?	Safety, Accessibility, Environment, Economy, Infrastructure	Significantly improve - 3 points; Moderately improve - 2 points; Minimally improve - 1 point; Does not improve - 0 points
Does the project demonstrate potential for interregional travel mode shift, including to rail, transit, or active transportation?	Safety, Climate, Equity, Accessibility, Environment, Quality of Life, Environment, Economy, Infrastructure	High potential - 3 points; Medium potential - 2 points; Low potential - 1 point; No potential identified - 0 points
How does the project impact single occupancy vehicle miles traveled (VMT)?	Safety, Climate, Equity, Environment, Quality of Life, Environment	Significantly reduce VMT - 3 points; Moderately reduce VMT - 2 points; No Significant increase in VMT - 1 point; Significant increase in VMT - 0 points
How does the project include and document a meaningful public engagement process to traditionally underrepresented groups (including black, indigenous, and other people of color (BIPOC)), low income, environmental justice communities, and/or their Community Based Organizations) and incorporate local community needs into the project?	Safety, Equity, Accessibility, Environment, Quality of Life, Economy	Incorporates all needs - 3 points; Incorporates some needs - 2 points; Incorporates limited needs - 1 point; Did not consider community needs - 0 points

Inferregional Transportation Improvement Program Scoring Criteria	California Transportation Plan 2050 - ITSP 2021 Goals	Scoring Range
How does the project impact public health, including from a racial equity standpoint?	Safety, Equity, Accessibility, Environment, Quality of Life, Economy	Effectively address public health factors - 3 points; Moderately addresses public health factors - 2 points; Minimally addresses public health factors - 1 point; Does not consider factors - 0 points
Does the project make an improvement to an emergency evacuation route identified in an emergency plan/hazard mitigation plan or strategy using an approach that is supported by state/local emergency services?	Safety, Climate, Equity, Accessibility, Environment, Quality of Life, Environment, Economy, Infrastructure	Makes a significant improvement with a strategic approach - 3 points; Makes a moderate improvement - 2 points; Makes a minimal improvement - 1 point; Not an emergency evacuation route - 0 points
Does the project reduce fatalities and severe injuries for all users in alignment with the Safe Systems approach?	Safety, Equity, Accessibility, Environment, Quality of Life, Infrastructure	Significantly reduce - 3 points; Moderately reduce - 2 points; Does not increase or reduce - 1 point; Increases - 0 points
Does the project include and/or improve access to zero emission charging or fueling infrastructure?	Climate, Equity, Accessibility, Environment, Economy, Infrastructure	Substantial zero-emission charging or fueling infrastructural improvements/including installation of new equipment - 3 points; The project includes moderate improvements/access to ZEV infrastructure - 2 points; The project minimally addresses ZEV infrastructural needs - 1 point; Does not address ZEV infrastructure - 0 points

Inferregional Transportation Improvement Program Scoring Criteria	California Transportation Plan 2050 - ITSP 2021 Goals	Scoring Range
Does the project improve climate adaptation and resiliency by addressing one or more climate risk(s) identified in the Caltrans District Vulnerability Assessments and Adaptation Priority Reports or a regional or local climate change adaptation plan?	Climate, Equity, Environment, Quality of Life, Environment	Identifies climate risk(s) to the system and significantly improves resiliency and adaptation - 3 points; Identifies climate risk(s) to the system and adequately improves resiliency and adaptation - 2 points; Minimally identifies/addressed resiliency and adaptation needs - 1 point; Does not consider climate change resiliency and adaptation - 0 points
Does the project minimize the impact on natural resources and ecosystems?	Climate, Equity, Environment, Quality of Life, Environment	Significant positive benefits - 3 points; Moderate positive benefits - 2 points; Minimal positive benefits - 1 point; Negative impacts - 0 points
Does the project leverage SHOPP investment or other maintenance or rehabilitation funds for the purpose of maintaining or rehabilitating assets in fair or poor condition within the project limits?	Safety, Climate, Equity, Accessibility, Environment, Environment, Economy, Infrastructure	Leverages significant investment from SHOPP and/or other funding sources for rehabilitating/maintaining assets - 3 points; Leverages some investment from SHOPP and/or other funding sources for rehabilitating/maintaining assets - 2 points; Leverages minimal investment from SHOPP/other sources for rehabilitating/maintaining assets - 1 point; No rehabilitating/maintaining investments for assets - 0 points
Does the project leverage partner funds?	Infrastructure	Greater than 50% of project OR of RTP funds made available - 3 points; Between 26% and 50% of project OR of RTP funds made available - 2 points; Between 5% and 25% of project OR of RTP funds made available - 1 point; less than 5% of project OR of RTP funds made available - 0 points
How does the project impact the economy?	Economy	Significant positive impact - 3 points; Moderate positive impact - 2 points; Minimal positive impact - 1 point; No impact or negative impact - 0 points

APPENDIX G: Scoring Rubric

G.1 ATP Scoring Rubric

Active Transportation Program Scoring Rubrics: Community Need

Points*	Project Demonstrates and Addresses Community Need
4	<p>The District compellingly and clearly demonstrates and addresses community need in the project area, and documents all of the following in a clear narrative:</p> <ul style="list-style-type: none"> • the lack of connectivity, AND • the lack of mobility for non-motorized users, AND • Addresses local health concerns, AND • Implements CAPTI, by closing a gap, particularly by closing gaps on portions of the State Highway System that intersect local active transportation and transit networks, or serve as small town or rural main streets, that provides connections to, or addresses a deficiency in an active transportation network or meets an important community need, AND • Demonstrates the transportation needs of students of all ages, including high school and college/community college, <p>AND</p> <ul style="list-style-type: none"> • For projects benefiting a disadvantaged community – the need for the project in that community including transit facilities, community and employment centers, and other key destinations
3	<p>The District duly demonstrates and addresses community need in the project area, and documents only 2 of the following clearly, and at least one other one partially:</p> <ul style="list-style-type: none"> • the lack of connectivity, AND • the lack of mobility for non-motorized users, AND • Addresses local health concerns, AND • Implements CAPTI, by closing a gap, particularly by closing gaps on portions of the State Highway System that intersect local active transportation and transit networks, or serve as small town or rural main streets, that provides connections to, or addresses a deficiency in an active transportation network or meets an important community need, AND • Demonstrates the transportation needs of students of all ages, including high school and college/community college, <p>AND</p> <ul style="list-style-type: none"> • For projects benefiting a disadvantaged community – the need for the project in that community including transit facilities, community and employment centers, and other key destinations
2	<p>The District somewhat demonstrates and addresses community need in the project area, and documents only 1 of the following clearly, and at least one other partially:</p> <ul style="list-style-type: none"> • the lack of connectivity, and • the lack of mobility for non-motorized users, AND • Addresses local health concerns, AND • Implements CAPTI, by closing a gap, particularly by closing gaps on portions of the State Highway System that intersect local active transportation and transit networks, or serve as small town or rural main streets, that provides connections to, or addresses a deficiency in an active transportation network or meets an important community need, AND • Demonstrates the transportation needs of students of all ages, including high school and college/community college, <p>AND</p> <ul style="list-style-type: none"> • For projects benefiting a disadvantaged community – the need for the project in that community including transit facilities, community and employment centers, and other key destinations
1	<p>The District minimally demonstrates and addresses community need in the project area, and partially documents 1 of the following:</p> <ul style="list-style-type: none"> • the lack of connectivity, and • the lack of mobility for non-motorized users, AND • Addresses local health concerns, AND • Implements CAPTI, by closing a gap, particularly by closing gaps on portions of the State Highway System that intersect local active transportation and transit networks, or serve as small town or rural main streets, that provides connections to, or addresses a deficiency in an active transportation network or meets an important community need, AND • Demonstrates the transportation needs of students of all ages, including high school and college/community college, <p>AND</p> <ul style="list-style-type: none"> • For projects benefiting a disadvantaged community – the need for the project in that community including transit facilities, community and employment centers, and other key destinations
0	Project has no benefits to Community Need

*weight of 10

Active Transportation Program Scoring Rubrics: Safety

Points*	Project Improves Safety
4	<p>The project is consistent with CAPTI, by implementing safety improvements to reduce the number and/or rate or the risk of pedestrian and bicyclist fatalities and severe injuries toward zero on our roadways by focusing on context appropriate speeds, prioritizing vulnerable user safety to support mode shift, designing roadways to accommodate for potential human error and injury tolerances, and ultimately implementing a safety-systems approach.</p> <p>The District demonstrated this by clearly and convincingly providing that:</p> <ul style="list-style-type: none"> •The overall number of collisions is significant and that collision trends, collision types, or collision details will be positively impacted by the proposed safety improvements, AND • The District has described safety remedies for each need and how it will mitigate the potential for future non-motorized crashes in the area of the project, AND • The proposed safety features have a proven track record for addressing the past crash/safety needs, AND • There are significant safety threats to pedestrians and/or bicycles that can be mitigated by ATP eligible improvements.
3	<p>The project is consistent with CAPTI, by implementing safety improvements to reduce the number and/or rate or the risk of pedestrian and bicyclist fatalities and severe injuries toward zero on our roadways by focusing on context appropriate speeds, prioritizing vulnerable user safety to support mode shift, designing roadways to accommodate for potential human error and injury tolerances, and ultimately implementing a safety-systems approach.</p> <p>The District demonstrated this fairly well by providing that:</p> <ul style="list-style-type: none"> •The overall number of collisions is significant and that collision trends, collision types, or collision details will be positively impacted by the proposed safety improvements, AND • The District has described safety remedies for each need and how it will mitigate the potential for future non-motorized crashes in the area of the project, AND • The proposed safety features have a proven track record for addressing the past crash/safety needs, AND • There are significant safety threats to pedestrians and/or bicycles that can be mitigated by ATP eligible improvements.
2	<p>The project is consistent with CAPTI, by implementing safety improvements to reduce the number and/or rate or the risk of pedestrian and bicyclist fatalities and severe injuries toward zero on our roadways by focusing on context appropriate speeds, prioritizing vulnerable user safety to support mode shift, designing roadways to accommodate for potential human error and injury tolerances, and ultimately implementing a safety-systems approach.</p> <p>The District demonstrated this adequately by providing that:</p> <ul style="list-style-type: none"> •The overall number of collisions is significant and that collision trends, collision types, or collision details will be positively impacted by the proposed safety improvements, AND • The District has described safety remedies for each need and how it will mitigate the potential for future non-motorized crashes in the area of the project, AND • The proposed safety features have a proven track record for addressing the past crash/safety needs, AND • There are significant safety threats to pedestrians and/or bicycles that can be mitigated by ATP eligible improvements.
1	<p>The project is consistent with CAPTI, by implementing safety improvements to reduce the number and/or rate or the risk of pedestrian and bicyclist fatalities and severe injuries toward zero on our roadways by focusing on context appropriate speeds, prioritizing vulnerable user safety to support mode shift, designing roadways to accommodate for potential human error and injury tolerances, and ultimately implementing a safety-systems approach.</p> <p>The District demonstrated this minimally by providing that:</p> <ul style="list-style-type: none"> •The overall number of collisions is significant and that collision trends, collision types, or collision details will be positively impacted by the proposed safety improvements, AND • The District has described safety remedies for each need and how it will mitigate the potential for future non-motorized crashes in the area of the project, AND • The proposed safety features have a proven track record for addressing the past crash/safety needs, AND • There are significant safety threats to pedestrians and/or bicycles that can be mitigated by ATP eligible improvements.
0	Project has no benefits to Community Need

*weight of 5

Active Transportation Program Scoring Rubrics: Disadvantage Community and Equity

Section A + Section B = Total Score			
Section A		Section B	
Points*	Project will result in a direct benefit to a Disadvantaged Community and Advances Equity	Points*	Nomination demonstrate the project is located within a DAC
4	The District • Explains how the disadvantaged community residents will have physical access to the project, AND • Implements CAPTI by advancing equity, eliminates transportation burdens for low-income communities, communities of color, people with disabilities, and other disadvantaged groups, AND • Illustrates and documents how the project was requested or supported by the disadvantaged community residents, AND • The application includes attachments that show evidence of thorough engagement and outreach, resulting in input and buy-in from the disadvantaged community.	2	Project location(s) are/is fully (100%) located within a DAC.
3	The District addresses at least three of the following: • Explains how the disadvantaged community residents will have physical access to the project, AND • Implements CAPTI by advancing equity, eliminates transportation burdens for low-income communities, communities of color, people with disabilities, and other disadvantaged groups, AND • Illustrates and documents how the project was requested or supported by the disadvantaged community residents, AND • The application includes attachments that show evidence of thorough engagement and outreach, resulting in input and buy-in from the disadvantaged community.	1	Project location(s) are/is partially (less than 100%) within a DAC.
2	The District addresses at least two of the following: • Explains how the disadvantaged community residents will have physical access to the project, AND • Implements CAPTI by advancing equity, eliminates transportation burdens for low-income communities, communities of color, people with disabilities, and other disadvantaged groups, AND • Illustrates and documents how the project was requested or supported by the disadvantaged community residents, AND • The application includes attachments that show evidence of thorough engagement and outreach, resulting in input and buy-in from the disadvantaged community.	0	None of the project location(s) are/is within a DAC.
1	The District minimally address: • Explains how the disadvantaged community residents will have physical access to the project, AND • Implements CAPTI by advancing equity, eliminates transportation burdens for low-income communities, communities of color, people with disabilities, and other disadvantaged groups, AND • Illustrates and documents how the project was requested or supported by the disadvantaged community residents, AND • The application includes attachments that show evidence of thorough engagement and outreach, resulting in input and buy-in from the disadvantaged community.		
0	Project has no benefits to Disadvantage Communities or Advancing Equity		

*weight is based on severity (see below)

*weight of 3

Severity Weight		
Median Household Income		
0		Greater than 80% of the MHI greater than \$56,982.40
1		75% through <80% of MHI \$53,421 through \$56,982.40
2		70% through <75% of MHI \$49,859.60 through \$53,421
3		65% through <70% of MHI \$46,298.20 through \$49,859.60
4		< 65% of MHI less than \$46,298.20
CalEnviroScreen Criteria		
0		Above 25% most disadvantaged less than 39.34
1		20% through 25% most disadvantaged 39.34 through 42.86
2		15% through < 20% most disadvantaged 42.87 through 46.63
3		10% through < 15% most disadvantaged 46.64 through 51.18
4		< 10% most disadvantaged 51.19 through 94.05
Free or Reduced Lunches		
0		Less than 75% of students receive free or reduced lunches
1		≥ 75% through 80% of students receive free or reduced lunches
2		> 80% through 85% of students receive free or reduced lunches
3		> 85% through 90% of students receive free or reduced lunches
4		> 90% of students receive free or reduced lunches
Healthy Places Index Score		
0		Healthy Places Index Score above 25 Percentile
1		Healthy Places Index Score 20 through 25 Percentile
2		Healthy Places Index Score 15 through <20 Percentile
3		Healthy Places Index Score 10 through <15 Percentile
4		Healthy Places Index Score <10 Percentile
Other DAC Criteria		
0 or 1	Other MHI or CalEnviroScreen Assessment	If the District believes a project benefits a disadvantaged community but the project does not meet the aforementioned criteria due to a lack of accurate Census data or CalEnviroScreen data that represents a small neighborhood or unincorporated area, the applicant must submit for consideration a quantitative assessment, to demonstrate that the community's median household income is at or below 80% of that state median household income.
0 or 1	Regional Definition	If the District believes a project benefits a disadvantaged community based on an adopted regional definition, the applicant must submit for consideration the regional definition, as well as how their specific community qualifies under that definition.
4	Federally Recognized Tribal Lands	Projects located within Federally Recognized Tribal Lands (typically within the boundaries of a Reservation or Rancheria).

Active Transportation Program Scoring Rubrics: Public Participation

Section A + Section B + Section C = Total Score			
Section A		Section B	
Points*	Public Participation	Points	Community Feedback
3	The District clearly and convincingly demonstrates that: <ul style="list-style-type: none"> • The project scope was developed through a comprehensive technical planning process appropriate for the complexity and magnitude of the project, and that allowed for public input to shape the project, • The planning process considered the existing and future needs of the project users and transportation system, • The outreach and engagement process utilized has been ongoing and shows continued stakeholder support, • The planning process was effectively integrated into the public participation process. 	3	The District clearly and convincingly demonstrates that: <ul style="list-style-type: none"> • The project scope is fully supported by the feedback received during the public participation and planning process, • This process was fully utilized to identify and improve the project's overall effectiveness, • The public participation and planning process was fully utilized to ensure the project is one of the highest community vs. regional active transportation priorities.
2	The District sufficiently: <ul style="list-style-type: none"> • Describes who was engaged in the identification and development of the project, • Documents that the engagement included all appropriate levels of public and governmental stakeholders, • Shows that the stakeholders engaged was/is appropriate for the magnitude of the project, • Documented the outreach and engagement, • Shows in the attachments that the applicant sufficiently engaged the stakeholders the project is supposed to be benefitting, including the disadvantaged community (when applicable), • Explains that the meetings and events were accessible and effectively engaged some project stakeholders. 	2	<ul style="list-style-type: none"> • The project scope is somewhat supported by the feedback received during the public participation and planning process, • This process has somewhat improved the project's effectiveness • The project may or may not be one of the highest community vs. regional active transportation priorities.
1	The District minimally addresses between 1-2 items: <ul style="list-style-type: none"> • Describes who was engaged in the identification and development of the project, • Documents that the engagement included public and governmental stakeholders, • Shows that the stakeholders engaged was/is appropriate for the magnitude of the project, • Documented the outreach and engagement, • Shows in the attachments that the applicant engaged the stakeholders the project is supposed to be benefitting, including the disadvantaged community (when applicable), • Explains that the meetings and events were accessible and engaged stakeholders. 	1	<ul style="list-style-type: none"> • The project scope is minimally supported by the feedback received during the public participation and planning process, • This process has minimally improved the project's effectiveness • The project is not the highest community vs. regional active transportation priorities.
0	The District does not in any way describe and documents the outreach and engagement and does not specify the stakeholders that were engaged	0	The District does not in any way prove project scope is supported by the feedback received during the public participation and planning process

*weight of 2

Section C	
Points	Continue Engagement
1	The District demonstrates that project stakeholders will continue to be engaged in the implementation of the project/program/plan.
0	Project stakeholders will not continue to be engaged in the implementation of the project/program/plan.

Active Transportation Program Scoring Rubrics: Context Sensitive and Innovation

Points	Context Sensitivity and Innovation
5	<p>The District clearly and convincingly demonstrates that:</p> <ul style="list-style-type: none"> • Recognized best solutions were employed in this project, and • The project is proposing innovative solutions to best address the project’s issues/needs, including stating the physical and operational attributes such as speed/width/volumes or • Recognized best solutions were employed and innovative elements were considered; and the reason for not selecting the innovative elements is very clear and compelling.
3 - 4	<ul style="list-style-type: none"> • Recognized best solutions were employed in this project, and/or • The project is proposing innovative solutions, or • Viable innovative elements were considered and the explanation for not selecting the innovations is noted.
1 - 2	<ul style="list-style-type: none"> • Recognized best solutions were employed, and/or • Innovative elements were considered but not selected and no explanation was given.
0	<p>Solutions are not appropriate to maximize user comfort, and innovative solutions were not proposed, or the reason for not selecting the innovations was not explained.</p>

Active Transportation Program Scoring Rubrics: Transformative

Points	Transformative Projects
5	<p>The District clearly and convincingly demonstrates that:</p> <ul style="list-style-type: none"> • The project is transforming the non-motorized environment, and/or • This project is being combined with other projects or policy(ies) to make a transformative change, <p>The applicant clearly and convincingly addressed how it is consistent with CAPTI by:</p> <ul style="list-style-type: none"> • Explaining the potential for the project to support the existing and planned housing developments, especially affordable housing for low-income residents near job centers, provide walkable communities, and address affordability to reduce the housing-transportation cost burden and auto trips. • Demonstrating how the project encourage users to choose active transportation over auto travel (mode shift) • Demonstrating how the project reduces GHG and/or VMT
3 - 4	<p>The District sufficiently demonstrates that:</p> <ul style="list-style-type: none"> • The project is transforming the non-motorized environment, and/or • This project is being combined with other projects or policy(ies) to make a transformative change, <p>The applicant sufficiently addressed how it is consistent with CAPTI by:</p> <ul style="list-style-type: none"> • Explaining the potential for the project to support the existing and planned housing developments, especially affordable housing for low-income residents near job centers, provide walkable communities, and address affordability to reduce the housing-transportation cost burden and auto trips. • Demonstrating how the project encourage users to choose active transportation over auto travel (mode shift) • Demonstrating how the project reduces GHG and/or VMT
1 - 2	<p>The District somewhat demonstrates that:</p> <ul style="list-style-type: none"> • The project is transforming the non-motorized environment, and/or • This project is being combined with other projects or policy(ies) to make a transformative change, <p>The applicant did not adequately addressed how it is consistent with CAPTI by:</p> <ul style="list-style-type: none"> • Explaining the potential for the project to support the existing and planned housing developments, especially affordable housing for low-income residents near job centers, provide walkable communities, and address affordability to reduce the housing-transportation cost burden and auto trips. • Demonstrating how the project encourage users to choose active transportation over auto travel (mode shift) • Demonstrating how the project reduces GHG and/or VMT
0	<p>The District did not show that the project will have a transformative effect on the non-motorized environment.</p>

Active Transportation Program Scoring Rubrics: Leveraging

Points	Amount Leverage*
1	At least 1% to 5% of total project cost
2	More than 5% to less than 10% of total project cost
3	More than 10% to 15% of total project cost
4	More than 15% to 20% of total project cost
5	More than 20% of total project cost

*Districts must attach something to show proof of leveraging.

G.2 SB 1 SCCP & TCEP Scoring Rubric



CALTRANS INTERNAL SB1 CYCLE 3 PROJECT NOMINATION SCORING RUBRIC

Solutions for Congested Corridors Program & Trade Corridor
Enhancement Program

Office of Strategic
Investment Planning

1/25/22

Final v1

The Caltrans Division of Transportation Planning (DOTP), Office of Strategic Investment Planning has prepared these Scoring Rubrics in coordination with subject matter experts (SME) to provide additional guidance to the Districts on the internal project nomination evaluation and selection process.

Subject Matter Experts from the following Office/Divisions contributed to the development of the scoring rubrics:

- Division of Environmental Analysis
- Division of Financial Programming
- Division of Rail and Mass Transit
- Division of Sustainability
- Division of Traffic Operations
- Division of Traffic Safety
- Office of Air Quality and Climate Change
- Office of Data Analytics Services
- Office of Complete Streets and Active Transportation
- Office of Multimodal System Planning
- Office of Race and Equity
- Office of State Planning, Equity, and Engagement
- Office of Strategic Investment Planning
- Office of Sustainable Freight Planning

We are using the following Scoring Rubrics to ensure that Caltrans submits Project Nominations for Solutions for Congested Corridors Program (SCCP) and Trade Corridor Enhancement Program (TCEP) cycle 3 that align with the Climate Action Plan for Transportation Infrastructure (CAPTI) as closely as possible. The Scoring Rubrics are also used to determine the priority order when submitting Project Nominations to the California Transportation Commission (CTC). Any entity that submits more than one Project to the CTC must submit so in priority order. These Scoring Rubrics ensure that our top projects are aligned with the CAPTI Investment Framework, as outlined in Strategy S4.1 in CAPTI.

CAPTI 10 Guiding Principles/Investment Framework

ID	CAPTI 10 GUIDING PRINCIPLES/INVESTMENT FRAMEWORK
CAP1	Build toward an integrated, statewide rail and transit network
CAP2	Invest in networks of safe and accessible bicycle and pedestrian infrastructure
CAP3	Include investments in light, medium, and heavy-duty zero-emission vehicle (ZEV) infrastructure
CAP4	Make safety improvements to reduce fatalities and severe injuries of all users towards zero
CAP5	Strengthen our commitment to social and racial equity by reducing public health and economic harms and maximizing community benefits
CAP6	Assess physical climate risk
CAP7	Promote projects that do not significantly increase passenger vehicle travel
CAP8	Develop a zero-emission freight transportation system
CAP9	Promote compact infill development while protecting residents and businesses from displacement
CAP10	Protect natural and working lands

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QUESTION#	QUESTION TITLE	APPLICABLE PROGRAM	CAPTI ALIGNMENT
1	Mode Shift	TCEP; SCCP	CAP 1 and CAP 2
2	VMT	TCEP; SCCP	CAP 7
3	Public Engagement and Local Community Needs	TCEP; SCCP	CAP 5
4	Disadvantaged Communities	TCEP; SCCP	CAP 5
5	Reduce Fatalities and Severe Injuries	TCEP; SCCP	CAP 4
6	Zero Emission Vehicle	TCEP; SCCP	CAP 3 and CAP 8
7	Climate Adaptation and Resiliency	TCEP; SCCP	CAP 6
8	Natural Resources and Ecosystems	TCEP; SCCP	CAP 10
9	Infill Development	TCEP; SCCP	CAP 9
10	Leverage Funds	TCEP; SCCP	N/A
11	Improve Freight Movement	TCEP	N/A
12	High-Performance Freight Attributes	TCEP	N/A

1. Does the Project demonstrate potential for mode shift, including to rail, transit, or active transportation?

The purpose of this question is to identify the Project's ability to facilitate mode shift. Caltrans is looking to prioritize projects that provide viable, multimodal alternatives to vehicle travel or eliminate gaps to the first or last mile of multimodal trips. Priority freight projects will facilitate intermodal interchange, transfer, and access to, from rail or another mode of transportation other than vehicular freight mode, or into or out of a port/rail facility (example: shifts cargo from the roadway to rail or marine highway). Priority rural projects will increase transit and passenger rail service through investment in bus service, vanpools, micro-transit or mobility on demand services, park and ride facilities, and adjacent passenger rail service. NOTE: Please see "freight" definitions in the rubric below for freight projects. Please see "rural context" definitions for projects located in rural areas.

Points	Rubric Definition
5	<p>Project facilitates the shift of existing trips from vehicular to other modes by providing new rail, transit, or active transportation infrastructure in an area with only highway/roadway options. Project enables new trips previously impossible by non-vehicular modes; OR Project eliminates gaps to the first or last mile of a multimodal trip.</p> <p>Improvements may include roadway improvements, but they must be intentional for eliminating the gaps that facilitate effective mode shifts.</p> <hr/> <p>Freight: Project facilitates intermodal interchange, transfer, and access to, from rail or another mode of transportation other than vehicular freight mode, or into or out of a port/rail facility (example: shifts cargo from the roadway to rail or marine highway). Project enables goods movement previously impossible by non-vehicular modes. Project may include improvements to rail facilities, inland port facilities, short-haul rail shuttle, or inland seaports to lessen impacts on nearby communities; separation of freight and walking/bicycling activities with a physical buffer to provide a delineated space for each, OR Project eliminates gaps to the first or last mile of a multimodal trip. Improvements may include roadway improvements, but they must be intentional for removing the gaps that facilitate effective cargo mode shift.</p> <hr/> <p>Rural* Context: Project improves transit and/or passenger rail service in a corridor through investments in bus service, vanpools, micro-transit or mobility on-demand services, park-and-ride facilities, and/or adjacent passenger rail improvements; OR Project provides new active transportation infrastructure where previously no facilities existed.</p>
4	<p>Project makes improvements to facilitate mode shift from vehicular to other transportation modes by providing new rail, transit, and/or active transportation infrastructure and/or infrastructure improvements. Project may consist of complementary roadway improvements for vehicular travel that promote access to multimodal options.</p> <hr/> <p>Freight: Project supports intermodal interchange, transfer, and access to, from rail or another mode of transportation other than vehicular freight mode, or into or out of a port/rail facility (example: shifts cargo from the roadway to rail or marine highway). Project may include freight rail system improvements to enhance the ability to move goods from seaports, land ports of entry, and airports to warehousing and distribution centers, including grade separations. Project may support inland port facilities, short-haul rail shuttles, and inland seaports. Project may include roadway improvements, such as improving ingress/egress to and from the state's land port of entry, airports, and seaports.</p> <hr/> <p>Rural* Context: Project's roadway operational improvements support transit and/or passenger rail service in a corridor to improve headway reliability for intermodal transit transfers and/or buses traveling along the corridor. Project is a multimodal project that enhances the safety of existing active transportation infrastructure (adds separation between a bicycle and vehicle lanes, etc.), particularly along rural highways that act as main streets.</p>
3	<p>Project is a roadway project for vehicular travel that includes multimodal rail, transit, and/or active transportation improvements. The roadway and multimodal improvements are complementary, intentional, and will improve access and/or promote the shift of travel from vehicular to rail, transit, active transportation.</p> <hr/> <p>Freight: Project is a roadway improvement to enhance freight movement that may include port or rail components to promote intermodal interchange, transfer, and access; or the roadway improvement enhances access to rail or freight facilities.</p> <hr/> <p>Rural* Context: Project is a non-capacity-increasing roadway project that reduces conflict between freight and active transportation users either by facilitating the movement of freight from a 'main street' rural highway to a priority freight route or by adding safety improvements including wider shoulders or signalized intersections.</p>
2	<p>Project is a roadway project for vehicular travel that includes multimodal rail, transit, and/or active transportation improvements. The roadway improvements do not promote mode shift from vehicular to non-vehicular options; therefore, the multimodal components of the Project have a low potential for mode shift.</p> <hr/> <p>Freight: Project is a roadway improvement to enhance freight movement that supports or facilitates the shift of cargo from the roadway to rail/marine highway.</p> <hr/> <p>Rural* Context: Project is a non-capacity-increasing roadway project in the vicinity of a transit station or active transportation network and has the potential to improve access to that multi-mode infrastructure.</p>
1	<p>Project is a roadway improvement for vehicular travel. Project has the potential to promote or improve access to existing rail, transit, and/or active transportation, but does not include sufficient rail, transit, or active transportation investment to fully mitigate the auto travel it induces.</p>

0	<p>Freight: Project is a roadway improvement to enhance freight movement. Project has the potential to support the shift of cargo from roadway to rail/marine highway.</p>
	<p>Rural* Context: Project is a non-capacity-increasing roadway project with no potential to improve access to alternative modes. There are no opportunities to improve mode shift within the corridor. All alternatives were exhausted, with documentation; OR Project is roadway capacity-increasing but includes investment in transit infrastructure that has potential to significantly increase mode shift (i.e. bus only highway lane) Project does not demonstrate potential for mode shift; and/or Project is a highway capacity increasing. Project in an urban setting; and/or Project is 100% a highway centric Project with no rural context.</p>
	<p>Freight: Project does not demonstrate potential for mode shift. Rural* Context: It is unclear whether Project alternatives for mode shift were explored and/or exhausted; no documentation.</p>

**Rural Definition:* As defined by the United States Census Bureau, any population, housing, or territory, not in an urban area. Urban areas include urbanized areas (UAs) of 50,000 or more people and urban clusters (UCs) of at least 2,500 and less than 50,000 people.

2. How does the project impact Vehicle Miles Traveled (VMT)?

Caltrans is looking to prioritize projects that do not significantly increase motor vehicle travel, particularly in congested urbanized settings where other mobility options can be provided and where projects are shown to induce significant auto travel. These projects should generally aim to reduce VMT and not induce significant VMT growth (CAPTI page 17). In less congested rural areas, highway capacity expansion can be less likely to induce travel. Nevertheless, the benefits and drawbacks of widening roadways in this context must be weighed carefully. The purpose of this question is to determine whether the Project is likely to have VMT impacts.

Points	Rubric Definition
5	<p>Project scope is non-highway capacity increasing and is not likely to increase VMT. Project consists solely of, or a combination of, adding a new or improving existing: passenger rail or bus transit; freight or short rail; active transportation facilities, including closing an existing gap in transit and active transportation; or multimodal port improvement project.</p> <p>Rural* Context: Project will improve multimodal connectivity in local street networks (including overcrossing opportunities of Caltrans facilities) to enable more direct routing and efficient access to destinations, shortening existing trips without inducing travel, thereby removing trips from the SHS and local roads. Project adds and improves connected facilities for walking and bicycling in the corridor and includes or improves first/last-mile connections to local, interregional, and regional transit routes.</p>
4	<p>Project scope is non-highway capacity increasing and is not likely to increase VMT. Project consists primarily of, or a combination of, adding new, or improving existing: passenger rail or bus transit; freight or short rail; active transportation facilities, including closing an existing gap in transit and active transportation; or multimodal port improvement project.</p> <p>Project may include highway solutions that improve transit travel times and reliability (such as priced managed lanes with transit service, dedicated transit lanes, and transit signal priority) so as not to add new lanes accessible to automobiles.</p> <p>Rural* Context: Project facilitates emergency evacuations following local, regional, and state evacuation plans without increasing capacity through efficient traffic management strategies such as the use of contraflow; two-way left-turn lanes as through traffic lanes; construction of full structural shoulders; installation of transportation management systems (TMS) elements; closed-circuit television (CCTV) cameras; changeable message signs (CMS); and/or traffic detection equipment.</p>
3	<p>The Project will not likely increase VMT. Project scope consists of implementing a demand management highway solution as a strategy to maximize the use of the existing footprint of the system. Demand management strategies may include General Purpose Lane conversion to HOV+3 or higher, HOT, or fully priced lanes; HOV conversion to HOT lanes; HOV or HOT lanes conversion to fully priced lanes; and HOV+2 conversion to HOV+3 or higher; conversion of existing lanes to enforceable transit- or freight-only lanes.</p> <p>Project must be coupled with one, or a combination of, adding a new, or improving existing, passenger rail or bus transit, freight or short rail, active transportation improvement, including closing an existing gap in transit and active transportation, or multimodal port improvement project so that the VMT impacts can be mitigated to zero.</p> <p>Rural* Context: Project addresses operational issues on a route used for evacuations or experiences frequent closures that forces vehicles and freight to travel around the closure or congested corridor through local communities. Project's operational improvements will reduce VMT associated with traveling around closures and evacuation routes and have an overall net zero increase in VMT; addresses operational issues related to substantial grades to facilitate efficient goods movement in critical freight corridors. AND Project is in an area with no multimodal options for freight movement. The general plan does not plan for growth, additional interchanges, or other VMT inducing roadway projects.</p>
2	<p>Project will not likely increase VMT. Project includes only roadway improvements, which may consist of implementing a demand management highway solution within the existing footprint of the system. Demand management strategies may include General Purpose Lane conversion to HOV+3 or higher, HOT, or fully priced lanes; HOV conversion to HOT lanes; HOV or HOT lanes conversion to fully priced lanes; and HOV+2 conversion to HOV+3 or higher; conversion of enforceable transit- or freight-only lanes. Project scope does not include additional multimodal investments in transit, rail, or active transportation components as a solution to reduce VMT.</p>
1	<p>Project does not increase or reduce VMT (no change in VMT)**. Project must show documentation that the Project will result in no net increase of VMT, using methods prescribed by the Caltrans Transportation Analysis Framework.**Exception: Project may include the addition of fully-priced managed lanes, auxiliary lanes, and/or enforceable transit- or freight-only lanes. However, the Project must demonstrate no change in VMT with additional lanes.</p> <p>Rural* Context: There are no options within the corridor that will directly benefit reductions of passenger vehicle travel. All options were considered and found not to be feasible, verified with documentation.</p>
0	<p>Project increases highway capacity by expanding the existing footprint of the system AND increases VMT.</p>

*Rural Definition for VMT only: Counties identified in table 3 of this [attachment](#).

3. Does the Project include and document a meaningful public engagement process to underrepresented groups (including black, indigenous, and other people of color (BIPOC), low-income, environmental justice communities, and/or their Community-Based Organizations)?

The purpose of this question is to determine if a project adequately includes the needs of underrepresented groups through its public engagement process. Consideration is given to whether a project provided a diverse array of opportunities for members of underrepresented groups, contacted community leaders of underrepresented groups, provided engagement at the appropriate times of project development, adequately documents the public engagement process, ensured adequate resources were allocated to the public engagement process, and demonstrates that the project design or scope was changed to accommodate needs and perspectives provided by the public engagement process.

Points	Rubric Definition
5	<p>Project is well informed by a robust, equitable, and meaningful public outreach and engagement strategy. The strategy includes a range of virtual and/or in-person methods, techniques, and/or tools for reaching entities known or reasonably anticipated to be affected by, or have an interest in, the Project. The methods, techniques, and tools include well-defined ways to reach out to and provide meaningful participation opportunities for equity-priority communities, underserved populations, and, if applicable, disadvantaged communities. The strategy is considered community-based organizations and is well described in a public engagement plan.</p> <p>Stakeholder stakeholders and/or partner agency participation may have informed strategy development. Stakeholders are identified by name and/or by defined groups or categories; the stakeholder list is appropriate for the project scope and does not omit any entities that should have been included.</p> <p>Outreach and engagement activities, stakeholder comments and input, and engagement outcomes are well documented.</p> <p>The level of engagement is fully adequate for the Project. The timing of the engagement matches up well with the Project phases and milestones. Sufficient resources are allocated for all the engagement activities.</p>
4	<p>Project is informed by a public outreach and engagement strategy, which may be outlined or otherwise described in some form. The public engagement strategy includes several virtual and/or in-person methods, techniques, and/or tools for reaching entities known or reasonably anticipated to be affected by, or have an interest in, the Project. As applicable, the methods, techniques, and tools include reaching out to and providing participation opportunities for disadvantaged communities. Community-based organizations may be considered in the outreach and engagement.</p> <p>The level of engagement is generally appropriate for the Project. The stakeholder list is generally appropriate for the Project. Documentation of the engagement results is included.</p> <p>The timing of the engagement activities mostly corresponds to the Project phases and milestones. Sufficient resources are allocated for most of the engagement activities.</p>
3	<p>Project includes public outreach and engagement components, or evidence/documentation is provided that meaningful public outreach and engagement components are planned for the Project. The public engagement strategy includes some methods, techniques, and/or tools for reaching entities anticipated to be affected by, or have an interest in, the Project. As applicable, the methods, techniques, and tools include ways to reach out to disadvantaged communities.</p> <p>The level of engagement and the stakeholder list generally seems appropriate for the Project.</p> <p>Some level or documentation of the general engagement results may be included.</p> <p>The timing of the engagement activities is generally adequate. Resources allocated for engagement activities may be adequate or unclear.</p>

-
- 2** Project may not have a strategic public outreach and engagement strategy, or only makes passing reference to outreach and engagement; or the Project has plans to include some public outreach and engagement components but may not have a strategy in place. The approach omits some reasonably anticipated methods, techniques, and/or tools for reaching entities that may be affected by, or have an interest in, the Project. The methods, techniques, and tools may mention disadvantaged communities, as applicable; however, the level of authentic engagement is low.
- The level of engagement and the stakeholder list generally seem more perfunctory or performative than meaningful and authentic.
- Documentation of the engagement results may be included.
- The timing of the engagement activities may match some of the Project phases and milestones, but gaps may be evident. Resources allocated for engagement activities may be inadequate or unclear.
-
- 1** Public outreach and engagement activities, or planned outreach and engagement, mainly aim to inform the community, stakeholders, and the general public. Meaningful and authentic engagement that can influence the outcomes is lacking. A public engagement plan is not provided or, if mentioned, is only a cursory outline. The level of engagement is minimal, and the stakeholder list is omitted or perfunctory.
- The strategy omits reasonably anticipated methods, techniques, and/or tools for reaching entities that may be affected by, or have an interest in, the Project. Few, if any, of the methods, techniques, and tools seem to address, include, or be directed toward disadvantaged communities, as applicable.
- The timing of the engagement activities does not match the Project phases and milestones. Resources allocated for engagement activities seem to be generally inadequate or unclear.
- Documentation of the engagement results is minimal or nonexistent.
-
- 0** Project did not include public outreach and engagement. No public engagement plan is provided. No methods, techniques, and/or tools are identified for reaching entities that may be affected by, or have an interest in, the Project. No resources were allocated for outreach and engagement beyond what is required.
-

4. Does the Project incorporate local communities needs that provides benefits to a Disadvantaged Community (DAC)?

The purpose of this question is to determine if the Project provides benefits a DAC. Caltrans seeks to prioritize those projects which provide the greatest benefits that serve the most severely disadvantaged communities.

Points	Rubric Definition
5	The Project is fully within a DAC and/or provides access to opportunity outside of the DAC, including removing (or alleviating) a transportation barrier or burden for residents of a DAC; AND The Project provides benefits or improves conditions to a DAC, as well as addresses and aligns well with the affected community's needs; AND The Project does not place new burdens or exacerbate existing burdens on the DAC
3	The Project is partially within a DAC and/or provides access to opportunity outside of the DAC, including removing (or alleviating) a transportation barrier or burden for residents of a DAC; AND The Project provides benefits or improves conditions to a DAC, as well as addresses and aligns well with the affected community's needs; AND The Project does not place new burdens or exacerbate existing burdens on the DAC.
1	The Project provides indirect benefits to a DAC, as well as addresses and aligns well with the affected community's needs; AND The Project does not place new burdens or exacerbate existing burdens on the DAC.
0	The Project does not provide any benefits directly, or indirectly, to a DAC OR the Project fails to improve conditions for, places new burdens, or exacerbates existing burdens on the DAC.

5. Does the Project reduce fatalities and severe injuries for all users in alignment with the Safe Systems approach?

The purpose of this question is to identify how the Project incorporates safety countermeasures to reduce fatalities and severe injuries of all users toward zero on our roadways. Caltrans seeks to prioritize projects in alignment with the Safe Systems Approach, which involves anticipating human mistakes and designing and managing infrastructure to keep the risk of a mistake low.

Points	Rubric Definition
5	<p>Physical and/or operational improvements will create clear safety improvements. The Project addresses the safety of all road users, including those who walk, bike, drive, ride transit, and travel by other modes.</p> <p>The Project completely aligns with the Safe Systems Approach, including the following:</p> <ul style="list-style-type: none"> • Prioritize vulnerable user safety to prevent deaths and serious injuries • Design for human mistakes, limitations, and injury tolerances (i.e., physically separate people traveling at different speeds, provide dedicated times for different users to move through a space; and/or alert users to hazards and other road users • Reduce system kinetic energy and implement context-appropriate speeds to reduce impact forces, provide additional time for drivers to stop, and/or improve visibility • Proactively identify and address risks • Incorporate redundancy <p>AND Includes <u>multiple</u> Proven Safety Countermeasures that are not listed above AND does not lead to increased auto speeds</p>
	<p>Rail/Transit:</p> <p>The Project improves safety by implementing, but not limited to, one or more of the following safety features:</p> <ul style="list-style-type: none"> • Positive Train Control (PTC) Implementation • Rail Grade Crossing and Trespassing Prevention • Human Factor/Workers Protection • Rail Infrastructure Upgrades • Tank Car Enhancements (transporting flammable liquids)
4	<p>Physical and/or operational improvements will create clear safety improvements. The Project addresses the safety of all road users, including those who walk, bike, drive, ride transit, and travel by other modes.</p> <p>The Project aligns with the Safe Systems Approach, including the following:</p> <ul style="list-style-type: none"> • Prioritize vulnerable user safety to prevent deaths and serious injuries • Design for human mistakes, limitations, and injury tolerances (i.e. physically separate people traveling at different speeds, provide dedicated times for different users to move through a space; and/or alert users to hazards and other road users • Reduce system kinetic energy and implement context-appropriate speeds to reduce impact forces, provide additional time for drivers to stop, and/or improve visibility • Proactively identify and address risks • Incorporate redundancy; <p>AND Includes <u>one or more</u> Proven Safety Countermeasures that are not listed above</p>
	<p>Rail/Transit: The Project does not include any proven safety countermeasures but will yield safety benefits based on Project type. Rail or transit Project will generally yield substantial safety benefits, aside from any safety features of the rail or transit system, just because these modes are vastly safer than the auto modes.</p>

3	<p>Physical and/or operational improvements will create possible safety improvements. The Project addresses the safety of multiple road users, including those who walk, bike, drive, ride transit, and/or travel by other modes.</p> <p>The Project aligns with the Safe Systems Approach, including the following:</p> <ul style="list-style-type: none"> • Prioritize vulnerable user safety to prevent deaths and serious injuries • Design for human mistakes, limitations, and injury tolerances (i.e., physically separate people traveling at different speeds, provide dedicated times for different users to move through a space; and/or alert users to hazards and other road users) • Reduce system kinetic energy and implement context-appropriate speeds to reduce impact forces, provide additional time for drivers to stop, and/or improve visibility • Proactively identify and address risks • Incorporate redundancy <p>OR Includes multiple Proven Safety Countermeasures that are not listed above</p>
2	<p>Physical and/or operational improvements will create possible safety improvements.</p> <p>The Project aligns with the Safe Systems Approach, including the following:</p> <ul style="list-style-type: none"> • Prioritize vulnerable user safety to prevent deaths and serious injuries • Design for human mistakes, limitations, and injury tolerances (i.e., physically separate people traveling at different speeds, provide dedicated times for different users to move through a space; and/or alert users to hazards and other road users) • Reduce system kinetic energy and implement context-appropriate speeds to reduce impact forces, provide additional time for drivers to stop, and/or improve visibility • Proactively identify and address risks • Incorporate redundancy <p>OR Includes <i>one or more</i> Proven Safety Countermeasures that are not listed above</p>
1	<p>It is unclear whether the physical and/or operational improvements will create safety improvements, and/or The Project does not align with the Safe Systems Approach but includes safety improvements.</p>
0	<p>No safety Improvements were identified.</p>

6. Does the Project include and/or improve access to Zero Emission Vehicle (ZEV) charging or fueling infrastructure?

The purpose of this question is to evaluate the extent to which the project supports and encourages the use of ZEVs and alternative fuels. Caltrans seeks to prioritize projects that provide and improve access to ZE charging and alternative fueling infrastructure, especially in rural areas whereand key gaps* in charging/fueling infrastructure exist. Rail projects that provide ZE/alternative fuel freight or passenger rail projects will be prioritized. Freight projects that provide ZE truck chargers or alternative fueling will be prioritized, especially on key freight corridors, such as Critical Urban/Rural Freight Corridors, Strategic Interregional Corridors, or International Border Crossings.

Points	Rubric Definition
5	<p>Project addresses key gaps* in ZEV charging and alternative fueling networks by providing infrastructure for charging and/or alternative fueling stations in a rural community**.</p> <p>Rail/Transit: Project provides ZE/alternative fuel freight or passenger rail infrastructure.</p> <p>Freight: Project provides ZE truck chargers or alternative fueling infrastructure on a key freight corridor, such as a CUFC/CRFC, Strategic Interregional Corridor, or International Border Crossing; OR As part of a larger port freight infrastructure project, the Project provides ZE or near ZE human-operated equipment/infrastructure.</p>
4	<p>Project addresses key gaps in ZEV charging and alternative fueling networks by providing infrastructure for charging and/or alternative fueling stations. Project is not located in a rural community.</p> <p>Rail/Transit: Project directly supports ZE/alternative fuel freight or passenger rail infrastructure (i.e., accommodates ZE/alternative fuel locomotives).</p> <p>Freight: Project provides ZE truck charging or alternative fueling infrastructures near a key freight corridor, such as a CUFC/CRFC, Strategic Interregional Corridor, or international border crossing; OR As part of a larger port freight infrastructure Project, the Project supports ZE or near ZE human-operated equipment/infrastructure.</p>
3	<p>Project does not address a key gap in ZEV charging/alternative fueling infrastructure. Project provides infrastructure for charging or alternative fueling stations.</p> <p>Rail/Transit: Project supports future ZE/alternative fuel freight or passenger rail infrastructure (i.e., rail line extension that could support future ZE/alternative fuel locomotives)</p> <p>Freight: Project provides infrastructure to enable future ZE truck charging or alternative fueling infrastructure. Project is not located on a key freight corridor.</p>
2	<p>Project improves direct access to and/or visibility of ZEV chargers and/or alternative fueling stations through the addition of wayfinding signs.</p> <p>Rail/Transit: Project includes infrastructure improvements to support ZE modes of transportation, such as active transportation (i.e., grade crossing).</p> <p>Freight: Project supports ZE truck charging or alternative fueling infrastructure. Project is not located on a key freight corridor.</p>
1	<p>Project does not include ZEV infrastructure but supports ZE modes of transportation, such as active transportation.</p> <p>Rail/Transit: Project includes operational improvements to support ZE modes of transportation, such as active transportation (i.e., pedestrian signal enhancements).</p> <p>Freight: Project supports future ZE truck charging or alternative fueling infrastructure investments. Project is not located on a key freight corridor.</p>
0	<p>Project does not include/support ZEV infrastructure or ZE modes of transportation. EX: Highway-centric Project without any ZEV/active transportation considerations.</p>

*Key Gap: Geographical area where ZEV/alternative fuel infrastructure access is greater than 100 miles. **CAPTI (2021) states, "Support the innovation in and development of the ZEV market and help ensure ZEVs are accessible to all, **particularly to those in more rural communities**" (page 16).

7. Does the Project improve climate adaptation and resiliency by addressing one or more climate risk(s)?

The purpose of this metric is to evaluate how the project proposes to address identified climate risks and implement adaptation strategies/measures to enhance resilience to climate impact(s) that are occurring or anticipated. All projects are required to demonstrate consideration of and consistency with State goals and, where applicable, regional or local adaptation plans or policies. Projects on the SHS should reference Caltrans' products on climate vulnerability, including the Vulnerability Assessments and Adaptation Priority Reports. Using other state or federal climate data sources may be supplemented as needed to identify climate impacts to adjacent areas beyond the SHS. Projected climate impacts for non-highway projects such as passenger/freight rail, seaport, transit, or active transportation projects are not available through Caltrans vulnerability assessments or adaptation priority reports. Those types of projects may use other resources such as Cal-Adapt.org or other local climate data sources to explain vulnerability to a climate change impact.

Points	Rubric Definition
5	<p>Project has conducted climate risk assessment for all climate stressors as appropriate (wildfire, sea level rise, drought, temperature change, precipitation, and extreme events) on timelines that align with the expected service life of the Project, following State and Caltrans climate adaptation planning guidance.</p> <p>Project identifies design components and/or adaptation strategies that comprehensively mitigate identified climate risk(s) for entirety of expected service life as part of its primary objectives or as a significant part of its outcomes. Climate components and outcomes of the Project are demonstrated to be consistent with State goals and regional or local adaptation plans or policies, as appropriate. Nature-based adaptation strategies form part of the Project's design components wherever feasible and appropriate.</p> <p>Project includes a comprehensive evaluation of potential climate change-related risks to vulnerable communities – including disadvantaged, low income, and BIPOC communities - demonstrated in the project planning, scoping, and design process. The Project demonstrates that some components of the Project will improve the resilience of these communities.</p> <p>Project expands multimodal transportation options on corridors identified to support emergency evacuation routes, AND documents that these multimodal transportation options have deliberately prepared for emergency operations through design changes, personnel training, incident command planning, or adoption of emergency operations plans.</p>
3	<p>Project has conducted climate risk assessment for at least one climate stressor, but not all applicable to the project location. The risk assessment is not clear if it aligns with the expected service life of the Project. Project did not conduct climate risk assessment following State and Caltrans climate adaptation planning guidance.</p> <p>Project minimally addresses climate risks identified in design components and/or adaptation strategies to mitigate identified climate risk(s). These design components and/or adaptation strategies are not part of the primary objectives or a significant part of its outcomes, and/or the Project does not design the strategies for the entirety of expected service life. Climate components of the PProject are demonstrated to be consistent with State goals and regional or local adaptation plans or policies, as appropriate. Project demonstrates some consideration of vulnerable communities—including disadvantaged, low-income, and BIPOC communities—in the Project planning, scoping, and design process. However, the Project does not demonstrate that any components of the project will improve the resilience of these communities.</p> <p>Project expands multimodal transportation options on corridors identified to support emergency evacuation routes, although there is no documentation of preparing the multimodal transportation options for operations during emergencies.</p>
1	<p>The Project acknowledges climate change impacts on transportation infrastructure but does not include analysis of anticipated vulnerabilities, data sources used, or adaptation strategies. Climate change is minimally considered throughout project planning, scoping, and design, but alignment with State goals and regional or local adaptation plans or policies is included. Project demonstrates minimal consideration of vulnerable communities – including disadvantaged, low-income, and BIPOC communities. Considerations are NOT included in the Project planning, scoping, and design process.</p>
0	<p>Project does not mention or acknowledge climate change impacts, vulnerabilities, or risks. Project does not consider climate change in planning and Project scoping. Project does not include evaluation of potential climate change-related risks to climate-vulnerable communities.</p> <p>Project is not consistent with regional or local adaptation plans or policies.</p>

8. Does the project minimize the impact on natural resources and ecosystems?

The purpose of this question is to measure how the project incorporates nature-based solutions to protect or enhance natural and working lands [see glossary], which include natural ecosystems and other landscapes like agricultural lands. Specifically, scoring focuses on how the project avoids converting natural or working lands to more intensified uses and/or enhancing biodiversity. The question also measures how the project supports local and regional conservation planning that focuses on development where it already exists and how it aligns transportation investments with conservation priorities to reduce transportation's impact on the natural environment. **NOTE:** This scoring rubric is not intended to evaluate mitigation according to the California Environmental Quality Act (CEQA), the National Environmental Policy Act (NEPA), or other laws, rules, or regulations regarding natural resources.

Points	Rubric Definition
5	<p>Evidence is provided that the Project:</p> <ul style="list-style-type: none"> • Has a primary objective of enhancing biodiversity (e.g., wildlife crossings) and/or avoiding conversion of natural and working lands; OR enhances natural and working lands through conservation or restoration of land and/or the Project pursues nature-based climate adaptation solutions. • Supports local and regional conservation, restoration, and management efforts that align with the goals described in CAPTI and the State's Climate-Smart Lands Strategy. • It was developed in alignment with statewide conservation priorities to reduce transportation's impact on the natural environment.
3	<p>Evidence is provided that the Project:</p> <ul style="list-style-type: none"> • Protects or enhances natural and working lands. • Supports local and regional conservation, restoration, and management efforts that align with the goals described in CAPTI. • It was developed in alignment with statewide conservation priorities to reduce transportation's impact on the natural environment.
1	<p>Project does not demonstrate consideration of local and regional conservation, restoration, and management efforts that align with the goals described in CAPTI; however, the Project does not place new or exacerbate existing burdens on natural and working lands that cannot be mitigated.</p>
0	<p>Project places new or exacerbates existing burdens on natural and working lands that must be mitigated.</p>

9. Does the project promote infill development and transportation-efficient land use patterns while protecting residents and businesses from displacement?

The purpose of this question is to determine if a project promotes infill development and land use patterns while protecting residents and businesses from displacement. The project will be considered supporting infill development if it lies within dark purple areas of the Heatmap layer in the Governor's Office of Planning and Research's Site Check tool available at <https://sitecheck.opr.ca.gov/> and how the project provides opportunity for walking, biking, transit, and providing transportation options to support infill development.

Points	Rubric Definition
5	<p>Project is located in an area as indicated by the dark purple in the Heatmap layer in the Governor's Office of Planning, and Research's Site Check tool available at https://sitecheck.opr.ca.gov/; AND The Project provides affordable, low-cost transportation serving low-income residents near centrally-located job centers; improves community walkability and bike-ability, and enhances access to opportunity by causing more compact and centrally located development (which provides good access to opportunity and reduces transportation cost burdens); AND Does not displace residents and/or businesses.</p> <p>Freight: Project is located in an area indicated by the dark purple in the Heatmap layer in the Governor's Office of Planning, Research's Site Check tool is available at https://sitecheck.opr.ca.gov/; AND The Project provides durable improvement to goods movement not subject to degradation over time from induced auto travel. The Project does not generate additional auto travel and sprawl by increasing roadway capacity for autos (and thereby maintains the viability of compact development, which in turn reduces transportation costs and improves access to opportunity for workers) OR Project provides non-roadway freight movement options AND Does not displace residents and/or businesses</p>
3	<p>Project is located in an area as indicated by the dark purple in the Heatmap layer in the Governor's Office of Planning and Research's Site Check tool available at https://sitecheck.opr.ca.gov/; AND The Project as a whole will lead to a reduction in driving and an increase in walking, biking, transit, and/or rail; AND Does not displace residents and/or businesses.</p> <p>Freight: Project is located in an area as indicated by the dark purple in the Heatmap layer in the Governor's Office of Planning, and Research's Site Check tool available at https://sitecheck.opr.ca.gov/; AND Supports, directly or indirectly, the utilization of inland port facility, short-haul rail shuttle, or other off-roadway freight movements to lessen impacts on near-roadway communities OR Project improves operational improvements to existing warehousing or improves last-mile delivery gaps without causing growth in automobile; AND Does not displace residents and/or businesses.</p>
0	<p>Project is not located in an area as indicated by the dark purple in the Heatmap layer in the Governor's Office of Planning, and Research's Site Check tool available at https://sitecheck.opr.ca.gov/ ; OR does not provide affordable, low-cost transportation serving low-income residents near job centers, does not improve community walkability and bike-ability, and does not improve access to opportunity by causing more compact and centrally located development (which provides good access to opportunity and reduces transportation cost burdens); OR does not, as a whole, will lead to a reduction in driving and an increase in walking, biking, transit, and/ or rail modes.; OR displaces residents and/or businesses.</p>

10. Does the project leverage partner funds?*

This question aims to identify the level of partner funding on the project. Caltrans seeks to prioritize projects that leverage partner funds, especially Federal discretionary funds. Partner funds must be programmed in the phase requested for TCEP Cycle 3 funding. Projects with a higher percentage of partner funding will be prioritized. For projects requesting PA&ED, projects with partner funding and a reliable source of match funding for the construction phase will be prioritized. *NOTE: For Projects in **rural, non-MPO counties and/or rural communities**, further consideration will be given, and points may be adjusted accordingly.

Points	Rubric Definition
5	<p>Non-Commission funds (local funds, regional funds, developer fees, federal funds) – including Federal Discretionary funds – and/or Regional Improvement Program (RIP) funds are programmed in the phase requested for funding; AND/OR Percentage of partner funds participation in the phase requested exceeds 75%.</p> <p>PA&ED Context: Non-commission and/or RIP funds account for more than 50% of pre-construction costs; AND a reliable source of match funds for construction has been identified.</p>
4	<p>Non-Commission funds and/or RIP funds are programmed in the phase requested for funding; AND Percentage of partner funds participation in the phase requested is 50-75%.</p> <p>PA&ED Context: Non-commission and/or RIP funds account for 20-50% of pre-construction costs AND a reliable source of match funds for construction has been identified.</p>
3	<p>Non-Commission funds and/or RIP funds are programmed in the phase requested for funding; AND Percentage of partner funds participation in the phase requested is 25-50%.</p> <p>PA&ED Context: Non-commission and/or RIP funds account for more than 50% of pre-construction costs, but a reliable source of match funds for construction has not been identified.</p>
2	<p>Non-Commission funds and/or RIP funds are programmed in the phase requested for funding; AND Percentage of partner funds participation is less than 25% in the phase requested.</p> <p>PA&ED Context: Non-commission and/or RIP funds account for 20-50% of pre-construction costs, but a reliable source of match funds for construction has not been identified.</p>
1	<p>Non-Commission and/or RIP funds are programmed, but not in the phase requested.</p> <p>PA&ED Context: Non-commission and/or RIP funds account for less than 20% of pre-construction costs.</p>
0	No partner funding.

11. Freight Throughput Increase (build - no-build / no-build = % increase)

Points	Rubric Definition
5	Substantial: over 50% over no-build
4	Moderate: 30%-49% over no-build
3	Slight: 1%-29% over no-build
2	Some: <1% over no-build
1	No Change
0	Decrease

12. High-Performance Freight Attributes

Points	Rubric Definition
5	Includes more than four high-performance freight attributes
4	Includes four high-performance freight attributes
3	Includes three high-performance freight attributes
2	Includes two high-performance freight attributes
1	Includes one high-performance freight attribute
0	Does not include any high-performance freight attributes

High-Performance Freight Attributes List

- Advanced Traveler Information Systems
- Border port of entry efficiency improvements
- Dedicated Truck-Only Lanes
- Eco-routing
- Emissions reduction infrastructure for idling vehicles/vessels
- Freight rail system improvements
- Freight signal priority
- Freight specific climate resiliency components
- Freight, active transportation conflict reduction
- Port or railyard intermodal capacity/efficiency
- Public ZEV fueling facilities at sites
- Railroad management and operations systems
- Reduction of noise caused by freight movements
- Short sea shipping infrastructure
- Signal and rail freight yard/access spur improvements
- Truck climbing lanes
- Truck parking facilities
- Truck parking information and/or reservation systems

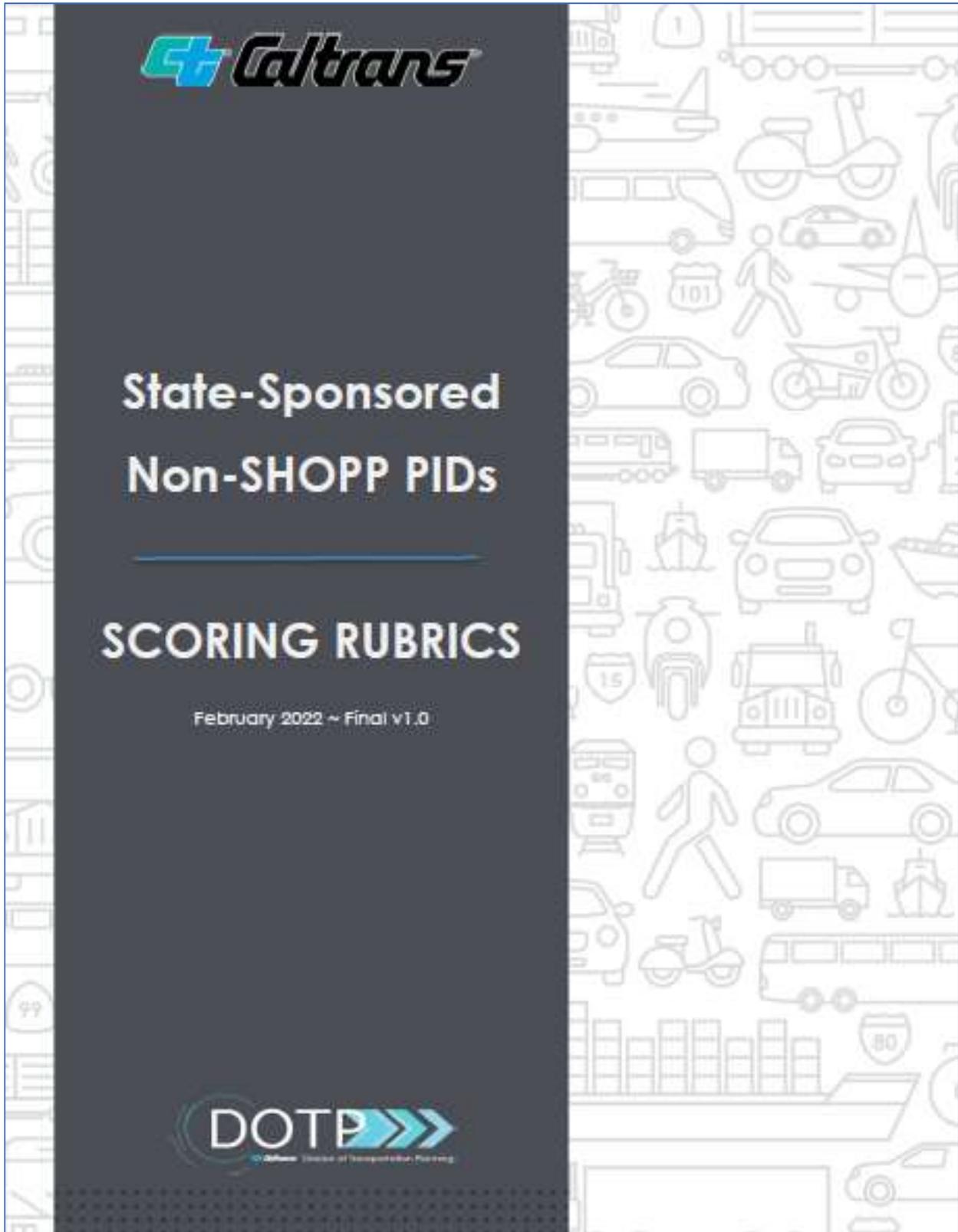
GLOSSARY

- **Affordable, low-cost transportation: Multimodal transportation and land use patterns that support walking, cycling and public transit.**
- **Burden on Natural and Working Lands:** Includes effects that reduce the capacity of natural and working lands to provide resiliency benefits, such as destruction via development, increased temperature, more variable precipitation, decreased snowpack, sea level rise, increased wildfire, and shifting habitat.
- **Caltrans Adaptation Strategy Report:** Serves as a guide to Caltrans integrating climate change adaptation into agency activities and decision-making.
- **California Adaptation Clearinghouse:** The State of California's consolidated searchable database of resources for local, regional, and statewide climate adaptation planning and decision-making.
- **California Coastal Commission Sea Level Rise Policy Guidance:** A document adopted by the California Coastal Commission in 2015 that provides an overview of the best available science on sea level rise for California and recommended methodology for addressing sea level rise in Coastal Commission planning and regulatory actions and to serve as a multi-purpose resource for a variety of audiences.
- **California Department of Housing and Community Development (HCD):** A department within the California Business, Consumer Services and Housing Agency that develops housing policy and building codes, regulates manufactured homes and mobile home parks, and administers housing finance, economic development and community development programs.
- **California Historical Landmark:** Includes sites, buildings, features, or events that are of statewide significance and have anthropological, cultural, military, political, architectural, economic, scientific or technical, religious, experimental, or other value.
- **Climate Action Plan for Transportation Infrastructure (CAPTI):** A plan developed by the California State Transportation Agency that details how the state recommends investing billions of discretionary transportation dollars annually to aggressively combat and adapt to climate change while supporting public health, safety, and equity, as directed by Executive Order N-79-20.
- **Complete Streets:** Streets designed and operated to enable safe use and support mobility for all users, including people of all ages, abilities, and modes of transportation.
- **Disadvantaged Community (DAC):** Communities within census tracts that are among the 25% highest scoring in CalEnviroScreen 3.0. Scores determine the degree to which areas are disproportionately affected by environmental pollution and other hazards that can lead to negative public health effects, exposure, or environmental degradation, as well as having concentrations of people that are of low-income, high unemployment, low levels of home ownership, high rent burden, sensitive populations, or low levels of educational attainment.
- **Federal Discretionary Funds:** A "discretionary" grant is a grant in which a federal agency selects the awardee (i.e., grant recipient) based on merit and eligibility. After you apply for a discretionary grant on Grants.gov, the applications are sent to the federal agency for a competitive review process and final funding decision. Federal discretionary funds are those awarded by a federal agency to grant recipients of discretionary grants.
- **Greenhouse Gas (GHG) Emissions:** Gases that trap heat in the atmosphere. Includes fluorinated gases, nitrous oxide, methane, and carbon dioxide. Larger emissions of greenhouse gases lead to higher concentrations in the atmosphere, resulting in more heat trapped in the atmosphere.
- **Key Freight Corridor:** Includes Critical Urban/Rural Freight Corridors, Strategic Interregional Corridors, and International Border Crossings.
- **Key Gap in ZEV Infrastructure:** Geographical areas/corridors where ZEV/alternative fuel infrastructure need is high and supply (ZEV chargers, alternative fueling stations, etc.) is low or nonexistent.
- **Natural and Working Lands:** These Lands consist of eight landscapes, organized by land cover (a description of what is physically at a location) and developed by a team of scientific experts from multiple state agencies. They are consistent with international carbon accounting methodologies and set an aligned foundation on which we can model, analyze, and measure climate action on our lands. Healthy land can sequester and store carbon emissions, limit future carbon emissions into the atmosphere, protect people and nature from the impacts of climate change, and build resilience to future climate risks. Unhealthy lands have the opposite effect - they release more greenhouse gases than they store, increase climate risks to people and nature, and are more vulnerable to future climate change impacts. Includes: Forests, shrublands and chaparral, developed lands, wetlands, seagrasses and seaweeds, croplands, grasslands, sparsely vegetated lands

- **Near ZE Vehicle:** a vehicle that uses zero emission technologies, uses technologies that provide a pathway to zero emission operations, or incorporates other technologies that significantly reduce vehicle emissions.
- **Non-vehicular modes (Active Transportation):** Not vehicular; not designed for vehicles and especially motor vehicles.
- **Open Space:** Any piece of land that is undeveloped (has no buildings or other built structures) and is accessible to the public. Open space can include green space (land that is partly or completely covered with grass, trees, shrubs, or other vegetation such as parks, community gardens, and cemeteries), schoolyards, playgrounds, public seating areas, public plazas, and vacant lots. Open space provides recreational areas for residents and helps to enhance the beauty and environmental quality of neighborhoods.
- **Partner Funds:** Non-Commission funds: Local funds, regional funds, developer fees, federal funds (federal discretionary funds have a higher priority). Commission funds: Only Regional Improvement Funds (RIP) can be used as leverage or match. SHOPP funds and other commission allocated funds are not considered a leverage or a matching fund. Partner funds must be programmed for the phase applicant is requesting SB 1 funds, for them to be considered funding leverage or a match.
- **Rural:** As defined by the United States Census Bureau, any population, housing, or territory not in an urban area. Urban areas include urbanized areas (UAs) of 50,000 or more people, and urban clusters (UCs) of at least 2,500 and less than 50,000 people. Except for question the VMT scoring rubric, Rural is defined as counties identified in table 3 of this [attachment](#)
- **Sea Level Rise:** The rise in global mean sea level caused by rising global mean temperatures that accelerate the melting of Earth's polar ice caps.
- **State Highway System (SHS):** Roadways important to the state's economy, defense, and mobility.
- **Urbanized Area (UA):** A densely settled core of census tracts and/or census blocks that meet minimum population density requirements with 50,000 or more people.
- **Urbanized Cluster (UC):** A densely settled core of census tracts and/or census blocks that meet minimum population density requirements with at least 2,500 people and less than 50,000 people.
- **Vehicle Miles Traveled (VMT):** A way of evaluating transportation impacts with metrics that support the reduction of GHG emissions, development of multimodal transportation networks and diversification of land uses. Replaced Level of Service (LOS) method as a metric for assessing transportation impacts of land use and transportation projects.
- **Vulnerable Communities in the Context of Climate Adaptation:** Communities that experience heightened risk and increased sensitivity to climate change and have less capacity and fewer resources to cope with, adapt to, or recover from climate impacts. These disproportionate effects are caused by physical (built and environmental), social, political, and/or economic factors(s), which are exacerbated by climate impacts. These factors include, but are not limited to race, class, sexual orientation and identification, national origin, and income inequality.

Zero-Emission Vehicle (ZEV): A vehicle that produces no criteria pollutant, toxic air contaminant, or greenhouse gas emissions when stationary or operating.

G.3 State-Sponsored Non-SHOPP PID Scoring Rubric



Introduction

The Caltrans Division of Transportation Planning (DOTP), Office of Strategic Investment Planning, prepared the State-Sponsored Non-SHOPP PID Scoring Rubrics that are predominantly based on the completed scoring rubrics for SB 1 Solutions for Congested Corridors Program and the Trade Corridor Enhancement Program (February 2022) and consistent with the 2021 Interregional Transportation Strategic Plan. These scoring rubrics were developed through extensive collaboration with subject matter experts from HQ offices & divisions listed below, as well as feedback received during the comment period.

- Division of Environmental Analysis
- Division of Financial Programming
- Division of Rail and Mass Transit
- Division of Sustainability
- Division of Traffic Operations
- Division of Traffic Safety
- Office of Air Quality and Climate Change
- Office of Data Analytics Services
- Office of Complete Streets & Active Transportation
- Office of Multimodal System Planning
- Office of Race and Equity
- Office of State Planning, Equity, and Engagement
- Office of Strategic Investment Planning
- Office of Sustainable Freight Planning

District nominations for the Non-SHOPP PIDs will be scored based on nine scoring rubrics to evaluate alignment with the Climate Action Plan for Transportation Infrastructure (CAPTI). Project scores help to determine the priority order when developing the Recommended List of Projects for DOTP management.

CAPTI Alignment

The Non-SHOPP PID scoring rubrics fully align with the ten CAPTI Guiding Principles listed below.

ID	CAPTI GUIDING PRINCIPLE BRIEF DESCRIPTIONS
CAP1	Build toward an integrated, statewide rail and transit network
CAP2	Invest in networks of safe and accessible bicycle and pedestrian infrastructure
CAP3	Include investments in light, medium, and heavy-duty zero-emission vehicle (ZEV) infrastructure
CAP4	Make safety improvements to reduce fatalities and severe injuries of all users towards zero
CAP5	Strengthen our commitment to social and racial equity by reducing public health and economic harms and maximizing community benefits
CAP6	Assess physical climate risk
CAP7	Promote projects that do not significantly increase passenger vehicle travel
CAP8	Develop a zero-emission freight transportation system
CAP9	Promote compact infill development while protecting residents and businesses from
CAP10	Protect natural and working lands

The table below illustrates alignment between the criteria and specific CAPTI Guiding Principles.

QUESTION	CRITERIA QUESTION TITLE	CAPTI ALIGNMENT
1	Mode Shift	CAP 1 and CAP 2
2	Vehicles Mile-Traveled (VMT)	CAP 7
3	Public Engagement	CAP 5
4	Benefits to Disadvantaged Communities	CAP 5
5	Improve Safety	CAP 4
6	Expand Zero Emission Vehicle Infrastructure	CAP 3 and CAP 8
7	Address Climate Change	CAP 6
8	Natural and Working Lands	CAP 10
9	Infill Development	CAP 9

1. Mode Shift

Does the project have the potential for mode shift, including to rail, transit, or active transportation?

The purpose is to identify the Project's ability to facilitate mode shift. Caltrans is looking to prioritize projects that provide viable, multimodal alternatives to vehicle travel or eliminate gaps to first/last mile of multimodal trips. Priority freight projects will facilitate intermodal interchange, transfer, and/or access in/out of a port/rail facility to shift cargo from roadways to rail/marine highways. Priority rural projects will increase transit and passenger rail service through investment in bus service, vanpools, micro-transit or mobility on demands services, park and ride facilities, and adjacent passenger rail service.

Points	Rubric Definition
5	<p>Project proposes to facilitate shift of existing vehicular trips to other modes by providing new rail, transit, or active transportation infrastructure in an area with only roadway options. Project plans to enable new trips previously impossible by non-vehicular modes; <u>OR</u> Project proposes to eliminate gaps to first/last mile of a multi-modal trip. Roadway improvements must be intentional in eliminating gaps to facilitate effective mode shifts.</p> <p>Freight: Project proposes to facilitate intermodal interchange, transfer, and access to/from rail or mode other than vehicular freight mode, or into/out of port/rail facility (e.g. shifts cargo from roadway to rail/marine hwy). Project plans to enable goods movement previously impossible by non-vehicular modes, or include improvements to rail, inland port/seaports, short-haul rail shuttle, to reduce impacts on nearby communities; may include physical separation/buffer of freight and walking/bicycling activities; <u>OR</u> Project proposes to eliminates gaps to first/last mile of a multimodal trip. Intentional roadway improvements to remove gaps and facilitate cargo mode shift.</p> <p>Rural Context: Project proposes to improve transit/passenger rail service in a corridor by investing in bus service, vanpools, micro-transit/on-demand services, park-and-ride, and/or adjacent passenger rail improvements; <u>OR</u> Project proposes to provide new active transportation infrastructure not where no facilities previously existed.</p>
4	<p>Project may include improvements to facilitate mode shift from vehicular to other modes by providing new rail, transit, and/or active transportation infrastructure. Project may consider complementary roadway improvements for vehicular travel that promote multimodal options.</p> <p>Freight: Project plans to support intermodal interchange, transfer, & access to/from rail or another mode other than vehicular freight mode, or into/out of a port/rail facility (e.g. shifts cargo from roadway to rail or marine highway). Project anticipates including freight rail system improvements to enhance goods movement from seaports, land ports of entry, and airports to warehousing and distribution centers, including grade separations. Project may support inland port facilities, short-haul rail shuttles, and inland seaports. Project may include roadway improvements, such as improving ingress/egress to/from land port of entry, airports, and seaports.</p> <p>Rural Context: Project plans for roadway operational improvements to support transit/passenger rail service in a corridor to improve headway reliability for intermodal transit transfers and/or buses traveling the corridor. Project proposes to be multimodal that enhances safety of existing active transportation infrastructure (adds separation between a bicycle and vehicle lanes, etc.), particularly along rural highways that act as main streets.</p>
3	<p>Project is a roadway project for vehicle travel that is likely to include multimodal rail, transit, and/or active transportation improvements. Roadway & multimodal improvements would be complementary, intentional, and would improve access and/or promote the shift of travel from vehicular to rail, transit, active transportation.</p> <p>Freight: Planned roadway improvement is to enhance freight movement that may include port/rail elements to promote intermodal interchange, transfer, and access, or enhances access to rail or freight facilities.</p> <p>Rural Context: Project plans to be a non-capacity-increasing roadway project that reduces conflict between freight and active transportation users either by facilitating freight movement from a 'main street' rural highway to a priority freight route or by adding safety improvements (wider shoulders, signalized intersections, etc).</p>
2	<p>Project plans to be a roadway project for vehicular travel that includes multimodal rail, transit, and/or active transportation improvements. The roadway improvements are not expected to promote mode shift from vehicles to non-vehicular options; therefore, the multimodal elements of the project have a low potential for mode shift.</p> <p>Freight: Project plans to be a roadway improvement to enhance freight movement that supports or facilitates the shift of cargo from the roadway to rail/marine highway.</p> <p>Rural Context: Project plans to be a non-capacity-increasing roadway project in the vicinity of a transit station or active transportation network and has the potential to improve access to that multi-modal infrastructure.</p>
1	<p>Project plans to be a roadway improvement for vehicular travel. Project has the potential to promote or improve access to existing rail, transit, and/or active transportation, but does not include sufficient rail, transit, or active transportation investment to fully mitigate the auto travel it induces.</p> <p>Freight: Project plans to be a roadway improvement to enhance freight movement. Project has the potential to support the shift of cargo from roadway to rail/marine highway.</p> <p>Rural Context: Project plans to be non-capacity-increasing with no potential to improve access to other modes. There may not be opportunities to improve mode shift in the corridor; <u>OR</u> Project plans to increase capacity but may include transit elements that has potential to significantly increase mode shift (i.e. bus only highway lane).</p>
0	<p>Project does not demonstrate plans for mode shift; project is highway capacity increasing; 100% highway centric.</p> <p>Freight: Project does not demonstrate potential for mode shift.</p> <p>Rural Context: It is unclear if project may explore alternative for mode shift; no documentation.</p>

2. Vehicle Miles Traveled (VMT)

What is the project potential to impact VMT?

Caltrans is looking to prioritize projects that do not significantly increase motor vehicle travel, particularly in congested urbanized settings where other mobility options can be provided and where projects are shown to induce significant auto travel. These projects should generally aim to reduce VMT and not induce significant VMT. In less congested rural areas, highway capacity expansion can be less likely to induce travel. Nevertheless, the benefits and drawbacks of widening roadways in this context must be weighed carefully.

Points	Rubric Definition
5	<p>Project proposes non-highway capacity increasing and is not likely to increase VMT. Project may consist solely/combination of new or improving existing passenger rail or bus transit; freight or short rail; active transportation facilities, including closing existing gap in transit/active transportation; or multimodal port improvement project.</p> <p>Rural Context: Project plans to improve multimodal connectivity in local street networks (including overcrossing opportunities of Caltrans facilities) to enable more direct routing and efficient access to destinations, shortening existing trips without inducing travel, thereby removing trips from the SHS and local roads. Project plans to add and improve connected facilities for walking and bicycling in the corridor and includes or improves first/last-mile connections to local, interregional, and regional transit routes.</p>
4	<p>Project proposes to be a non-highway capacity increasing and is not likely to increase VMT. Project is likely to consist primarily of, or a combination of, adding new, or improving existing: passenger rail or bus transit; freight or short rail; active transportation facilities, including closing an existing gap in transit and active transportation; or multimodal port improvement project. Project plans to include highway solutions that improve transit travel times and reliability (such as priced managed lanes with transit service, dedicated transit lanes, and transit signal priority) so as not to add new lanes accessible to automobiles.</p> <p>Rural Context: Project may likely facilitate emergency evacuations following local/regional/state evacuation plans without increasing capacity through efficient traffic management strategies (use of contraflow; two-way left-turn lanes as through traffic lanes, full structural shoulders); installation of transportation management systems elements (closed-circuit television cameras, changeable message signs, traffic detection, etc.)</p>
3	<p>Project does not anticipate to increase VMT. The scope may consist of implementing a demand management highway solution as a strategy to maximize use of the existing footprint of the system. Demand management strategies may include General Purpose Lane conversion to HOV+3 or higher, HOT, or fully priced lanes; HOV conversion to HOT lanes; HOV or HOT lanes conversion to fully priced lanes; and HOV+2 conversion to HOV+3 or higher; conversion of existing lanes to enforceable transit- or freight-only lanes. Project is likely to couple with one, or a combination of adding a new, or improving existing, passenger rail or bus transit, freight or short rail, active transportation improvement, including closing an existing gap in transit and active transportation, or multimodal port improvement project so VMT impacts can be mitigated to zero.</p> <p>Rural Context: Project plans to address operational issues on a route used for evacuations or experiences frequent closures that forces vehicles and freight to travel around the closure or congested corridor through local communities. Project's operational improvements plans to reduce VMT associated with traveling around closures and evacuation routes and have an overall net zero increase in VMT; addresses operational issues related to substantial grades to facilitate efficient goods movement in critical freight corridors. AND Project is in an area with no multimodal options for freight movement. The general plan does not plan for growth, additional interchanges, or other VMT inducing roadway projects.</p>
2	<p>Project does not anticipate to increase VMT. Project may include only roadway improvements, which may consist of implementing a demand management highway solution within existing footprint. Demand management may include General Purpose Lane conversion to HOV+3 or higher, HOT, or fully priced lanes; HOV conversion to HOT lanes; HOV or HOT lanes conversion to fully priced lanes; HOV+2 conversion to HOV+3 or higher; conversion of enforceable transit or freight-only lanes. Project does not anticipate including additional multimodal investments in transit, rail, or active transportation components as a solution to reduce VMT.</p>
1	<p>Project anticipates no change in VMT. Project must adequately demonstrate how it anticipates no increase in VMT based on assumptions or project types. Exception: Project may plan to add fully-priced managed lanes, auxiliary lanes, and/or enforceable transit- or freight-only lanes. However, the project must demonstrate no anticipated change in VMT with additional lanes.</p> <p>Rural Context: There are no options anticipated within the corridor that will directly benefit reductions of passenger vehicle travel.</p>
0	<p>Project plans to increase highway capacity by expanding existing footprint of the system and increases VMT.</p>

Rural Definition for VMT only: Counties identified in table 3 of Attachment A.

3. Public Engagement

How does the project plan to include and document a meaningful public engagement process that includes Community-Based Organizations?

The purpose of this question is to determine if a project adequately includes the needs of underrepresented groups through its public engagement process. Consideration is given to whether a project provided a diverse array of opportunities for members of underrepresented groups, contacted community leaders of underrepresented groups, provided engagement at the appropriate times of project development, adequately documents the public engagement process, ensured adequate resources were allocated to the public engagement process, and demonstrates that the project design or scope was changed to accommodate needs and perspectives provided by the public engagement process.

Points	Rubric Definition
5	Project plans for a robust, equitable, and meaningful public engagement strategy that includes a range of virtual and/or in-person methods, or tools for reaching entities known or reasonably anticipated to be affected by, or have an interest in, the Project. The anticipated methods and tools describe well-defined ways to reach out to and provide meaningful participation opportunities for the impacted and surrounding communities, and may include underserved population and disadvantaged communities, if applicable. The strategy will consider community-based organizations and plans to develop a well-described public engagement plan. Stakeholder and/or partner agency participation anticipates having informed strategy development. Stakeholders plan is identified by name and/or defined groups or categories; the stakeholder list plans to be appropriate for the project scope and not omit entities that should be included. Outreach and engagement activities, stakeholder comments and input, and engagement outcomes plan to be well documented. The level of engagement plans to be fully adequate for the Project. The timing of the engagement plans matches well with the project phases and milestones. Sufficient resources are planned to be allocated for all the engagement activities.
4	Project plans for public outreach/engagement strategy that is outlined or described in some form. The public engagement strategy plans to include several virtual and/or in-person methods, techniques, and/or tools for reaching entities known or reasonably anticipated to be affected by, or have an interest in, the Project. As applicable, the methods, techniques, and tools plan to include reaching out to and providing participation opportunities for disadvantaged communities. Community-based organizations may be considered in the outreach and engagement. The level of engagement proposes to be generally appropriate for the Project. The stakeholder list proposes to be generally appropriate for the Project. Documentation of the engagement results is included. The timing of the engagement activities proposes to mostly correspond to the project phases and milestones. Sufficient resources are planned to be allocated for most of the engagement activities.
3	Project plans to include public outreach and engagement components, which may include some methods, techniques, and/or tools for reaching entities anticipated to be affected by or interested in the Project. As applicable, the methods include ways to reach out to disadvantaged communities. The level of engagement and the stakeholder list plans to be appropriate for the Project. Some level or documentation of the general engagement results plan to be included. The timing of the engagement activities plans to be generally adequate. Resources allocated for engagement activities anticipate being adequate or unclear.
2	Project may not have a strategic public outreach and engagement strategy, or only makes passing reference to outreach and engagement; or the Project has plans to include some public outreach and engagement components but may not have a strategy in place. The approach omits some reasonably anticipated methods, and/or tools for reaching entities that may be affected by, or have an interest in, the Project. The methods and tools may mention disadvantaged communities, as applicable; however, the level of authentic engagement is low. Engagement level and stakeholder list generally seem more perfunctory or performative than meaningful and authentic. The timing of engagement activities may match some of the Project phases and milestones, but gaps may be evident. Resources allocated for engagement activities may be inadequate or unclear.
1	Public outreach and engagement activities, or planned outreach and engagement, mainly aim to inform the community, stakeholders, and the general public. Meaningful and authentic engagement that can influence the outcomes is lacking. A public engagement plan is not provided or, if mentioned, is only a cursory outline. The level of planned engagement is minimal, and the stakeholder list is omitted or perfunctory. The strategy omits reasonably anticipated methods, techniques, and/or tools for reaching entities that may be affected by, or have an interest in, the Project. Few, if any, of the methods, techniques, and tools seem to address, include, or be directed toward disadvantaged communities, as applicable. The timing of the engagement activities does not match the Project phases and milestones. Resources allocated for engagement activities seem to be generally inadequate or unclear. Documentation of the engagement results is minimal or nonexistent.
0	Project did not include public outreach and engagement. No public engagement plan is provided. No methods, techniques, and/or tools are identified for reaching entities that may be affected by, or have an interest in, the Project. No resources were allocated for outreach and engagement beyond what is required.

4. Benefits to Disadvantaged Community (DAC)

How does the project plan to incorporate local communities needs to provide benefits to a DAC?

The purpose of this question is to determine if the Project provides benefits a DAC. Caltrans seeks to prioritize those projects which provide the greatest benefits that serve the most severely disadvantaged communities. Describe how the Project proposes to advance equity and reduce or eliminate transportation burdens and/or barriers for low-income communities, communities of color, people with disabilities, and other disadvantaged groups.

Points	Rubric Definition
5	The Project is fully within a DAC and/or is anticipated to provide access to opportunity outside of the DAC, including removing/or alleviating transportation barrier or burden for residents of a DAC; <u>AND</u> Project is anticipated to provide benefits or improves conditions to a DAC, as well as addresses and aligns well with the affected community's needs; <u>AND</u> Project does not anticipate to place new burdens or exacerbate existing burdens on the DAC.
3	Project is partially within a DAC and/or is anticipated to provide access to opportunity outside of the DAC, including removing/alleviating transportation barrier or burden for residents of a DAC; <u>AND</u> Project proposes to provide benefits or improves conditions to a DAC, as well as address and align well with the affected community's needs; <u>AND</u> The Project does not anticipate to place new burdens or exacerbate existing burdens on the DAC.
1	Project is anticipated to provide indirect benefits to a DAC and address & align well with the affected community needs; <u>AND</u> Project does not anticipate placing new burdens or exacerbate existing burdens on the DAC.
0	Project does not anticipate providing any benefits directly, or indirectly, to a DAC <u>OR</u> the project is not anticipated to improve conditions for, place new burdens, or exacerbate existing burdens on the DAC.

5. Improve Safety

Does the project plan to include safety improvements/enhancements to reduce fatalities and severe injuries for all users in alignment with the Safe Systems approach?

The purpose is to identify how the Project incorporates safety countermeasures to reduce fatalities and severe injuries of all users toward zero on the roadways. Caltrans seeks to prioritize projects in alignment with the Safe Systems Approach, which involves anticipating human mistakes and designing/managing infrastructure to keep the risk of a mistake low.

Points	
	<p>Project may include physical/operational improvements to create clear safety improvements and address the safety of all road users (walk, bike, drive, ride transit, etc.). Project plans to completely aligns with the Safe Systems Approach, including the following:</p> <ul style="list-style-type: none"> • Prioritize vulnerable user safety to prevent deaths and serious injuries • Design for human mistakes, limitations, and injury tolerances (i.e., physically separate people traveling at different speeds, provide dedicated times for different users to move through a space; and/or alert users to hazards and other road users • Reduce system kinetic energy and implement context-appropriate speeds to reduce impact forces, provide additional time for drivers to stop, and/or improve visibility • Proactively identify and address risks; incorporate redundancy <p>AND plans to include <u>multiple</u> elements from Proven Safety Countermeasures and does not increase auto speeds.</p> <p>Rail/Transit: Project proposes to improve safety by implementing, but not limited to, one or more of the following: Positive Train Control Implementation, Rail Grade Crossing and Trespassing Prevention, Human Factor/Workers Protection, Rail Infrastructure Upgrades, Tank Car Enhancements (transporting flammable liquids)</p>
4	<p>Project may include physical/operational improvements to create clear safety improvements and address the safety of all road users (walk, bike, drive, ride transit, etc.). Project plans to align with the Safe Systems Approach below AND one or more elements from Proven Safety Countermeasures.</p> <ul style="list-style-type: none"> • Prioritize vulnerable user safety to prevent deaths and serious injuries • Design for human mistakes, limitations, and injury tolerances (i.e. physically separate people traveling at different speeds, provide dedicated times for different users to move through a space; and/or alert users to hazards and other road users • Reduce system kinetic energy and implement context-appropriate speeds to reduce impact forces, provide additional time for drivers to stop, and/or improve visibility • Proactively identify and address risks; incorporate redundancy. <p>Rail/Transit: Project does not plan to include any proven safety countermeasures but plans to yield safety benefits based on Project type. Rail or transit project generally yield substantial safety benefits, aside from any safety features of the rail or transit system, just because these modes are vastly safer than auto modes.</p>
3	<p>Project may include physical/operational improvements to create potential safety improvements. Project proposes to address the safety of multiple road users (walk, bike, drive, ride transit, etc.). Project plans to align with the Safe Systems Approach below OR multiple elements from Proven Safety Countermeasures.</p> <ul style="list-style-type: none"> • Prioritize vulnerable user safety to prevent deaths and serious injuries • Design for human mistakes, limitations, and injury tolerances (i.e., physically separate people traveling at different speeds, provide dedicated times for different users to move through a space; and/or alert users to hazards and other road users) • Reduce system kinetic energy and implement context-appropriate speeds to reduce impact forces, provide additional time for drivers to stop, and/or improve visibility • Proactively identify and address risks; incorporate redundancy
2	<p>Project may include physical/operational improvements to create possible safety improvements. Project plans to align with the Safe Systems Approach below OR one or more elements from Proven Safety Countermeasures.</p> <ul style="list-style-type: none"> • Prioritize vulnerable user safety to prevent deaths and serious injuries • Design for human mistakes, limitations, and injury tolerances (i.e., physically separate people traveling at different speeds, provide dedicated times for different users to move through a space; and/or alert users to hazards and other road users • Reduce system kinetic energy and implement context-appropriate speeds to reduce impact forces, provide additional time for drivers to stop, and/or improve visibility • Proactively identify and address risks; incorporate redundancy
1	<p>It is unclear if project plans to include physical and/or operational improvements that improve/enhance safety, and/or Project does not align with the Safe Systems Approach but includes safety improvements.</p>
0	<p>No safety Improvements were identified.</p>

6. Expand Zero Emission Vehicle (ZEV) Infrastructure

How does the project plan to include and/or improve access to ZEV charging or fueling infrastructure?

The purpose of this question is to evaluate the extent to which the project supports and encourages the use of ZEVs and alternative fuels. Caltrans seeks to prioritize projects that provide and improve access to ZE charging and alternative fueling infrastructure, especially in rural areas where and key gaps¹ in charging/fueling infrastructure exist. Rail projects that provide ZE/alternative fuel freight or passenger rail projects will be prioritized. Freight projects that provide ZE truck chargers or alternative fueling will be prioritized, especially on key freight corridors, such as Critical Urban/Rural Freight Corridors, Strategic Interregional Corridors, or International Border Crossings.

Points	Rubric Definition
5	<p>Project proposes to address key gaps in ZEV charging and alternative fueling networks by providing infrastructure for charging and/or alternative fueling stations in a rural community².</p> <p>Rail/Transit: Project proposes to provide ZE/alternative fuel freight or passenger rail infrastructure.</p> <p>Freight: Project proposes to provide ZE truck chargers or alternative fueling infrastructure on a key freight corridor, such as a CUFC/CRFC, Strategic Interregional Corridor, or International Border Crossing; OR As part of a larger port freight infrastructure project, the project proposes to provide ZE or near ZE human-operated equipment/infrastructure.</p>
4	<p>Project proposes to address key gaps in ZEV charging and alternative fueling networks by providing infrastructure for charging and/or alternative fueling stations. Project is not located in a rural community.</p> <p>Rail/Transit: Project proposes to directly support ZE/alternative fuel freight or passenger rail infrastructure (i.e., accommodates ZE/alternative fuel locomotives).</p> <p>Freight: Project proposes to provide ZE truck charging or alternative fueling infrastructures near a key freight corridor, such as a CUFC/CRFC, Strategic Interregional Corridor, or international border crossing; OR As part of a larger port freight infrastructure Project, the project plans to support ZE or near ZE human-operated equipment/infrastructure.</p>
3	<p>Project does not plan to address a key gap in ZEV charging/alternative fueling infrastructure. Project proposes to provide infrastructure for charging or alternative fueling stations.</p> <p>Rail/Transit: Project proposes to support future ZE/alternative fuel freight or passenger rail infrastructure (i.e., rail line extension that could support future ZE/alternative fuel locomotives)</p> <p>Freight: Project proposes to provide infrastructure to enable future ZE truck charging or alternative fueling infrastructure. Project is not located on a key freight corridor.</p>
2	<p>Project proposes to improve direct access to and/or visibility of ZEV chargers and/or alternative fueling stations through the addition of wayfinding signs.</p> <p>Rail/Transit: Project proposes to include infrastructure improvements to support ZE modes of transportation, such as active transportation (i.e., grade crossing).</p> <p>Freight: Project proposes to support ZE truck charging or alternative fueling infrastructure. Project is not located on a key freight corridor.</p>
1	<p>Project does not plan to include ZEV infrastructure but plans to support ZE modes of transportation, such as active transportation.</p> <p>Rail/Transit: Project plans to include operational improvements to support ZE modes of transportation, such as active transportation (i.e., pedestrian signal enhancements).</p> <p>Freight: Project plans to support future ZE truck charging or alternative fueling infrastructure investments. Project is not located on a key freight corridor.</p>
0	<p>Project does not plan to include include/support ZEV infrastructure or ZE modes of transportation. EX: Highway-centric Project without any ZEV/active transportation considerations.</p>

¹ Key Gap: Geographical area where ZEV/alternative fuel infrastructure access is greater than 100 miles.

² CAPTI (2021) states, "Support the innovation in and development of the ZEV market and help ensure ZEVs are accessible to all, **particularly to those in more rural communities**" (page 16).

7. Address Climate Change

How does the project plan to improve climate adaptation and resiliency by addressing one or more climate risks?

The purpose of this metric is to evaluate how the project proposes to address identified climate risks and implement adaptation strategies/measures to enhance resilience to climate impact(s) that are occurring or anticipated. All projects are required to demonstrate consideration of and consistency with State goals and, where applicable, regional or local adaptation plans or policies. Projects on the SHS should reference Caltrans' products on climate vulnerability, including the Vulnerability Assessments and Adaptation Priority Reports. Using other state or federal climate data sources may be supplemented as needed to identify climate impacts to adjacent areas beyond the SHS. Projected climate impacts for non-highway projects such as passenger/freight rail, seaport, transit, or active transportation projects are not available through Caltrans vulnerability assessments or adaptation priority reports. Those types of projects may use other resources such as Cal-Adapt.org or other local climate data sources to explain vulnerability to a climate change impact.

Points	Rubric Definition
5	<p>Project proposes to conduct climate risk assessments for all climate stressors as appropriate (wildfire, sea level rise, drought, temperature change, precipitation, and extreme events) on timelines that align with the expected service life of the project, following State and Caltrans climate adaptation planning guidance.</p> <p>Project plans to incorporate design components and/or adaptation strategies that comprehensively mitigate identified climate risk(s) for entirety of expected service life as part of its primary objectives or as a significant part of its outcomes. Climate components and outcomes that will be considered will be consistent with State goals and regional/local adaptation plans or policies, as appropriate. Project plans to explore nature-based adaptation strategies where feasible and appropriate.</p> <p>Project plans to include a comprehensive evaluation of potential climate change-related risks to vulnerable communities – including disadvantaged, low income, and BIPOC communities - demonstrated in the project planning, scoping, and design process. The project can demonstrate that some components that will be considered are likely to improve the resilience of these communities.</p> <p>Project plans to expand multimodal transportation options on corridors identified to support emergency evacuation routes, AND demonstrates that these multimodal transportation options will be deliberately prepared for emergency operations, such as through design changes, personnel training, incident command planning, or adoption of emergency operations plans.</p>
3	<p>Project plans to conduct a climate risk assessment for at least one climate stressor, but not all applicable to the project location. The risk assessment is not clear if it aligns with the expected service life of the project. Project did not conduct climate risk assessment following State and Caltrans climate adaptation planning guidance.</p> <p>Project plans to minimally address climate risks and/or adaptation strategies to mitigate identified climate risk(s). These adaptation strategies are not part of the primary objectives or a significant part of its outcomes, and/or the project does not plan to include strategies for the entirety of expected service life. Potential for including climate components in the project are demonstrated to be consistent with State goals and regional or local adaptation plans or policies, as appropriate. Project demonstrates some consideration of vulnerable communities, including disadvantaged, low-income, and BIPOC communities. However, the project does not demonstrate any plans to improve the resilience of these communities.</p> <p>Project plans to expand multimodal transportation options on corridors identified to support emergency evacuation routes</p>
1	<p>The Project acknowledges climate change impacts on transportation infrastructure but does not include analysis of anticipated vulnerabilities, data sources used, or adaptation strategies. Climate change is expected to be minimally considered in future planning, scoping, and design, but alignment with State goals and regional or local adaptation plans or policies is included. Project demonstrates minimal consideration of vulnerable communities – including disadvantaged, low-income, and BIPOC communities. Considerations are NOT anticipated to be included in the project planning, scoping, and design process.</p>
0	<p>Project does not mention or acknowledge climate change impacts, vulnerabilities, or risks. Project does not consider climate change in planning phase. Project does not include evaluation of potential climate change-related risks to climate-vulnerable communities.</p> <p>Project is not consistent with regional or local adaptation plans or policies.</p>

8. Natural and Working Lands

How does the project plan to minimize the impact on natural resources and ecosystems?

The purpose of this question is to measure how the project incorporates nature-based solutions to protect or enhance natural and working lands [see glossary], which include natural ecosystems and other landscapes like agricultural lands. Specifically, scoring focuses on how the project avoids converting natural or working lands to more intensified uses and/or enhancing biodiversity. The question also measures how the project supports local and regional conservation planning that focuses on development where it already exists and how it aligns transportation investments with conservation priorities to reduce transportation's impact on the natural environment. **NOTE:** This scoring rubric is not intended to evaluate mitigation according to the California Environmental Quality Act (CEQA), the National Environmental Policy Act (NEPA), or other laws, rules, or regulations regarding natural resources.

Points	Rubric Definition
5	<p>Project proposes to have a primary objective of enhancing biodiversity (e.g., wildlife crossings) and/or avoiding conversion of natural and working lands; OR proposes to enhance natural and working lands through conservation or restoration of land and/or the Project plans to pursue nature-based climate adaptation solutions.</p> <p>Project plans to support local and regional conservation, restoration, and management efforts that align with the goals described in CAPTI and the State's Climate-Smart Lands Strategy.</p> <p>Project plans to be developed in alignment with statewide conservation priorities to reduce transportation's impact on the natural environment.</p>
3	<p>Project proposes to protect or enhance natural and working lands.</p> <p>Project plans to support local and regional conservation, restoration, and management efforts that align with the goals described in CAPTI.</p> <p>Project plans to be developed in alignment with statewide conservation priorities to reduce transportation's impact on the natural environment.</p>
1	<p>Project does not demonstrate consideration of local and regional conservation, restoration, and management efforts that align with the goals described in CAPTI; however, the Project does not place new or exacerbate existing burdens on natural and working lands that cannot be mitigated.</p>
0	<p>Project is expected to place new or exacerbates existing burdens on natural and working lands that must be mitigated.</p>

9. Infill Development

How does the project plan to promote infill development and transportation-efficient land use patterns while protecting residents and businesses from displacement?

The purpose of this question is to determine if a project promotes infill development and land use patterns while protecting residents and businesses from displacement. The project will be considered supporting infill development if it lies within dark purple areas of the Heatmap layer in the Governor's Office of Planning and Research's Site Check tool available at <https://sitecheck.opr.ca.gov/> and how the project provides opportunity for walking, biking, transit, and providing transportation options to support infill development.

Points	Rubric Definition
5	<p>Project is located in an area as indicated by the dark purple in the Heatmap layer in the Governor's Office of Planning, and Research's Site Check tool available at https://sitecheck.opr.ca.gov/; AND The project plans to provide affordable, low-cost transportation serving low-income residents near centrally-located job centers; improves community walkability and bike-ability, and enhances access to opportunity by causing more compact and centrally located development (which provides good access to opportunity and reduces transportation cost burdens); AND does not plan to displace residents and/or businesses.</p> <p>Freight: Project is located in an area indicated by the dark purple in the Heatmap layer in the Governor's Office of Planning. Research's Site Check tool is available at https://sitecheck.opr.ca.gov/; AND The project plans to provide durable improvement to goods movement not subject to degradation over time from induced auto travel. The project does not plan to generate additional auto travel and sprawl by increasing roadway capacity for autos (and thereby maintains the viability of compact development, which in turn reduces transportation costs and improves access to opportunity for workers) OR Project plans to provide non-roadway freight movement options AND Does not plan to displace residents and/or businesses</p>
3	<p>Project is located in an area as indicated by the dark purple in the Heatmap layer in the Governor's Office of Planning and Research's Site Check tool available at https://sitecheck.opr.ca.gov/; AND The project as a whole is anticipated to lead to a reduction in driving and an increase in walking, biking, transit, and/or rail; AND Does not plan to displace residents and/or businesses.</p> <p>Freight: Project is located in an area as indicated by the dark purple in the Heatmap layer in the Governor's Office of Planning, and Research's Site Check tool available at https://sitecheck.opr.ca.gov/; AND plans to support, directly or indirectly, the utilization of inland port facility, short-haul rail shuttle, or other off-roadway freight movements to lessen impacts on near-roadway communities OR Project plans to improve operational improvements to <i>existing</i> warehousing or improves last-mile delivery gaps without causing growth in automobile; AND Does not plan to displace residents and/or businesses.</p>
0	<p>Project is not located in an area as indicated by the dark purple in the Heatmap layer in the Governor's Office of Planning, and Research's Site Check tool available at https://sitecheck.opr.ca.gov/; OR does not plan to provide affordable, low-cost transportation serving low-income residents near job centers, does not anticipate to improve community walkability and bike-ability, and does not anticipate to improve access to opportunity by causing more compact and centrally located development (which provides good access to opportunity and reduces transportation cost burdens); OR does not anticipate, as a whole, to a reduction in driving and an increase in walking, biking, transit, and/ or rail modes.; OR displaces residents and/or businesses.</p>

GLOSSARY

- **Affordable, low-cost transportation: Multimodal transportation and land use patterns that support walking, cycling and public transit.**
- **Burden on Natural and Working Lands:** Includes effects that reduce the capacity of natural and working lands to provide resiliency benefits, such as destruction via development, increased temperature, more variable precipitation, decreased snowpack, sea level rise, increased wildfire, and shifting habitat.
- **Caltrans Adaptation Strategy Report:** Serves as a guide to Caltrans integrating climate change adaptation into agency activities and decision-making.
- **California Adaptation Clearinghouse:** The State of California's consolidated searchable database of resources for local, regional, and statewide climate adaptation planning and decision-making.
- **California Coastal Commission Sea Level Rise Policy Guidance:** A document adopted by the California Coastal Commission in 2015 that provides an overview of the best available science on sea level rise for California and recommended methodology for addressing sea level rise in Coastal Commission planning and regulatory actions and to serve as a multi-purpose resource for a variety of audiences.
- **California Department of Housing and Community Development (HCD):** A department within the California Business, Consumer Services and Housing Agency that develops housing policy and building codes, regulates manufactured homes and mobile home parks, and administers housing finance, economic development and community development programs.
- **California Historical Landmark:** Includes sites, buildings, features, or events that are of statewide significance and have anthropological, cultural, military, political, architectural, economic, scientific or technical, religious, experimental, or other value.
- **Climate Action Plan for Transportation Infrastructure (CAPTI):** A plan developed by the California State Transportation Agency that details how the state recommends investing billions of discretionary transportation dollars annually to aggressively combat and adapt to climate change while supporting public health, safety, and equity, as directed by Executive Order N-79-20.
- **Complete Streets:** Streets designed and operated to enable safe use and support mobility for all users, including people of all ages, abilities, and modes of transportation.
- **Disadvantaged Community (DAC):** Communities within census tracts that are among the 25% highest scoring in CalEnviroScreen 3.0. Scores determine the degree to which areas are disproportionately affected by environmental pollution and other hazards that can lead to negative public health effects, exposure, or environmental degradation, as well as having concentrations of people that are of low-income, high unemployment, low levels of home ownership, high rent burden, sensitive populations, or low levels of educational attainment.
- **Federal Discretionary Funds:** A "discretionary" grant is a grant in which a federal agency selects the awardee (i.e., grant recipient) based on merit and eligibility. After you apply for a discretionary grant on Grants.gov, the applications are sent to the federal agency for a competitive review process and final funding decision. Federal discretionary funds are those awarded by a federal agency to grant recipients of discretionary grants.
- **Greenhouse Gas (GHG) Emissions:** Gases that trap heat in the atmosphere. Includes fluorinated gases, nitrous oxide, methane, and carbon dioxide. Larger emissions of

greenhouse gases lead to higher concentrations in the atmosphere, resulting in more heat trapped in the atmosphere.

- **Key Freight Corridor:** Includes Critical Urban/Rural Freight Corridors, Strategic Interregional Corridors, and International Border Crossings.
- **Key Gap in ZEV Infrastructure:** Geographical areas/corridors where ZEV/alternative fuel infrastructure need is high and supply (ZEV chargers, alternative fueling stations, etc.) is low or nonexistent.
- **Natural and Working Lands:** These Lands consist of eight landscapes, organized by land cover (a description of what is physically at a location) and developed by a team of scientific experts from multiple state agencies. They are consistent with international carbon accounting methodologies and set an aligned foundation on which we can model, analyze, and measure climate action on our lands. Healthy land can sequester and store carbon emissions, limit future carbon emissions into the atmosphere, protect people and nature from the impacts of climate change, and build resilience to future climate risks. Unhealthy lands have the opposite effect - they release more greenhouse gases than they store, increase climate risks to people and nature, and are more vulnerable to future climate change impacts. Includes: Forests, shrublands and chaparral, developed lands, wetlands, seagrasses and seaweeds, croplands, grasslands, sparsely vegetated lands
- **Near ZE Vehicle:** a vehicle that uses zero emission technologies, uses technologies that provide a pathway to zero emission operations, or incorporates other technologies that significantly reduce vehicle emissions.
- **Non-vehicular modes (Active Transportation):** Not vehicular; not designed for vehicles and especially motor vehicles.
- **Open Space:** Any piece of land that is undeveloped (has no buildings or other built structures) and is accessible to the public. Open space can include green space (land that is partly or completely covered with grass, trees, shrubs, or other vegetation such as parks, community gardens, and cemeteries), schoolyards, playgrounds, public seating areas, public plazas, and vacant lots. Open space provides recreational areas for residents and helps to enhance the beauty and environmental quality of neighborhoods.
- **Partner Funds:** Non-Commission funds: Local funds, regional funds, developer fees, federal funds (federal discretionary funds have a higher priority). Commission funds: Only Regional Improvement Funds (RIP) can be used as leverage or match. SHOPP funds and other commission allocated funds are not considered a leverage or a matching fund. Partner funds must be programmed for the phase applicant is requesting SB 1 funds, for them to be considered funding leverage or a match.
- **Rural:** As defined by the United States Census Bureau, any population, housing, or territory not in an urban area. Urban areas include urbanized areas (UAs) of 50,000 or more people, and urban clusters (UCs) of at least 2,500 and less than 50,000 people. Except for question the VMT scoring rubric, Rural is defined as counties identified in table 3 of Attachment A.
- **Sea Level Rise:** The rise in global mean sea level caused by rising global mean temperatures that accelerate the melting of Earth's polar ice caps.
- **State Highway System (SHS):** Roadways important to the state's economy, defense, and mobility.
- **Urbanized Area (UA):** A densely settled core of census tracts and/or census blocks that meet minimum population density requirements with 50,000 or more people.

- **Urbanized Cluster (UC):** A densely settled core of census tracts and/or census blocks that meet minimum population density requirements with at least 2,500 people and less than 50,000 people.
- **Vehicle Miles Traveled (VMT):** A way of evaluating transportation impacts with metrics that support the reduction of GHG emissions, development of multimodal transportation networks and diversification of land uses. Replaced Level of Service (LOS) method as a metric for assessing transportation impacts of land use and transportation projects.
- **Vulnerable Communities in the Context of Climate Adaptation:** Communities that experience heightened risk and increased sensitivity to climate change and have less capacity and fewer resources to cope with, adapt to, or recover from climate impacts. These disproportionate effects are caused by physical (built and environmental), social, political, and/or economic factors(s), which are exacerbated by climate impacts. These factors include, but are not limited to race, class, sexual orientation and identification, national origin, and income inequality.
- **Zero-Emission Vehicle (ZEV):** A vehicle that produces no criteria pollutant, toxic air contaminant, or greenhouse gas emissions when stationary or operating.

Attachment A

3.2.2 SENSITIVITY TO PROJECT CONTEXT

Whether the metropolitan statistical area (MSA) or urban county data apply to the more rural areas of a given county will depend on how integrated the area in question is to the broader urban economy...

The MSA designation assumes that they (smaller MPOs and rural areas) are indeed integrated through commute patterns, which are a significant indicator of interconnectedness...

... Considerations include land use patterns and densities, modal choices, and route options.

Table 2. The 37 MSA Counties where the NCST Calculator Applies

23 MSA Counties: The NCST Calculator Applies to Class 1, 2, and 3 Facilities		
Alameda	Merced	San Joaquin
Contra Costa	Orange	San Mateo
Fresno	Placer	Santa Clara
Imperial	Riverside	Shasta
Kern	Sacramento	Solano
Kings	San Bernardino	Stanislaus
Los Angeles	San Diego	Yolo
Marin	San Francisco	
14 MSA Counties: The NCST Calculator Applies to Class 2 and 3 Facilities only		
Butte	San Benito	Sutter
El Dorado	San Luis Obispo	Tulare
Madera	Santa Barbara	Ventura
Monterey	Santa Cruz	Yuba
Napa	Sonoma	

Table 3. The 21 Rural Counties where the NCST Calculator does not Apply

Alpine	Inyo	Nevada
Amador	Lake	Plumas
Calaveras	Lassen	Sierra
Colusa	Mariposa	Siskiyou
Del Norte	Mendocino	Tehama
Glenn	Modoc	Trinity
Humboldt	Mono	Tuolumne

APPENDIX H: Scoring Sheet

Scoring Sheet SB 1 Trade Corridor Enhancement Program

Reviewer Name	Project Information				Does the project demonstrate potential for mode shift, including to rail, transit, or active transportation?		How does the project impact single occupancy Vehicle Miles Travelled (VMT)?		Does the project include and document a meaningful public engagement process to traditionally underrepresented groups (including black, indigenous, and other people of color (BIPOC), low-income, environmental justice communities, and/or their Community Based Organizations) and incorporate local communities needs into the project?		Is the project located in a Disadvantaged Community?		Does the project reduce fatalities and severe injuries for all users in alignment with the Safe Systems approach?		Does the project include and/or improve access to Zero Emission Vehicle (ZEV) charging or fueling infrastructure?		
	ID	District	County	Route	Project Title	Reviewer Comments	Rating	Reviewer Comments	Rating	Reviewer Comments	Rating	Reviewer Comments	Rating	Reviewer Comments	Rating	Reviewer Comments	Rating
1																	
2																	
3																	
4																	
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Scoring Sheet SB 1 Trade Corridor Enhancement Program

Reviewer Name	Project Information				Does the project improve climate adaptation and resiliency by addressing one or more climate risk(s) identified in the Caltrans District Vulnerability Assessments and Adaptation Priority Reports or a regional or local climate change adaptation plan?		Does the project minimize the impact on natural resources and ecosystems?		Does the project promote infill development and land use patterns while protecting residents and businesses from displacement?		Improve Freight Movement		Throughput		High Performance Freight Attributes		Total Project Score
	ID	District	County	Route	Project Title	Reviewer Comments	Rating	Reviewer Comments	Rating	Reviewer Comments	Rating	Reviewer Comments	Rating	Reviewer Comments	Rating		
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APPENDIX I: LOS Signature Authority Decision Tree

Currently under development. The document will be posted on DOTP Office of Strategic Investment Planning website.