CSIS

CALTRANS SYSTEM INVESTMENT STRATEGY

JULY 2024

Caltrans

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Message from the Director

Dear Fellow Californians:

I'm pleased to present the Caltrans System Investment Strategy (CSIS). CSIS reflects three years of discussions and collaboration with partners around the state to implement climate action and advance social equity in the transportation sector, a key action in California State Transportation Agency's (CalSTA) Climate Action Plan for Transportation Infrastructure (CAPTI, 2021).

CSIS is a framework that leverages verifiable data and performance-driven approach to guide California Department of Transportation (Caltrans) transportation investments and decisions. This framework includes methodologies and processes to advance projects that address the statewide transportation needs in alignment with the CAPTI Guiding Principles. CSIS guides Caltrans' nomination of competitive projects that achieve our vision of an equitable multimodal transportation network that expands mode choices and reduces transportation related emissions. Prioritization of transportation dollars is imperative to ensure efficient allocation of resources that fosters sustainable development.

Caltrans believes CSIS prioritization will lead to holistic decisions that move us toward achieving California's climate goals and objectives of economic growth, environmental sustainability, and social equity. It helps us create an integrated and efficient transportation system that will enhance California's economy and livability.

Caltrans built and shaped CSIS through robust stakeholder engagement and collaboration throughout the state and is grateful to all our local and regional partners for their comments, feedback, and participation in the process. Lastly, Caltrans will continue to work with its partners to improve CSIS over time based on lessons learned, feedback, and latest advancements in available data, tools, and methodologies.

Sincerely,

TONY TAVARES
Director, Caltrans

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Acknowledgments

The Caltrans System Investment Strategy (CSIS) has been built and shaped through stakeholder engagement and participation from many representatives from across several state agencies, local and regional agencies, advocacy groups and individuals.

We thank you for your participation, comments, feedback and look forward to continued engagement and collaboration.

STAKEHOLDERS

Association of Monterey Bay Area Governments (AMBAG)

Bay Area Rapid Transit (BART): BACTA Project Delivery Committee

California Air Resources Board (CARB)

California Association of Councils of Government (CalCOG)

California Freight Advisory Committee (CFAC)

California Transportation Commission (CTC)

Central Coast Coalition

City of Davis

City of Roseville

City of Temecula

City/County Association of Governments (C/CAG) of San Mateo County

Coalition for Clean Air

Contra Costa Transportation Authority (CCTA)

El Dorado County Transportation Commission (EDCTC)

Equity Advisory Committee (EAC)

Glenn County

Los Angeles County Metropolitan Transportation Authority (LA Metro)

Madera County Transportation Commission (MCTC)

Metropolitan Transportation Commission (MTC)

Mendocino Council of Governments

Napa Valley Transportation Authority (NVTA)
Natural Resources Defense Council (NRDC)
Nevada County Transportation Commission (NCTC)
North County Transit District (NCTD)
Orange County Transit Agency (OCTA)
Orange County Transportation Authority (OCTA)
Placer County Transportation Planning Agency (PCTPA)
Riverside County Transportation Commission (RCTC)
Rural County Task Force (RCTF)
Sacramento Area Council of Governments (SACOG)
San Bernardino County Transportation Authority (SBCTA)
San Diego Association of Governments (SANDAG)
San Francisco Municipal Transportation Agency (SFMTA)
San Joaquin Regional Rail Commission (SJRRC)
San Mateo County Transportation Authority (SMCTA)
Santa Barbara County Association of Government (SBCAG)
Self Help Counties Coalition (SHCC)
Solano County Transportation Agency (STA)
Southern California Association of Government (SCAG)
Southern California Regional Rail Authority (SCRRA/Metrolink)
Stanislaus Council of Governments (StanCOG)
Transportation & Land-Use Coalition of Sonoma County
Trinity County Transportation Commission (TCTC)
Tri-Valley – San Joaquin Valley Regional Rail Authority
Tulare County Association of Governments (TCAG)

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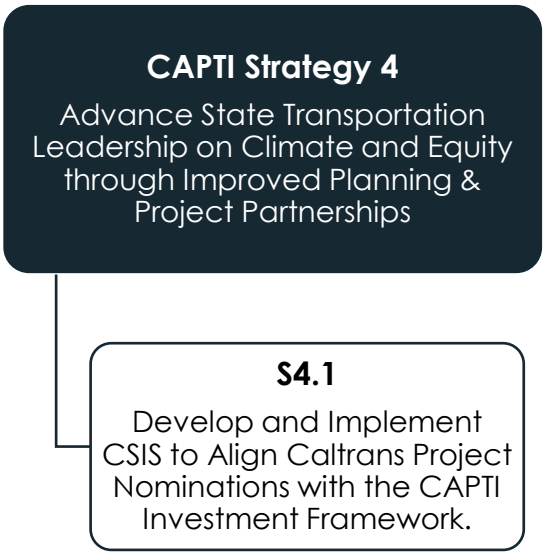
Executive Summary

The California Department of Transportation (Caltrans) is committed to leading climate action and advancing social equity in the transportation sector, consistent with the California State Transportation Agency's (CalSTA) Climate Action Plan for Transportation Infrastructure (CAPTI, 2021). CAPTI supports the California Transportation Plan (CTP) 2050 (2021) goals that work 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, signed by Governor Gavin Newsom in 2019 and 2020, respectively. 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 modal options for all Californians.

Additionally, CAPTI aligns with the 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 the state's goals and priorities through the development and implementation of the Caltrans System Investment Strategy (CSIS).

Figure 1: *CAPTI Strategy*



CSIS implements one of CAPTI's key actions (**Figure 1**) through a data and performance-driven approach that guides how Caltrans plans to invest billions of dollars of state and federal discretionary funding to address transportation deficiencies, while also achieving the CAPTI Guiding Principles (**Appendix A**).

1.0 – Introduction

The purpose of CSIS is to establish the framework for the evaluation of transportation infrastructure projects in alignment with the Climate Action Plan for Transportation Infrastructure (CAPTI, 2021). The CAPTI espouses ten (10) Guiding Principles that focus on the importance of investments in rail and transit, bicycle and pedestrian infrastructure, reductions in vehicle miles traveled, freight efficiency and sustainability, zero emissions vehicle infrastructure, climate change adaptation and resiliency with underpinnings of safety, equity, and environmental sustainability.

CSIS is comprised of two documents: (1) CSIS, the main policy document that lays out the investment framework, project nomination process, and implementation process; and (2) CAPTI Alignment Metrics, a tool for evaluation and assessment of project's alignment towards the state's climate and equity goals and objectives and the CAPTI Principles. Collectively, they are referred to as the CSIS.

1.1 BACKGROUND

The Interim CSIS was released in December 2021 to immediately implement CAPTI prioritization and nomination of projects for various state and federal discretionary funding programs. The 2021 Interregional Transportation Strategic Plan (ITSP) served as a foundation for development of the Interim CSIS. The 2021 ITSP takes a qualitative approach for evaluation and the scoring criteria associated with CAPTI Principles provided the basis for the Interim CSIS's qualitative approach to assess alignment with the 10 CAPTI Guiding Principles (**Appendix A**). A major update to the Interim CSIS was initiated in the fall of 2022 to transition the CAPTI alignment metrics from qualitative to quantitative since these metrics apply to all projects seeking state and federal discretionary funding. This CSIS update included robust stakeholder engagement and public workshops throughout 2023 and 2024 to solicit feedback and input on the proposed metric transition and methodologies.

The resulting changes crystallized as the Draft CSIS supported by its companion document, the Draft CAPTI Alignment Metrics and was circulated for public review and comments from March 1 to April 15, 2024. It is important to note that the CSIS document focuses on Caltrans investment framework and general processes for the evaluation and prioritization of projects for various competitive programs. CSIS is supported by its companion document, the CAPTI Alignment Metrics which includes the metrics, methodologies, and the scoring criteria to evaluate projects for alignment with the 10 CAPTI Guiding Principles.

1.2 REGULATORY CONTEXT

The California Transportation Plan (CTP) 2050 outlines the state's vision for transportation, with focus on enhancing mobility options, promoting environmental sustainability, ensuring equitable access to transportation, supporting economic growth, and improving statewide quality of life. The Caltrans 2020-2024 Strategic Plan builds on the CTP 2050 by integrating principles of sustainability across various goals including safety, climate action, and equity.

The 2022 Interregional Transportation Strategic Plan (ITSP) is long-range plan for the interregional transportation system and one of the six Caltrans statewide plans that implement the California Transportation Plan 2050 (CTP). The primary purpose of ITSP is to identify the needs along the state's strategic interregional corridors to support future Interregional Transportation Improvement Program (ITIP) investment prioritization with emphasis on mode shift and reduction in vehicle miles traveled (VMT) consistent with CAPTI.

CAPTI supports the CTP 2050 goals to meet the state's climate change mandates, policies, and targets set forth by the Executive Order (EO) N-19-19 and N-79-20, signed by Governor Newsom in 2019 and 2020 respectively. Additionally, CAPTI aligns with the Caltrans 2020-2024 Strategic Plan, which signals a fundamental shift for Caltrans to lead climate action as a strategic priority for the first time.

CAPTI aims at shaping transportation funding decision- making so that priority is given to projects that aggressively combat and adapt to the climate crisis, while supporting public health, safety, and social equity goals. CAPTI presents an investment framework with 10 cross-cutting guiding principles, eight (8) strategies, and 31 key actions.

CAPTI's enumerates key actions with specific commitments to necessary changes to the State transportation planning, project scoping, programming, and mitigation activities to meet CAPTI's Guiding Principles. CSIS implements one of CAPTI's key actions, S4.1 for CAPTI Strategy 4.

CAPTI Strategy 4: Advance State Transportation Leadership on Climate and Equity through Improved Planning & Project Partnerships.

- *Action 4.1:* Develop and Implement the Caltrans System Investment Strategy (CSIS) to Align Caltrans Project Nominations with the CAPTI Investment Framework.

1.3 CSIS AND TRANSPORTATION INVESTMENTS

CSIS is an investment framework that applies a data and performance approach for project evaluation and prioritization. This framework is a transparent decision-making process that guides statewide investments from programming through project delivery. CSIS implements standard methodologies and processes for evaluation, prioritization, and nomination of projects for state and federal discretionary funding programs.

Figure 2 illustrates the various areas in which the transportation decisions are impacted by the CSIS investment framework. Through this prioritization process, Caltrans can make well-informed investment decisions aligned with the CAPTI Principles, enhance collaboration with partners, and communicate the value of these investments to stakeholders, decision makers, and the communities we serve. Ultimately, the CSIS guides how Caltrans nominates the most competitive projects for a specific funding program, while also advancing state goals.

Figure 2: *Transportation Decisions Impacted by CSIS*

CSIS is subject to future updates to address emerging needs and information, process improvements, and partner input. Future CSIS updates could include additional companion documents developed through public engagement as new metrics are proposed for specific discretionary programs. The CSIS companion documents and related materials are available on the Caltrans CSIS Webpage.

2.0 – CSIS Investment Framework

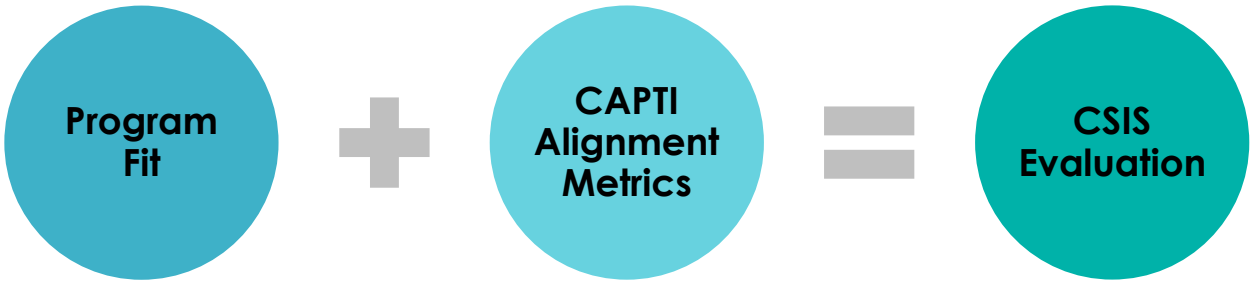
Major capital transportation projects on the State Highway System (SHS) that are not funded by the State Highway Operations and Protection Program (SHOPP) are commonly referred to as non-SHOPP projects or multimodal projects. The CSIS investment framework applies to such major[1] multimodal projects eligible for state and federal discretionary funding programs. CSIS is applicable when such projects have completed the Project Initiation Documents (PID), commonly referred to as post-PID projects and are ready to seek competitive funding for environmental, design, right-of-way, and/or construction phases.

It is important to note that the CSIS does not impact highway rehabilitation and maintenance projects funded by the State Highway Operation and Protection Program (SHOPP). It does not prevent local partners from proceeding in project development and application for state and federal discretionary funding programs. It also does not impact new projects proposing to initiate PID development, which are guided by Caltrans guidance available here.

2.1 EVALUATION APPROACH

CSIS establishes a two-tier process to evaluate and prioritize post-PID projects for various discretionary funding programs (**Figure 3**). This two-tier approach ensures that projects are prioritized based on competitiveness for a specific funding program in which the projects are being considered, referred to as Program Fit, as well as how well the projects align with the 10 CAPTI Guiding Principles (**Appendix A**).

Figure 3: *CSIS Investment Framework*



[1] California Transportation Commission has the authority to define the dollar amount that distinguishes a major project from a minor project. It uses this authority to change that amount as conditions require. Please check with the Program Management Unit or the Design Coordinator for the most current limits. [Project Development Procedures Manual, Article 2]

2.2 PROGRAM FIT

Program Fit is an assessment of a project's competitiveness for a discretionary funding program in which it is being considered. This assessment mirrors the program guidelines by ensuring the projects meet the program objectives, eligibility, and requirements, and competitive under the key program criteria.

While a project's alignment with CAPTI is an important part of the CSIS investment framework, it is crucial that projects are competitive for the funding program in which they are nominated. Post-PID projects could apply and be nominated for various discretionary funding programs which include but not limited to, the State Transportation Improvement Program (STIP), SB 1 Solutions for Congested Corridors Program (SCCP) and Trade Corridor Enhancement Program (TCEP), as well as federal discretionary grants.

As the first tier in the evaluation process, CSIS Investment Framework evaluates and prioritizes projects based on the applicable Program Fit criteria. Program Fit is a set of criteria aimed to determine the consistency and competitiveness of projects with the relevant program objectives and evaluation criteria listed in the California Transportation Commission's (CTC) program guidelines. Each funding program has specific evaluation criteria based on the objectives and underlying legislation and authority.

Projects are evaluated and assessed for how well the project meets the program's eligibility, requirements, objectives, and overall criteria. Projects are given a rating of High-Medium-Low based on the Program Fit assessment. Program Fit evaluation is conducted by a Project Review Committee that includes the appropriate subject matter experts.

Caltrans assessment of Program Fit is not intended to evaluate and score projects in the same manner the funding agency would perform those evaluations. Rather, the Program Fit evaluation will mirror the program's objectives and criteria based on prior program guidelines if current cycle guidelines are not available.

2.3 CAPTI ALIGNMENT METRICS

The CAPTI alignment metrics is a data-and performance-based operationalization of CAPTI's Guiding Principles under the CSIS Investment Framework. It establishes a set of metrics in response to CAPTI's climate and equity goals while supporting infrastructure development across the state.

This tier in the process evaluates projects' performance across a combination of quantitative and qualitative metrics to assess alignment with the 10 CAPTI Guiding Principles (**Appendix A**). The CAPTI Alignment Metrics, a companion document of the CSIS, provides a combination of quantitative and qualitative metrics, metric-specific methodologies, metric constraints, data requirements, and scoring rubrics.

The CAPTI alignment metric assessment applies to all projects seeking discretionary funding. Secondary to the Program Fit evaluation, the projects are evaluated and scored for their performance across these metrics.

Projects are assessed and scored for nine quantitative metrics: Safety, Vehicle Miles Traveled, Accessibility, Disadvantaged Community Access to Jobs/Destinations, Disadvantaged Community Traffic Impacts, Passenger Mode Shift, Land Use and Natural Resources, Freight Sustainability and Efficiency, and Zero Emission Infrastructure and two qualitative metrics: Public Engagement and Climate Adaptation and Resiliency

CSIS and the CAPTI Alignment Metrics documents are available on the Caltrans CSIS webpage.

3.0 – CSIS Implementation

Implementation of CSIS begins with the project nomination process and informs the project evaluation, scoring, and ranking process resulting in a recommended list of prioritized projects. The CSIS evaluation can also inform how projects' adjust and refine scope to be more comprehensive and multimodal to improve a project's nomination viability.

3.1 PROJECT NOMINATION PROCESS

The nomination process under the CSIS refers to a series of linear processes or steps in the project evaluation and prioritization process. The project nomination process, illustrated in **Figure 4**, begins with a Caltrans Headquarter (HQ) Call for Project Nominations and concludes with an approved list of projects being nominated for a specific competitive program. The project nomination process for selection of the recommended list of projects is applicable by each specific discretionary funding program.

Figure 4: *Project Nomination Process*

3.1.1 Call for Project Nominations

Caltrans' HQ solicitation of a Call for Project Nominations is the first step in the nomination process. Prior to any calls for nominations, Caltrans Districts are strongly encouraged to collaborate with partner agencies and stakeholders to develop a list of district priority projects. Partnership nominations should include robust district engagement that is coordinated through the district investment planning manager.

District investment planning manager, or designee, submits the project nominations to the HQ via an intake form, which is a mechanism for gathering project information and data necessary to evaluate Program Fit and CAPTI alignment. Districts are encouraged to consult with the appropriate HQ programs for feedback as they prepare the intake form prior to submitting their nominations.

For the latest information on Caltrans call for nominations and program timelines, please visit the HQ Office of Strategic Investment Planning.

3.2 PROJECT EVALUATION PROCESS

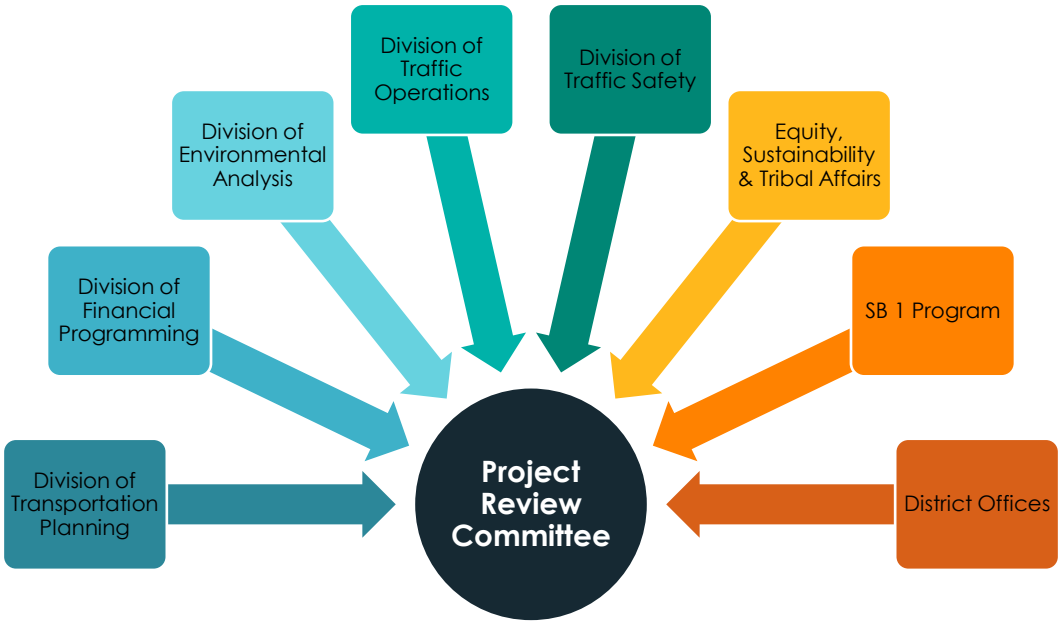
The project evaluation process includes an assessment and evaluation of projects for the Program Fit followed by the CAPTI Alignment Metric scoring. The Program Fit criteria is based on each specific discretionary funding program.

Projects are given a rating of High-Medium-Low based on the Program Fit assessment. The assessments are accomplished by a multi-disciplinary project review committee (committee) composed of subject matter experts (SME) and other key program managers.

3.2.1 Project Review Committees

These committees play a vital role in the success of the evaluation process. For this reason, members of the committees are carefully selected from the HQ and District volunteers from various programs and relevant subject matter experts. The members vary for each funding program and cycle based on the volunteers received. In general, each committee comprises of various programs and divisions illustrated in **Figure 5** formed for specific funding program to evaluate and score projects.

Figure 5: *General Members of the Project Review Committee (Note: Not all-inclusive)*



The committee members take part in a kick-off meeting where they are given specific instructions and guidelines for the evaluation and assessment for each funding program. This includes the overall nomination process, project data and information, program guidelines, scoring rubrics, evaluation materials, and general rules and expectations. Thereafter, projects are assigned to the reviewers for evaluation based on a set of criteria and associated scoring rubrics to record their individual scores along with justifications for each score given.

3.2.2 Program Fit Assessment

The Program Fit assessment is the first consideration in the prioritization process to identify competitive projects for a specific discretionary funding program. Projects are assessed for their eligibility and consistency with the funding program criteria.

Eligibility

Program Fit review begins with the screening of the project's eligibility for the nomination to the specific funding program. Caltrans verifies that the project is included or has initiated the process to be included in the Regional Transportation Plan/Sustainable Communities Strategies (RTP/SCS). The project should also have the required environmental clearance and meet other program and statutory requirements.

Since program eligibility may change for each program cycle, a screening checklist is updated accordingly. When projects that do not meet the program eligibility requirements, the nominating districts and partners are notified. Eligible projects will proceed with the Program Fit evaluation process.

Criteria

Projects are evaluated for Program Fit based on a set of criteria and are given a rating of High, Medium, or Low for overall program competitiveness based on program objectives and criteria as listed in the program guidelines for each funding cycle.

Projects are evaluated for consistency with program objectives and evaluation criteria as listed in the California Transportation Commission's (CTC) program guidelines. Program Fit criteria is developed for each discretionary funding program and updated based on changes to the program guidelines. Updated Program Fit criteria are posted on Caltrans CSIS Webpage.

Regional Transportation Plans

Federal law requires a project to be in a federally approved Regional Transportation Plan (RTP) to receive federal funding. The statute governing SB 1 programs also requires the project be included in an approved RTP with an approved Sustainable Communities Strategy (SCS), if a SCS is required. The Program Fit assessment will verify the following:

- The proposed project is included in an approved RTP, or
- The Project sponsors have initiated the process to request inclusion of the proposed project in the RTP.

3.2.3 CAPTI Alignment Metric Scoring

The second consideration in the evaluation process is an assessment of the project's alignment with the CAPTI Guiding Principles (**Appendix A**). The CAPTI Alignment Metric evaluation utilizes a combination of nine (9) quantitative and two (2) qualitative metrics to measure a project's performance in alignment with the CAPTI principles. Collectively, they are a data-and performance-based approach to assess and evaluate for measurable outcomes.

These metrics include (1) Safety, (2) Vehicle Miles Traveled (VMT), (3) Accessibility, (4) Disadvantaged Communities (Access to Jobs and Destinations, (5) Disadvantaged Communities (Traffic Impacts), (6) Passenger Mode Shift, (7) Land Use and Natural Resources, (8) Freight Sustainability and Efficiency, (9) Zero Emissions Vehicle Infrastructure, (10) Public Engagement, and (11) Climate Adaptation and Resiliency.

Each metric can score a maximum of ten (10) points and a minimum of zero (0) point. A project's total CAPTI Alignment score is the sum of all eleven metrics score. These metrics, methodologies, scoring rubrics, and related resources are further described in the CAPTI Alignment Metrics document available on the Caltrans CSIS Webpage.

3.2.4 Project Scorecard

A project scorecard is prepared for each project, which contains the program fit rating and the CAPTI alignment score for each metric. Once the scores have been reviewed and quality checked, the scorecard is shared with the district and their partner.

Under limited circumstance, additional data and information may be accepted for consideration if new information is likely to significantly impact the score. Please note that consideration of new information is at the discretion of the program, which may vary based on the process established by each funding program.

3.3 PRIORITIZED LIST OF PROJECTS

3.3.1 Prioritized List

Caltrans will prepare the prioritized list of projects for individual funding programs based on the CSIS evaluation after the Program Fit rating and the CAPTI alignment metrics assessment and scoring.

The two-tier evaluation under CSIS is likely to show a spectrum of results, such as projects that are high in Program Fit but with a medium-to-low CAPTI alignment score. Conversely, projects with low Program Fit may have high CAPTI alignment score. Further coordination with the districts and partners may be necessary to obtain additional information for further consideration.

3.3.2 Other Considerations

A key component of project prioritization and nomination is ensuring that the project can be delivered on time and budget. As such, considerations around delivery risk, ability for project to meet key project milestones in a timely manner, projects' funding plan, and the ability of the project to leverage additional funds, are all key considerations in project prioritization and nomination.

Prioritization of projects is also based on the premise that a one size fits all approach would not respond to the diversity and complexity of the state's regions and transportation context. Caltrans considers many factors in setting up projects for success. These are critical considerations included for an informed decision making. Considerations could include relevant project information, such as the projects' alignment with the statewide plans and priorities, history of partnership, context sensitive solutions, completion of a network or corridor, geographical context such as the urban-suburban-rural setting, other local and regional context, and community perspectives on the project.

A recommended list of prioritized projects is developed and submitted to the Caltrans Executive Management for review and approval. Caltrans executive

management further evaluates the prioritized list of projects for further consideration.

3.3.3 Approved List of Prioritized Projects

The resulting final list of prioritized projects is submitted to the Caltrans Executive Management for review and approval. The final list is also presented to CalSTA for their review and concurrence. Finally, the Caltrans Director approves this list which is now the Approved List of Prioritized Projects. Districts are subsequently notified of the project selections and instructed to proceed with development of the grant applications.

4.0 – Caltrans Letter of Support & Partnership

Agencies that pursue federal funding for local projects frequently request Caltrans's letters of support (LOS) to accompany their grant applications. Support letters are either signed by the Caltrans Director or delegated to Caltrans District Directors based on guidance provided by Caltrans HQ Division of Transportation Planning (DOTP). All LOS requests designated for Caltrans Director signature undergo a formal Call for Letters of Support. Programs where signature authority are delegated to the District Director undergo the district LOS request process.

The LOS review process involves coordination with the Caltrans HQ and the District investment planning staff, in collaboration with the Caltrans HQ SMEs. Projects are evaluated holistically with the CSIS Investment Framework; from the perspective of grant program objectives and alignment with the CAPTI Guiding Principles. After the evaluation process, projects that are determined to be consistent with CSIS are recommended for LOS for signature by the Caltrans Director or the District Director.

The HQ DOTP leads the determination of LOS guidance and signature authority for all discretionary funding programs and provides the appropriate oversight to ensure Caltrans-supported projects are consistent with the State goals and priorities. For more information on Letter of Support, please refer to the Caltrans Letter of Support Guidance available on the Caltrans HQ Office of Strategic Investment Planning webpage.

Requests for Caltrans partnership are evaluated in a similar manner as the LOS process for the eligibility and competitive factors relevant to the grant funding program. However, it also includes additional attention towards statewide and national significance. For additional information on partnership, please go to the Caltrans HQ Office of Strategic Investment Planning webpage.

5.0 – CSIS Next Steps

CSIS implementation will set California on a successful path of leveraging discretionary funding to achieve state goals and priorities. It is paramount that state and local partnerships are successfully established and maintained to ensure project progression and commitment to the CAPTI and CSIS Investment Framework are carried through the life of the project.

To this end, Caltrans will continue to collaborate with partners to implement the CSIS. Caltrans will facilitate and strengthen investment planning work through all phases of project development and apply CSIS through a regional lens that considers the unique needs, limitations, and opportunities of rural, suburban, and urban areas.

5.1 CSIS UPDATES

The CSIS is subject to future updates that may enhance or modify the investment framework to adapt to changes in legislation, state goals and policies, and other factors. Similarly, the CSIS companion documents (CAPTI Alignment Metrics and Program Fit metrics) are also subject to future updates. These updates could include introduction of new metrics or adjustments to existing metrics to maintain consistency with the CSIS framework and incorporate lessons-learned, best practices, and the latest data and tools.

Additionally, the effectiveness of the CSIS will be evaluated periodically over time, such as its application to SB 1, Cycle 4 nomination of projects. Specific policies, processes, actions, and metrics within the CSIS may be adapted or modified for implementation in alignment with CAPTI.

The CSIS and its companion documents may be reviewed periodically to determine the necessary updates that take into consideration the timing of state federal competitive programs and the extent of public engagement. Furthermore, Caltrans is committed to engaging the stakeholders in future CSIS updates to ensure a collaborative and transparent process.

5.2 FEDERAL DISCRETIONARY FUNDING PROGRAMS

While CSIS applies to all federal discretionary funding programs, specific applicability of CAPTI alignment metrics may vary dependent on the funding program.

Therefore, application of CSIS will be implemented in phases after careful deliberation and collaboration for applicability and feasibility.

CSIS program will continue collaboration with key Caltrans programs, SMEs, and the Caltrans District offices to ensure that the projects nominated for federal discretionary funding programs overall align with the CAPTI's Guiding Principles. The applicability of CSIS and the CAPTI Alignment Metrics by the state and federal programs is listed under CSIS Updates on the Caltrans System Investment Strategy (CSIS) | Caltrans webpage.

5.3 10-YEAR MULTIMODAL INVESTMENT PLAN

An actionable next step for CSIS is the development of a 10-Year Multimodal Investment Plan (10-Year Plan), which will provide a list of prioritized multimodal projects planned over a 10-year horizon to pursue state and federal discretionary funds.

The 10-Year Plan is dependent on the development of the multimodal project database which will have various web-based features and information including project data such as GIS location information, project scope, cost, and schedule among other relevant information.

The web-based platform will have capability to generate projections or future outlooks of funding needs, and performance measures (i.e., CSIS scores) across the state. The database will also help to facilitate timely internal and external reporting needs to increase efficiency, transparency, and accountability.

The 10-Year Plan will be developed over time through internal and external engagement to ensure the methodologies and processes are well supported by Caltrans internal programs and external stakeholders. Future updates on the development of the 10-Year Plan will be available on Caltrans HQ Office of Strategic Investment Planning webpage.

6.0 – Developing CSIS & Stakeholder Engagement

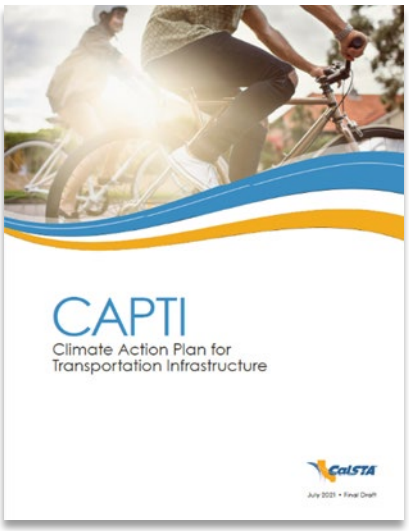
Caltrans acknowledges the immense value of robust stakeholder engagement in the development of CSIS, particularly for the 2024 CSIS update. Stakeholder engagement and feedback received has greatly influenced the CSIS Investment Framework and the metrics. In summary, the stakeholder engagement included the following:

- Public workshops to introduce the proposed Draft CSIS updates.
- Focus comment period on the Administrative Draft or Interim CSIS documents.
- Individual stakeholder meetings to discuss concerns and feedback.
- 45-day public comment period on the Draft CSIS Documents.
- Feedback loop with the stakeholders to share changes based on the feedback.
- Public workshop prior to the release of the finalized CSIS Documents.

Caltrans will continue to engage the public and stakeholders in future CSIS updates and ensure that the level of engagement is appropriate for the type of updates being considered.

Appendices

APPENDIX A – 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, Statues 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.

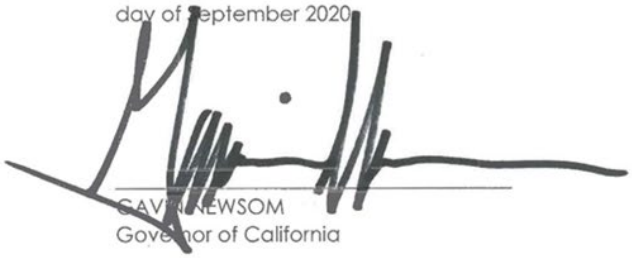
   c) Supporting light, medium, and heavy duty zero-emission vehicles and infrastructure as part of larger transportation projects, where appropriate.

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