PUBLIC ENGAGEMENT PLAN FOR CALTRANS SYSTEM INVESTMENT STRATEGY (CSIS 2.0) & LOCAL-REIMBURSMENT PROJECT INITIATION DOCUMENT (PID) GUIDANCE

Caltrans - Division of Transportation Planning
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Communication Matrix							
KEY: (A) Approver (C) Contributor (I)	Receives Information (Com	munication)					
		Activities	6	Focus Groups	Stakeholder Workshop	Draft Review	Final Draft
			Communication				
Stakeholder	Purpose / Objective of Communication	Frequency	Method				
CTC Commission	Final Update	Once	Presentation	n/a	n/a	n/a	1
CTC Staff	Progress of tasks	At least once at beginning and once with draft/final	Presentations	I	ı	I	I
MPOs/RTPAs	Input/ Reviews	Ongoing	Emails / presentations	С	С	С	1
Tribes	Input/ Reviews	Ongoing	Emails / presentations	С	С	С	1
Community Groups	Input/ Reviews	Ongoing	Emails / presentations	С	С	С	1
Rural County Task Force	Input/ Reviews	Ongoing	Emails / presentations	С	С	С	1
RTPA Group	Input/ Reviews	Ongoing	Emails / presentations	С	С	С	1
Other Various Stakeholders	Input/ Reviews	Ongoing	Emails / presentations	С	С	С	ı
Public/Citizens	Feedback/Engagement	Key Milestones	Emails / presentations	ı	С	С	1

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Public Engagement Plan for Caltrans System Investment Strategy (CSIS 2.0) Update

Guiding Principles

A critical foundation for the engagement planning includes the following outreach values:

- Direct Engagement Engage people where they are, go out to the communities.
- Deep and Broad Participation Reach beyond the typical advocates and engage people not typically involved.
- **Equity** Develop a clear understanding of the disadvantaged and underrepresented voices.
- Effective Communication Spread awareness and knowledge about the project.
- > Transparency- openness, communication, and accountability.

Introduction

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). CAPTI supports the California Transportation Plan 2050 (CTP, 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. The CTP 2050 is the State's broad vision for the future of the transportation system in California that reinforces the State's firm commitment to combatting climate change while also reinforcing long-held values such as improving safety, improving mobility and accessibility, advancing environmental health and justice, and enhancing quality of life. Additionally, 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 developing and implementing the Caltrans System Investment Strategy (CSIS). The CSIS implements one of CAPTI's key actions and is envisioned as 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 in highly competitive fund programs that will address transportation deficiencies while also achieving the CAPTI Guiding Principles. The key objective of the CSIS is to prioritize our infrastructure investments that address multiple goals and needs and achieve synergistic benefits for California's residents. In

addition, the CSIS increases opportunities for Caltrans to work alongside with stakeholders to align our planning efforts and projects toward critical climate action investments.

The implementation of CAPTI Key Action S4.1 calls for the CSIS to guide project nominations through a data- and performance-driven approach for projects funded outside of the State Highway Operation and Protection Program (SHOPP) and by other local and/or competitive funding sources, commonly referred to as Non-SHOPP projects. While CAPTI specifically calls for CSIS to implement a quantitative nomination approach, the CSIS 1.0 established a first version that includes a qualitative approach. Caltrans will work towards implementation of a data- and performance-driven approach beginning in mid-2023. Caltrans will also perform additional public outreach to collaborate on the establishment of data performance measures, baselines, and performance targets to effectively quantify the extent to which Caltrans delivers on the CAPTI Guiding Principles.

Looking Back / Looking Forward

In the Fall of 2021, Caltrans developed a set of scoring criteria as part of the 2021 Interregional Transportation Strategic Plan (ITSP) to prioritize projects for the 2022 Interregional Transportation Improvement Program (ITIP). The 2021 ITIP scoring criteria were based on the California Transportation Plan 2050 goals and the CAPTI framework, with a focus on achieving interregional corridor objectives, policies, and needs. The ITIP scoring criteria were developed in partnership with stakeholders and the public, including workshops and a formal public comment period. Public and stakeholder comments on the draft ITIP scoring criteria were addressed to the extent possible in the final ITIP scoring criteria.

To maintain consistency, the ITIP scoring criteria served as the foundation for developing the scoring criteria for other fund programs within the CSIS 1.0. Development of CSIS 1.0 began in September 2021 in preparation for Caltrans internal process to prioritize projects for Caltrans-led grant applications and resource allocation for development of the State-Sponsored Non-State Highway Operations and Protection Program (SHOPP) Project Initiation Document (PID). Utilizing the 2021 ITIP scoring criteria as the foundation, Caltrans worked with internal subject matter experts to develop the prioritization framework and scoring rubrics for each criterion. The draft CSIS 1.0 was finalized and released in December 2021. Since February 2022, Caltrans utilized the CSIS 1.0 to evaluate, score, prioritize, and recommend projects for State-Sponsored non-SHOPP PIDs and Caltrans-led applications for Active Transportation Program (ATP) Cycle 6, SB 1 Solutions for Congested Corridors (SCCP) Cycle 3, SB 1 Trade Corridors Enhancement Program (TCEP) Cycle 3, and the federal Reconnecting Communities Program.

CSIS 1.0 is currently being revisited to improve Caltrans prioritization framework and methodologies based on lessons learned. As the CSIS 1.0 (December 2021) was predominantly based on the 2021 ITIP scoring criteria, Caltrans did not include a stakeholder and public engagement at the time to immediately implement CAPTI within the time constraints of SB 1 nominations and upcoming competitive programs. The scope of the engagement was limited to Caltrans Subject Matter Experts review. When the Recommended Lists of Prioritized Projects for TCEP and SCCP for Caltrans-led applications were announced internally in July 2022,

the information was shared with stakeholders, and they became aware of the CSIS 1.0 and its role in Caltrans internal prioritization. Stakeholders, primarily regional and local partners, expressed concerns that the CSIS 1.0 had been used without engagement and requested the opportunity to provide comments on the CSIS 1.0. Caltrans circulated CSIS 1.0 for public review from September 15 through November 14, 2022, will plan for additional comment review periods. Public input during comment periods and workshops will be considered for the next planned update in April 2023 (CSIS 2.0).

In a parallel and related effort to CSIS 2.0, Caltrans is also developing draft guidance for the Local-Sponsored Non-SHOPP PIDs. Local-Sponsored Non-SHOPP PID guidance will improve project proposals on the State Highway System by creating a nomination process that facilitates early conversations with local and regional partners to align projects with state goals and policies. Partner conversations towards the beginning of the project development process increases opportunities to include climate action infrastructure into project proposals where feasible. As part of CSIS 2.0 stakeholder engagement, Caltrans will present the proposed nomination process for initiating Local-Sponsored Non-SHOPP PIDs. Discussions on this topic will dovetail into outreach meetings planned for CSIS 2.0.

Given the need for robust external engagement in the development of CSIS 2.0, Caltrans is developing a Communication Engagement Plan, focus group meetings, workshops, and additional comment periods. In mid-2023, Caltrans intends to transition the CSIS 2.0 towards future updates that include a data- and performance-driven approach, which is anticipated to begin prior to SB 1 Cycle 4. The quantitative approach requires extensive data collection and in-depth analyses to establish baselines and performance targets in order to effectively measure the extent to which Caltrans delivers on the CAPTI Guiding Principles. Stakeholder collaboration will be a key task to help finalize future updates.

Public Engagement Overview

November to December 2022

1. Planning Activities

- Compile comments received from public review and prepare preliminary recommendations
- Develop outreach materials (presentation, survey constant contact email messaging, etc.)
- Build stakeholder contact list

January – February 2023

2. Public Outreach Webinar Events

- Hold three focus group meetings with commenters
- Hold two public workshops (Urban and Rural Perspectives)
- Conduct stakeholder interviews, monitor survey results, incorporate feedback

February – April

3. Comment Period and Final Updates

- Final draft CSIS 2.0 and Local-Sponsored Non-SHOPP PID process comment period
- Incorporate Feedback

April 2023

4. Final Deliverable

- Publish Final CSIS 2.0
- Publish Local-Sponsored Non-SHOPP PID Project Nomination Guidance

Summer 2023

5. Future CSIS Developments

• Kickoff development of future CSIS updates toward data and performance driven approach

Public Engagement Plan

1. Planning Activities

Caltrans released CSIS 1.0 in September 2022 for stakeholder review and comment, with comments due on November 14, 2022. Caltrans is currently reviewing the comments received, identifying common themes, and preparing preliminary recommendations to address the comments. Caltrans will set up focus group meetings with the commenters to clearly understand their comments and to identify solutions in January 2023. Caltrans will also set up public/stakeholder engagement workshops after the focus group meetings using Constant Contact to register stakeholders. These focus group meetings and workshops will be planned for 2 hours, depending on the number of comments and public interest received. Stakeholders can expect regular updates on Caltrans Office of Strategic Investment Planning website with links to sign up for workshops and past meeting recordings. A fact sheet with a survey monkey will be developed to provide general overview, inform partners about the online idea center for those that are unable to attend our scheduled meetings and workshops, and solicit feedback on the current process through the survey.

Actions:

- Setup an Idea Center for CSIS (communication through February 2023)
- Create survey
- Create Fact Sheet that summarizes CSIS, other essential information
- Set up Email Blast (Constant Contact)
- Draft an information letter to tribal nations and email
- Add ITSP Master Stakeholder list
- Add Metropolitan Planning Organization/ Regional Transportation Planning Agency (MPO/RTPA) Stakeholders
- Add additional Stakeholders (see stakeholder list)
 - o Identify contacts for the additional stakeholders and add to Constant Contact
- Review and Compile Comments
- Identify Common Themes and Prepare Preliminary Recommendations to Adequately Address Comments
- Schedule Focus Group Meetings, Stakeholder Workshops, and Organizational Briefings (for both CSIS and Local Non-SHOPP PID update)
- Create Constant Contact to Register Stakeholders for the Public Workshop
- Work with staff on focus group and stakeholder workshop logistics

2. Public Outreach Webinar Events

Focus Group Meeting

Caltrans will hold one focus group meeting. The focus group meeting will be with stakeholders who commented on the CSIS 1.0 during the public comment period in September through November 2022. The outcome of these meetings is to understand comments/concerns and identify possible responsive solutions. As needed, before the focus group meeting, Caltrans will individually communicate with commenters if more clarification or an in-depth understanding is needed. The meeting will be a facilitated discussion. Caltrans will prepare an agenda ahead of time and post it on the internet. Staff will provide an introduction/refresher on CAPTI. Caltrans will provide a 10–15-minute overview of the CSIS process. The remainder of the focus group meeting will be on addressing and discussing the themes of the comments received on the CSIS. The anticipated outcome of the focus group meetings is to document stakeholders' comments and understand/respond if or how Caltrans can feasibly address those comments. Caltrans will keep notes and provide meeting minutes, as well as proposed updates for CSIS 2.0. Staff will schedule a comment review period for the draft guidance tentatively from February 22 through March 22, 2023.

CSIS related Focus Group Attendees:

• Stakeholder Focus Groups: Commenters, Caltrans SMEs, MPOs/ RTPAs, Rural Counties Task Force (RCTF),

Workshops

Caltrans will hold two recorded stakeholder workshop(s) to provide an overview of CSIS, as well as information on the Local Non-SHOPP PID draft guidance. The first meeting held will be with rural focused stakeholders and the second with urban regions. Agendas for these workshops will be posted on the internet prior to the start of the workshops. Staff will provide an overview of CAPTI and how CSIS ties in. Caltrans will use the workshop(s) to walk attendees through sections of the CSIS document and pausing at natural breaks for stakeholder/public to provide comments and feedback. Caltrans will also share a visual aid on the Local-Sponsored Non-SHOPP PID draft guidance. The workshops are aimed to inform and engage stakeholders and the public on how Caltrans intend to alignment transportation investments with the CAPTI framework. The anticipated outcome of the workshops is to collect meaningful feedback to incorporate into CSIS 2.0, where feasible, and to keep the public/stakeholders informed of the CSIS. Caltrans will keep notes and provide a memo on the summary of the workshops and the proposed updates to CSIS 2.0, as appropriate.

Stakeholder Workshop(s) Attendees:

• Various Stakeholders (as identified in the Communication Matrix)

- Public
- Caltrans Subject Matter Experts (SMEs)

Actions:

- Create focus group agendas and workshop materials
- Memo on summary of meetings
- Memo on draft proposed updates to CSIS
- Respond to callers/emails through Idea Center
- Conduct stakeholder interviews and briefings as requested
- Monitor and document survey results
- Create workshop(s) agenda and presentation for Rural and Urban context
- Memo on summary of workshop meetings
- Consult with Caltrans SMEs on meeting outcomes
- Update the CSIS as appropriate
- Post workshop recordings and memos on Caltrans website
- Share Fact Sheets with Tribal Nations, Caltrans Freight Advisory Committee (CFAC), and other organizations 8

3. Comment Period and Final Updates

Caltrans will send out an Email Blast notice via Constant Contact and post the final draft CSIS 2.0 when available for the final comment period. The comment period will last 20 business days.

Once the comment period ends, Caltrans will compile and address each comment and update CSIS 2.0 as appropriate. Caltrans will provide a memo on the comments received and add it to the Stakeholder Engagement Appendix. Caltrans will provide updates as needed via Constant Contact and post them on the CSIS 2.0 internet page.

Caltrans will send a notice via Constant Contact when CSIS 2.0 is finalized, including posting the final on its website.

Actions:

- Send out the Final draft for the final comment periods (both CSIS 2.0 and Local Non-SHOPP PID process) via Constant Contact
- Compile comments and address them as necessary
- Update CSIS based on approved feedback
 - o Add appendix on stakeholder engagement
- Send out final CSIS 2.0 via Constant Contact and post on the internet page

4. Final Deliverable

Final CSIS 2.0:

- Publish document (announcement via Constant Contact)
- Continue engagement on future data and performance driven approach
- Notify stakeholders of new and upcoming CSIS development dates

5. Future CSIS Development

Stakeholders can expect continuous updates and notifications of future public outreach events related to the CSIS. The CSIS will evolve into a data-driven performance approach to investment planning. Caltrans will include stakeholders will be in future developments.

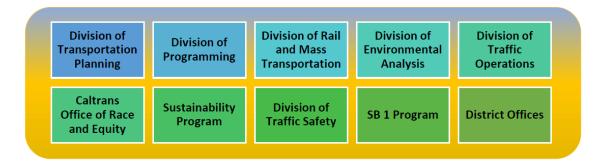
Caltrans Resources

Core Project Team

Caltrans Office of Multimodal System Planning (MMSP) staff will be the Core Project Team. These individuals are tasked with shepherding the development of the strategy; integrating DOTP leadership guidance and assistance in resolving or addressing key issues; coordinating with various Caltrans personnel across the state; and functioning as the motivational energy for the strategy development and implementation. The Core Project Team includes the Branch Chief, supported by other key staff to promote implementation of the Communication Engagement Strategy recommendations and action items.

Subject Matter Expert (SME) Committee

There is a need for ongoing internal coordination between the various functional units and divisions within HQ, especially when communicating with external partners. SMEs play a vital role in scoring criteria development and other processes that impact project nominations. To that end, MMSP identified key functional units that may participate in the CSIS communication engagement process.



Potential Stakeholder List

Stakeholder Definition

For the purposes of the Communication Engagement Strategy, a stakeholder can be generally defined as a person or group that has an interest or that would likely be impacted by a proposed project, program, or plan. CSIS stakeholders are intentionally defined broadly since every level of government has a vested interest in Caltrans investment approach.

Utilizing Existing Networks

The plan's robust outreach, although conducted in a compact schedule, is intended to engage a diverse cross-section of the state. The recommended approach is to leverage the existing networks of organizations and contact lists currently available to Caltrans. The Core team will maintain a database of contacts that will be updated regularly to reach as many stakeholders as possible. Organizations are already generally established and have a set of constituents and communication channels. They are often ready partners, willing to participate, co-host, or share information with their groups. Below is a high-level list of stakeholders that Caltrans will engage in the coming months, including a communication matrix of participants:

State Agency Partners	Project Partners	Interested Stakeholders
California Energy Commission (CEC)	Tribal Governments	Self Help Counties Coalition
California Air Resources Board	MPOs/RTPAs	Rural County Task Force (RCTF)
(CARB)	Cities	California Council of Governments (CalCOG)
California Transportation Commission (CTC) Commissioners	Counties	League of Cities
Commission (CTC) Commissioners	Railroads	
	Transit	Regional Transportation Planning Agency (RTPA) Group
	Ports	California Transit Association
		California Transit Association
		Special Interest Groups
		Community Based Organizations
		Public / Citizens
		Other Political Representatives

Communication Matrix							
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Community Groups	Input/ Reviews	Ongoing	Emails / presentations	С	С	С	1
Rural County Task Force	Input/ Reviews	Ongoing	Emails / presentations	С	С	С	1
RTPA Group	Input/ Reviews	Ongoing	Emails / presentations	С	С	С	1
Other Various Stakeholders	Input/ Reviews	Ongoing	Emails / presentations	С	С	С	1
Public/Citizens	Feedback/Engagement	Key Milestones	Emails / presentations	ı	С	С	1