



Locally Sponsored Project Initiation Document (PID)

INITIAL CAPTI ASSESSMENT GUIDANCE

JULY 2025

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1 – Introduction

The California Department of Transportation (Caltrans) is committed to leading climate action and enhancing community well-being through transportation investments. This commitment is guided by the California State Transportation Agency's (CalSTA) Climate Action Plan for Transportation Infrastructure (CAPTI, 2021), which advances the goals of the California Transportation Plan (CTP) 2050 and key state directives—including Executive Orders N-19-19 and N-79-20, and Senate Bill 743. To support these efforts, this Initial Assessment Guidance encourages early CAPTI assessment in locally sponsored projects, particularly those on the State Highway System. The goal is to help ensure that project proposals incorporate CAPTI's ten guiding principles, some of which include reducing greenhouse gas emissions, improving safety, expanding access for all users, and supporting multimodal transportation options.

1.1 – PURPOSE

This Guidance establishes a clear and transparent process for reviewing and identifying opportunities to incorporate CAPTI principles both prior to and during the development of a Project Initiation Document (PID) for projects proposed on the State Highway System (SHS) and sponsored by a local agency or private entity, where a cooperative agreement or Highway Improvement Agreement (HIA) is required. It aims to foster early collaboration between Caltrans—as the owner-operator of the SHS—and project sponsors to support a shared understanding of how CAPTI priorities can be thoughtfully integrated into project development. These priorities include reducing greenhouse gas emissions, improving safety, expanding multimodal access, and enhancing community livability.

While this Guidance does not establish a fixed threshold for advancing PID development, it encourages proactive dialogue between stakeholders and project sponsors, as well as continuous improvement in the application of CAPTI strategies wherever feasible. These strategies include but are not limited to: fix-it-first maintenance approaches, integrated transit and rail networks, complete streets, zero-emission vehicle infrastructure, and support for compact, infill development.

By working together from the outset, Caltrans and local sponsors can advance projects that align with California's long-term climate goals and deliver cleaner, safer, and more connected transportation options for all.

2 – Background

For major project¹ proposed on the SHS, a PID must be developed and approved by Caltrans before the project can be programmed and advance to the Project Approval and Environmental Document (PA&ED) phase. The PID defines the project's purpose and need, and includes the proposed scope, a reliable cost estimate, and a schedule.

All locally sponsored projects initiating PID development outside of the State Highway Operation and Protection Program (SHOPP) will undergo an Initial Assessment review based on this Guidance. This review evaluates how well the project concept reflects the ten guiding principles of the CAPTI and establishes a shared approach for integrating those principles into the project scope. The process encourages early discussions between Caltrans and the project sponsor to identify opportunities to incorporate CAPTI strategies—such as reducing greenhouse gas emissions, improving safety, expanding multimodal access, and supporting sustainable land use—into the project's development. This review should occur concurrently with the development of the cooperative agreement or HIA.

3 – CAPTI Assessment for Locally Sponsored Project Proposals

Locally sponsored PIDs are developed to address a wide range of multimodal transportation needs, including safety improvements, operational enhancements, transportation management systems, access modifications, and additions or upgrades to highway facilities. Anticipated funding sources for these projects—spanning development through construction—often include local funds, formula allocations, and state or federal discretionary grants.

While Caltrans, local sponsors, and other stakeholders may have collaborated for years in identifying and assessing transportation needs on the SHS, the formal review of how a project reflects CAPTI principles begins when the sponsor is ready to enter into a cooperative agreement or HIA with Caltrans to initiate a PID. This CAPTI-focused review process is intended to occur in parallel with the development of the cooperative agreement or HIA and is not expected to delay or modify existing procedures. Importantly, it does not propose changes to the language of these agreements. A key outcome of this Guidance is the

¹ CTC 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. Check with the Program Management Unit or the Design Coordinator for the most current limits. [Project Development Procedures Manual, Article 2]

issuance of a CAPTI Assessment Memo signed by the District Director or Deputy District Director, reflecting the early consideration of CAPTI priorities.

3.1 – ROLES AND RESPONSIBILITIES

A robust collaboration among Caltrans District and Headquarters (HQ) staff and the project sponsor is essential to the success of the CAPTI Assessment process outlined in this Guidance. While additional stakeholders may be involved depending on the project, this Guidance focuses on the following primary roles and responsibilities:

- **Project Sponsor:** The project sponsor—typically a local agency or private developer—initiates the project proposal and requests to enter into a cooperative agreement or HIA with Caltrans. The sponsor is responsible for providing all relevant project information to the Caltrans District and actively participating in discussions to determine how CAPTI principles can be incorporated into the project's scope and objectives. For purposes of this Guidance, the project sponsor may be represented by a consultant, who may assist in coordinating with Caltrans and facilitating the integration of CAPTI strategies during project development.
- **Caltrans District:** The District Investment Planning Manager (IPM), or designee, serves as the primary point of contact for the CAPTI Assessment at the district level. The IPM coordinates with relevant district functional units to review the project's conceptual consistency with CAPTI principles, compiles project information for HQ review, and works collaboratively with the sponsor to explore opportunities for enhancing consistency with CAPTI goals. The District IPM is also responsible for developing the draft CAPTI Assessment Memo, coordinating HQ review, and securing the District Director/Deputy District Director's signature on the finalized memo.
- **Caltrans Headquarters:** The PID Nomination Program Manager in the HQ Office of Corridor and System Planning (OCSP) serves as the primary HQ contact for this process. The Program Manager works closely with the District Investment Planning Manager (IPM) to guide the CAPTI Assessment, review the draft memo, provide input on recommended enhancements, and ensure the final assessment reflects a shared understanding of how the project supports CAPTI principles within the PID scope.

To support this effort, the Office of Corridor and System Planning coordinates with the Office of Strategic Investment Planning (OSIP) to ensure timely engagement in the HQ review process, including document review, signature, and processing.

In addition, HQ has partnered with the HQ Cooperative Agreements Office to implement an automated notification system within the Agreement and Contract Tracking (ACT) system. This system alerts both the PID Nomination Program and the Office of Project Initiation when a District Project Manager initiates a cooperative agreement process. Upon receiving this notification, the Program Manager forwards it to the District IPM to initiate the CAPTI Assessment process—if it has not already begun—in coordination with the Project Manager. This automated step helps mitigate potential communication gaps caused by staffing changes or other operational factors. The system is designed to strengthen coordination among Project Managers, IPMs, and Cooperative Agreement Coordinators at the District level.

3.2 – DISTRICT COORDINATION AND PLANNING CONSIDERATIONS

Before initiating the CAPTI Assessment process, Caltrans District staff should engage early and consistently with the project sponsor to discuss corridor needs and the integration of CAPTI principles into all relevant planning efforts. Caltrans corridor planning should incorporate a broad range of strategies and improvements that support the goals of the California Transportation Plan (CTP) 2050 and reflect CAPTI priorities. Projects should also be included in the Regional Transportation Plan (RTP), or be in the process of being added, at the time of requesting PID development.

Project sponsors are encouraged to pursue Sustainable Transportation Planning Grants to explore project concepts in greater detail and may reference those planning documents when initiating a cooperative agreement. Supporting materials may include:

- Comprehensive Multimodal Corridor Plans or other equivalent planning documents
- Caltrans District Active Transportation Plans
- Caltrans District Climate Adaptation Priority Reports
- Other relevant local and regional plans

Referencing these documents during the CAPTI Assessment helps demonstrate how the proposed project supports long-term, multimodal, and climate-resilient transportation objectives—ultimately strengthening the justification for project development on the State Highway System.

3.3 – INITIAL PROJECT ASSESSMENT REVIEW PROCESS

The CAPTI Assessment process begins when a project sponsor notifies Caltrans of their intent to enter into a cooperative agreement or Highway Improvement

Agreement (HIA) to initiate PID development for a project on the SHS. The District IPM coordinates with the project sponsor or Project Manager to gather all relevant project information and assess how the proposal supports CAPTI principles. The District IPM may also consult with other District and Headquarters (HQ) functions to evaluate the project's conceptual consistency with CAPTI goals.

To guide this review, the IPM may use the following Appendices:

[APPENDIX A: 10 CAPTI Guiding Principles](#)

[APPENDIX B: Pre-PID Checklist for CAPTI Assessment & Impact Scores](#)

[APPENDIX C: CAPTI Assessment Memo Template](#)

[APPENDIX D: Locally Sponsored PID Project Intake Form](#)

[APPENDIX E: Internal CAPTI Assessment Process – Fact Sheet](#)

[APPENDIX F: Project Types – Conceptually Consistent with CAPTI Principles](#)

[APPENDIX G: 60 percent CAPTI Assessment Form](#)

[APPENDIX H: Locally Sponsored PID Assessment Review Process– FAQ](#)

If a project includes one or more elements that may not fully reflect CAPTI principles, the proposal will undergo additional review to identify opportunities for improvement. As part of this process, broader considerations—such as context-sensitive solutions, rural or regional characteristics, supply chain significance, corridor-level impacts, and potential benefits or harms to communities—should also be considered.

This CAPTI Assessment process does not preclude the study of any project deficiencies or the determination of scope, cost, and schedule during PID development. Instead, the assessment and its recommendations are intended to supplement and inform the identification of transportation needs and the range of feasible alternatives under consideration.

Figure 1 outlines the step-by-step process for reviewing locally sponsored PID proposals through the CAPTI Assessment. Each step assigns specific roles and responsibilities while emphasizing collaboration among the project sponsor, Caltrans District staff, and HQ.

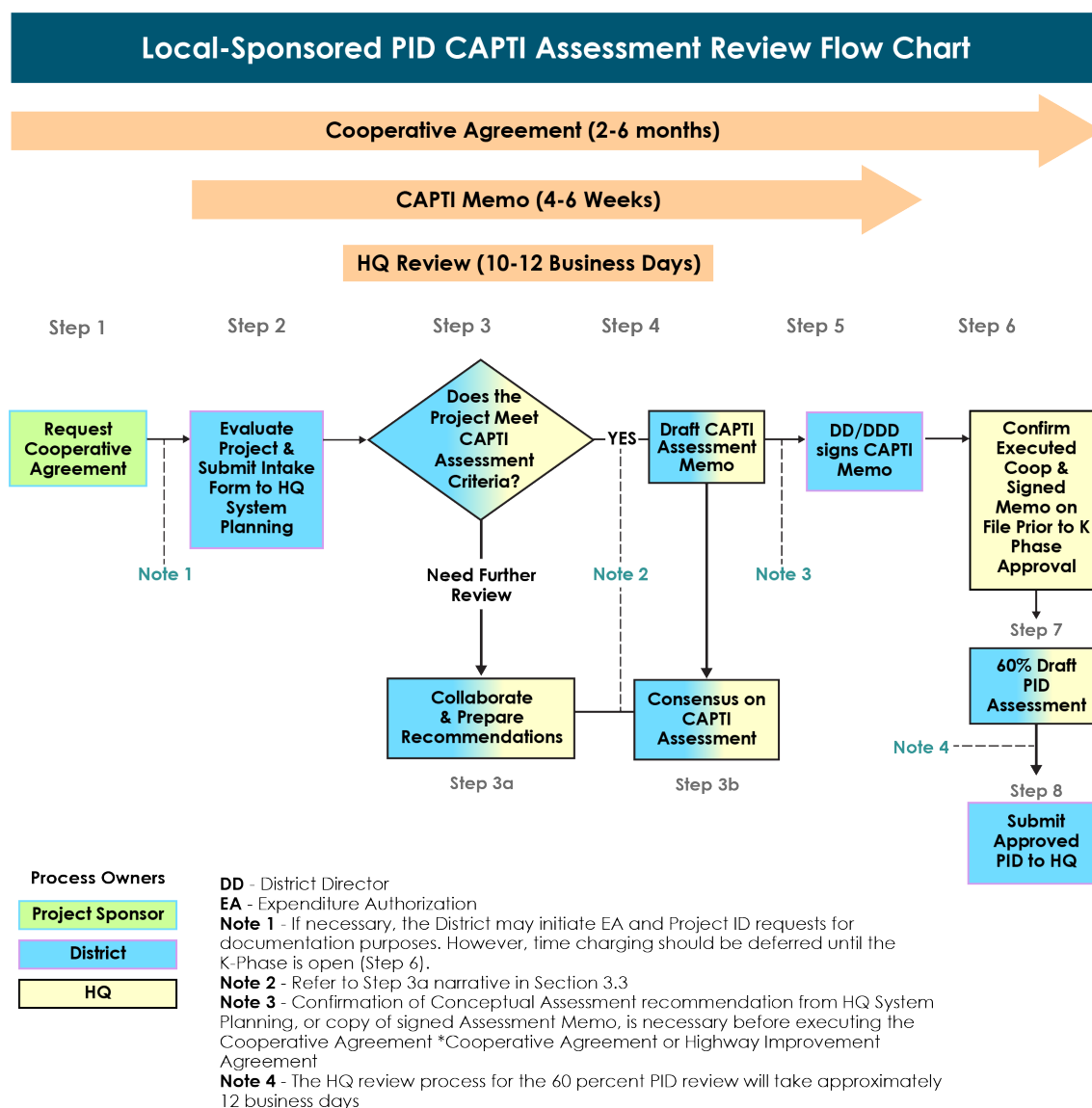


FIGURE 1: LOCALLY SPONSORED PID CAPTI ASSESSMENT REVIEW FLOW CHART

Step 1 – Initiate Cooperative Agreement or HIA (Project Sponsor)

- The project sponsor notifies the appropriate Caltrans District—typically through Program/Project Management (PPM)—of their intent to initiate a project on the SHS and to enter into a Cooperative Agreement or HIA to begin PID development.
- The sponsor provides all relevant project information, including geographic context and supporting planning documentation.

Step 2 – Evaluate Project & Submit Intake Form (Caltrans District)

The District IPM or District Representative leads the evaluation of the project's purpose, need, and preliminary scope. As part of this process, the IPM assesses how well the proposal reflects CAPTI principles, in consultation with Project Managers, Project Planning staff, and other functional units as needed.

Key considerations include factors aligned with CAPTI's guiding principles, the California Transportation Plan (CTP) 2050, and other statewide transportation policies:

- Geographic and rural context – supporting accessibility and connectivity in underserved areas
- Safety and emergency response needs – enhancing traveler protection and system resilience
- Supply chain importance – improving goods movement efficiency and economic vitality
- Network-level impacts – advancing systemwide consistency and corridor-level benefits
- Community needs and benefits – prioritizing public health, environmental justice, and meaningful public engagement.

REQUIRED SUBMITTALS TO HQ:

- Pre-PID CAPTI Assessment Checklist with self-assessed impact scores
- **Draft** CAPTI Assessment Memo (APPENDIX C) with preliminary recommendations (if applicable)
- Completed PID Project Intake Form (Appendix D)

PRELIMINARY DETERMINATION:

- Conceptually Consistent with CAPTI
- Needs Further Review

Step 3 – HQ Review of District Assessment (HQ & District)

- The HQ PID Nomination Program Manager/ Representative reviews the submitted Intake Form and supporting materials including initial Assessment Memo for reference.

- HQ may coordinate with District staff and consult Caltrans subject matter experts² to confirm the District's preliminary determination.
- Additional information may be requested if needed.

OUTCOME:

- Conceptually Consistent: Proceed to **Step 4**
- Needs Further Review: Proceed to **Step 3a** for collaborative assessment.

Step 3a – Collaborate & Prepare Recommendations (HQ & District):

- HQ and District staff jointly review the project and District assessment.
- If further review confirms the project reflects CAPTI principles, skip Step 3b and move to Step 4. (See Figure 1, Note 2.)
- If concerns remain, HQ and District collaborate to explore opportunities to strengthen consistency with CAPTI. Recommendations are developed and shared with the project sponsor for consideration during PID scoping.

Step 3b – Reach Consensus on Project Approach

- The District IPM works with PPM and/or the PID Manager to present the recommendations to the project sponsor.
- District and HQ functions collaborate to determine the preferred approach to incorporating CAPTI priorities.

POSSIBLE OUTCOMES:

- Full incorporation of recommendations
- Selective adoption of certain recommendations with justification
- Deferral of certain elements for future consideration

Step 4 – CAPTI Assessment Memo (District & HQ):

The District IPM finalizes the draft memo (Appendix C) and submits to HQ for final review and concurrence.

Memo should include:

- Project location, scope, and purpose & need

² Subject Matter Experts include, but not limited to, Caltrans HQ/District Division of Transportation Planning (Active Transportation & Complete Streets, Air Quality & Climate Change, Technical Freight & Project Planning, etc.), Caltrans HQ/District Office of Sustainability, Caltrans HQ/District Office of Traffic Operations, Caltrans HQ/District Office of Traffic Safety, Caltrans HQ/District Division of Environmental, etc.

- Summary of conceptual consistency determination
- Identified project elements not fully reflecting CAPTI priorities
- Recommendations for strengthening consistency with CAPTI
- Agreed-upon project approach, including rationale and potential risks.

Step 5 – Finalize and Sign Memo (District):

- Following HQ concurrence, the District Staff finalizes the memo and obtains the signature of the District Director or Deputy District Director.
- While preferred, the signed memo is not required prior to executing the Cooperative Agreement or HIA.
- A copy of the signed memo and the executed agreement is forwarded to the HQ Office of Project Initiation and filed in the District's project file/records.

Step 6 – Open PID Phase for Charging (HQ):

The HQ Office of Project Initiation uses the signed CAPTI Assessment Memo or concurrence email from PID Nomination Program Manager/responsible program and the executed agreement to authorize the PID phase charging process.

Step 7 – Draft PID (60 percent) CAPTI Assessment

In continuation of the Initial Project Proposal Assessment, the District IPM submits the intake form ([Appendix D – Smartsheet link](#)) to request HQ review, along with the completed 60 Percent CAPTI Assessment Form ([Appendix G](#)).

The HQ PID Nomination Program Manager—or the appropriate HQ program—will review all locally sponsored PIDs at approximately 60 percent completion (i.e., draft PID), along with the completed CAPTI Assessment Form, to ensure consistency with the previously issued CAPTI Assessment Memo. For PIDs initiated prior to the CAPTI Assessment process, any CAPTI-related elements that have been addressed may be documented in the draft PID by completing Question 3 of the 60 Percent CAPTI Assessment Form.

Caltrans recognizes that refinements to project scope may occur as the PID progresses toward finalization. It is essential that Caltrans and the project sponsor maintain clear and ongoing communication throughout the PID development process to support a collaborative, transparent, and informed review.

SUBMIT APPROVED PID TO HQ (DISTRICT):

Once the PID is approved, the District Staff sends a copy of the signed PID to the HQ PID Nomination Program Manager and to the Office of Project Initiation.

4 – Guidance Implementation

As the project advances into the Project Approval and Environmental Document (PA&ED) phase, the Project Development Team is responsible for ensuring that the project approach outlined in the CAPTI Assessment Memo—and any related decisions made during earlier assessments—is carried forward and reflected in the project development process.

Projects that do not incorporate relevant CAPTI-related considerations during development may be at risk of not being prioritized by Caltrans for future state or federal discretionary funding. They may also be ineligible to receive a Caltrans letter of support or partnership endorsement. However, while a project that demonstrates strong consistency with CAPTI principles may be viewed favorably, it is not guaranteed to receive future Caltrans nominations for discretionary funding. Such nominations are determined through an independent evaluation and prioritization process specific to each funding program, as outlined in the [Caltrans System Investment Strategy \(CSIS\)](#) | [Caltrans](#).

This Guidance will be evaluated over time for effectiveness. Updates may be made periodically to reflect lessons learned, best practices, and evolving policy direction, ensuring meaningful and practical application. As such, the Guidance is subject to revision as needed to remain aligned with State goals and Caltrans policies.

Additional resources and tools related to this Guidance can be found on the Corridor and System Planning webpage, under Technical Resources, Tools, and Training.

5 – HQ SMEs Contact Information

Office of Corridor and System Planning

Gus Alfaro Jr.	Office Chief	(916) 617-0035 Gustavo.Alfaro@dot.ca.gov
Binoy Alexander	PID Nomination Program Manager	(916) 584-0340 Binoy.Alexander@dot.ca.gov

Office of Strategic Investment Planning

Vacant	Office Chief	
Maggie Schreiner	Investment Planning Manager	(916) 698-5152 Maggie.Schreiner@dot.ca.gov

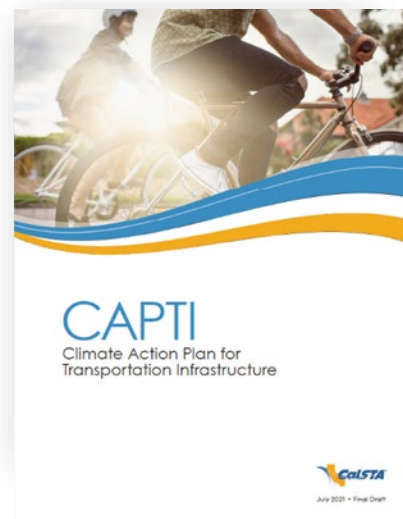
Office of Project Initiation

Jonathan Camp	Office Chief	(916) 247-7857 Jonathan.Camp@dot.ca.gov
Shannon Culbertson	PID Workload Management Branch Chief	(279) 789-2095 Shannon.Culbertson@dot.ca.gov

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 – INITIAL CAPTI ASSESSMENT AND IMPACT SCORES

STATE OF CALIFORNIA – DEPARTMENT OF TRANSPORTATION
CALTRANS SYSTEM INVESTMENT STRATEGY (CSIS) - Pre-PID Checklist for CAPTI Assessment
DIVISION OF TRANSPORTATION PLANNING

Section 1: Project Information

District:	
County – Route – PM:	
EA & Project ID (If Available):	
Project Scope:	
Purpose & Need:	

Section 2: Pre-PID Initial Assessment [See CAPTI Alignment Metrics]

CAPTI Principles	CAPTI Assessment	
1.1 Safety	Does the project implement safety measures aimed at reducing fatalities and severe injuries?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown If yes, please evaluate the safety needs level. <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low
1.2 Vehicle Miles Traveled (VMT)	Does the project lead to increased or induced VMT? Does the project avoid inducing significant VMT growth by considering alternatives like pricing strategies or multimodal options?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown
1.3 Accessibility	Does the project increase accessibility relative to the existing baseline for (work & non-work) destination? Does the project impact disadvantaged or underserved communities?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown If yes, please check the modes that are accessible within a reasonable time threshold: <input type="checkbox"/> Auto <input type="checkbox"/> Transit <input type="checkbox"/> Bike <input type="checkbox"/> Pedestrian Facilities <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown
1.4 Mode Shift	Does the project close connectivity gaps in active transportation networks that intersect with the State Highway System? Does the project contribute to the creation of an integrated, statewide rail & transit network to provide multimodal	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown

	<p>travel options for all users in suburban and rural areas?</p> <p>Does the project encourage a safe bicycle and pedestrian infrastructure through small and underserved communities?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown
1.5 Infill Development Is the project: <input type="checkbox"/> Overlapping urbanized areas <input type="checkbox"/> Outside urbanized areas	<p>Does the project improve and strengthen access to and from Infill areas?</p> <p>Is the project located in High Quality Transit Areas (HQTAs)? OR create a new HQTAs?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown
1.6 Freight Sustainability and Efficiency	If the project serves an unreliable freight segment/corridor, does the project improve freight reliability and efficiency?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown
1.7 ZEV Infrastructure	Does the project include ZEV infrastructure? Light, Medium, and Heavy-duty ZEVs? See ZEV Rubric for Infrastructure Type: CAPTI Alignment Metrics (PDF) light, medium, and heavy-duty ZEVs?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown
1.8 Equity & Public Engagement	Does the project plan to do public engagement over and above the standard environmental review process?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown
1.9 Climate Risk	<p>Has the project identified specific climate stressors within the project area?</p> <p>If so, does the project plan to include resiliency measures for climate change effects, such as flooding, heat, and other extreme weather conditions?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown

Section 3: Self-Assessed Impact Scores

The Initial Impact Scores are self-assessed scores in addition to the alignment assessment. These scores will serve to inform how impactful a project is in carrying out CSIS goals and strategies, as well as provide a baseline for a project's OVERALL impact in implementing the CSIS vision.

The following is a breakdown of scoring. Please conduct a thorough self-scoring using the most current, best available project information and data.

If any Metric is out of scope or not applicable to the project, please place an asterisk () next to the score of 0. Provide additional justification below the table.*

- 0-2 = No impact or minimal impact
- 3-4 = Some impact, but not substantial
- 5-6 = Moderate impact
- 7-8 = Significant impact
- 9-10 = Major, transformative impact

CAPTI Principle	Criteria	Score (1-10)
1.1 Safety	Does the project enhance a safe and secure transportation system, incorporating safety improvements that reduce fatalities and severe injuries for <i>all</i> users within the corridor/project area?	
1.2 Vehicle Miles Traveled	Does the project contribute to a significant reduction in VMT without inducing further VMT growth?	
1.3 Accessibility	Does the project improve multimodal mobility, support an integrated statewide rail and transit network, provide affordable travel options, and increase destination accessibility for <i>all</i> users?	
1.4 Mode Shift	Does the project encourage a shift from private vehicles to more sustainable and efficient modes of transportation (e.g., biking, walking, public transit)?	
1.5 Infill Development	Does the project promote compact, infill development, foster walkable communities, or support housing near transit centers to enhance housing-transportation affordability and access to economic centers?	
1.6 Freight Sustainability and Efficiency	Does the project enhance freight efficiency, economic competitiveness, and reduce freight-related emissions and pollutants, minimizing environmental justice impacts?	
1.7 ZEV Infrastructure	Does the project invest in light, medium, or heavy-duty ZEV infrastructure, or improve ZEV accessibility, especially in rural and remote areas?	
1.8 Equity & Public Engagement	Does the project help reduce transportation burdens for disadvantaged communities (DACs), people with disabilities, Native American tribes, and other disadvantaged groups? Was comprehensive community engagement conducted, with high-quality engagement materials provided?	
1.9 Climate Risk	Does the project contribute to statewide and regional climate adaptation and mitigation goals, including emissions reduction targets, and enhance resilience to climate change and other climate-related risks?	
Total Impact Score		

Section 4: Program Fit

Does the Project meet the objectives and eligibility criteria of the discretionary funding program? (e.g., SB1, SCCP, TCEP, INFRA, HSIP, etc.) Please provide additional justifications for initial CAPTI alignment as needed.

District Investment Planning
Manager/District Representative:

HQ PID Nomination Manager/HQ
Representative:

Signature (Date)

Signature (Date)

APPENDIX C – CAPTI ASSESSMENT MEMO TEMPLATE

PROJECT CAPTI ASSESSMENT MEMO TEMPLATE

The memo content below serves as a guide. Please use your District memo template.

Memorandum

To: Project sponsor Agency Name
Organization

Date: Month date, year
File: Optional—delete

From: NAME (ALL CAPS)
Title
Division/District

Subject: **PROJECT ASSESSMENT FOR [PROJECT TITLE]**

The California Department of Transportation (Caltrans) has reviewed the [Project Title] (Project) proposed by [Project Sponsor Agency Name]. Based on the information provided, Caltrans concurs with development of the Project Initiation Document as identified in Cooperative Agreement [number].

Suggested Languages (select one or combination)

[The proposed Project, as presented, has been assessed and is determined to be conceptually addressing the Climate Action Plan for Transportation Infrastructure (CAPTI) goals for the following reasons:]

OR

[The proposed Project, as presented, is determined not to be conceptually addressing Climate Action Plan for Transportation Infrastructure (CAPTI) goals for the following reasons:]

[Caltrans and the Project Sponsor have agreed to consider these recommendations during PID development to enhance the achievement of CAPTI goals.]

[The following scope elements may not fully support CAPTI goals and will be further explored and addressed as the project develops.]

Please ensure the Project continues to integrate CAPTI goals in the project scoping and development process. If the Project does not continue to address CAPTI-related objectives moving forward, it may be at risk of not being considered for Caltrans nomination, partnership, or a letter of support for future state and federal discretionary programs.

This memo does not guarantee funding or approval of future phases of the project. Caltrans' consideration of the Project for future state and federal discretionary funding, a letter of support, or partnership for discretionary programs is subject to a

separate evaluation and nomination process.

We look forward to our continued collaboration as the Project develops.

APPROVAL RECOMMENDED

NAME
District Director/Deputy District Director

Date

Attachments (if applicable)

APPENDIX D – LOCALLY SPONSORED PID PROJECT INTAKE FORM

The [Smartsheet Intake Form](#) is internal to Caltrans and will be completed by the District. Below is the required information for the Intake Form.

Project Information

1. District
2. EA (if available)
3. Project ID (if available)
4. County
5. Route
6. Begin Post Mile
7. End Post Mile
8. Project Name
9. Project Location (Brief Description)
10. Project Work Description (Include detailed scope elements and features, if available, including approximate lengths and quantities)
11. Project Preliminary Purpose & Need (if available)

District CAPTI Assessment Determination

12. After reviewing the proposed project, please select the District determination regarding CAPTI assessment. Please refer to Appendix F – Project Conceptual CAPTI Assessment table of the Locally Sponsored PID CAPTI Assessment Guidance.
13. Please select one or more of the 10 CAPTI Guiding Principles the project is potentially consistent with.
14. Provide a brief justification for the District's CAPTI assessment. You may reference the project proposal from the Project Conceptual Assessment Table (Appendix F). Include context considerations such as rural setting, geographic or socio-economic factors, corridor completion, etc.
15. If the project "requires additional consideration," provide District recommendations for enhancing consistency with CAPTI goals, if available. If the District seeks collaboration with HQ to develop recommendations, enter "Request consultation with HQ." However, District need to develop a draft CAPTI Assessment Memo to initiate coordination with HQ.

16. Is this project included in a currently approved Regional Transportation Plan (RTP)?
17. If the project is not currently in the RTP, when is it expected to be included?

Local Agency Contact

18. Local Agency
19. Local Agency Contact Name (First, Last)
20. Local Agency Phone Number
21. Local Agency Email

District Contact

22. District Contact Name (First, Last)
23. Working Title (i.e. Investment Planning Manager)
24. District Contact Phone Number
25. **File Upload**

APPENDIX E – INTERNAL CAPTI ASSESSMENT PROCESS-FACT SHEET

Fact Sheet

Internal Process Update: Locally Sponsored PID Guidance

Introduction

The key objective of the **Locally Sponsored Project Initiation Document (PID) CAPTI Assessment Guidance** is to foster early collaboration and ensure projects advance Climate Action Plan for Transportation Infrastructure (CAPTI) goals during the early project initiation phase. Based on feedback from multiple districts, updates are being made to the internal processes for reviewing and tracking PID proposals. These updates will enhance visibility into the process's current status and provide a more accurate timeline for completion.

Background

All locally sponsored projects initiating PID development outside of the State Highway Operation and Protection Program (SHOPP) undergo assessment reviews per the Guidance. These reviews determine conceptual progress toward CAPTI objectives and establish an agreed-upon strategic approach to achieving CAPTI outcomes. Updates to the initial Locally Sponsored PID Guidance are outlined below.

Key Changes

Process Modifications

Updates to the **PID Assessment Review Flow Chart** now include:

- 1) **Cooperative Agreement and CAPTI Memo processing timelines** for improved coordination with sponsoring agencies and internal functional units.
- 2) Clarification that **EA (Expenditure Authorization)** and **Project ID** requests may be initiated early in the process if necessary, for documentation purposes. However, time charging will be deferred until K-Phase is open (Step 6 of the PID Assessment Review Flow Chart –see Appendices).
- 3) Introduction of Pre-PID Checklist for CAPTI Assessment and a **Self-Assessment Scoring Tool** to aid in review and ensure the project conceptually addresses CAPTI Principles.
- 4) Sample of a CAPTI Assessment Memo Template

Roles and Responsibilities

District Investment Planning Managers:

Coordinate with Project Managers and Planning Functional Units for processing the

intake form, CAPTI Assessment Questionnaire, Self-Assessment Scoring Sheet, and the CAPTI Assessment Memo.

HQ PID Nomination Program Manager:

- Review submitted documents, record updates in a **Smartsheet tracking system**, and provide an estimated timeline for completion
- Grant District Investment Planning Managers access to the tracking sheet for progress monitoring
- Upon approval, districts may proceed with the K-Phase approval process and PID development.

Documentation Updates

Updates to the **Local Sponsored PID Assessment Guidance** will include:

1. A revised Flow Chart reflecting the updated processes.
2. The addition of the Questionnaire and Self-Assessment Scoring Tool, which will be accessible on the SharePoint.
3. 60 percent CAPTI Assessment Form

Implementation Timeline

Pilot Period: FY 2024-25 to test the updated process, assess results, and resolve any issues

Full Rollout: Permanent implementation starting **July 1, 2025**.

Resources

Revised templates, and tools, including the updated flow chart, questionnaire, and qualitative self-assessment scoring tool, will be available on the SharePoint/internal website.

Contact Information

HQ PID Nomination Program Manager:

Binoy Alexander

Email: binoy.alexander@dot.ca.gov

APPENDIX F – PROJECT TYPES-CONCEPTUALLY CONSISTENT WITH CAPTI PRINCIPLES

The latest Project Conceptual Assessment Table is accessible on the [Corridor and System Planning](#) webpage, under Technical Resources, Tools, and Training. Project proposals are not in any priority order. This table is subject to update as needed.

Project Proposal/Element (Not all-inclusive)	Assessment Category
<p>Transit/Rail Facilities:</p> <ul style="list-style-type: none"> • New mobility hubs, transit stations, and rail stations • New rail capacity • Transit only lanes that prohibit passenger vehicles, bus-on-shoulder • Traffic signal priority for new or improved transit service <p>Bike & Pedestrian Facilities:</p> <ul style="list-style-type: none"> • Multi-use paths • Protected bikeway/bike facility • Secure bicycle parking • Sidewalks, median islands, pedestrian hybrid beacons, pedestrian bridges • Trails <p>Freight & Passenger Vehicle Facilities:</p> <ul style="list-style-type: none"> • Adaptive ramp metering • Auxiliary lanes (less than one mile), passing lane (less than 2 miles) • Grade separation for rail, transit, bikes and peds • HOV degradation mitigation (Adoption of or increase in tolls) • Integrated corridor management, Incident management enhancements • Managed lanes conversions • Park and Ride facilities • Rehabilitation or maintenance of existing facility/asset that do not increase capacity • Road diets • Roadside safety devices or hardware installation (i.e. median barriers, guardrails) • Roundabouts/traffic circles • Shoulder widening for safety-only purposes & complete streets • Traffic control devices (signs, striping, new/modified traffic signals & timing, temporary traffic control, other technology-based improvements) • Truck size and weight inspection stations • Truck-only lanes that prohibit passenger vehicles • Truck parking – new capacity & system management • Turnouts • Two-Way Left-Turn Lane • Zero emission vehicle goods movement <p>Others</p> <ul style="list-style-type: none"> • Alternative fuel/charging infrastructure (i.e. hydrogen fueling stations) • Broadband • Transportation System Management & Operations (TSMO) strategies <p><i>All improvements must be consistent with relevant Caltrans guidance & policies.</i></p>	Conceptually Consistent

Project Proposal/Element (Not all-inclusive) <i>(Continued)</i>	Assessment Category
<p>Freight & Passenger Vehicle Facilities:</p> <ul style="list-style-type: none"> • Acceleration/Deceleration Lane • Adding lanes to arterials • Auxiliary lanes greater than one mile or continuous* • General purpose lane additions • Grade separation for auto travel lanes • Interchange improvements/modifications or new construction • Intersection improvements (except roundabout/traffic circles), including through & turn lanes • Managed lanes additions, including HOV, priced, etc. • Passing lanes longer than 2 miles for every 7 miles • Shoulder widening for the potential future lane addition • Traffic control devices that may result in lane addition or restrictions on active transportation modes • Truck-only lane or truck climbing lane that does not prohibit passenger vehicles or provide physical separation <p>*Continuous - extension of an existing auxiliary lane to equal more than one mile in length.</p>	Need Further Review
<p>Exempt Project Types:</p> <ul style="list-style-type: none"> • Noise wall construction • Water pipeline repairs • Bridge rehabilitation • Existing pavement rehabilitation <p>Note: Exempt project types are not required to undergo the CAPTI Assessment Process. However, a basic intake form must still be submitted for record-keeping purposes. These exemptions are based on project intake proposals received during the pilot period and may be updated periodically as new project types are identified.</p>	Exempted From CAPTI Assessment

APPENDIX G – 60 PERCENT CAPTI ASSESSMENT FORM

STATE OF CALIFORNIA – DEPARTMENT OF TRANSPORTATION
 CALTRANS SYSTEM INVESTMENT STRATEGY (CSIS) – 60 Percent Draft PID CAPTI
 Assessment Form
 DIVISION OF TRANSPORTATION PLANNING

Section 1: Project Information

District:	
County – Route – PM:	
EA & Project ID	
Project Scope:	
Purpose & Need:	

Section 2: 60 Percent Draft PID CAPTI Evaluation

CAPTI Elements Addressed (mark Yes or No for each)

CAPTI Element	Yes	No
Safety	<input type="checkbox"/>	<input type="checkbox"/>
Vehicle Miles Traveled (VMT)	<input type="checkbox"/>	<input type="checkbox"/>
Accessibility	<input type="checkbox"/>	<input type="checkbox"/>
Disadvantaged/Underserved Communities	<input type="checkbox"/>	<input type="checkbox"/>
Mode Shift (Active Transportation, Transit, Rail)	<input type="checkbox"/>	<input type="checkbox"/>
Infill Development / HQT	<input type="checkbox"/>	<input type="checkbox"/>
Freight Sustainability and Efficiency	<input type="checkbox"/>	<input type="checkbox"/>
ZEV Infrastructure	<input type="checkbox"/>	<input type="checkbox"/>
Public Engagement	<input type="checkbox"/>	<input type="checkbox"/>
Climate Risk & Resilience	<input type="checkbox"/>	<input type="checkbox"/>

1. Was this PID proposal initiated before the Initial CAPTI Assessment Process? *

☐ Yes ☐ No

*If Yes, move to Question 3 and provide details there

*If no, Continue to Question 2

STATE OF CALIFORNIA – DEPARTMENT OF TRANSPORTATION
 CALTRANS SYSTEM INVESTMENT STRATEGY (CSIS) – 60 Percent Draft PID CAPTI
 Assessment Form
 DIVISION OF TRANSPORTATION PLANNING

2. Were the Initial CAPTI Assessment recommendations or any additional CAPTI elements addressed during the PID Development?

☐ Yes ☐ Partially ☐ No

Summary/Comments:

3. If the PID was initiated before the Initial CAPTI Assessment Process, please describe and indicate which CAPTI Elements were included.

☐ Yes ☐ No

If Yes, please explain:

[Section 3: Community Impact and Emergency Preparedness](#)

Question	Response Options
1. Does the proposed project or any of the alternatives involve potential residential or business displacement?	<input type="checkbox"/> Yes, potential residential displacement is anticipated <input type="checkbox"/> Yes, potential business displacement is anticipated <input type="checkbox"/> No displacement expected
2. Does the project scope include elements that support emergency response or preparedness activities (e.g., identification of evacuation routes, provisions for emergency access, flood-prone areas, seismic hazards, wildfire risk zones, etc.)?	<input type="checkbox"/> Yes, emergency preparedness is explicitly addressed in the project scope <input type="checkbox"/> Not currently included but may be considered in future phases <input type="checkbox"/> No, emergency preparedness is not relevant to this project.

STATE OF CALIFORNIA – DEPARTMENT OF TRANSPORTATION
CALTRANS SYSTEM INVESTMENT STRATEGY (CSIS) – 60 Percent Draft PID CAPTI
Assessment Form
DIVISION OF TRANSPORTATION PLANNING

District Investment Planning
Manager/District Representative:

HQ PID Nomination Manager/HQ
Representative:

Name, Signature (Date)

Name, Signature (Date)

**The District Representative may be the Project Manager or District's designee responsible for assessing the Draft Project Study Report/Project Report and identifying relevant CAPTI elements. At least one signature from the District is required.*

APPENDIX H – LOCALLY SPONSORED PID ASSESSMENT REVIEW PROCESS – FAQ

Frequently Asked Questions (FAQs)

1. How will Districts determine potential CAPTI Assessment without a threshold for the number of boxes checked on the Pre-PID CSIS Checklist?

Answer:

The CAPTI Assessment process is intentionally flexible to accommodate early-stage projects where detailed data may be unavailable. The Pre-PID CSIS Checklist should emphasize qualitative insights over numerical thresholds, focusing on alignment with state goals, such as ZEV initiatives. To enhance this process, Districts are encouraged to:

- Use a generic memo to remind project sponsors of CAPTI metrics and highlight areas of progress.
- Provide qualitative context in the checklist to ensure the project supports and advances CAPTI Principles.
- Foster collaboration by sharing the finalized checklist with sponsors to strengthen assessment and communication.

2. How can Districts complete the Pre-PID CSIS Checklist when co-op requests lack environmental documents and have only a simple project description?

Answer:

- Share the Pre-PID CSIS Checklist or Intake Form early with local agencies to guide the inclusion of necessary project details. However, CAPTI assessments forms are intended to be completed by Caltrans Investment Planning Managers (IPMs), rather than third-party consultants representing local sponsors. This approach ensures that Caltrans maintains its responsibility as the owner-operator. The IPM's signature serves as confirmation of the District's assessment and will remain a required part of the process. This effort remains a collaborative one, involving Project Managers, IPMs, and HQ staff. We are committed to providing ongoing guidance and support to assist District staff throughout the review process and to help fulfill this important responsibility.
- Conduct preliminary assessments based on available information and provide recommendations through feedback or CAPTI Assessment Memos.

3. Can local agencies align all their regional plans/projects with the District/HQ before initiating Cooperative Agreements?

Answer:

While aligning all regional plans simultaneously is ambitious, it is more practical to adopt a phased approach. Early engagement through tools like the Pre-PID CSIS Checklist can prioritize assessments and streamline the process.

4. Can projects within a programmatic RTP category compete for grant funding for PID or PAED phases?

Answer:

Yes, projects within a programmatic RTP category may compete for grant funding depending on:

- Alignment with funding criteria (e.g., readiness, priorities, measurable outcomes).

Frequently Asked Questions (FAQs)

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Answer:

Yes, projects within a programmatic RTP category may compete for grant funding depending on:

- Alignment with funding criteria (e.g., readiness, priorities, measurable outcomes).

- Level of project definition (detailed scopes and cost estimates).
- Clear prioritization by agencies to advance high-impact projects.

5. Does this process apply to ongoing locally sponsored PIDs?

Answer:

Yes, Districts retain discretion over CAPTI Assessment checks for ongoing PIDs, prioritizing projects based on their impact, complexity, and alignment with state priorities. Updates to guidance will include exempt or outlier projects and supplemental PID requirements.

6. Can the CAPTI Assessment Memo be waived for conceptually aligned or projects in consistent with CAPTI Principles?

Answer:

No, the CAPTI Assessment Memo provides critical documentation for project governance, accountability, and transparency. Even for projects conceptually consistent with CAPTI Principles, this step ensures:

- Validation of decision-making.
- Clear communication with stakeholders.
- Consistency in processes across all projects.

7. What technical support will Caltrans provide to local governments and community-based organizations (CBOs)?

Answer:

Caltrans will provide:

- Guidance on CAPTI Assessment goals and principles.
- Technical workshops and training sessions.
- One-on-one consultations for project-specific challenges.
- Data and analysis support.
- Assistance in fostering partnerships and reviewing draft proposals.

8. If the draft PID at 60% explores CAPTI Assessment Memo recommendations but finds some infeasible, how will this affect future phases?

Answer:

The CAPTI Assessment Memo serves as a reference for initial assessment but allows for adjustments during later phases. It ensures accountability and provides a foundation for addressing changes during the PAED process.

9. Does this process apply to local agencies not pursuing discretionary grants or Caltrans Letters of Support (LOS)?

Answer:

Yes, the process applies universally to uphold adherence to state and regional goals, maintain documentation, and ensure flexibility for future opportunities.

10. Can complementary projects in the same area (e.g., managed lanes and express bus services) claim joint CAPTI Assessment?

Answer:

No, each project must be evaluated independently to ensure it meets CAPTI goals. Documenting combined benefits is acceptable, but each project must be assessed on its own.

11. What project ID should district staff charge for coordination efforts on the new LSP process?

Answer:

The recommended code is the **Investment Planning Project Code**.

12. Are CAPTI Assessment Memos meant for internal use only?

Answer:

While using a standard Caltrans memorandum template, the CAPTI Assessment Memo is intended to be shared with project sponsors to ensure clear communication and collaboration.

13. Can the CAPTI Assessment Memo be signed at the deputy director level instead of the district director?

Answer:

Yes. The consensus is it can be signed by the District Director or Deputy District Director.

14. When will management approve the final process?

Answer:

Executive and Policy Board briefings are scheduled for February 13, 2025. Management approval is expected by the end of February 2025, with final updates completed before the permanent rollout on July 1, 2025.

15. Will outreach efforts be conducted to engage partner agencies?

Answer:

Yes, outreach is ongoing, and additional efforts will be made once the process is finalized to ensure consistency with CAPTI goals and collaboration with partner agencies.