

**CALIFORNIA TRANSPORTATION COMMISSION  
2024 LOCAL PARTNERSHIP FORMULAIC PROGRAM  
GUIDELINES ADOPTION**

**RESOLUTION G-24-64**

- 1.1 **WHEREAS**, Streets and Highways Code Section 2033 requires the California Transportation Commission (Commission) to develop and adopt guidelines for the Local Partnership Program, and
- 1.2 **WHEREAS**, the Local Partnership Formulaic Program objective is to provide funding to counties, cities, districts, and regional transportation agencies in which voters have approved fees or taxes dedicated solely to transportation improvements; and
- 1.3 **WHEREAS**, the Commission hosted five virtual public workshops and 25 virtual office hour sessions and worked collaboratively with the Interagency Equity Advisory Committee, California Department of Transportation, regional transportation agencies, local agencies, advocates, and other stakeholders to develop the 2024 Local Partnership Formulaic Program guidelines, and
- 1.4 **WHEREAS**, Commission staff presented an initial draft of the 2024 Local Partnership Formulaic Program Guidelines to the Commission at its June 27-28, 2024, meeting, and
- 1.5 **WHEREAS**, the Commission held one public hearing on August 15, 2024.
- 2.1 **NOW, THEREFORE BE IT RESOLVED**, that the Commission adopts the 2024 Local Partnership Formulaic Program Guidelines, and
- 2.2 **BE IT FURTHER RESOLVED**, that the purpose of these guidelines is to identify the Commission's policy, standards, criteria and procedures for the development, adoption, and management of the 2024 Local Partnership Formulaic Program, as well as provide guidance to applicants, implementing agencies, and the California Department of Transportation, and
- 2.3 **BE IT FURTHER RESOLVED**, that Commission staff is authorized to make minor technical changes to the guidelines, as needed, and

2.4 **BE IT FURTHER RESOLVED**, that the guidelines do not preclude any project nomination or any project selection that is consistent with the implementing legislation, and

2.5 **BE IT FURTHER RESOLVED**, that the Commission directs Commission staff to post these guidelines to the Commission's website.

**2024**

**LOCAL PARTNERSHIP FORMULAIC  
PROGRAM GUIDELINES**

Adopted August 15, 2024

Resolution G-24-64

**CALIFORNIA TRANSPORTATION COMMISSION**





## TABLE OF CONTENTS

|   |           |
|---|-----------|
| <b>I. INTRODUCTION.....</b>   | <b>3</b>  |
| 1. Authority.....   | 3         |
| 2. Purpose .....  | 3         |
| 3. Program Schedule .....   | 4         |
| <b>II. ELIGIBILITY .....</b>  | <b>4</b>  |
| 4. Eligible Applicants.....   | 4         |
| 5. Eligibility Verification .....   | 4         |
| 6. Eligible Projects .....  | 5         |
| <b>III. FUNDING.....</b>  | <b>7</b>  |
| 7. Funding and Programming Cycle .....                                    | 7         |
| 8. Matching Requirements .....  | 7         |
| 9. Distribution.....  | 8         |
| 10. Incentive Funding.....  | 11        |
| 11. Funding Restrictions .....  | 12        |
| 12. Reimbursement .....   | 13        |
| <b>IV. PROGRAMMING.....</b>   | <b>13</b> |
| 13. Screening Criteria .....  | 13        |
| 14. Programming .....   | 13        |
| 15. Committed and Uncommitted Funds.....                                  | 15        |
| 16. Letter of No Prejudice .....  | 16        |
| 17. Title VI Requirements .....   | 16        |
| <b>V. DELIVERY.....</b>   | <b>16</b> |
| 18. Delivery Methods .....  | 16        |
| 19. Allocations .....   | 17        |
| 20. Timely Use of Funds - Deadlines.....                                  | 19        |
| 21. Timely Use of Funds - Extensions .....                                | 20        |
| 22. Amendments.....   | 22        |
| 23. Project Cost Savings.....   | 24        |
| <b>VI. PROJECT ACCOUNTABILITY .....</b>                                   | <b>26</b> |
| 24. Project Reporting .....   | 26        |
| 25. Project Tracking Database.....  | 26        |
| 26. Project Auditing.....   | 26        |
| 27. Project Signage .....   | 26        |
| 28. Workforce Development Requirements .....                              | 26        |
| <b>VII. APPENDICES.....</b>   | <b>28</b> |
| APPENDIX A - Project Nominations.....                                     | 28        |
| APPENDIX B - Supplemental and Amendment Project Nominations .....         | 35        |
| APPENDIX C - Eligible Taxing Authorities Receiving Formulaic Funding..... | 38        |
| APPENDIX D - Electronic Project Programming Request .....                 | 41        |
| APPENDIX E - Performance Metrics.....                                     | 42        |
| APPENDIX F - SB 1 Transportation Equity Supplement .....                  | 45        |
| APPENDIX G - State Highway System Project Impact Assessment.....          | 52        |



## I. INTRODUCTION

### 1. Authority

The Road Repair and Accountability Act of 2017, (Senate Bill [SB] 1, Beall, Chapter 5, Statutes of 2017) created the Local Partnership Program and continuously appropriates two hundred million dollars (\$200,000,000) annually to be allocated by the California Transportation Commission (Commission) to local or regional transportation agencies that have sought and received voter approval of taxes or that have imposed fees, which taxes or fees are dedicated solely for transportation improvements. The Local Partnership Program was subsequently amended by Assembly Bill (AB) 115 (Committee on Budget, Chapter 20, Statutes of 2017) and AB 135 (Committee on Budget, Chapter 255, Statutes of 2017).

These guidelines describe the policy, standards, criteria, and procedures for the development, adoption and management of the Local Partnership Program. The Commission may amend these guidelines after first giving notice of the proposed amendments and conducting at least one public hearing. The Commission will make a reasonable effort to amend the guidelines prior to a call for projects or may extend the deadline for project submission to comply with the amended guidelines.

Local Partnership Formulaic Program (Formulaic Program) guidelines were developed in cooperation with the Interagency Equity Advisory Committee, the California Department of Transportation (Caltrans), transportation planning agencies, county transportation commissions, local agencies, and other stakeholders, pursuant to Streets and Highways Code Section 2033.

### 2. Purpose

The primary objective of the Local Partnership Program is to provide funding to counties, cities, districts, and regional transportation agencies in which voters have approved fees or taxes dedicated solely to transportation improvements or that have imposed fees, including uniform developer fees, dedicated solely to transportation improvements (as defined by Government Code Section 8879.67[b]). Consistent with SB 1, the Commission intends this program to balance the need to direct increased revenue to the state's highest transportation needs while fairly distributing the economic impact of increased funding (SB 1 Section 1[l]).



### 3. Program Schedule

The following schedule lists the major milestones for the development and adoption of the Local Partnership Formulaic Program:

| Milestone  | Date                |
|--|---------------------|
| Publish proposed Formulaic Funding Distribution                                      | June 27-28, 2024    |
| Draft Guidelines presented to the Commission   | June 27-28, 2024    |
| Guidelines Hearing   | August 15-16, 2024  |
| Adoption of Formulaic Guidelines and Fund Distribution<br><i>(Call for Projects)</i> | August 15-16, 2024  |
| Project Nominations Due <i>(Initial Programming)</i>                                 | November 15, 2024   |
| Release Staff Recommendations  | January 8, 2025     |
| Initial Program Adoption   | January 22-23, 2025 |
| Project Nominations Due <i>(Final Deadline)</i>                                      | April 28, 2028      |

## II. ELIGIBILITY

### 4. Eligible Applicants

An eligible applicant under the Formulaic Program is a local or regional transportation agency that has sought and received voter approval of taxes, tolls, or fees which taxes, tolls, or fees are dedicated solely to transportation improvements. To be eligible that agency must also administer those taxes, tolls, or fees.

### 5. Eligibility Verification

Taxing authorities that have established eligibility prior to the adoption of these guidelines are listed in Appendix C.

Taxing authorities with new voter-approved tax measures, tolls, or fees that are potentially eligible for the Formulaic Program, must notify the Commission no less than six weeks prior to any future formulaic funding distribution adoption.

To verify eligibility, a taxing authority must submit the following information to the Commission:

- A cover letter signed by the taxing authority’s Executive Director to affirm the taxes, tolls, or fees are dedicated solely to transportation improvements.



- A copy of the ordinance or resolution seeking voter-approval of the tax, toll, or fee.
- Ballot information.
- Election results (Official Statement of Votes Cast).
- For tolls, fees, and taxes other than sales taxes, a copy of the relevant section of the taxing authority's most recent audited financial statements indicating the revenue generated by the tax, toll, or fee, including posting location on the internet and information about how the revenues are reported to the State.

Upon receipt of all required documentation, the Commission will conduct a review and notify the taxing authority of the Commission's determination. The Commission may contact the taxing authority for additional information during the eligibility verification process.

Taxing authorities seeking verification of eligibility after adoption of the formulaic funding distribution must notify the Commission to be considered. If eligibility is established, an amendment to the funding distribution will be considered (refer to Section 9, *Distribution*).

## **6. Eligible Projects**

Eligible projects for the Local Partnership Program will be consistent with subdivisions (a) and (b) of Government Code Section 8879.70, and Streets and Highways Code Section 2032(a). The Commission encourages projects that align with the state's climate and equity goals as well as those that identify and incorporate the installation of conduit or fiber, where appropriate and feasible, along strategic corridors.

Eligible projects shall include the following:

- A. Improvements to the state highway system including, but not limited to, the following:
  - Major rehabilitation of an existing segment that extends the useful life of the segment by at least 15-years.
  - New construction to increase capacity of a highway segment that improves mobility or reduces congestion on that segment; and
  - Safety or operational improvements on a highway segment that are intended to reduce accidents and fatalities or improve traffic flow on that segment.



- B. Improvements to transit facilities, including guideways, that expand transit services, increase transit ridership, improve transit safety, enhance access or convenience of the traveling public, or otherwise provide or facilitate a viable alternative to driving.
- C. Acquisition of zero-emission buses, and the cleanest available rail cars, locomotives, vans, or other rolling stock including, where eligible, those necessary for the provision or maintenance of fixed route or demand responsive transit services including micro transit, paratransit, non-medical transportation (NMT) and non-emergency medical transportation (NEMT).
- D. Capital projects that employ advanced and innovative technology, including but not limited to Intelligent Transportation Systems, digital signage and wayfinding systems, real-time travel information devices, demand responsive technology necessary for the provision of micro transit, paratransit, non-medical transportation (NMT) and non-emergency medical transportation (NEMT), and efficient and intelligent parking infrastructure and systems.
  - Identified system and device performance and optimization to support those investments are eligible if they are considered capital costs.
- E. Improvements to the local road system, including, but not limited to, the following:
  - Major roadway rehabilitation, resurfacing, or reconstruction that extends its useful life by at least 15 years.
  - New construction and facilities to increase capacity, improve mobility, or enhance safety; and
  - Safety or operational improvements that are intended to reduce accidents and fatalities or improve traffic flow on that segment.
- F. Improvements to bicycle or pedestrian safety or mobility with an extended useful life.
- G. Improvements to mitigate the environmental impact of new transportation infrastructure on a locality's or region's air quality or water quality, commonly known as "urban runoff," including management practices for capturing or treating urban runoff.
- H. For purposes of the Local Partnership Program, a separate phase or stage of construction for an eligible project may include mitigation of the project's environmental impacts, including, but not limited to, sound walls, landscaping,



wetlands or habitat restoration or creation, replacement plantings, and drainage facilities.

- I. Sound walls for a freeway that was built prior to 1987 without sound walls and with or without high occupancy vehicle lanes if the completion of the sound walls has been deferred due to lack of available funding for at least 20 years and a noise barrier scope summary report has been completed within the last 20 years.
- J. Road maintenance and rehabilitation.
- K. Other transportation improvement projects.

As applicable by law, projects that propose to construct a tolled transportation facility must obtain Commission approval to operate the toll facility in accordance with the Commission's Toll Facility Application Guidelines prior to the project being programmed in the Local Partnership Formulaic Program.

### **III. FUNDING**

#### **7. Funding and Programming Cycle**

The Local Partnership Program receives \$200 million annually from the Road Maintenance and Rehabilitation Account and each program cycle will include two years of funding. The 2024 Local Partnership Program (Formulaic and Competitive) will include Fiscal Years 2025-26 and 2026-27. New cycles will be programmed every two years.

The Formulaic Incentive Funding of \$20 million will be set aside each fiscal year from the Local Partnership Program leaving \$180 million to be distributed annually, 60 percent via Formulaic and 40 percent via Competitive.

#### **8. Matching Requirements**

Projects funded from the Formulaic Program will require at least a one-to-one match of private, local, federal, or state funds with the following exceptions:

- Taxing authorities with a voter-approved tax, toll, or fee which generates less than \$2 million annually are required to provide a match equal to 25 percent of the requested Formulaic Program funds. This exception is based on the revenue generated by the nominating agency's voter-approved taxes, tolls, or fees.
- For Soundwall only projects, the expenditure of local funds to complete the Project Approval and Environmental Document, Plans, Specifications, and Estimate, and Right-of-Way phases may be used to meet the one-to-one match for the Construction phase.



For purposes of calculating the required match, the Commission will, except for State Transportation Improvement Program (STIP) funding, only consider funds that are not allocated by the Commission on a project specific basis.

Local Streets and Roads Program funding may be used; however, apportionments must be received from the State Controller's Office and the project must be eligible as outlined in the Local Streets and Roads Program Guidelines.

The matching funds must be expended concurrently and proportionally on the project phase programmed with Formulaic Program funds, except as noted below. Costs incurred prior to allocation will not be counted towards the match.

The Commission may, at the time of programming or allocation, approve non-proportional spending. For projects receiving federal funds, the non-proportional spending must be approved by the Federal Highway Administration prior to allocation.

Adjustments will be made at project closeout to ensure matching funds were spent proportionally to the Formulaic Program funds.

## **9. Distribution**

Prior to each programming cycle, the Commission will adopt the formulaic distribution of funding for each eligible taxing authority rounded to the nearest whole thousand dollars. The Commission determines the formulaic funding amount for each eligible taxing authority with a voter-approved tax, toll, or fee that will be collected during the current programming cycle.

All taxing authorities eligible for formulaic funding will receive a minimum annual amount of \$200,000. The Commission may adjust this minimum funding in future programming cycles.

### **9.1 Distribution Factors**

#### **Revenue and Population**

The Commission will determine the total amount of annual revenue generated from voter-approved sales taxes, voter-approved parcel or property taxes, voter-approved tolls, and other voter-approved taxes dedicated solely to transportation improvements according to the most recent available data reported as follows:

- Local sales tax revenues: the sum of gross revenues for the most recent four quarters as reported for each local tax by the Department of Tax and Fee Administration.
- Parcel and property tax revenues: the revenues for the most recent fiscal year, as reported to the State Controller pursuant to Government Code Section 53891.



- Tolls and other tax revenues: the sum of revenues for the most recent fiscal year, as reported in the taxing authority's most recent audited financial statements.
- Population: the annual population estimate for cities and counties issued by the Department of Finance in May directly prior to the adoption of the formulaic funding distribution.

### **Geographic Location**

The Commission will establish funding for northern California and southern California by attributing the proportional share of revenues from voter-approved sales taxes, voter-approved parcel or property taxes, voter-approved tolls, and other voter-approved taxes dedicated solely to transportation improvements and imposed in counties in northern California to the northern share; and by attributing the proportional share of revenues from voter-approved sales taxes, voter-approved parcel or property taxes, voter-approved tolls, and other voter-approved taxes imposed in counties located in southern California to the southern share. The determination as to whether a county is in northern or southern California shall be based on the definitions set forth in the Streets and Highways Code Section 187.

**Southern Distribution.** Program funds made available to the southern share will be distributed as follows:

- 75 percent based on the population of the county in which the taxing authority is located compared to the total population of southern California counties with voter-approved sales taxes dedicated solely to transportation improvements.
- 25 percent based on the total amount of sales tax revenue generated by the voter-approved sales tax measures dedicated solely to transportation improvements administered by the taxing authority compared to the total amount of sales tax revenue generated from voter-approved sales tax measures dedicated solely to transportation improvements in southern California.

**Northern Distribution.** Program funds made available to the northern share will be distributed as follows:

- Program funds generated by voter-approved parcel or property taxes, voter-approved tolls, and other voter-approved taxes, excluding sales taxes, dedicated solely to transportation improvements shall be distributed to the taxing authority based on the proportional share of revenues generated by the toll or tax by that entity in comparison to the total revenues generated by, voter-approved parcel or property taxes, voter-approved tolls, and other voter-approved taxes dedicated solely to transportation improvements in northern California.



- Program funds generated by voter-approved sales taxes dedicated solely to transportation improvements shall be distributed to the taxing authority as follows:
  - 75 percent based on the population of the county in which the taxing authority is located compared to the total population of northern California counties with voter-approved sales taxes dedicated solely to transportation improvements.
  - 25 percent based on the total amount of sales tax revenue generated by the voter-approved sales tax measures dedicated solely to transportation improvements administered by the taxing authority compared to the total amount of sales tax revenue generated from voter-approved sales tax measures dedicated solely to transportation improvements in northern California.

The following factors will be considered for calculating the funding distribution, as applicable:

- Where a city has a voter-approved local sales tax and is located within a county without a countywide sales tax, the Commission will adopt a formulaic funding distribution for the city based on the city's population and the city's sales tax revenue.
- Where a city has a voter-approved local sales tax and is located within a county with a voter-approved local sales tax, the Commission will adopt a countywide formulaic funding amount based on the county's population and the county's sales tax revenue; and a formulaic funding amount for the city based on the city's sales tax revenue.
- Where there are multiple eligible taxing authorities with a voter-approved local sales tax within a county (or counties) with a countywide sales tax, the Commission will adopt a formulaic funding distribution for each taxing authority based on the relative tax rates of each voter-approved sales tax.

## **9.2 Distribution Adjustments**

The adopted formulaic funding distribution amounts for each taxing authority will not be adjusted mid-cycle to accommodate the inclusion of new voter-approved tax measures, tolls, or fees. Adjustments will be made to the total funding amount available for all taxing authorities in the subsequent cycle of the Formulaic Program except when unused incentive funding is redistributed (refer to Section 10, Incentive Funding).



Taxing authorities that receive voter approval for new tax measures, tolls, or fees after adoption of the formulaic funding distribution, will be eligible to receive formulaic funding on the first day following the measure effective date.

- For taxing authorities with new voter-approved sales taxes, the formulaic funding shall be distributed based on 75 percent of the county's population in which the taxing authority is located compared to the total population of the region's (Northern or Southern) counties with voter-approved sales taxes dedicated solely to transportation improvements.
- For taxing authorities with new voter-approved parcel or property taxes, voter-approved tolls, and other voter-approved taxes, excluding sales taxes, the formulaic funding shall be distributed based on the proportional share of the projected annual revenue of the voter-approved tax initiative in comparison to the total revenues generated by voter-approved parcel or property taxes, voter-approved tolls, and other voter-approved taxes in Northern California.

## **10. Incentive Funding**

The Formulaic Program recognizes new or renewed voter-approved self-help efforts and incentivizes jurisdictions to pursue future voter-approved tax measures, tolls, or fees. Incentive funding will be set-aside each fiscal year from the Local Partnership Program.

One-time incentive funding will be provided to jurisdictions that seek and receive voter-approval of new or renewed tax measures, tolls, or fees, if those tax measures, tolls, or fees meet the following criteria:

- Have a minimum period of ten years, and
- Are dedicated solely to transportation, and
- For sales taxes, are equal to or greater than one quarter cent.

The total amount of incentive funding awarded to jurisdictions will not exceed \$20 million annually. The incentive funding amount is based upon the projected annual revenue of the voter-approved tax, toll, or fee initiative. Incentive funding amounts will be a minimum of \$200,000 and may range up to a maximum of \$5,000,000 for each jurisdiction. Jurisdictions with a projected tax revenue of less than \$200,000 will receive the minimum incentive funding amount of \$200,000.

Should the sum of eligible incentive funding amounts (based on the above criteria) exceed \$20 million in any fiscal year, each incentive funding amount provided in that fiscal year will be reduced proportionally while still maintaining the \$200,000 minimum



funding amount. If this occurs, the Commission may elect to provide funding equal to the reductions in the following fiscal year, if incentive funding is available (that is, if the incentive funding in that following year is not depleted).

Incentive funding will be made available to eligible jurisdictions in June of each year.

### **10.1 Unused Incentive Funding**

Unused incentive funding will be redistributed as outlined below. If there are unused incentive funds in the last year of the programming cycle, those funds will be redistributed in the subsequent cycle.

- Based on the program funding distribution (60 percent via formulaic and 40 percent via competitive).
- The amount to the Formulaic Program will first be used to offset the formulaic funding distribution amounts of new tax measures, tolls, or fees added during the fiscal year. Then the remaining balance will be redistributed to eligible taxing authorities in the next fiscal year.
- The amount to the Competitive Program will be redistributed in the last fiscal year of the Competitive Program programming cycle.

## **11. Funding Restrictions**

The Formulaic Program funds may be used for any capital project phase (Project Approval and Environmental Document; Plans, Specifications, and Estimate; Right-of-Way; and Construction).

The Formulaic Program will only fund projects or project phases that are fully funded.

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

### **11.1 Supplemental Funding**

A taxing authority may nominate an existing programmed project for supplemental funding if the project was allocated Formulaic Program funding and the supplemental funding is programmed to the same project phase.

Supplemental funding requests for pre-construction phases may be considered up to six months prior to the expenditure deadline. The expenditure deadline for a supplemental allocation must be the same as the original allocation.

Supplemental funding for the Construction phase must be programmed and allocated prior to contract award.



The supplemental funding may be to replace local funding already committed to the project, subject to the required match (refer to Section 8, *Matching Requirements*).

To streamline the programming process, a taxing authority may request to program supplemental funds with a simplified project nomination submittal as outlined in Appendix B. Taxing authorities requesting to add funding to an unallocated phase should refer to Section 22, *Amendments*.

## **12. Reimbursement**

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

# **IV. PROGRAMMING**

## **13. Screening Criteria**

The Commission will include each project nominated by a taxing authority in the formulaic program of projects provided that the Commission finds the nomination meets the requirements of statute and Commission guidelines.

Project nominations will be screened for the following:

- Project eligibility.
- Nomination package is complete.
- Demonstrate the required funding match.
- Demonstrate that all other funds for the proposed project (segment or phase) are committed.

## **14. Programming**

The program of projects is a list of projects adopted by the Commission at the beginning of each programming cycle that shows the amount of Formulaic Program funds approved for each nominated project.

The Formulaic Program of projects for each fiscal year will include, at a minimum for each project, the nominating and implementing agency, project title, and the amount to be funded from the Formulaic Program. The program of projects will not include projects



that request Formulaic Program funding that exceeds a taxing authority's formulaic funding distribution.

A taxing authority can nominate a project for inclusion in the program of projects by submitting a project nomination as outlined in Appendix A. Projects nominated for inclusion in the Formulaic Program after the initial deadline will be amended into the program of projects with a subsequent Commission action.

#### **14.1 Programming Requirements:**

The Commission will program eligible project costs in the following phases: Project Approval and Environmental Document; Plans, Specifications, and Estimate; Right-of-Way; and Construction.

For Caltrans implemented projects only, the cost of Right-of-Way support and Construction support will be separated out and programmed separately from the Right-of-Way capital and Construction capital costs.

The Commission will program and allocate funding to projects in whole thousands of dollars.

The Commission will program a project phase only if it finds that the phase itself is fully funded from a combination of Formulaic Program and other committed funding, or uncommitted funding as outlined in Section 15, and that the required match has been met. The Commission will regard funds as committed when they meet the requirements outlined in Section 15, *Committed and Uncommitted Funds*.

A project nomination may identify an agency other than the eligible taxing authority to be the implementing agency. The implementing agency assumes responsibility and accountability for the use and expenditure of program funds as well as staying in compliance with Section 24, *Reporting Requirements*.

These guidelines do not preclude the transfer of formulaic funding between eligible taxing authorities. Taxing authorities may agree to transfer their Formulaic Program funding by nominating a project in another county. The taxing authority must include a letter signed by all parties agreeing to the transfer as part of the project nomination.

Taxing authorities and implementing agencies must comply with all relevant federal and state laws, regulations, policies, and procedures.

The Commission expects collaboration and cooperation between the taxing authority (nominating agency), implementing agency, and Caltrans for all projects on the state highway system.



## 14.2 Unprogrammed Formulaic Funding

If the initial program of projects adopted by the Commission does not program the full amount of a taxing authority's formulaic or incentive award funding, the balance will remain available for later program amendments supported by eligible project nominations until June 30, 2028 (first fiscal year of the subsequent programming cycle). The taxing authority must submit project nominations by April 28, 2028.

Unprogrammed funds must be programmed and allocated by June 30, 2028. Funds that remain unprogrammed and unallocated by the deadline will be redistributed to the Local Partnership Program. Where a project will not be ready for allocation, the implementing agency should request an extension of the allocation deadline (refer to Section 20, *Timely Use of Funds – Deadlines* and Section 21, *Timely Use of Funds - Extensions*).

## 15. Committed and Uncommitted Funds

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

Uncommitted funds may only be from the following competitive programs:

- Trade Corridor Enhancement Program,
- Solutions for Congested Corridors Program,
- Local Partnership Competitive Program,
- or a federal discretionary grant program.

If a project with uncommitted funds is programmed, all funding commitments must be secured prior to July 1 of the year in which the project is programmed.

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

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



## 16. Letter of No Prejudice

The Commission will consider approval of a Letter of No Prejudice to advance a project programmed in the Formulaic Program. Approval of the Letter of No Prejudice will allow the implementing agency to begin work and incur eligible expenses prior to allocation. The [Letter of No Prejudice Guidelines](#) are available on the Commission's website.

## 17. Title VI Requirements

Title VI of the Civil Rights Act of 1964, 42 U.S.C. 2000d et seq. ("Title VI") prohibits discrimination on the basis of race, color, or national origin in any program or activity that receives federal funds or other federal financial assistance.

Projects programmed for Formulaic Program funds must comply with Title VI requirements as follows:

- The implementing agency assumes responsibility and accountability for the use and expenditure of program funds. Nominating agencies and implementing agencies must comply with all relevant federal and state laws, regulations, policies, and procedures.
- The implementing agency will ensure that no person or group(s) of persons shall, on the grounds of race, color, national origin, sex, age, disability, limited English proficiency, or income status, be excluded, or otherwise subject to discrimination, related to projects programmed and allocated by the Commission, regardless of whether the programs and activities are federally funded. The implementing agency will comply with all federal and state statutes and implementing regulations relating to nondiscrimination.
- A current list of Title VI nondiscrimination and related authorities is available on the Commission's website at:  
<https://catc.ca.gov/programs/equity-and-public-engagement/title-vi-information>.

## V. DELIVERY

### 18. Delivery Methods

The Commission supports and encourages innovative delivery methods. Projects using alternative delivery methods such as design-build, progressive design-build, design sequencing procurement, or Construction Manager/General Contractor delivery should be identified in the project nomination, before programming, or as soon as possible before allocation. Due to the non-traditional nature of alternative delivery methods, it is possible that projects using alternative delivery methods might not follow the same procedures as projects utilizing design bid-build delivery. Flexibility may be requested



and approved consistent with programming and allocation capacity, program guidelines, and state and federal law.

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

When using the Construction Manager/General Contractor delivery method, the project will be programmed and allocated in the same manner as design-bid-build. During the environmental or design phase, Construction Manager/General Contractor contract costs are considered environmental or design phase expenditures. As the project advances in the design phase, it may be desirable to separate the project into packages, or segments, for efficiencies in the Construction delivery.

If this is the case, the project may be divided into separate delivery contracts and the Commission must be notified as soon as possible. The delivery dates and the scope of work must be consistent with the approved electronic Project Programming Request (ePPR).

## **19. Allocations**

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

If the project will be implemented by an agency other than the taxing authority, the allocation request must be signed by the implementing agency and include a copy of the Memorandum of Understanding or Interagency Agreement between the project applicant (taxing authority) and implementing agency.

### **19.1 Review Process**

Caltrans will review the allocation request and provide a recommendation to the Commission for action.

The recommendation from Caltrans must include:

- Determination of project readiness
- Availability of appropriated funding
- Availability of all identified and committed supplementary and matching funds



- For a construction allocation recommendation, certification from Caltrans verifying that the project's Plans, Specifications, and Estimate are complete, environmental and Right-of-Way clearances are secured, and all necessary permits and agreements (including railroad construction and maintenance) are executed. Caltrans considers these projects Ready to List (RTL).

Commission staff may request additional information as part of the Commission's review.

## **19.2 Allocation Requirements**

In compliance with Section 21150 of the Public Resources Code, the Commission will not allocate funds for Plans, Specifications, and Estimate; Right-of-Way; or Construction prior to documentation of environmental clearance under the California Environmental Quality Act (CEQA). As a matter of policy, the Commission will not allocate funds for Plans, Specifications, and Estimate; Right-of-Way; or Construction of a federally funded project prior to documentation of environmental clearance under the National Environmental Policy Act (NEPA).

The Commission, as a Responsible Agency, must approve the environmentally cleared project for future funding consideration. The submission forms for this approval are available on the [Commission website](#).

The Commission will approve an allocation in whole thousands of dollars.

If there are insufficient program funds to approve an allocation, the Commission may delay the allocation of funds to a project until the next fiscal year without requiring an extension.

Construction phase and Construction Support phase allocations:

- A project will only be placed on the Commission's agenda for an allocation of Construction and Construction support funds if the project is ready to advertise.
- When Caltrans is the implementing agency, Right-of-Way Support and Construction Support costs must be allocated separately from Right-of-Way capital and Construction capital costs.
- The implementing agency must not award the Construction contract for a project until the Commission has approved allocation of the Formulaic Program funds for the project.
- The implementing agency should not request an allocation of construction funds unless it is prepared to award contract(s) related to the allocation within six months of allocation approval.



- If an agency that has Commission approval to use more than one contract to deliver the programmed project scope, then it must request separate allocations for each contract.

If a project or project phase is ready for implementation earlier than the fiscal year in which it is programmed in the Formulaic Program, the implementing agency may request an allocation in advance of the programmed year. The Commission may approve an allocation in advance of the programmed year if the allocation will not delay availability of funding for other projects.

### **19.3 Allocation Adjustments**

Allocated funds may be shifted between programmed project phases to accommodate cost changes within the following limits:

Any amount that is allocated for the Project Approval and Environmental Document phase may also be expended for the Plans, Specifications, and Estimate phase. In addition, the implementing agency may expend an amount allocated for Project Approval and Environmental Document; Plans, Specifications, and Estimate; Right-of-Way; and Construction for another allocated project phase, provided that the total expenditure shifted to a phase in this way is not more than 20 percent of the amount actually allocated for either phase. This means that the amount transferred by the implementing agency from one phase to another may be no more than 20 percent of whichever of the phases has received the smaller allocation from the Commission.

Shifting of allocated funds between phases will not impact the amount of Formulaic Program funding programmed to the project. The implementing agency must coordinate with Caltrans and receive the approval of all the partners that nominated the project before submitting allocation adjustment requests to Caltrans.

### **20. Timely Use of Funds - Deadlines**

The Commission expects certain deadlines to be met as programmed projects are implemented. If the expected deadlines are not met and a time extension is not approved prior to the expiration of a deadline, the Formulaic Program funds will be deleted from the project phase and the funds will be redistributed in the subsequent Local Partnership Program cycle.

- **Allocation deadline.** Allocation for a programmed project phase must be requested in the fiscal year in which the funds are programmed. Funds programmed to a project expire on June 30 of the fiscal year in which the funds are programmed. An allocation request must be placed on a Commission meeting agenda no later than the June Commission meeting of the fiscal year in which the funds are programmed.



- At the time of fund allocation, the implementing agency may request that the Commission extend the deadline for completion of work and the liquidation of funds beyond the 36 months for project completion outlined in the Timely Use of Funds Policy, to accommodate the proposed expenditure plan for the project.
- **Contract award deadline.** The Construction phase contract(s) must be awarded within six months of an approved allocation.
  - The implementing agency must not award the contract(s) for a project until the Commission has allocated the Formulaic Program funds programmed to the Construction phase and the Construction support phase.
- **Project expenditure deadline (pre-construction).** Funds allocated for project development (Project Approval and Environmental Document; Plans, Specifications, and Estimate) or Right-of-Way costs must be expended by the end of the second fiscal year following the fiscal year in which the funds were allocated. The implementing agency must invoice Caltrans for these costs no later than 180 days after the expenditure deadline.
- **Project completion deadline.** After award of the construction phase contract(s) (project completion), the implementing agency has up to 36 months to complete (accept) the contract(s). The implementing agency must invoice Caltrans for these costs no later than 180 days after the completion deadline.
- **10-year requirement.** Projects must commence right-of-way acquisition or construction within 10 years of receiving pre-construction funding (Project Approval and Environmental Document; Plans, Specifications, and Estimate) through the Formulaic Program, or the implementing agency must repay the Formulaic Program funds. Repaid funds will be redistributed in the subsequent Local Partnership Program cycle.

## 21. Timely Use of Funds - Extensions

The Commission will consider extending the deadlines stated in Section 21 with the following requirements:

1. An unforeseen and extraordinary circumstance beyond the control of the responsible agency has occurred to justify the extension.
  - a. Extension requests should describe the specific unforeseen and extraordinary circumstance and identify the delay directly attributable to the circumstance.
2. No deadline will be extended more than once.



3. Each deadline extension request will be considered separately for each programmed project phase.
4. The extension will not exceed the period of delay directly attributed to the extraordinary circumstance.
5. The extension request cannot exceed the maximum period of delay identified in this section.
6. The implementing agency must submit a time extension request to Caltrans at least 60 days prior to the Commission meeting where the extension needs to be approved.
  - a. Except for allocation of funds, all time extension requests must be received by Caltrans before the expiration dates indicated in Section 20.
  - b. An allocation extension request must be approved by the Commission before June 30 of the fiscal year the funds are programmed.
7. Caltrans will review and prepare a written analysis of the proposed extension request and forward the written analysis and recommendation to the Commission for action.
8. The Commission will consider a time extension request when it receives a time extension request with a recommendation from Caltrans.
9. If a time extension is not approved prior to the expiration of a deadline, the Formulaic Program funds will be deleted from the project phase and the funds will be redistributed in the subsequent Local Partnership Program cycle.

**The following types of extensions may be requested in the Formulaic Program:**

- **Allocation extension (12 month maximum).** An allocation extension may be requested if a project phase cannot be allocated before June 30 in the fiscal year it is programmed.
- **Contract award extension (12 month maximum).** A contract award extension may be requested if the Construction contract(s) cannot be awarded within six months of the approved Construction phase allocation.
- **Project expenditure extension (12 month maximum).** A project expenditure extension may be requested if pre-construction phase expenditures (Project Approval and Environmental Document; Plans, Specifications, and Estimate; and



Right-of-Way) cannot be completed by the end of the second fiscal year following the fiscal year in which the funds were allocated.

**Project completion extension (20 month maximum).** A project completion extension for the Construction phase completion may be requested if, after allocation, the implementing agency finds that project completion will not occur within 36 months of the construction contract award.

## 22. Amendments

The Commission will consider amendment requests to assist agencies in implementing their projects and maximize the overall benefits of the Formulaic Program. Amendment requests must be submitted as soon as the implementing agency has identified a need for one and must include documentation that supports the requested change and its impact on scope, cost, schedule, and benefits (outputs and outcomes). Amendment requests are not guaranteed to receive approval.

The Formulaic Program amendments are defined as significant or minor updates, changes, or corrections to a programmed project including the information submitted in the project nomination package.

Schedule changes to a project will not be considered unless a time extension is approved (refer to Section 21).

If there is a cost increase to the project, the implementing agency must submit an updated electronic Project Programming Request form that identifies the cost increase and the fund source that will cover the cost increase.

### 22.1 General Instructions for all Amendments:

Implementing agencies must notify Caltrans of proposed amendments. Amendment requests must be documented in writing and include the following:

- Detailed explanation of the proposed change.
- Reason for the proposed change. Provide documentation as applicable.
- Impacts to the project benefits (outputs and outcomes).
  - Provide a comparison between the proposed benefits (outputs and outcomes) and those submitted in the initial project nomination, noting an increase, decrease, or no change.
- Revised electronic Project Programming Request form documenting the proposed changes and the amendment request.



- Written concurrence of the proposed amendment from all partners that nominated the project.

Caltrans will review the proposed amendments and present the agency's proposal along with Caltrans' written analysis and recommendation to Commission staff for Commission's approval.

Amendment requests include but are not limited to scope changes, contract separation, and reprogramming formulaic funding.

## **22.2 Scope Changes**

The Commission will consider changes to the approved scope submitted in the project nomination to assist agencies in implementing their projects and to maximize the benefits. The Commission and Caltrans should be notified as soon as possible of a potential change in project scope.

- Scope changes occurring before an allocation approval and deemed by Commission staff to be minor changes will be presented to the Commission as part of the project allocation request. Minor changes are those with little or no impact to the project benefits or those that increase the project benefits.
- Scope changes deemed by Commission staff to be significant changes, and the project benefits are less, will be presented to the Commission as an amendment with a Commission staff recommendation.
- The Commission will not consider scope changes after construction phase allocation unless the request is to expand the scope due to savings at contract award. A scope change due to savings at contract award must be submitted and approved by the Commission prior to contract award (refer to Section 23, *Project Cost Savings*).

## **22.3 Contract Separation**

If the project is divided into more than one contract after programming, the Commission will consider a program amendment. The Commission and Caltrans should be notified as soon as possible if the project is divided into more than one contract.

- Each project phase must remain programmed in the fiscal year in which it was originally programmed.
- The amendment request must identify the scope, funding plan, and schedule for each contract. This includes contracts without Formulaic Program funding but delivering any portion of the project scope that was originally programmed.



- A separate electronic Project Programming Request must be submitted for each contract.
- The benefits (outputs and outcomes) that will be achieved should be described for all contracts combined.
- An agency may only request to separate contracts for a programmed project once during the life of a project.
- Contract separation must be approved prior to the construction phase allocation.

#### **22.4 Reprogramming Formulaic Funding**

The Commission will consider reprogramming Formulaic Program funds on a programmed project if the funds have not been allocated. Project cost savings will be reprogrammed consistent with the policy outlined in Section 23, *Project Cost Savings*.

- Requests to increase the amount of Formulaic Program funding on a programmed, unallocated project phase must be submitted prior to allocation of the project phase.
- Unused funds from an approved reprogramming action (i.e., when partial funds are deprogrammed from a project) will be returned to the taxing authority's unprogrammed Formulaic Program funding balance.
- The Commission will not consider reprogramming a deleted project in the same programming cycle.
- An allocation adjustment should be requested to reprogram allocated funds (refer to Section 19.3, *Allocation Adjustments*).
- Requests for programming a new project or adding supplemental funds to an existing project should reference Appendix A, *Project Nominations* and Appendix B, *Supplemental and Amendment Project Nominations*.

#### **23. Project Cost Savings**

Project cost savings will be returned proportionally through a Commission action with the following requirements:

- Cost savings will be returned proportionally to the formulaic funding balance of the eligible taxing authority that nominated the project.
- The implementing agency must coordinate with Caltrans and the nominating agency to confirm the cost savings amount prior to a Commission action.



- The Commission will only consider a request to return cost savings after Caltrans submits the request with a recommendation to Commission staff. The recommendation from Caltrans must include confirmation of the cost savings and the amount to be returned.
- The implementing agency must submit a deallocation request to Caltrans. After receipt of the request, the average time required to complete Caltrans review and recommendation, and Commission deallocation is 60 days. Depending on the complexity of the request, some requests may take longer than 60 days.
- Cost savings returned to the taxing authority are available for programming after the Commission approves an action to both deprogram and deallocate the funds.
- Returned cost savings must be programmed and allocated within twelve (12) months of the Commission action. Funds that remain unprogrammed and unallocated after twelve months will be redistributed in the subsequent Local Partnership Program.
- Cost savings will be returned proportionally unless the agency requests to use the savings on the same project to fund a cost increase on a subsequent programmed phase.

“Proportionally”, when used in reference to project cost savings, means that savings will be returned based on the percentage contributed from each fund source. As an example, cost savings realized in a project phase that is funded 50 percent with Formulaic Program funds and 50 percent with local funds, the savings will go back to each “pot” of funds based on the percentage contributed to the project phase from each funding type.

### **23.1 Construction Phase Cost Savings**

Cost savings at contract award may be used to expand the scope of the project. The expanded scope will be considered a scope change amendment and must be reviewed and approved by Commission prior to contract award (refer to Section 22.2, *Scope Changes*). All other contract award savings will be returned proportionally at project completion.

Cost savings at project completion must be returned proportionally except when an agency has, after project programming, committed additional funds to the project to fund a cost increase. In such instances, savings at project completion may be returned to other fund types first, until the proportions match those at programming.



### **23.2 Pre-construction Phase Cost Savings**

The Commission must be notified in writing of cost savings in pre-construction project phases within the expenditure deadline (refer to Section 20, *Timely Use of Funds - Deadlines*). Commission review of cost savings requests in pre-construction project phases will take place after the expenditure deadline. Pre-construction phases include Project Approval and Environmental Document; Plans, Specifications, and Estimate; and Right-of-Way.

## **VI. PROJECT ACCOUNTABILITY**

### **24. Project Reporting**

SB 1 places responsibility on the Commission to track the performance of and report to the public how well funding recipients are delivering projects receiving Local Partnership Program funds. The reporting requirements are outlined in the [Commission's SB 1 Accountability and Transparency Guidelines](#).

### **25. Project Tracking Database**

Caltrans is responsible for developing, upgrading, and maintaining an electronic database record of the adopted Formulaic Program and Commission actions. The database includes project specific information, including project description, location, cost, scope, schedule, expected benefits, progress of the project, and a map. The project information from the database is accessible at <http://www.build.ca.gov/>.

### **26. Project Auditing**

The audit requirements are outlined in the [Commission's SB 1 Accountability and Transparency Guidelines](#).

### **27. Project Signage**

An implementing agency must include construction signage stating that the project was made possible by SB 1 - The Road Repair and Accountability Act of 2017 (or Rebuilding California Funds) and include the Commission's official logo which can be requested from the Clerk of the Commission. The signage should comply with applicable federal and state laws, and Caltrans' manual and guidelines, including but not limited to the provisions of the California Manual on Uniform Traffic Control Devices. Reference Caltrans' Construction Project Funding Identification Sign webpage for additional details and requirements about project construction signage.

### **28. Workforce Development Requirements**

Implementing agencies may track and report any information about how they participate in, invest in, or partner with, new or existing State of California approved pre-



California Transportation Commission  
2024 Local Partnership Formulaic Program Guidelines

apprenticeship training programs following the requirements specified in Part VI, Section 24.



## VII. APPENDICES

### APPENDIX A - PROJECT NOMINATIONS

#### Project Nomination Deadline

- Project nominations must be submitted to the Commission by November 15, 2024, to be included in the initial program of projects.
- The final deadline to submit project nominations to the Commission for subsequent programming is April 28, 2028.

#### General Submittal Instructions

- All project nominations must be submitted by the deadlines listed above.
  - Project nominations submitted on November 15, 2024, or April 28, 2028, must be submitted at or before 11:59 pm.
- Project nominations will be treated in accordance with California Public Records Act requirements, and information subject to those requirements, may be publicly disclosed.
- Applicants must submit one (1) electronic copy of the project nomination package.
- Electronic copies should be sent via email to [LPP@catc.ca.gov](mailto:LPP@catc.ca.gov). If electronic files are too large to send via a single email, please break up the files and send via multiple emails.
- Each project nomination should be limited to 35 pages, excluding information requested in appendices.
- Each project nomination must utilize the letter convention as specified below.

#### A. Cover Letter

The cover letter must include a brief non-technical description of the project scope, cost, schedule, benefits (outputs and outcomes), and requested funding amount. If the project includes multiple project modes, each project mode must be described. Specifically include a “project purpose and need” section to describe how the project meets the primary purpose of the Local Partnership Formulaic Program as specified in Part I, Section 2 of the Local Partnership Formulaic Guidelines.

- If proposing a segment of a corridor, the applicant should discuss the entire corridor and why the project is being segmented. The project must demonstrate



the segment proposed for funding has independent utility and include a narrative of the plan to complete the remaining improvements of the corridor.

- If proposing the last segment of the corridor, the nomination should discuss the benefits that have been achieved through the completion of all other segments and the overall benefits of completing the corridor. The cover letter should address the impacts of not completing the segment(s). The analysis should be coordinated with other jurisdictions if the corridor crosses multiple jurisdictions.

The cover letter must be addressed to the California Transportation Commission's Executive Director and clearly identify the nominating agency or agencies and the implementing agency or agencies on a formal letterhead.

- The cover letter must include the signature of the Chief Executive Officer or other officer authorized by the nominating agency's governing board, authorizing and approving the project nomination.
  - Jointly nominated projects must have the duly authorized signatures of both agencies.
  - Where the project will be implemented by an agency or multiple agencies other than the nominating agency, the cover letter must include the signature(s) of the Chief Executive Officer or other authorized officer(s) of the implementing agency or agencies and documentation of the agreement between the project nominator and implementing agency.

## B. Screening Criteria

- 1) **Eligible Project:** Explain (no more than one or two paragraphs) how the project is eligible based on the categories outlined in the guidelines, Section 6, *Eligible Projects*.
- 2) **Electronic Project Programming Request (ePPR):** The ePPR form must be included in the project nomination and list all funding match sources (federal, state, local, and private).
  - The Formulaic Program request and the required match should be clearly identified.
  - The information submitted in the ePPR must align with the project nomination.
  - The final version of the ePPR must be submitted ("draft" watermark not shown).



- If the project is divided into more than one independent contract, a separate ePPR must be submitted for each contract.
- 3) **Performance Metrics:** The required Performance Metrics in Appendix **E** may be submitted as part of the ePPR.
- Performance metrics must be applicable and relevant to the proposed project scope and support the narrative of the project.
  - The [SB 1 Technical Performance Measurement Methodology Guidebook](#) provides instructions on how to complete required performance metrics.

### C. General Information

- 1) **Overview:** Provide a brief, one to three paragraph, non-technical description of the project. If the project includes multiple project modes, each project mode must be described.
- 2) **Project Location:** Provide a brief description of the project location(s) including city and county boundaries.
  - Provide a map (or maps) that clearly show(s) the project location(s).
  - Photos: Photos (rendering or actual) of the project location(s).
- 3) **Scope:** A clear, concise (no more than two paragraphs), publicly understandable description of the project scope to be programmed with Formulaic Program funding.
- 4) **Project Benefits:** A brief description of the project benefits including the outcomes proposed for funding. Include a list of outputs for the project.
  - Make sure the outputs listed here are consistent with the outputs submitted in the electronic Project Programming Request.
  - Projects requesting Formulaic Program funding in pre-construction phases only should include a brief description of the completed project's anticipated outcomes.
- 5) **Community Engagement and Outreach:** Provide a description of how your agency developed the scope through demonstrated partnership, engagement, and collaboration. How was input received and incorporated into the project? If a disadvantaged or historically impacted and marginalized community is within the project area, describe how they were engaged.



- a. Equitable projects demonstrate meaningful and effective public participation in the decision-making processes, particularly by disadvantaged or historically impacted and marginalized communities.
  - b. The Commission's *Senate Bill 1 Programs Transportation Equity Supplement* in Appendix F should be referenced as a guide to this section.
  - c. Engagement should occur through the development of the project; for road rehabilitation projects, applicants should describe demonstrated partnership at the environmental phase and during construction.
  - d. Projects requesting only pre-construction phases should describe the plan for community engagement and partnership for the project.
- 6) **Economic Development and Job Creation and Retention** – The nomination should address how the proposed project stimulates local economic activity, supports economic development, creates, or increases access to employment.
- a. How does the project support economic development and improve access to employment for disadvantaged or historically impacted and marginalized communities?
  - b. How does the proposed project improve access to economic opportunities and the movement of goods and services in the region?
  - c. If applicable, provide the number and types of jobs created by this project's delivery. Include any efforts to develop local jobs and workforce development opportunities consistent with federal and state laws. For more information about workforce development, visit the California Workforce Development Board's website.
  - d. Identify and discuss other economic impacts the project will have.
- 7) **Nominating Agency and Implementing Agency Agreement (if applicable):** Where the project is to be implemented by an agency other than the nominator, provide confirmation of the agreement between the project nominator and implementing agency.
- 8) **Reversible Lanes:** A confirmation that any capacity-increasing project or a major street or highway lane realignment project was considered for reversible lanes pursuant to Streets and Highways Code Section 100.15.

#### D. Project Delivery

- 1) **Delivery Method:** Specify which delivery method is being used for the project. This can be one sentence but no more than one paragraph.



- If a delivery method other than design-bid-build is used for the project, identify the delivery method used.
  - If the delivery method is unknown at the time of nomination, it should be noted in the project nomination and then reported as soon as it is known.
- 2) **Contracts:** If the project is divided into more than one contract which requires separate allocations, explain that in this section.
- 3) **Schedule Risks:** In narrative form or table format, list any potential risks and proposed mitigation strategies to keep the project on schedule.
- The risks considered should include, but not be limited to, risks associated with deliverability, engineering issues, and funding commitments.
  - Examples of schedule risks include the need for geotechnical analysis or related concerns, complicated utility relocations, or land acquisition concerns.

## E. Project Funding

- 1) **Funding Plan:** Provide the table below for all project phases. The table should be consistent with the information provided in the electronic Project Programming Request.
- **Cost Estimates:** A project cost estimate includes the amount and source of all funds committed to the project and the basis for concluding that the funds are expected to be available. Cost estimates should be escalated to the year of proposed implementation and be approved by the Chief Executive Officer or other authorized officer of the implementing agency.
  - **Required Match:** The project funding plan must include the required funding match (Section 8, *Matching Requirements*) in each project phase where Formulaic Program funds are requested.
  - **Total Project Cost:** Include the total project cost.
    - If the project nomination is requesting Formulaic Program funding for pre-construction phases only, provide the estimated total project cost through the Construction phase.
  - **Uncommitted Funds:** May only be from those programs outlined in Section 15, *Committed and Uncommitted Funds*.



- When uncommitted funding is proposed, the project nomination must address the plan for securing a funding commitment, explain the risk of not securing that commitment, and the plan for securing an alternate source of funding.

| Fund Source             | Committed or Uncommitted | Fiscal Year of Allocation (LPP-F) | PAED | PSE | Right of Way | Construction | Total |
|-------------------------|--------------------------|-----------------------------------|------|-----|--------------|--------------|-------|
| LPP-Formulaic Request   |                          |                                   |      |     |              |              |       |
| Example Fund #1 (match) |                          |                                   |      |     |              |              |       |
| Example Fund #2         |                          |                                   |      |     |              |              |       |
| <b>Total</b>            |                          |                                   |      |     |              |              |       |

**F. Other**

- 1) **Interagency Cooperation:** Projects on the state highway system must provide evidence of cooperation between the nominating agency and Caltrans. (Refer to Appendix G, *State Highway System Project Impact Assessment*).
- 2) **Transfer of Formulaic Program Funds Between Taxing Authorities:** (if applicable) The project nomination must include a letter, addressed to the California Transportation Commission’s Executive Director, that clearly identifies the following:
  - The taxing authority to which the funds are being transferred,
  - The project (title and scope) where funds will be programmed,
  - The implementing agency of the project, and
  - The amount of Formulaic Program funding being transferred.

The letter must include the signatures of both taxing authorities:

- Taxing authority transferring the funding: The Chief Executive Officer or another officer authorized by the taxing authority’s governing board to authorize and approve the transfer.



California Transportation Commission  
2024 Local Partnership Formulaic Program Guidelines

- Taxing authority receiving the funding: The Chief Executive Officer or another officer authorized by the taxing authority's governing board to authorize and approve the acceptance of the transfer.



## APPENDIX B - SUPPLEMENTAL AND AMENDMENT PROJECT NOMINATIONS

### General Submittal Instructions

- Project nominations will be treated in accordance with California Public Records Act requirements, and information subject to those requirements may be publicly disclosed.
- Applicants must submit one (1) electronic copy of the project nomination package.
- Electronic copies should be sent via e-mail to [LPP@catc.ca.gov](mailto:LPP@catc.ca.gov). If electronic files are too large to send via a single e-mail, please break up the files and send via multiple e-mails.
- Each supplemental or amendment project nomination should be limited to ten (10) pages and utilize the letter convention as specified below.

### A. Cover letter

- A cover letter must be submitted with the supplemental or amendment project nomination.
- The cover letter must be addressed to the California Transportation Commission's Executive Director and clearly identify the nominating agency or agencies and the implementing agency or agencies.
- The cover letter must clearly identify the existing programmed project and briefly describe the supplemental or amending funding request (one or two sentences).
- The cover letter must include the signature of the Chief Executive Officer or other officer authorized by the nominating agency's governing board, authorizing and approving the nomination.
  - Where the project will be implemented by an agency or multiple agencies other than the nominating agency, the cover letter must also include the signature(s) of the Chief Executive Officer or other authorized officer(s) of the implementing agency or agencies.

### B. Screening Criteria

- The revised electronic Project Programming Request (ePPR) form must list all funding match sources (federal, state, local, and private) and other committed funds.



- The supplemental or amendment funding request and the required match should be clearly identified separately from the original Formulaic Program funding request.
- The information submitted in the ePPR must align with this project nomination.
- The final version of the ePPR must be submitted (“draft” watermark not shown).
- If the original project nomination was divided into more than one independent contract, a separate revised ePPR must be submitted for each contract.
- If an ePPR was not part of the initial project nomination, one must be submitted for the project as part of this request.
- If applicable, include the revised Performance Metrics required in the initial project nomination.
  - If Performance Metrics were not part of the initial project nomination, they must be submitted for the project as part of this request.

### C. General Information

- **Overview:** Provide the project title and implementing agency.
- **Project status:** Provide a brief description of the current status of the project.
- **Funding Request:** Provide a clear description of the supplemental or amendment funding request and the reason for the proposed request.
- **Project Updates:** Describe how the following differs from the original project nomination. If no changes are anticipated, provide notation in section.
  - Project scope.
  - Project location: Provide a brief description of the revised project location(s) including city and county boundaries.
    - Revised Map (if applicable): A revised map (or maps) that clearly show the original and revised project location(s).
  - Project schedule.



California Transportation Commission  
2024 Local Partnership Formulaic Program Guidelines

- Project benefits: Provide a comparison between the proposed benefits (outputs and outcomes) and those submitted in the initial project nomination, noting an increase, decrease, or no change.
- Funding plan: Provide the table below with updates to the funding plan submitted in the original project nomination.

| <b>Fund Source</b> | <b>Committed or Uncommitted</b> | <b>Fiscal Year of Allocation (LPP-F)</b> | <b>PA&amp;ED</b> | <b>PS&amp;E</b> | <b>Right of Way</b> | <b>Construction</b> | <b>Total</b> |
|--------------------|---------------------------------|--|------------------|-----------------|---------------------|---------------------|--------------|
|                    |                                 |  |                  |                 |                     |                     |              |
| <b>Total</b>       |                                 |  |                  |                 |                     |                     |              |



**APPENDIX C - ELIGIBLE TAXING AUTHORITIES RECEIVING FORMULAIC FUNDING**

(Updated June 12, 2024)

| <b>Administering Agency</b>                                | <b>Ballot Designation</b>                                      | <b>Expiration Date</b>                |
|--|--|---------------------------------------|
| Alameda County Transportation Commission                   | Measure BB<br>Measure F  | March 31, 2045<br>None                |
| Alameda-Contra Costa Transit District                      | Measure C1/VV  | June 30, 2039                         |
| Amador   | Measure K  | June 30, 2034                         |
| Bay Area Rapid Transit District (BART)                     | Measure RR   | None                                  |
| Bay Area Toll Authority                                    | Regional Measure 1<br>Regional Measure 2<br>Regional Measure 3 | None<br>None<br>None                  |
| Caltrain   | Measure RR   | June 30, 2051                         |
| City/County Association of Governments of San Mateo County | Measure M  | May 1, 2036                           |
| City and County of San Francisco                           | Proposition D  | November 5, 2045                      |
| Clearlake  | Measure V  | March 31, 2037                        |
| Contra Costa Transportation Authority                      | Measure J  | March 31, 2034                        |
| Council of San Benito County Governments                   | Measure G  | March 31, 2049                        |
| El Cerrito   | Measure A  | None                                  |
| El Paso de Robles  | Measure E-12<br>Measure F-12                                   | March 30, 2025<br>March 30, 2025      |
| Fort Bragg   | Measure J  | None                                  |
| Fresno County Transportation Authority                     | Measure C  | June 30, 2027                         |
| Imperial County Local Transportation Authority             | Measure D  | March 31, 2050                        |
| Los Angeles County Metropolitan Transportation Authority   | Proposition A<br>Proposition C<br>Measure R<br>Measure M       | None<br>None<br>June 30, 2039<br>None |
| Madera County Transportation Authority                     | Measure T  | March 31, 2027                        |
| Martinez   | Measure D  | March 31, 2032                        |
| Merced County Transportation Authority                     | Measure V  | March 31, 2047                        |
| Monterey-Salinas Transit District                          | Measure Q  | March 31, 2030                        |
| Napa Valley Transportation Authority                       | Measure T  | June 30, 2043                         |
| Orange County Transportation Authority                     | Measure M  | March 31, 2041                        |



California Transportation Commission  
2024 Local Partnership Formulaic Program Guidelines

| Administering Agency                                 | Ballot Designation   | Expiration Date   |
|--|--|---|
| Orinda   | Measure L  | September 15, 2038  |
| Point Arena  | Measure C  | None  |
| Riverside County Transportation Commission           | Measure A  | June 30, 2039   |
| Sacramento Transportation Authority                  | Measure A  | March 31, 2039  |
| San Bernardino County Transportation Authority       | Measure I  | March 31, 2040  |
| San Diego Regional Transportation Commission         | Proposition A  | March 31, 2048  |
| San Francisco County Transportation Authority        | Proposition L<br>Proposition AA  | March 31, 2053<br>None  |
| San Joaquin County Transportation Authority          | Measure K  | March 31, 2041  |
| San Mateo County Transit District                    | Measure W<br>Proposition A   | June 30, 2049<br>None   |
| San Mateo County Transportation Authority            | Measure A  | December 31, 2034   |
| Santa Barbara County Local Transportation Authority  | Measure A  | March 31, 2040  |
| Santa Clara Valley Transportation Authority          | Measure A (1976)<br>Measure A (2000)<br>Measure B (2008)<br>Measure B (2010)<br>Measure B (2016) | None<br>March 31, 2036<br>June 30, 2042<br>None<br>March 31, 2047 |
| Santa Cruz County Regional Transportation Commission | Measure D  | March 31, 2047  |
| Santa Cruz Metropolitan Transit District             | Measure G  | None  |
| Sonoma County Transportation Authority               | Measure M<br><i>Measure DD -renewal<br/>(operative April 1, 2025)</i>                            | March 31, 2025<br>March 31, 2045                                  |
| Sonoma Marin Area Rail Transit District              | Measure Q  | March 31, 2029  |
| Stanislaus County Transportation Authority           | Measure L  | March 31, 2042  |
| Transportation Agency for Monterey County            | Measure X  | March 31, 2047  |
| Transportation Authority of Marin County             | Measure AA<br>Measure B  | March 31, 2049<br>None  |
| Truckee  | Measure R<br>Measure V<br><i>Measure U -renewal<br/>(operative October 1, 2024)</i>              | September 30, 2024<br>December 31, 2028<br>None                   |
| Tulare County Transportation Authority               | Measure R  | March 31, 2037  |



California Transportation Commission  
2024 Local Partnership Formulaic Program Guidelines

| <b>Administering Agency</b> | <b>Ballot Designation</b> | <b>Expiration Date</b> |
|-----------------------------|---------------------------|------------------------|
| Ukiah                       | Measure Y<br>Measure Z    | None                   |
| Willits                     | Measure A                 | None                   |
| Yuba County                 | Measure D                 | None                   |



## APPENDIX D - ELECTRONIC PROJECT PROGRAMMING REQUEST

Each project nomination must include an electronic Project Programming Request (ePPR) form. The ePPR must list federal, state, local, and private funding categories by project phase and fiscal year.

If the proposed project includes multiple project modes to be delivered under separate contracts, or if the programmed project scope will be delivered under more than one independent contract, each project mode, or each independent contract must have its own ePPR.

The scope, benefits, schedule, and funding plan of the ePPR must be consistent with the information in the project nomination.

Visit the [Caltrans Office of Capital Improvement Programming \(OCIP\)](#) for more information about electronic Project Programming Requests, including a User's Guide.



### APPENDIX E - PERFORMANCE METRICS

- Please fill in the table included in this section with the requested information for the proposed project. This information must be consistent with the information in the electronic Project Programming Request form that is submitted with the project nomination (refer to Appendix D, *Electronic Project Programming Request*).
- Commission staff may contact applicants for additional information.
- Please refer to the [Senate Bill \(SB\) 1 Technical Performance Measurement Methodology Guidebook](#) which includes additional information and resources for completing the table.

| Measure                     | Metric   | Project Type                      | Build | Future No Build | Change | Increase or Decrease |
|-----------------------------|--|-----------------------------------|-------|-----------------|--------|----------------------|
| <b>Congestion Reduction</b> | Change in Daily Vehicle Miles Travelled                | Local Road<br>Hwy Road<br>Transit |       |                 |        |                      |
|                             | Person Hours of Travel Time Saved                      | Local Road<br>Hwy Road<br>Transit |       |                 |        |                      |
| <b>Throughput</b>           | Bicyclist and Pedestrian Screen Line Counts (Optional) | Active Transportation             |       |                 |        |                      |
| <b>System Reliability</b>   | Peak Period Travel Time Reliability Index              | Hwy Road                          |       |                 |        |                      |
|                             | Level of Transit Delay                                 | Transit                           |       |                 |        |                      |
| <b>Safety</b>               | Number of Fatalities                                   | All                               |       |                 |        |                      |
|                             | Number of Serious Injuries                             | All                               |       |                 |        |                      |



| Measure                     | Metric                             | Project Type | Build | Future No Build | Change | Increase or Decrease |
|-----------------------------|------------------------------------|--------------|-------|-----------------|--------|----------------------|
| (Safety, continued)         | Rate of Fatalities                 | All          |       |                 |        |                      |
|                             | Rate of Serious Injuries           | All          |       |                 |        |                      |
| <b>Economic Development</b> | Jobs Created (Direct and Indirect) | All          |       |                 |        |                      |
| <b>Air Quality</b>          | Particulate Matter (PM 2.5 PM 10)  | All          |       |                 |        |                      |
|                             | Carbon Dioxide (CO <sub>2</sub> )  | All          |       |                 |        |                      |
|                             | Volatile Organic Compounds (VOC)   | All          |       |                 |        |                      |
|                             | Sulphur Oxides (SO <sub>x</sub> )  | All          |       |                 |        |                      |
|                             | Carbon Monoxide (CO)               | All          |       |                 |        |                      |
|                             | Nitrogen Oxides (NO <sub>x</sub> ) | All          |       |                 |        |                      |
| <b>Cost Effectiveness</b>   | Cost Benefit Ratio                 | All          |       |                 |        |                      |
| <b>Accessibility</b>        | Number of Jobs Accessible by Mode  | All          |       |                 |        |                      |
|                             | Access to Key Destinations by Mode | All          |       |                 |        |                      |



| Measure  | Metric  | Project Type           | Build | Future No Build | Change | Increase or Decrease |
|--|---|------------------------|-------|-----------------|--------|----------------------|
| (Accessibility, continued)                       | Percent of Population Defined as Low Income or Disadvantaged within half mile of rail station, ferry terminal, or high-frequency bus stop | All                    |       |                 |        |                      |
| <b>System Preservation</b>                       | Pavement Condition Index  | Local Road<br>Hwy Road |       |                 |        |                      |
| <i>(Pavement and Bridge Rehabilitation only)</i> | Bridge Condition Rating for Bridge Deck, Superstructure, Substructure   | Local Road<br>Hwy Road |       |                 |        |                      |
| <b>Noise Level</b>                               | Number of Receptors   | Sound walls            |       |                 |        |                      |
| <i>(Sound walls only)</i>                        | Properties Directly Benefited   | Sound walls            |       |                 |        |                      |
| <i>(For reporting only)</i>                      | Number of Decibels  | Sound walls            |       |                 |        |                      |



## APPENDIX F - SB 1 TRANSPORTATION EQUITY SUPPLEMENT

On January 27, 2021, the California Transportation Commission (Commission) adopted its Racial Equity Statement, which states:

The California Transportation Commission recognizes that throughout California’s history, improvements to the State’s transportation system have disproportionately benefitted some population groups and burdened others. The Commission condemns all forms of racism and is actively working to promote equitable outcomes through our programs, policies, and practices.

In the mid-Twentieth Century, California undertook a major expansion of transportation infrastructure aided by an influx of federal funding. While infrastructure improvements were being planned, designed, and constructed, Black, Indigenous, and other people of color were disenfranchised, lacked voting protections, and were underrepresented in government decision-making. New highways were frequently constructed through predominately Black, Latino, Asian, and low-income neighborhoods to meet the needs of primarily white suburban commuters, and through tribal lands. Racist policies and decisions also influenced the siting of other types of transportation infrastructure, such as commuter railways, and the delivery of transit services. The results of racial segregation and disinvestment of transportation funds in communities of color are still visible in cities today.

Californians who live in historically underserved communities are more likely to be negatively impacted by increased exposure to air pollution and noise from cars, trucks, ships, trains, and aircraft, and struck or killed by drivers when walking and biking. These vulnerable communities may have limited access to safe and affordable transportation options to connect residents to jobs, education, healthcare, and recreation. In addition, people of color may experience diminished safety and comfort while walking, biking, driving, or using public transportation as a result of racial discrimination in enforcement.

The Commission vows to create mobility opportunities for all Californians, especially those from underserved communities, to thrive in all aspects of life. The Commission will:

- Work to build and strengthen relationships with community-based organizations, non-profits, advocacy organizations, and other equity experts and practitioners;
- Empower the Commission’s Equity Advisory Roundtable and future related efforts to help inform transportation decision making;
- Strengthen understanding of community transportation needs and challenges through the forthcoming Community Listening Sessions;
- Ensure equity, public health, and robust public engagement via our planning and programming guidelines;
- Provide expanded opportunities for Commissioner and staff training related to diversity, equity, and inclusion; and
- Feature equity topics and elevate diverse perspectives in public meetings of the Commission.

We uphold our dedication to serve and improve the quality of life for all Californians by continuing to prioritize transportation equity issues and ensuring all experience safe, affordable, and efficient transportation.



The Commission developed this supplement in collaboration with members from the Interagency Equity Advisory Committee and stakeholders as a resource for applicant agencies preparing project nominations for Senate Bill (SB) 1 Programs (Local Partnership Program, Solutions for Congested Corridors Program, and Trade Corridor Enhancement Program). The Commission endeavors to ensure program policies progress by embedding equity considerations in the project development, nomination, and selection process.

This supplement provides information on key statistics, benefits, and communication strategies that may be used during project development to yield more equitable outcomes. An applicant agency may use the information and strategies presented here to explain how a project advances transportation equity from identification and inclusion to impacts and outcomes:

- How did the agency engage communities in the project study area to identify their needs? Did the agency directly engage with disadvantaged or historically impacted and marginalized groups, including Black, Indigenous, and other people of color, displaced or unhoused persons, individuals with disabilities, seniors and elders, and low-income individuals or communities? How was community feedback incorporated into the project? How did the agency inform communities about whether their feedback was incorporated into the project?
- How did the agency develop the project scope? Was the alternatives analysis developed to include community feedback? Can the agency demonstrate its partnership and collaboration with the disadvantaged or historically impacted and marginalized communities in the project study area?
- How did the agency assess if the project would cause any disparate impacts on the basis of race, color, socioeconomic status, gender, sexuality, disability status, or national origin? If disparate impacts were identified, did the agency consider and incorporate alternate options as applicable?

Equitable practices should be considered through a project's lifecycle (planning, development, and delivery). This can include structural and procedural equity strategies like the examples provided in this supplement. Structural strategies reform planning practices to create inclusive, affordable, and resource-efficient transportation infrastructure, whereas procedural strategies provide special benefits to disadvantaged groups to create fairness in process. Mindful and meaningful inclusion and engagement are critical to successfully advance equity in transportation planning as well as project development and delivery.

Agencies may use this supplement to incorporate equitable corridor improvement strategies and advance projects with more equitable outcomes in their comprehensive multimodal corridor plans, if applicable.

Agencies may also consult the [California Strategic Growth Council's Racial Equity Resource Hub](#) to learn more about racial equity best practices (key focus hubs to consider: Creating Your Roadmap,



Growing Awareness, Taking Action). The California Strategic Growth Council represents seven state member agencies, including the California State Transportation Agency, and created the Racial Equity Resource Hub to consolidate, streamline, and promote racial equity resources and tools for state agencies' implementation.

## A. Example Indicators Used to Identify Disadvantaged or Historically Impacted and Marginalized Groups

Pursuant to California Health and Safety Code Section 39711, disadvantaged communities are identified based on geographic, socioeconomic, public health, and environmental hazard criteria. Disadvantaged communities may include either of the following:

- (1) Areas disproportionately affected by environmental pollution and other hazards that can lead to negative public health effects, exposure, or environmental degradation.
- (2) Areas with concentrations of people that are of low income, high unemployment, low levels of homeownership, high rent burden, sensitive populations, or low levels of educational attainment.

Recognizing localized differences helps to identify disadvantaged or historically impacted and marginalized groups. Some example indicators are included for reference below.

- **Median Household Income** – Is less than 80 percent of the statewide median based on the most current Census Tract (ID 140) level data. Communities with a population less than 15,000 may use data at the Census Block Group (ID 150) level. Unincorporated communities may use data at the Census Place (ID 160) level. Data is available at the United States Census Bureau [website](#).
- **California Communities Environmental Health Screening Tool (CalEnviroScreen)** – A mapping tool developed by the California Office of Environmental Health Hazard Assessment on behalf of the California Environmental Protection Agency that uses environmental, health, and socioeconomic information to produce scores for every census tract in the state which can be accessed on the California Office of Environmental Health Hazard Assessment's [website](#).
  - SB 535 (De León, Chapter 830, Statutes of 2012) established initial requirements for minimum funding levels to “Disadvantaged Communities” for specified programs and required the California Environmental Protection Agency to identify those communities. The [SB 535 Designation of Disadvantaged Communities](#) identifies four types of geographic areas as disadvantaged, including census tracts that receive the highest 25 percent of overall scores in the most recent version of CalEnviroScreen.
- **Healthy Places Index** – Developed by the Public Health Alliance of Southern California, the Healthy Places Index includes a composite score for each census tract in the state. The higher the score, the healthier the community conditions based on 25 community characteristics. The scores are then converted to a percentile to compare it to other tracts in the state. Within the



Healthy Places Index, a census tract must be in the 25<sup>th</sup> percentile or less to qualify as a disadvantaged community. The live map and direct data can be accessed on the [California Healthy Places Index website](#).

- **Extreme Heat Edition** – Developed by the Public Health Alliance in partnership with the UCLA Luskin Center for Innovation, the Healthy Places Index Extreme Heat Edition provides datasets on projected heat exposure for California, place-based indicators measuring community conditions and sensitive populations. It also provides a list of resources and funding opportunities that can be used to address extreme heat. More information about the tool and a live map can both be found on the [UCLA Luskin Center for Innovation website](#). This tool complements the [California Heat Assessment Tool](#) funded by the California Natural Resources Agency as part of the state’s Fourth Climate Change Assessment.
- **Native American Tribal Governments** – Projects located within Federally Recognized Tribal Lands (typically within the boundaries of a Reservation or Rancheria) or projects that provide benefits to Native American Tribal Governments and communities.
- **Regional Definition** – Such as “environmental justice communities,” “equity priority communities,” or “communities of concern.” The regional definition must be developed through a robust public outreach process that includes community stakeholders’ input and must be stratified based on severity. A regional definition of disadvantaged communities must be adopted as part of a regular four-year cycle adoption of a Regional Transportation Plan (RTP) or Sustainable Communities Strategy (SCS) by a metropolitan planning organization or regional transportation planning agency per obligations with Title VI of the Federal Civil Rights Act of 1964. A regional definition of disadvantaged communities must be used for the region’s broader planning purposes rather than only to apply for SB 1 Program funding.
- **California Department of Transportation’s Transportation Equity Index (EQI)** – A spatial screening tool designed to identify transportation-based priority populations at the census block level. The Transportation Equity Index integrates transportation and socioeconomic indicators into three screens that all reflect low-income status and tribal land status: 1) transportation-based priority populations, 2) traffic exposure, and 3) access to destinations. The live map and detailed use instructions can be accessed on the [California Department of Transportation’s website](#).
- **United States Department of Transportation’s Equitable Transportation Community (ETC) Explorer** – Developed under the [Justice40 Initiative](#), this interactive web application uses census tracts and data to explore the cumulative impacts of transportation underinvestment in the areas of transportation insecurity, environmental burden, social vulnerability, health vulnerability, and climate and disaster risk burden. Census tracts are considered “disadvantaged” in communities if the final index score is greater than the 65<sup>th</sup> percentile. The map can be accessed on the United States Department of Transportation’s [website](#).



- **Other** – If an applicant agency cannot utilize the aforementioned indicators, it may submit other documentation to demonstrate the project benefits a disadvantaged or historically impacted and marginalized community. Suggested alternatives include:
  - Census data that represents an assessment of the project study area. The agency must submit a quantitative assessment (e.g.: a survey) to demonstrate that the population contained within the project study area boundary includes:
    - A median household income that is at or below 80 percent of the state median household income.
    - A significant number of households at risk of displacement due to cost-of-living burden or project siting.
    - A significant number of households receiving food stamps or public assistance.
    - A significant population of seniors and elderly residents.
    - A significant population of individuals with disabilities or mobility impaired residents.
    - A significant population of single-parent households.
    - A significant population of immigrant or foreign-born households.
    - A significant population of veterans.
    - A significant number of car-less households.
    - A significant number of public transit users (including mobility impaired users).
  - Unemployment measurements.
  - Nearby amenities including shopping centers, health centers, schools, social services, and employment sites, or lack thereof.
  - Traffic safety indicators including collisions and injuries sustained.
  - Community derived safety information and indicators such as high-risk zones for pedestrians and cyclists, illegal dumping hot-spots, or school-safety priority zones
  - Areas of Persistent Poverty and Historically Disadvantaged Communities as defined by the United States Department of Transportation and identified using the mapping tools provided [here](#).

## B. Example Equity Benefits

Advancing equity in transportation results in a more diverse, affordable, accessible, and efficient transportation system for everyone. Equitable transportation projects can:

1. Increase access to social, educational, and economic opportunities and amenities, including shopping centers, health centers, schools, community organizations, museums, social services, transit centers, and employment sites.
2. Reduce travel times and congestion.
3. Reduce pollution.
4. Improve access to active transportation and provide alternatives to automotive options.
5. Improve safety of active transportation and non-motorized modes of travel in the community and the corridor.
6. Enhance opportunities to increase physical activity by encouraging use of active transportation.



7. Enhance opportunities to encourage use of zero-emission modes of travel.
8. Increase access to accessible facilities and infrastructure with first-and-last-mile connectivity to accommodate all types of travelers, especially mobility impaired users.

### **C. Example Inclusion and Engagement Strategies**

Meaningful inclusion and engagement require sustained interactions and consistent, transparent communications to build trust through every step of the project planning process—from first thought to last action. This is especially important in disadvantaged and historically impacted and marginalized communities.

Community inclusion and engagement may be pursued during each stage in the project development and delivery process. An applicant agency should demonstrate how its inclusion and engagement strategies align with the types of strategies included as examples below, describe how recently that engagement has occurred, and how it is actively implemented.

While there are many types of engagement strategies to utilize, multifaceted approaches may yield optimal benefits for communities and applicant agencies. For example, direct engagement strategies, such as meeting with community leaders to develop relationships, can be combined with indirect strategies, such as surveys and polls to understand community needs, in which case both the communities and the applicant agencies benefit from building trust and gaining new insights through collaboration. Potential strategies include:

1. Identify, contact, engage, and include the perspectives of disadvantaged or historically impacted and marginalized groups. Public outreach should include traditional forms of communication, including phone calls, mailers, flyers, and in-person events as disadvantaged and historically impacted and marginalized groups may lack access to computers and the Internet. Provide resources in multiple languages and formats based on community needs (e.g., non-native English speakers, or persons living with visual or auditory impairments, etc.).
2. Develop relationships with community-based leaders, groups, or organizations, such as environmental justice groups, religious or spiritual leaders, well-known individual advocates and community organizers, local pedestrian and bike advocacy groups, public school leadership, local transit riders, long-distance commuters (super commuters), linguistically or physically isolated groups, seniors and elders, and youth individuals and groups. This can also include community members who may face barriers including formerly incarcerated persons; undocumented persons; individuals with disabilities; displaced and unhoused persons; and lesbian, gay, transgender, and queer communities.
3. Collaborate with community-based groups and organizations to establish a local or regional project study area organization or committee (e.g., planning, oversight, advisory, steering, etc.) with decision-making authority to empower community leaders and solicit quality community input and feedback through the project planning process.
4. Develop a community benefits agreement with a project study area community to strengthen incentives for good-faith community engagement and deliver targeted, meaningful benefits to the community.



5. Demonstrate how community-identified and community-driven perspectives were solicited and included or integrated into the project purpose and need or scope.
6. Survey and collect information on non-motorized travel demands and the unmet mobility needs of disadvantaged and historically impacted and marginalized groups identified in the project study area. Use this information to develop transportation improvements to address these needs.
7. Develop relationships and conduct meaningful engagement with tribal governments and incorporate their feedback into the project planning and delivery process.
8. Collaborate, fund, or contract with local organizations to support community engagement efforts in the project planning and delivery process.
9. Prioritize community identified high-need areas, such as those identified through robust community engagement.
10. Prioritize contracting strategies that benefit disadvantaged or historically impacted and marginalized groups such as the communities identified in this supplement.
11. Ensure stability in neighborhoods and communities through the successful implementation of short-term and long-term anti-displacement strategies and policies consistent with federal and state law.

#### D. Example Anti-Displacement Resources

1. **California Department of Housing and Community Development Final 2020 Analysis of Impediments to Fair Housing Choice** – Report detailing impediments to fair housing and recommendations for anti-displacement strategies.
2. **Urban Displacement Project** – Comprehensive website with reports, data mapping, and resources for California local, regional, and state entities.
3. **Framework for Evaluating Anti-Displacement Policies** – Criteria that can be utilized to better understand the ways that certain policy tools can be used to address the needs of vulnerable groups impacted by displacement.
4. **Greening Without Gentrification** – Ongoing study that identifies and classifies parks-related anti-displacement strategies.
5. **Transit-Oriented Development Without Displacement: Strategies to Help Pacoima Businesses Thrive** – Research study focused on commercial anti-displacement strategies that can support a predominantly immigrant-owned small business community.



## APPENDIX G - STATE HIGHWAY SYSTEM PROJECT IMPACT ASSESSMENT

### (Form CTC-0002)

This form is only required for local projects that are not Caltrans nominated.

- Applicant must complete ALL fields in Sections I and II. Write N/A if not applicable. Applicant must also provide the Attachments requested in Section IV.
- Assessment Form and all attachments must be submitted to Caltrans District Contacts (contact link in Section III) no later than four (4) weeks prior to Application Due Date. Late or incomplete submissions of this form and attachments may delay applications.

1. Applying Agency
2. Name of Person submitting the application
3. Title
4. Phone
5. Email
6. Project Title - The title must be consistent with the application and all project documentation.
7. Indicate the State Funding Program(s) associated with the project. Check all that apply.
8. Percentage of project area within State Right of Way:  $(\text{Area within State Right of Way} \div \text{Total project area}) \times 100$   
And Estimated dollar (\$) value of project area within State Right of Way
9. Total construction cost of physical project elements within State Right of Way: Provide a separate estimate for the total construction cost (capital and support costs) of the project for only those physical elements and/or portions of elements that are on or within State Right of Way. This includes project elements within State airspace. Please refer to the completed estimates form or figures included in the project application.
10. Indicate the anticipated environmental documentation that will be required for California Environmental Quality Act and National Environmental Policy Act (ex. Negative Declaration, Environmental Impact Report/ Environmental Impact Statement, etc.) Indicate N/A if a National Environmental Policy Act document is not required.
11. Fully describe the scope of work to be performed within State Highway Right of Way. This includes all new or modifications to any physical assets within State Right of Way.
12. Follow the steps and linked resources to determine induced Vehicle Miles Traveled (VMT) on the State Highway System (SHS) and applicable calculations. Enter text inputs on 4, 5, or 6 as applicable. Note: Active Transportation Program (ATP) projects may not induce VMT per the ATP Guidelines. ATP applicants check number 1 and proceed to Section 13.
13. Review the linked flowchart and resources for appropriate level of involvement. Check the applicable items in the checklist to determine appropriate process. Check the processes that apply. Caltrans will review and retains the right to make a final determination.



# California Transportation Commission 2024 Local Partnership Formulaic Program Guidelines

STATE OF CALIFORNIA - CALIFORNIA TRANSPORTATION COMMISSION

Page 1 of 1

## STATE HIGHWAY SYSTEM PROJECT IMPACT ASSESSMENT

CTC-0002 (06/2024)

### I. APPLICANT INFORMATION

1. APPLICANT

2. APPLICANT CONTACT

3. CONTACT TITLE

4. CONTACT PHONE

5. CONTACT EMAIL

### II. PROJECT INFORMATION

6. PROJECT TITLE

7. PROJECT PROGRAM  ATP  LPP-C  LPP-F  LSRP  SCCP  SGR  TCEP  SHOPP  STIP  TIRCP  LTCAP

8. PERCENT OF PROJECT AREA WITHIN STATE HIGHWAY RIGHT OF WAY

9. TOTAL CONSTRUCTION COST WITHIN STATE HIGHWAY RIGHT OF WAY

10. ANTICIPATED ENVIRONMENTAL DOCUMENTATION FOR:

CEQA:

NEPA:

11. DESCRIBE THE SCOPE OF WORK TO BE DONE WITHIN STATE HIGHWAY RIGHT OF WAY

12. SB743 VEHICLE MILES OF TRAVEL (VMT) IMPACT ASSESSMENT

- 1. Project is screened as unlikely to induce traffic under Section 5.1.1 in [Transportation Analysis under CEQA](#). If checked, Stop. Proceed to Section 13.
- 2. Project is in a [Metropolitan Statistical Area](#). If checked, proceed to step 3. If not, proceed to step 6.
- 3. Project adds lane-miles to the SHS. If yes, proceed to step 4. If the project adds other types of traffic-inducing capacity, e.g. an interchange, proceed to step 6.
- 4. Enter the project lane-miles in the [NCST Induced Travel Calculator](#) and report the result here.
- 5. If the project team believes induced VMT will be different than what is shown in step 4, provide a best estimate based on guidance in the [Transportation Analysis Framework](#) and [Transportation Analysis Under CEQA](#), and a brief justification here. Stop. Proceed to Section 13.
- 6. Provide an estimate of the project's induced VMT based on guidance in the [Transportation Analysis Framework](#) and [Transportation Analysis Under CEQA](#), and a brief justification here. Stop. Proceed to Section 13.

13. EXPECTED LEVEL OF CALTRANS INVOLVEMENT (Note: Final determination will be at the discretion of Caltrans)

Follow the [Flowchart to Determine the QMAP \(ca.gov\)](#) and [Applicant's checklist to determine the appropriate Caltrans review process \(TR-0416\)](#) to identify the applicable Caltrans review process that best fits the project parameters. Encroachment requests with completed permit application, checklists and supporting project documents must be submitted to District encroachment permit offices for further processing.

**For determination of the processes required, check the following if the project:**

- a.) Will impact an Environmentally Sensitive Area, or requires an Environmental Impact Report (EIR) or Environmental Impact Statement (EIS),
- b.) Requires Federal Highway Administration (FHWA) approval,
- c.) Requires Right-of-Way dedication from Caltrans,
- d.) Requires modification to a Caltrans Bridge or Structure,
- e.) Requires Design Standard Decision Document (Reference: Highway Design Manual, Design Information Bulletin 78),
- f.) Requires Encroachment Exception Approval (Reference: Encroachment Permit Manual, Chapter 300),
- g.) None of the Above.

If any items "a" through "f" are checked a Standard Project Delivery Process is required, see #2 below. If item "g" is selected a Short Form is permitted, see #3 below.

- 1. Encroachment Permit Oversight Process - [Standard Encroachment Permit Application \(TR-0100\), instructions and related forms](#)
- 2. Standard Project Delivery Quality Assessment Process
- 3. Project Delivery Short Form Quality Assessment Process (using a DEER) - [Design Engineering Evaluation Report Guidelines](#)

### III. CALTRANS PROJECT

SIGNATURE: \_\_\_\_\_

DATE: \_\_\_\_\_

PRINT NAME: \_\_\_\_\_

District Director, District HQ

The above signature indicates, based on available information:  
Caltrans acknowledges the Project

**\*\*\*APPLICANTS SUBMIT TO  
DISTRICT CONTACT LIST FOUND HERE\*\*\***  
<https://dot.ca.gov/contact-us>  
Form submissions with attachments are due  
**Four Weeks PRIOR** to Application Deadline.

### IV. ATTACHMENTS

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