

DRAFT

CALIFORNIA TRANSPORTATION COMMISSION Corridor Mobility Improvement Account Program Guidelines

General Program Policy

1. Authority and purpose of CMIA guidelines. The Highway Safety, Traffic Reduction, Air Quality, and Port Security Bond Act of 2006, approved by the voters as Proposition 1B on November 8, 2006, includes a program of funding from \$4.5 billion to be deposited in the Corridor Mobility Improvement Account (CMIA). The funds in the CMIA are to be available to the California Transportation Commission, upon appropriation in the annual Budget Act by the Legislature, for allocation for performance improvements on the state highway system or major access routes to the state highway system.

The Bond Act mandates that the Commission develop and adopt guidelines for the CMIA program, including regional programming targets, by December 1, 2006. It further mandates that the Commission allocate funds from the CMIA to projects after reviewing project nominations submitted by the Department of Transportation (Caltrans) and the same regional agencies that prepare regional transportation improvement programs (RTIPs) nominating projects for the state transportation improvement program (STIP).

The purpose of these guidelines is to identify the Commission's policy and intent for the implementation of the CMIA program and thus to provide guidance to Caltrans, regional agencies, and other project proponents and implementing agencies in carrying out their responsibilities under the program. The program is subject to the provisions of the Bond Act, in particular subdivision (a) of Section 8879.23 of the Government Code. These guidelines do not supersede the explicit provisions of the Bond Act, and the Commission's guidelines cannot foresee all circumstances that may arise in the course of program implementation. The guidelines and the Commission's policy are therefore subject to revision and adaptation as issues arise in program implementation.

2. CMIA Program Intent. In selecting projects for funding under the CMIA program, the Commission intends to balance the following three general mandates provided in the Bond Act:

- a. Mobility improvement and other project benefits. The basic CMIA policy objective is to improve performance on highly congested travel corridors. Improvements may be on the state highway system or on major access routes to the state highway system on the local road system that relieve congestion by expanding capacity, enhancing operations, or otherwise improving travel times within high-congestion travel corridors. To include a project in the CMIA program, the Commission must find that it "improves mobility in a high-congestion corridor by improving travel times or reducing the number of daily vehicle hours of delay, improves the connectivity of the state highway system

between rural, suburban, and urban areas, or improves the operation or safety of a highway or road segment.”

- b. Geographic balance between regions. The Bond Act requires the Commission, in adopting a program for the CMIA, to find that the program is geographically balanced, consistent with the north/south split (40% north, 60% south) that applies to the STIP, and to find that it “provides mobility improvements in highly traveled or highly congested corridors in all regions of California.”
 - c. Early delivery. The Bond Act requires the Commission, in adopting a program for the CMIA, to find that the program targets funding “to provide the mobility benefit in the earliest possible timeframe.” It also mandates that the inclusion of a project in the CMIA program be based on a demonstration that the project can commence construction or implementation no later than December 31, 2012.
3. Urban and Interregional Corridors. In selecting projects for funding under the CMIA program, the Commission intends also to balance improvements to mobility in highly congested urban corridors and improvements to mobility and connectivity in interregional state highway corridors. The Commission expects to evaluate urban corridor and interregional corridor improvements separately. The Commission expects that CMIA program improvements outside urbanized areas will be focused primarily on the focus routes identified by Caltrans in its Interregional Transportation Strategic Plan (ITSP), as presented to the Commission in 1998. However, this statement of intent does not exclude the nomination and consideration of any project eligible for funding under the program.
 4. Evaluation of Benefits and Costs. In evaluating the extent to which projects meet program objectives, the Commission will give priority to those projects that provide the greatest benefit in relationship to project cost, as demonstrated by a project nomination and supporting documents. Measurable benefits will include annual travel time savings and annual safety benefits (reduced injury and fatality rates) in the corridor and will be evaluated using the California Life-Cycle Benefit/Cost Analysis Model (Cal-B/C) developed and in use by Caltrans. The Commission will also consider quantifiable air quality benefits and other assessments of project benefits identified in the project nomination. The Commission’s evaluation will be based on the full cost of construction and right-of-way, including engineering costs, without regard for the sources of funding that may be used to meet those costs.
 5. Project eligibility. Under the Bond Act, a CMIA project must be on the state highway system or on a major access route to the state highway system on the local road system. The Commission must also find that:
 - The project either (1) reduces travel time or delay, (2) improves connectivity of the state highway system between rural, suburban, and urban areas, or (3) improves the operation or safety of a highway or road segment.
 - The project improves access to jobs, housing, markets, and commerce.
 - The project can commence construction no later than December 31, 2012.

Under the Bond Act, the Commission may not program a project unless it is nominated by either or both Caltrans and a regional agency. Projects will be programmed according to the same project components used for the STIP—(1) environmental and permits, (2) plans, specifications, and estimates, (3) right-of-way, and (4) construction. A project that is nominated by both Caltrans and a regional agency may be programmed for any preconstruction component without a full funding commitment to construction, provided that the programmed component is fully funded. However, as specified in the Bond Act, a project that is nominated by one agency and not the other will be programmed only if it has a full funding commitment through construction, either from the CMIA alone or from a combination of CMIA and other state, local, or federal funds.

The Commission expects the CMIA program to include, though not necessarily be limited to:

- Traffic system management elements, including traffic detection equipment.
- Ramp metering and other operational improvements.
- New traffic lanes to add capacity.
- New or improved alignments for access control, including the conversion of conventional highways to expressway or expressways to freeways.

The Commission expects the inclusion of an interchange project in the CMIA program to be based on the contribution of the interchange to the improvement of traffic flow in a highly congested urban corridor or to the provision of new access control in an interregional corridor.

6. Corridor system management plan. The Commission will include urban corridor capacity improvements in the CMIA program only where there is a corridor system management plan in place to preserve corridor mobility or where there is a documented regional and local commitment to the development and effective implementation of a corridor system management plan, including the installation of traffic detection equipment, the use of ramp metering, and other traffic management elements as appropriate.
7. Other funding sources. The Commission will include in the CMIA program only the implementation of projects not already funded from other sources. The Commission will not program or allocate CMIA funding to replace funds already committed from the STIP, the SHOPP, the TCRP, RSTP, CMAQ, federal earmarks, or local funds. However, the CMIA program may include construction funding for projects where preconstruction costs have been or will be funded from other sources.

The Commission will not include projects on Route 99 in the CMIA program until and unless the \$1 billion made available for Route 99 under the Bond Act has been fully appropriated and awarded to projects. The Commission may also exclude from the CMIA program other projects that it finds to be more appropriate for funding from other programs identified in the Bond Act.

Project Nomination and Selection Process

8. Initial Program. The Commission will adopt an initial CMIA program of projects by March 1, 2007. The initial CMIA program will include only projects that are nominated by Caltrans or by a regional agency no later than January 16, 2007. Between March 1, 2007 and the adoption of the first program update (in conjunction with the 2008 STIP), the Commission may amend the initial CMIA program, but will do so only for projects that were nominated for the initial program by January 16, 2007. The consideration of programming for projects not nominated for the initial program will await the first full program update in 2008.
9. Program Updates. As long as a portion of the \$4.5 billion authorized for the program remains unprogrammed, the Commission will adopt an update to the CMIA program biennially in conjunction with the development and adoption of the biennial STIP. Each program update will be adopted no later than the date of adoption for the STIP and will include only projects that are nominated by Caltrans or by a regional agency no later than the date on which regional transportation improvement programs nominating projects for the STIP are due.
10. Project nominations. Project nominations and their supporting documentation will form the primary basis for the Commission's CMIA program project selection. Under the Bond Act, all projects nominated to the Commission for CMIA funds shall be included in a regional transportation plan. Each project nomination should include:
 - A cover letter with signature authorizing and approving the nomination.
 - A project fact sheet (see Appendix A) that describes the project scope, cost, funding plan, project delivery milestones, and major benefits.
 - A brief narrative (1-3 pages) that provides:
 - A description of the travel corridor and its function, and how the project would improve mobility, reliability, safety, and connectivity within the corridor.
 - A description of project benefits, including how the project would improve travel times or reduce the number of daily vehicle hours of delay, improve the connectivity of the state highway system between areas, or improve the safety of a highway or roadway segment. The description may also include quantifiable air quality benefits or other benefits. To the extent possible, the narrative should quantify project benefits and cite documentation in support of any estimates of project benefits.
 - A description of how the project would improve access to jobs, housing, markets, and commerce.
 - A description of the risks inherent in the nomination's estimates of project cost, schedule, and benefit.
 - A description of the corridor system management plan and the commitment of regional and local agencies to implementation of the plan.

- A project benefit/cost analysis input sheet (see Appendix B).
- Documentation of the basis for nomination, including the project study report or equivalent (including an environmental document), documentation of the corridor system management plan and associated agreements, and any other studies and analyses that document and support the costs, benefits, and schedules cited in the nomination.

An agency may nominate a project by submitting an endorsement of a nomination submitted by another agency without submitting a duplicate nomination package and documentation.

An agency that submits or endorses project nominations for more than one project should also identify its project funding priorities and the basis for those priorities.

11. Project Cost Estimates. All cost estimates cited in the project fact sheet and in the benefit/cost analysis input sheet will be escalated to the year of proposed delivery. For projects on the state highway system, only cost estimates approved by the Director of Transportation or by a person authorized by the Director to approve cost estimates for programming will be used. For other projects, only cost estimates approved by the Chief Executive Officer or other authorized officer of the responsible local implementing agency will be used.
12. Submittal of Project Nominations. For the initial program, the Commission will consider only projects for which a nomination and supporting documentation are ***received in the Commission office by January 16, 2007, in hard copy***. A nomination from a regional agency will include the signature of the Chief Executive Officer or other authorized officer of the agency. A nomination from Caltrans will include the signature of the Director of Transportation or a person authorized by the Director to submit the nomination. Where the project is to be implemented by an agency other than Caltrans or the regional agency, the nomination will also include the signature of the Chief Executive Officer or other authorized officer of the implementing agency. The Commission requests that each project nomination include five copies of the cover letter, the project fact sheet, the narrative description, and the benefit/cost analysis input sheet, together with two copies of all supporting documentation.

All nomination materials should be addressed or delivered to:

John Barna, Executive Director
California Transportation Commission
Mail Station 52, Room 2222
1120 N Street
Sacramento, CA 95814

13. Cost and Delivery Commitments and Expectations. Because estimated project costs and delivery dates are important elements of project evaluation and selection for the CMIA program, the Commission will monitor project development and will reevaluate projects as costs and delivery dates may change.

The standards for project programming and project readiness for allocation will be the same as for the STIP. Project components will be programmed for a particular dollar amount in a particular fiscal year, corresponding to the fiscal year when construction (or other component implementation) is to begin.

Whenever the estimated cost for a project increases and whenever a project is not ready for allocation as programmed or fails to meet an intermediary project delivery milestone, the Commission will review the project's status and may either amend the project's cost and schedule or delete it from the program. The Commission's review will consider whether the cost increase or the delay is due to unforeseeable circumstances beyond the control of the implementing agency and whether the project remains a priority for program funding despite the cost increase or delay. The Commission may delete a project with a cost increase or delay from the program even if the increase or delay is due to unforeseeable circumstances.

An implementing agency may identify a project cost increase or delay at any time and request an amendment of the project's programming. With each biennial program update, every project in the program will be reevaluated for cost and delivery schedule.

For the purposes of CMIA project review and evaluation, the Commission will consider all right-of-way and construction costs, including engineering, regardless of funding source. A project's benefit in relationship to its costs, and thus the project's priority for the CMIA program, may change even if all cost increases are met from other funding sources.

14. Quarterly CMIA Delivery Report. The Department, in cooperation with the regional agencies and local implementing agencies, will report to the Commission each quarter on the status of each project in the CMIA program. The report will identify progress against delivery milestones and any changes in project costs or schedules that may require amendment of the CMIA program.

Regional Programming Targets

15. Intent for Targets. The Bond Act calls for the Commission's guidelines to include "regional programming targets," though it does not specify how the targets are to be used or how they are to be determined. The Commission's intent is that target amounts be provided only as general guidance to Caltrans and regional agencies for carrying out their responsibilities in making project nominations. **The targets do not constitute an allocation, a guarantee, a minimum, or a limit on programming in any particular county or region of the state.**

For this purpose and in consultation with regional agencies, the Commission has defined the following broad regions of the state for use in establishing regional programming targets:

- San Diego County;
- Southern California, to include the six counties of the Southern California Association of Governments (SCAG);
- Eastern Sierra, to include Inyo and Mono counties;
- Central Coast, to include the five counties of Caltrans District 5;
- San Joaquin Valley, include the thirteen counties of Caltrans Districts 6 and 10;
- San Francisco Bay Area, to include the nine counties of the Metropolitan Transportation Commission (MTC);
- Sacramento Valley, to include the ten counties of Caltrans District 3, excluding Glenn County; and
- North State, to include the remaining twelve counties, including Glenn County and Caltrans Districts 1 and 2.

Each regional agency is permitted to make its own project nominations and to identify its own priorities for the Commission. However, the Commission welcomes and encourages the development of joint priorities and proposals from the nominating agencies located within each of these broader regions. The Commission encourages the two regions that include counties in both the north and south (San Joaquin Valley and Central Coast) to develop their priorities and proposals without regard to the north/south split.

16. Regional Programming Targets. The Commission will provide regional programming targets for the CMIA program, intended as general guidance only. ***The targets will be neither minimums nor maximums. They will not constrain what any agency may propose or what the Commission may approve for programming and allocation within any particular area of the state. The only geographic constraints on the Commission's programming are that, over the life of the CMIA program, the program must be consistent with the north/south split and it must provide mobility improvements in each of the target regions.***

The factors to be used to determine targets are population for urbanized areas over 200,000 and deficient mileage identified by Caltrans for state highway focus routes (excluding Route 99 and international border crossings). ***The use of these factors, however, does not prescribe or limit where projects may be proposed by any agency or where they may be selected by the Commission.***

Allocations and Amendments

17. Allocations from the CMIA. The Commission will consider the allocation of funds from the CMIA for a project or project component when it receives an allocation request and recommendation from Caltrans, in the same manner as for the STIP. The recommendation will include a determination of the availability of appropriated CMIA

funds. The Commission will approve the allocation if the funds are available, the allocation is necessary to implement the project as included in the adopted CMIA program, and the project has the required environmental clearance.

18. CMIA Program Amendments. Caltrans and regional agencies may request CMIA program amendments and the Commission will approve amendments in the same manner as for STIP amendments, except that:

- CMIA program amendments will not add new projects that were not included in the proposals for the initial program or the current biennial update.
- CMIA program amendments may amend projects at any time, including projects programmed for the current fiscal year.
- CMIA program amendments need only appear on the agenda published 10 days in advance of the Commission meeting. They do not require the 30-day notice that applies to STIP amendments.
- The Commission may initiate a CMIA program amendment to delete a project, or to revise its scope, cost, or schedule, after a review of the progress of project delivery.

Where the Commission finds that a project nomination is insufficiently developed or documented to support inclusion in the program, it may invite the nominating agency to resubmit the nomination for later amendment into the program.

CORRIDOR MANAGEMENT IMPROVEMENT ACCOUNT

Project Nomination Fact Sheet

Nominating Agency:		Fact Sheet Date:	
Contact Person			
Phone Number		Fax Number	
Email Address			

Project Information:							
County	Caltrans District	PPNO *	EA *	Region/MPO/ TIP ID*	Route / Corridor *	Post Mile Back *	Post Mile Ahead *

* NOTE: PPNO & EA assigned by Caltrans. Region/MPO/TIP ID assigned by RTPA/MPO. Route/Corridor & Post Mile Back/Ahead used for State Highway System.

Legislative Districts	Senate:	Congressional:	
	Assembly:		
Implementing Agency (by component)	PA&ED:	PS&E:	
	R/W:	CON:	
Project Title			

Location - Project Limits - Description and Scope of Work (Provide a project location map on a separate sheet and attach to this form)

Description of Major Project Benefits

Expected Source(s) of Additional Funding Necessary to Complete Project - as Identified Under 'Additional Need'

Project Delivery Milestones (month/year):	
Project Study Report (PSR) complete	
Notice of Preparation	Document Type:
Begin Circulation of Draft Environmental Document	
Final Approval of Environmental Document	
Completion of plans, specifications, and estimates	
Right-of-way certification	
Ready for advertisement	
Construction contract award	
Construction contract acceptance	

NOTE: The CTC Corridor Mobility Improvement Account (CMIA) Program Guidelines should have been read and understood prior to preparation of the CMIA Fact Sheet. A copy of the CTC CMIA Guidelines and a template of the Project Fact Sheet are available at: <http://www.dot.ca.gov/hq/transprog/> and at: <http://www.catc.ca.gov/>

CORRIDOR MANAGEMENT IMPROVEMENT ACCOUNT
Project Nomination Fact Sheet - Project Cost and Funding Plan
 (dollars in thousands and escalated)

Shaded fields are automatically calculated. Please do not fill these fields.

				Date:	0-Jan-00
County	CT District	PPNO *	EA*	Region/MPO/TIP ID *	
0	0	0	0	0	
Project Title:		0			

* NOTE: PPNO and EA assigned by Caltrans. Region/MPO/TIP ID assigned by RTP/MPO

Proposed Total Project Cost								Project Total
Component	Prior	07/08	08/09	09/10	10/11	11/12	12/13	
E&P (PA&ED)	0	0	0	0	0	0	0	0
PS&E	0	0	0	0	0	0	0	0
R/W SUP (CT) *	0	0	0	0	0	0	0	0
CON SUP (CT) *	0	0	0	0	0	0	0	0
R/W	0	0	0	0	0	0	0	0
CON	0	0	0	0	0	0	0	0
TOTAL	0							

Corridor Management Improvement Account (CMIA) Program

Component	Prior	07/08	08/09	09/10	10/11	11/12	12/13	Total
E&P (PA&ED)								0
PS&E								0
R/W SUP (CT) *								0
CON SUP (CT) *								0
R/W								0
CON								0
TOTAL	0							

* NOTE: R/W SUP and CON SUP to be used only for projects implemented by Caltrans

Funding Source:

Component	Prior	07/08	08/09	09/10	10/11	11/12	12/13	Total
E&P (PA&ED)								0
PS&E								0
R/W SUP (CT) *								0
CON SUP (CT) *								0
R/W								0
CON								0
TOTAL	0							

Funding Source:

Component	Prior	07/08	08/09	09/10	10/11	11/12	12/13	Total
E&P (PA&ED)								0
PS&E								0
R/W SUP (CT) *								0
CON SUP (CT) *								0
R/W								0
CON								0
TOTAL	0							

Funding Source:

Component	Prior	07/08	08/09	09/10	10/11	11/12	12/13	Total
E&P (PA&ED)								0
PS&E								0
R/W SUP (CT) *								0
CON SUP (CT) *								0
R/W								0
CON								0
TOTAL	0							

Shaded fields are automatically calculated. Please do not fill these fields.

CORRIDOR MANAGEMENT IMPROVEMENT ACCOUNT
Project Nomination Fact Sheet - Project Cost and Funding Plan
 (dollars in thousands and escalated)

Shaded fields are automatically calculated. Please do not fill these fields.

Date: 0-Jan-00

County	CT District	PPNO *	EA*	Region/MPO/TIP ID *
0	0	0	0	0
Project Title:		0		

* NOTE: PPNO and EA assigned by Caltrans. Region/MPO/TIP ID assigned by RTP/MPO

Funding Source:								
Component	Prior	07/08	08/09	09/10	10/11	11/12	12/13	Total
E&P (PA&ED)								0
PS&E								0
R/W SUP (CT) *								0
CON SUP (CT) *								0
R/W								0
CON								0
TOTAL	0							

Funding Source:								
Component	Prior	07/08	08/09	09/10	10/11	11/12	12/13	Total
E&P (PA&ED)								0
PS&E								0
R/W SUP (CT) *								0
CON SUP (CT) *								0
R/W								0
CON								0
TOTAL	0							

Funding Source:								
Component	Prior	07/08	08/09	09/10	10/11	11/12	12/13	Total
E&P (PA&ED)								0
PS&E								0
R/W SUP (CT) *								0
CON SUP (CT) *								0
R/W								0
CON								0
TOTAL	0							

Funding Source:								
Component	Prior	07/08	08/09	09/10	10/11	11/12	12/13	Total
E&P (PA&ED)								0
PS&E								0
R/W SUP (CT) *								0
CON SUP (CT) *								0
R/W								0
CON								0
TOTAL	0							

Additional Funding Needs (funding needs not yet committed)								
Component	Prior	07/08	08/09	09/10	10/11	11/12	12/13+	Total
E&P (PA&ED)								0
PS&E								0
R/W SUP (CT) *								0
CON SUP (CT) *								0
R/W								0
CON								0
TOTAL	0							

Shaded fields are automatically calculated. Please do not fill these fields.

**CORRIDOR MOBILITY IMPROVEMENT ACCOUNT PROGRAM
BENEFIT/COST ANALYSIS: PROJECT INPUT SHEET**

Region/District: County:

Route:

EA:

Describe Project:

Post mile:

PPNO:

PROJECT DATA

Type of Project		Enter "X"
Hwy Capacity Expansion	<input type="text"/>	<input type="text"/>
Operational Improvement	<input type="text"/>	<input type="text"/>
Transp MGMT System (TMS)	<input type="text"/>	<input type="text"/>
Other (describe: _____)	<input type="text"/>	<input type="text"/>
Project Location		
(1 = So. Cal., 2 = No. Cal., or 3 = rural)		<input type="text"/>
Length of Construction Period		
<input type="text"/>	<input type="text"/>	years
Duration of Peak Period (AM+PM)		
<input type="text"/>	<input type="text"/>	hours

HIGHWAY ACCIDENT DATA

Actual 3-Year Accident Data for Facility		
		Count (No.)
Fatal Accidents	<input type="text"/>	<input type="text"/>
Injury Accidents	<input type="text"/>	<input type="text"/>
Property Damage Only (PDO) Accidents	<input type="text"/>	<input type="text"/>
Statewide Average for Highway Classification		
	w/o Project	w/ Project
Accident Rate (per mil. veh-miles)	<input type="text"/>	<input type="text"/>
% Fatal Accidents	<input type="text"/>	<input type="text"/>
% Injury Accidents	<input type="text"/>	<input type="text"/>

HIGHWAY DESIGN AND TRAFFIC DATA

Highway Design			
	w/o Project	w/ Project	HOV Restriction
Number of General Traffic Lanes	<input type="text"/>	<input type="text"/>	<input type="text"/>
Number of HOV Lanes	<input type="text"/>	<input type="text"/>	<input type="text"/>
Highway Free-Flow Speed (in mph)	<input type="text"/>	<input type="text"/>	(2 or 3)
Project Length (in miles)	<input type="text"/>	<input type="text"/>	<input type="text"/>

Average Daily Traffic		
	w/o Project	w/ Project
Current	<input type="text"/>	<input type="text"/>
Forecast (20 years after construction)	<input type="text"/>	<input type="text"/>
Average Hourly HOV Traffic (if HOV lanes)	<input type="text"/>	<input type="text"/>
Percent Trucks (include RVs, if applicable)	<input type="text"/>	<input type="text"/>
Truck Speed (if passing lane project)	<input type="text"/>	<input type="text"/>

TOTAL PROJECT COSTS (in escalated dollars)

From Project Nomination Fact Sheet:

Fiscal Year:

2007-08	\$	<input type="text"/>
2008-09	\$	<input type="text"/>
2009-10	\$	<input type="text"/>
2010-11	\$	<input type="text"/>
2011-12	\$	<input type="text"/>
2012-13	\$	<input type="text"/>

COMMENTS: _____

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