

CHAPTER 2
CALIFORNIA DEPARTMENT OF TRANSPORTATION PLANNING PROCESS
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CHAPTER 2

CALIFORNIA DEPARTMENT OF TRANSPORTATION PLANNING PROCESS

1. GENERAL.

a. The California Department of Transportation (Caltrans) authority to perform multimodal transportation planning is contained in the California Government Code (GC), Sections 14001 through 14030. Section 14030(d) GC states in part: “Planning, designing, constructing, operating, and maintaining those transportation systems that the Legislature has made, or may make, the responsibility of the department...” Additional authorization for transportation planning activities is contained in the California Streets and Highways Code (highways, pedestrian ways, nonmotorized facilities, and transit guideways) and the Public Utilities Code (rail, intermodal facilities, and airports).

b. The Caltrans Headquarters office is located in Sacramento. There are 12 District offices that are responsible for transportation planning and project development within their respective districts. The Caltrans District locations are listed on the Caltrans website at <http://dot.ca.gov/contact-us>.

2. THE CALIFORNIA TRANSPORTATION PLAN.

a. The California Transportation Plan (CTP)¹ provides direction for the planning, developing, operating, and maintaining of California’s transportation system. The CTP serves as the state’s long-range transportation plan and sets goals, policies, and strategies. In response to Senate Bill 391, the California Interregional

Blueprint (CIB) was developed as the state’s vision for an integrated multimodal transportation system. The CIB is the foundation for the latest transportation plan, the CTP 2050.

b. The CTP includes transportation strategies and actions that are needed to implement the plan.

3. DEVELOPMENT OF THE INTERREGIONAL TRANSPORTATION IMPROVEMENT PROGRAM.

a. The Caltrans transportation planning process for improvements to interregional state facilities begins with the District System Management Plan (DSMP). The DSMP is a long-range view of how a Caltrans District intends to manage and improve the transportation network. It integrates land use, transportation modal

¹ <https://dot.ca.gov/programs/transportation-planning>

opportunities, state and local policies, transportation emphasis and priority areas, and the highway system. The DSMP can be a useful tool for communication between Caltrans and the Regional Transportation Planning Agencies (RTPA), as well as other public agencies and/or decision makers.

b. Each Caltrans District prepares the DSMP for each highway within its jurisdiction. The DSMP is a technical and precise planning document that examines a facility over a 10-year period and identifies improvements, sets priorities, and determines how much funding will be available for the improvements. A completed DSMP is not a requirement to be included in the Statewide Transportation Improvement Program (STIP).

c. Once a strategy has been established, the highway project begins with the Transportation Concept Report (TCR). The TCR examines a facility over a 20-year period. The report examines current and projected traffic conditions, defines acceptable operating conditions for the future, and identifies needed improvements. A TCR does not have to be completed before a project can be included in the STIP; however, it is the usual step in the planning process. Each Caltrans District prepares a TCR for each highway within their jurisdiction.

d. Completion of a Project Study Report (PSR) is the next step in the STIP. Unlike the DSMP and TCR, a PSR is required before a project can be included in the STIP. The PSR examines a single improvement, provides a detailed explanation of the design characteristics, and identifies the costs of a project.

e. Once a PSR is complete, the project competes with other projects for a position on the Caltrans District project list that prioritizes the District's highway projects. The District project list is sent to Caltrans Headquarters for possible inclusion in the Interregional Transportation Improvement Program (ITIP). The ITIP is the final step for a project before it becomes part of the STIP.

f. The ITIP (25 percent of STIP funds) includes projects that are needed to facilitate interregional movement of people and goods. These projects are selected by the CTC from projects nominated by Caltrans and RTPAs. Caltrans nominates projects through the ITIP. The ITIP projects include the following:

- (1) Intercity Rail Passenger System. The intercity rail projects must be on corridors specified in statute. Only Caltrans nominates these projects. At least 9 percent of the ITIP has to be programmed for intercity rail passenger projects.

(1) The Interregional Road System. The Interregional Road System (IRRS) projects must be outside urbanized areas and selected from the IRRS routes designated in statute. Both Caltrans and the regions nominate these projects. At least 60 percent of the ITIP funds should be programmed for either IRRS or intercity rail projects.

4. STATE TRANSPORTATION IMPROVEMENT PROGRAM. In accordance with SB 300 and Assembly Bill 471 (Chapters 105 and 106 of the California Statutes of 1989) and Sections 14526 and 14527 GC, the ITIP and the Regional Transportation Improvement Program are prepared and submitted to the CTC. Once submitted, they are merged and become the STIP.

5. NON-STATE TRANSPORTATION IMPROVEMENT PROGRAM PROGRAMMING DOCUMENTS.

a. State Highway Operation and Protection Program.

(1) The State Highway Operation and Protection Program (SHOPP) is a four-year highway system operation and protection program which includes projects on the highway system that are not included in the STIP. Section 14526.5 GC requires Caltrans to develop and submit the SHOPP to the CTC not later than January 31 of each even-numbered year. The CTC is required to approve and submit the program to the Legislature and Governor not later than April 1 of each even-numbered year.

(2) Examples of SHOPP projects include motorist safety improvements, CHP Commercial Vehicle Enforcement Facilities, highway rehabilitation, storm damage, highway planting, and safety roadside rest areas.

b. Aeronautics Program. The Caltrans Division of Aeronautics² prepares and manages the State Aeronautics Program. The program supports aviation in California by promoting the following:

(1) Optimum use of existing airports.

(2) Assuring adequate air service for small- and medium-sized communities.

(3) Fostering a statewide system of safe and environmentally compatible airports that are integrated with surface transportation systems.

² <https://dot.ca.gov/programs/aeronautics>

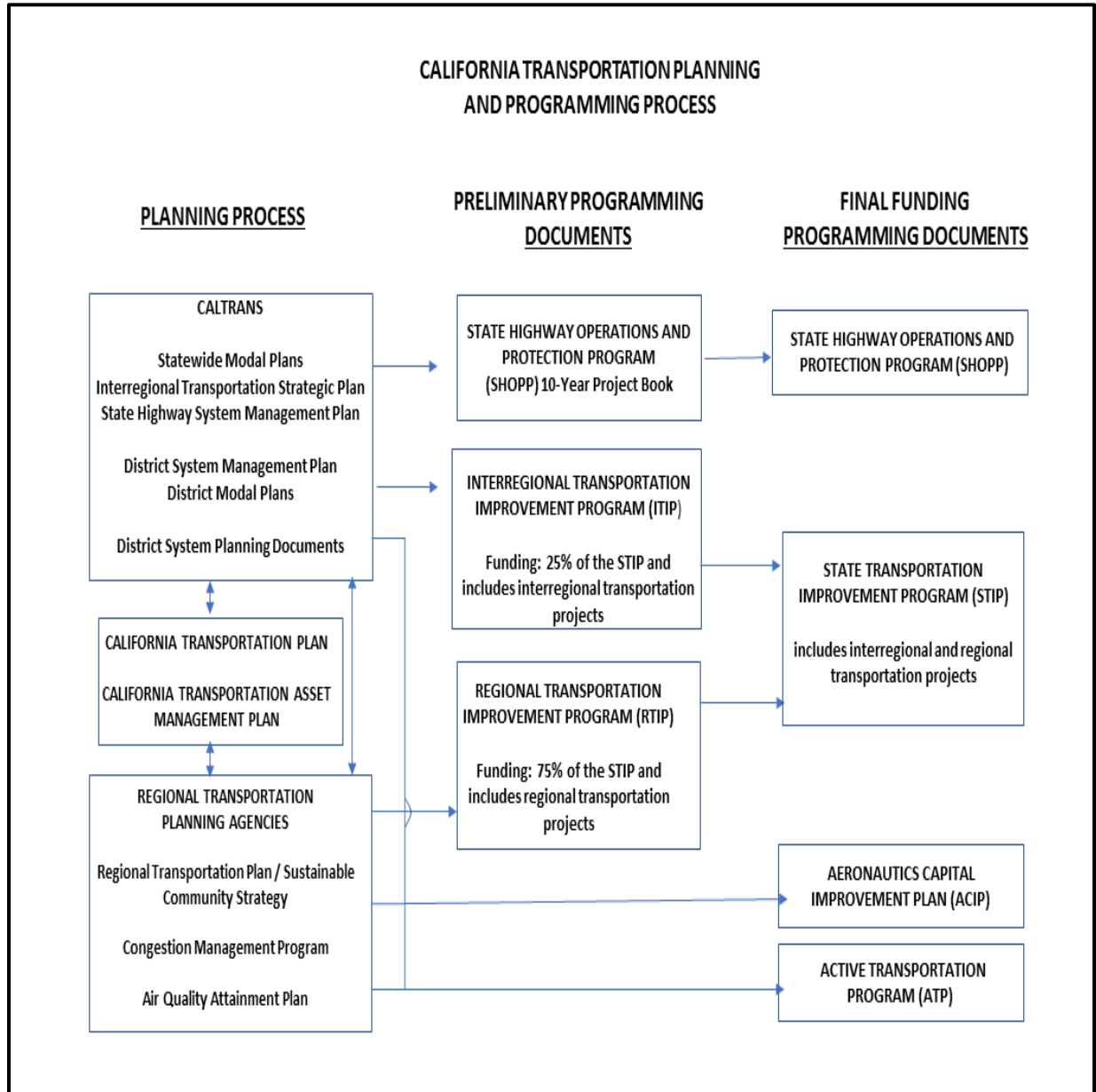
6. FUNDING.

a. Caltrans receives transportation funding from a variety of federal and state sources. Each source has unique constraints on its use and requirements for review and approval. However, any expenditure by Caltrans, regardless of the funding source, must be contained in the annual Governor's Budget. Most capital outlay expenditures must also be approved by the CTC in the STIP.

b. The majority of state transportation funding comes from the following sources: gasoline tax, diesel fuel tax, aviation fuel tax, truck weight fees, public transit fares, and toll revenues. This funding is deposited into multiple accounts to be utilized for various transportation purposes.

ANNEX A

CALIFORNIA TRANSPORTATION PLANNING AND PROGRAMMING PROCESS



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