

From: John Brewster <john_brewster@dot.ca.gov>
To:
CC: <Michael_Lim@dot.ca.gov>, <Moe_Shakernia@dot.ca.gov>, <Chien_Wu@dot.ca.g...
Date: 02/04/09 3:49 PM
Subject: Economic Stimulus Instructions for Local Agencies
Attachments: Stimulus_Memo.pdf; CE-form 09 15 08.doc; p07forms.doc; p06forms.doc

Bay Area Public Works Directors,
Local Agency Staff,
CMAs,

Attached is an important memo providing information about the Economic Stimulus and how it will be processed through the Office of Local Assistance. Although this is a lengthy document, please read it in its entirety and also pass this along to any staff responsible for delivery of economic stimulus projects.

(See attached file: Stimulus_Memo.pdf)

Forms referenced in the stimulus memo:

(See attached file: CE-form 09 15 08.doc)(See attached file: p07forms.doc) (See attached file: p06forms.doc)

John C. Brewster, P.E.
Caltrans District 4 - Local Assistance
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Memorandum

*Flex your power!
Be energy efficient!*

To: PUBLIC WORKS DIRECTORS

Date: February 4, 2009

From: Sylvia Fung
Office of Local Assistance


For Sylvia Fung

Subject: Economic Stimulus / Local Assistance

Dear Bay Area Public Works Directors,

In normal economic times the Office of Local Assistance has limited resources to process projects. Resources are stretched even thinner in times of economic downturn such as we are presently experiencing. On top of this, the District 4 Office has been forced to absorb unusual legal and staff expenses during the first two quarters of the fiscal year. We are also now mandated by the Governor to implement a 10 percent furlough for the next 17 months. Also, the President's Economic Stimulus projects are unresourced.

As a consequence of these constraints, we are requesting your assistance in making your submittals as complete and accurate as possible and that you exercise discretion in the amount and type of inquiries you ask of us. This will help us stretch our staff resources expeditiously. In order to address the Economic Stimulus projects with the priority that they deserve, we are establishing an email group to keep you informed on how the Office of Local Assistance will be processing these projects and what you can do to help us deliver in a timely manner.

Currently, our understanding is that the stimulus funds are only for construction and MTC is currently proposing to obligate the funds within roughly two months after the law is enacted. Projects are going to have to conform to the MTC final list and any changes to the list will not be at Caltrans's discretion. It is unlikely that we will be able to swap federal funds or put money on projects that have already been advertised. As a result, to give your project the best chance of success, we are requesting that you do not submit projects that require Right of Way including encroachment permits, or environmental permits. This is consistent with MTC's recommendations. Projects that require anything more than technical memoranda are unlikely to clear NEPA within the reduced timeframe and will not get priority. Projects should be scoped so they can be processed with a No Right of Way Certification. Our success in project delivery depends on the quality of your submittals and project selection /scoping. Due to the projected workload, we anticipate having to give some projects lower priority. We will assume that all stimulus projects are the agency's top priority, unless notified otherwise.

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Stimulus projects will not be exempt from **ADA requirements**. Disadvantage Business Enterprise (DBE) regulations will also be applicable. Race Neutral **DBE requirements** remain in place, Local Agencies are being sent instruction, via a separate email, on how to handle DBE requirements as they pertain to Economic Stimulus (ES) projects.

Contacts

We are requesting a single point of contact (Staff only, not consultants) for each agency to establish the agencies priorities and distribute and gather project information. **Please choose “ONE person in each local agency (staff only, not consultants) who Caltrans can contact for any / all projects, not limited to Economic Stimulus projects. This person, if not the project manager, can relay the questions from Caltrans to the project manager, and then get back to Caltrans with the answers.”** The individual CMAs have been requested to compile this information, however, as of the date of this memo only Contra Costa County has completed this task. The county lists should contain the Name, Title, Agency, Phone Number, and Email of the various agencies. Please send to Marc Wong at marc_wong@dot.ca.gov with a copy to the corresponding Senior Staff member for your respective county as tabulated later in this email.

While staff changes may occur and as workloads are redistributed, we will notify the agencies via email of changes. We anticipate the senior staff will remain constant with their respective counties. Therefore, **the stimulus “PES/Field Review form” submittal as described in this email should be sent to the appropriate corresponding senior for your county as follows:**

NAME	Counties	Phone #	Email
John Brewster	Alameda Contra Costa	(510) 286-6485	john_brewster@dot.ca.gov
Michael Lim	San Francisco San Mateo Santa Clara	(510) 286-5232	michael_lim@dot.ca.gov
Moe Shakernia	Marin Napa Solano Sonoma	(510) 286-5236	moe_shakernia@dot.ca.gov
Mailing Address	Caltrans District 4, Office of Local Assistance Mail Station 10B 111 Grand Avenue P.O. Box 23660 Oakland, CA 94623-0660 Attention:		

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Concerning environmental submittals (not including the PES/Field Review form), we request that all environmental studies or technical memoranda be submitted to Boris Deunert so they can be logged in and routed accordingly. All submitted federal documents must display the federal project number clearly printed or typed to facilitate project identification and tracking. Caltrans will provide the federal project numbers during the individual Field Reviews that can then be written on the previously submitted PES and Field Review forms.

Due to a significant burden on our environmental staff, we request that the agencies exercise restraint in asking for status updates and delivery confirmation in order to help our planners be successful in handling the increased workload. We recently implemented a database that is accessible to the engineers, which provides environmental project specific details up through NEPA approval.

Getting your project started:

The first step of this process will be clarification of your scope of work and clearing the environmental requirements. We anticipate the majority of stimulus funds will be processed as new projects and have attached the forms, and detailed what is expected with your first submittal to Caltrans in this email. **Please provide one signed original and one copy of the following:**

- 1) **Field Review Form**, Exhibit 7-B, Instructions can be found on Exhibit 7-A, Since most field reviews will be conducted in the office, please indicate on top of the field review form if Google.com street view is available for your project.
- 2) **Roadway Data**, Exhibit 7-C
- 3) **Field Review Attendance Roster**, Exhibit 7-F
- 4) **PES Form**, Follow step-by-step instruction outlined in Exhibit 6-B on pages 6-81 to 6-104. The step-by-step procedures will guide you to determine if and what kind of studies are required for your project. It is imperative on the PES form that adequate details are provided for all 36 lines on pages 6-79 and 6-80, providing justification for your environmental responses. "To be determined" is not an adequate response.
- 5) **Endangered species list by quadrant**, meaning close to the proposed project site. Any PES submittal must include a print-out of the list specific to the project site. State or county species list is not acceptable. Endangered Species List by quadrant, meaning close to the proposed project site (instead of State or County list), this list can be obtained from the following website.
http://www.fws.gov/sacramento/es/spp_lists/QuadNameLookup_Search.cfm
- 6) **CE Form**, "Modified" Exhibit 6-F, Please use attachment labeled "CE-form 09 15 08.doc"
- 7) **Funding Data** - MTC TIP listing if available.
- 8) **Photos** - Show your project and key elements / areas of concern.
- 9) **Flood Plain Map** (FEMA Map), with location of your project in relation to the 100-year flood zone.
- 10) **Vicinity Map**
- 11) **Site Plan**
- 12) **Detail Project Description** identifying each component of the project.

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While not expected on these quick turn around projects, if the following affects your project, you will have to complete the associated form: Major Structure Data (Exhibit 7-D), Railroad Grade Crossing Data (Exhibit 7-E), Airport Data (Exhibit 7-F), and System Engineering Review form (Exhibit 7-I) if your project has an ITS component.

For those who have already submitted stimulus projects to Caltrans, please ensure that the package submitted meets the requirements above or it will be rejected in it's entirety.

Field Reviews and Scheduling

The environmental work is divided between Boris Deunert, (510) 286-6971, who will be handling Contra Costa, Marin, San Francisco, San Mateo, Solano, and Sonoma Counties, while JoAnn Cullom (510) 286-5222 will be handling Alameda, Napa, and Santa Clara Counties.

Field reviews will be scheduled and conducted at our office in Oakland (111 Grand Avenue) after the project list is finalized by MTC and presented to the office of Local Assistance. In lieu of field visits, each agency will be required to present their project in plan and pictorial form during our office "Field Review". Please provide enough visual data to give our engineering and environmental staff a clear picture of the project and potential issues, however, limit each presentation so that the entire field review is limited to one-hour duration. Some projects will be followed up with a site visit if deemed necessary by the Office of Local Assistance staff. Priorities and how field reviews will be scheduled is currently being determined.

If you have any questions, please contact the Local Assistance senior for your respective county.

CATEGORICAL EXEMPTION/ CATEGORICAL EXCLUSION DETERMINATION FORM

Dist.-Co.-Rte. (or Local Agency)

P.M/P.M.

E.A. (State project)

Federal-Aid Project No. (Local project)/ Proj. No.

PROJECT DESCRIPTION: Marina Vista Avenue

Enter project description in this box. Use Continuation Sheet, if necessary

CEQA COMPLIANCE *(for State Projects only)*

Based on an examination of this proposal, supporting information, and the following statements (See 14 CCR 15300 et seq.):

- If this project falls within exempt class 3, 4, 5, 6 or 11, it does not impact an environmental resource of hazardous or critical concern where designated, precisely mapped and officially adopted pursuant to law.
- There will not be a significant cumulative effect by this project and successive projects of the same type in the same place, over time.
- There is not a reasonable possibility that the project will have a significant effect on the environment due to unusual circumstances.
- This project does not damage a scenic resource within an officially designated state scenic highway.
- This project is not located on a site included on any list compiled pursuant to Govt. Code § 65962.5 ("Cortese List").
- This project does not cause a substantial adverse change in the significance of a historical resource.

CALTRANS CEQA DETERMINATION

Exempt by Statute. (PRC 21080[b]; 14 CCR 15260 et seq.)

Based on an examination of this proposal, supporting information, and the above statements, the project is:

Categorically Exempt. Class _____. (PRC 21084; 14 CCR 15300 et seq.)

Categorically Exempt. General Rule exemption. [This project does not fall within an exempt class, but it can be seen with certainty that there is no possibility that the activity may have a significant effect on the environment (CCR 15061[b][3])]

Print Name: Environmental Branch Chief

Print Name: Project Manager/DLA Engineer

Signature

Date

Signature

Date

NEPA COMPLIANCE

In accordance with 23 CFR 771.117, and based on an examination of this proposal and supporting information, the State has determined that this project:

- does not individually or cumulatively have a significant impact on the environment as defined by NEPA and is excluded from the requirements to prepare an Environmental Assessment (EA) or Environmental Impact Statement (EIS), and
- has considered unusual circumstances pursuant to 23 CFR 771.117(b)
<http://www.fhwa.dot.gov/hep/23cfr771.htm> - [sec.771.117](#)).

In non-attainment or maintenance areas for Federal air quality standards, the project is either exempt from all conformity requirements, or conformity analysis has been completed pursuant to [42 USC 7506\(c\)](#) and [40 CFR 93](#).

CALTRANS NEPA DETERMINATION

Section 6004: The State has been assigned, and hereby certifies that it has carried out, the responsibility to make this determination pursuant to Chapter 3 of Title 23, United States Code, Section 326 and a Memorandum of Understanding (MOU) dated June 7, 2007, executed between the FHWA and the State. The State has determined that the project is a Categorical Exclusion under:

- 23 CFR 771.117(c): activity (c)(7)
- 23 CFR 771.117(d): activity (d)()
- Activity listed in the MOU between FHWA and the State

Section 6005: Based on an examination of this proposal and supporting information, the State has determined that the project is a CE under Section 6005 of 23 U.S.C. 327.

Print Name: Environmental Branch Chief

Print Name: DLA Engineer

Signature

Date

Signature

Date

Briefly list environmental commitments on continuation sheet. Reference additional information, as appropriate (e.g., air quality studies, documentation of conformity exemption, FHWA conformity determination if Section 6005 project; §106 commitments; §4(f); §7 results; Wetlands Finding; Floodplain Finding; additional studies; and design conditions). **Revised September 15, 2008**

CATEGORICAL EXEMPTION/CATEGORICAL EXCLUSION DETERMINATION FORM
Continuation Sheet

INSTRUCTIONS FOR FIELD REVIEW FORM

The Applicant shall complete the Field Review Form in accordance with Chapter 7, “Field Review” of this manual. The District Local Assistance Engineer (DLAE) should be consulted for clarification. If Caltrans or other interested parties are to be involved in meetings, to assist in completion, the applicant should fill out the form as completely as possible prior to any meeting(s). The form must be completely filled out prior to submission of the PES Form.

Item 1. PROJECT LIMITS

Briefly describe the physical limits or nature of project. Attach a list, as needed, for multiple or various locations. Indicate length of project to nearest one-tenth of mile. Use 0.1, if a spot location. Include additional sheets, if needed, to clearly define the project location or scope of work.

Item 2. WORK DESCRIPTION

Briefly describe major components of the proposed work, e.g., signals, bridge replacement, ridesharing, pedestrian features, etc.

Item 3. PROGRAMMING DATA

All federal-aid funded projects (except Emergency Relief unless additional capacity is being added) are required to be included in a Regional Transportation Plan and the most current FHWA/FTA approved FSTIP. If project is within an MPO area, indicate the MPO or RTPA’s FTIP¹ that includes the project and the fiscal years of the FTIP. Also list the page of the FTIP or Amendment Project Planning Number (PPNO), if available and the FHWA/FTA approval date. For non-MPO areas include the same information from FSTIP.

Indicate the federal funds and phases listed in the FTIP/FSTIP. For CMAQ projects name the Air Basin.

Item 4. FUNCTIONAL CLASSIFICATION

For a roadway project, check appropriate functional classification category. See the discussions of specific fund programs in the Local Assistance Program Guidelines (LAPG) for system eligibility. Indicate N/A for projects not related to a specific road or street system.

Item 5. STEWARDSHIP CATEGORY

For roadway projects, indicate if project is on the National Highway System (NHS), and whether project is State-Authorized or a FHWA Full Oversight project on the Interstate per stewardship agreement. With some exceptions, projects on the State Highway System are subject to Caltrans Oversight, and on the Interstate are subject to FHWA Full Oversight; otherwise, the project is subject to DLAE oversight. Refer to Figure 2-1, “Required FHWA Oversight Federal-Funded Projects” in Chapter 2 of this manual.

Item 6. CALTRANS ENCROACHMENT PERMIT REQUIRED

An encroachment permit is required for projects encroaching within the state highway right of way. The applicant should contact the District Permit Officer early in the process.

¹ The FTIP must be incorporated into an FHWA approved FSTIP.

Item 7. COST BREAKDOWN ESTIMATE

List estimated breakdown of all project phases and indicate phases for which federal participation will be requested. Include all known costs, but include each cost in only one group. Check whether “Value Engineering Analysis” is required for this project. (For structures-related projects financed with Highway Bridge Program [HBP] funds, the current HBP operating procedures limit preliminary engineering costs including environmental costs to twenty-five (25%) percent of the total construction cost. Any exceptions must be approved in writing by the HBP program manager.)

Item 8. PROPOSED FUNDING

Fill in total cost of federal-funded project, type, and amount of federal-aid funds, i.e. STP, CMAQ, etc., and the matching-fund breakdown.

If state funds are involved, indicate source such as STIP.

Item 9. PROJECT ADMINISTRATION

Indicate name of agency that will be responsible for administering each project phase. Also indicate the use of a consultant for any phase. Indicate if Caltrans’ review of PS&E will be requested. If Yes, begin discussions with DLAE on availability of staff. All PS&E documents to be reviewed must be in Caltrans format.

Item 10. SCHEDULES

The local agency should indicate their proposed advertisement date. This will give the involved parties a date for scheduling. However, the discussion of requirements and time frames may require adjustment of the advertisement date. Critical dates in the schedule should be noted in the remarks.

Item 11. PROJECT MANAGER’S CONCURRENCE

The local agency project manager shall sign and date the field review form to signify agreement on the parameters proposed for development of the project. The DLAE and FHWA representative shall sign the document when attending field reviews. This document is then a guidance reference for further development of the project to assure that it adheres to the programmed concept, or that any changes is approved by the manager (and/or DLAE and FHWA, if appropriate).

Item 12. LIST OF ATTACHMENTS

The first two items are appropriate for all reviews. Others to be added depend on the type of project. For required field reviews, all applicable attachments must be submitted. For optional field reviews, see the “[]” notations for attachments required for specific types of projects. All existing federal, state, or local Americans with Disabilities Act (ADA) deficiencies, if not identified on other Attachments, should be listed here

Note: The Federal Damage Assessment Form (DAF) shall be used as the field review document for Emergency Relief projects.

FIELD REVIEW FORM

Local Agency _____ Field Review Date _____
 Project Number _____ Locator _____
 _____ (Dst/Co/Rte/PM/Agency)
 Project Name _____ Bridge No.(s) _____

1. PROJECT LIMITS (see attached list for various locations) _____
 _____ Net Length _____ (mile)

2. WORK DESCRIPTION _____

 ITS project or element: Yes ___ No ___ If yes, is it a Major ITS ___ or a Minor ITS ___
 3. PROGRAMMING DATA FTIP (MPO/RTPA) _____ FY _____ Page _____
 Amendment No. _____ FTIP PPNO _____ FHWA/FTA Approval Date _____
 Federal Funds \$ _____ Phases PE _____ R/W _____ Const _____
 Air Basin: _____ (CMAQ only)

4. FUNCTIONAL CLASSIFICATION:
 URBAN ___ RURAL ___
 Principal Arterial: ___ Principal Arterial: ___
 Minor Arterial: ___ Minor Arterial: ___
 Collector: ___ Major Collector: ___
 Local: ___ Minor Collector: ___
 Rural Local: ___

5. STEWARDSHIP CATEGORY
 FHWA Full Oversight (Stewardship): Yes _ No_
 State-Authorized (Stewardship): Yes _ No_ (a) DLAE oversight: Yes ___ No ___
 (b) District Construction oversight: Yes ___ No ___
 ITS project or element requiring FHWA oversight per stewardship: Yes ___ No ___

6. CALTRANS ENCROACHMENT PERMIT Is it required? Yes ___ No ___

7. COST ESTIMATE BREAKDOWN		\$1,000's	Fed. Participation	
(Including Structures)				
PE	Environmental Process	_____	Yes ___	No ___
	Design	_____	Yes ___	No ___
	System Manager/Integrator	_____	Yes ___	No ___
CONST	Const. Contract	_____	Yes ___	No ___
	Const. Engineer.	_____	Yes ___	No ___
R/W	Preliminary R/W Work	_____	Yes ___	No ___
	Acquisition:		Yes ___	No ___
	(No. of Parcels _____)	_____	Yes ___	No ___
	(Easements _____)	_____	Yes ___	No ___
	(Right of Entry _____)	_____	Yes ___	No ___
	RAP (No. Families _____)	_____	Yes ___	No ___
	RAP (No. Bus. _____)	_____	Yes ___	No ___
	Utilities (Exclude if included in contract items)	_____	Yes ___	No ___

TOTAL COST \$ _____

7a. Value Engineering Analysis Required? Yes _____ No _____
 (Yes, if total project costs are \$25M or more on the Federal-aid System, or \$20M or more for bridges)

8. PROPOSED FUNDING

		Total Cost		Cost Share	
Grand Total		\$ _____			
Federal Program #1 _____		\$ _____	Fed.	\$ _____	Reimb. Ratio _____
(Name/App. Code) #2 _____		\$ _____	Fed.	\$ _____	Reimb. Ratio _____
Matching Funds Breakdown	Local:			\$ _____	_____ %
	State:			\$ _____	_____ %
	Other:			\$ _____	_____ %
State Highway Funds?	Yes _____	Source _____		No _____	
State CMAQ/RSTP Match Eligible	Yes _____	No _____		Partial _____	
Is the Project Underfunded? (Fed \$ < Allowed Reimb.)	Yes _____	No _____			

9. PROJECT ADMINISTRATION

		Agency	Consultant	State
PE	Environ Process	_____	_____	_____
	Design	_____	_____	_____
	System Man./Integ.	_____	_____	_____
R/W	All Work	_____	_____	_____
CONST ENGR	Contract	_____	_____	_____
CONSTRUCTION	Contract	_____	_____	_____
MAINTENANCE		_____	_____	_____

Will Caltrans be requested to review PS&E? Yes _____ No _____

10. SCHEDULES: PROPOSED ADVERTISEMENT DATE _____
 Other critical dates: _____

11. PROJECT MANAGER'S CONCURRENCE

Local Entity _____ Date: _____

Signature & Title _____ Phone No. _____

Is field review required? Yes _____ No _____

Caltrans (District): _____ Date: _____

Signature & Title: _____

12. LIST OF ATTACHMENTS (Include all appropriate attachments if field review is required. See the "[]" notation for minimum required attachments for non-NHS projects)
 _____ Field Review Attendance Roster or Contacts Roster
 _____ Vicinity Map (Required for Construction Type Projects)

IF APPLICABLE (Complete as required depending on type of work involved)

_____ Roadway Data Sheets [Req'd for Roadway projects]
 _____ Typical Roadway Geometric Section(s) [Req'd for Roadway projects]
 _____ Major Structure Data Sheet [Req'd for HBRR] _____ Signal Warrants
 _____ Railroad Grade Crossing Data Sheet _____ Collision Diagram

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ROADWAY DATA

1. TRAFFIC DATA

Current ADT _____ Year 200__ Future ADT _____ Year 200__ DHV _____ Trucks __%
 Terrain (Check One) _____ Flat _____ Rolling _____ Mountainous
 Design Speed _____
 Proposed Speed Zone _____ Yes _____ mph _____ No _____

2. GEOMETRIC INFORMATION

ROADWAY SECTION

Facility	Year Constr.	Min. Curve Radius	Thru Traffic Lanes			Shoulders		Median Width
			No. of Lanes	Total Width	Type	Each Width Lt/Rt	Type	
Exist.								
Prop.								
Min. Stds. selected:								
AASHTO _____								
3R _____								
Local _____								
	N/E Contig. Sect.							
	S/W Contig. Sect.							

Remarks (If design standard exception is being sought, cite standard and explain fully how it varies):

3. DEFICIENCIES OF EXISTING FACILITY (Mark appropriate one(s))

_____ Pavement Surface _____ Drainage
 _____ Alignment _____ Bridge
 _____ Crossfall _____ Safety (Attach collision diagram or other documentation)
 _____ Pavement Structure _____ Federal Americans w/ Disabilities Act (ADA), State or Local accessibility requirements
 _____ Other (describe below)

Remarks _____

4. TRAFFIC SIGNALS _____ Yes _____ New (attach warrants) _____ Modified _____ No

5. MAJOR STRUCTURES Structure No.(s) _____ (attach structure data sheet)

6. OTHER TRANSPORTATION FACILITIES (Name)

_____ None
 _____ Railroad _____ (attach railroad data sheet)
 _____ Airports _____ (attach airport data sheet)
 _____ Transit _____
 _____ Bicycle _____

MAJOR STRUCTURE DATA

(Attach a separate sheet for each structure)

Project Number _____

Bridge Name (facility crossed) _____

State Br. No. _____ Date Constructed _____ Historical Bridge Inv. Category _____

Road Name _____ Location _____

STRUCTURE DATA

	Existing		Proposed		Minimum AASHTO Standards	
Structure Type	_____		_____		_____	
Structure Length	_____		_____		_____	
Spans (No. & Length)	_____		_____		_____	
Clear Width (curb to curb)	_____		_____		_____	
Shoulder Width	_____ Lt	_____ Rt	_____ Lt	_____ Rt	_____ Lt	_____ Rt
Sidewalks or bikeway width	_____ Lt	_____ Rt	_____ Lt	_____ Rt	_____ Lt	_____ Rt
Total Br. Width	_____		_____		_____	
Total Appr. Rdwy. Width	_____		_____		_____	

1. Preliminary Engineering by _____

2. Design by _____

3. Foundation Investigation by _____

4. Hydrology Study by _____

Detour, Stage construction, or Close Road _____

Length of Detour _____

Resident Engineer for Bridge Work: _____ Agency _____ Consultant (On Retainer as City/County Engineer)

Responsible Local Official _____

Discuss any special conditions; for example, federal ADA, state or local accessibility requirements, or proposed design exceptions.

ESTIMATED STRUCTURE AND RELATED COSTS:

Bridge Cost		Federally Participating	
		Yes	No
Construct Bridge	_____	_____	_____
Bridge Removal	_____	_____	_____
Slope Protection	_____	_____	_____
Channel Work	_____	_____	_____
Detour - Stage Construction	_____	_____	_____

Approach Roadway	_____	_____	_____
Preliminary Engineering	_____	_____	_____
Construction Engineering	_____	_____	_____
Right of Way Costs	_____	_____	_____
Utility Relocation	_____	_____	_____
Mobilization	_____	_____	_____
Total	_____	_____	_____
	—		

Type of HBRR funds: Check one (Major type if more than one)

<input type="checkbox"/> Seismic/Voluntary (88.53% Fed. Share)	<input type="checkbox"/> Painting (88.53%)
<input type="checkbox"/> Rehabilitation (80%)	<input type="checkbox"/> Painting (80%)
<input type="checkbox"/> Replacement (80%)	<input type="checkbox"/> Special (80%)
<input type="checkbox"/> Railing (88.53%)	<input type="checkbox"/> Low Water Xing (80%)

Summarize HBRR funded costs of above estimate:
 (HBRR Federal-aid + local match for HBRR only)

Prelim. Eng. \$ _____
 Right of Way \$ _____
 Construction. \$ _____
 Total \$ _____

Indicate the estimated date for Federal-aid
 Authorization & Obligation or Check the box:

Date: _____ Not needed for this project
 _____ Not needed for this project
 _____ Not needed for this project

VALUE ENGINEERING ANALYSIS

Required (Yes, if total project costs for bridge are \$20M or more) Yes No

Remarks _____

******* The following must be attached if the project is funded by the HBRR Program:**

1. Plan view of proposed improvements.
2. Typical Section.

******* The following is recommended:**

1. Right of way map to determine whether right of way acquisition or construction easements are necessary.

RAILROAD GRADE CROSSING DATA
(Separate Sheet for each crossing)

Project Number /Name: _____

Name of Railroad: _____

Location (Road, City, or County, and Xing No.): _____

Vehicular Traffic: Daily Traffic using crossing _____ No. of Lanes _____ Speeds (mph) _____

No. of Exist. Tracks: Main Line _____ Branch Line _____ Passing _____ Other _____

No. of Future Tracks: _____ No. of Daily Trains; Passenger _____ Freight _____ Total _____

Maximum Speeds: Passenger _____ Freight _____

Protection in Place: _____

Protection Proposed: _____

Skew of Xing _____ Min. Sight Dist. (along track when driver is 100 feet from Xing) _____

Trains at Night? (Y/N) _____ Seasonal Train Traffic? (Y/N) _____

Ten-Year Accident Record Accidents _____ Killed _____ Injured _____

Has local agency requested or received PUC decision concerning:

Crossing Protection required: _____

Protective devices proposed by local agency: _____

Proposed financing of crossing protection: _____

Does local agency propose to finance automatic crossing protection as a "G" (safety) project using 100% Federal funds? _____

NOTE: Attach sketch showing relationship of old and new crossing.

Remarks: _____

Distribution: Original with attachments-Local Agency
Copy with attachments (2 copies if HBRR) – DLAE

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AIRPORT DATA
(Separate Sheet for each airport)

Agency : _____
Locator (Dist.-Co.-Route-Agcy. Abbreviation): _____
Project Number /Name: _____

NAME _____

LOCATION _____

RUNWAY
Direction _____

Distance from Project _____

SLOPE RATIO _____

FAA FORM 7460-1* _____
(Indicate status, attach if available)

REMARKS

* Notice of Proposed Construction or Alteration: Required per FAA Regulations 14 CFR, Part 77

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FIELD REVIEW ATTENDANCE ROSTER

Date _____ Project No./Name _____

Project Location _____

Name _____
(Please Print) (Organization) (Phone Number)

- 1. _____
- 2. _____
- 3. _____
- 4. _____
- 5. _____
- 6. _____
- 7. _____
- 8. _____
- 9. _____
- 10. _____
- 11. _____
- 12. _____
- 13. _____
- 14. _____
- 15. _____
- 16. _____
- 17. _____
- 18. _____
- 19. _____
- 20. _____

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SYSTEMS ENGINEERING REVIEW FORM

This form needs to be filled out for all ITS projects. For major all ITS projects, this completed form needs to be submitted to FHWA for review and approval prior to PE authorization (Phase 1 PE authorization).

For all major ITS projects, a System Engineering Management Plan (SEMP), which includes the seven items below, must be submitted to FHWA for review and approval prior to PE authorization for final or detailed design (Phase 2 PE authorization. The 2-phased authorization only applies to Major ITS projects.

For guidance in filling out the seven items below, see last part of this exhibit.

1. Identification of portions of the Regional ITS Architecture (RA) being implemented:

2. Identification of participating agencies roles and responsibilities:

3. Requirements definitions:

4. Analysis of alternative system configurations and technology options to meet requirements:

5. Procurement options:

6. Procedures and resources necessary for operations and management of the system:

7. Identification of applicable ITS standards and testing procedures:

Address the above items to the degree possible at Field Review stage and acknowledge commitment to address during system design in the early stages of the SE process

1. Identification of portions of the RA being implemented:

(Identify which user services; physical subsystems, information flows, and market packages are being completed as part of the project, and how these pieces are part of the RA.)

2. Identification of participating agencies roles and responsibilities (concept of operations):

(For the user services to be implemented: define the high-level operations of the system, including where the system will be used; functions of the system capabilities; performance parameters; the life cycle of the system; and who will operate and maintain the system. Establish requirements or agreements on information sharing and traffic device control responsibilities. The RA Operational Concept is a good starting point for discussion.)

3. Requirements definitions:

(Based on the concept of operations in 2. above, define the “what” and not “how” of the system. During early stages of the Systems Engineering [SE] process, they will be broken down into detailed requirements for eventual detailed design. The applicable high-level functional requirements from the RA are a good starting point for discussion. A review of the requirements by the project stakeholders is recommended.)

4. Analysis of alternative system configurations and technology options to meet requirements:

(The analysis of system alternatives should outline the strengths and weaknesses, technical feasibility, institutional compatibility, and life cycle costs of each alternative. The project stakeholders should have input in choosing the preferred solution.)

5. Procurement options:

(Some procurement [contracting] options to consider include: consultant design/low bid contractor, systems manager, systems integrator, task order, and design/build. Deciding on the best procurement option should consider the level of agency participation, compatibility with existing procurement methods, role of system integrator, and life cycle costs.)

6. Identification of applicable ITS standards and testing procedures:

(Include documentation on which standards will be incorporated into the system design and justification for any applicable standards not incorporated. The standards report from the RA is a good starting point for discussion.)

7. Procedures and resources necessary for operations and management of the system:

(In addition to the concept of operations in 2. above, document any internal policies or procedures necessary to recognize and incorporate the new system into their current operations and decision processes. Resources necessary to support continued operations, including staffing and training must also be recognized early and be provided. Such resources must also be provided to support necessary maintenance and upkeep to ensure continued system viability.)

Attachment to Field Review Form)

Address the above items to the degree possible at Field Review stage and acknowledge commitment to address during system design in the early stages of the SE process.

8. Identification of portions of the RA being implemented:

(Identify which user services; physical subsystems, information flows, and market packages are being completed as part of the project, and how these pieces are part of the RA.)

9. Identification of participating agencies roles and responsibilities (concept of operations):

(For the user services to be implemented: define the high-level operations of the system, including where the system will be used; functions of the system capabilities; performance parameters; the life cycle of the system; and who will operate and maintain the system. Establish requirements or agreements on information sharing and traffic device control responsibilities. The RA Operational Concept is a good starting point for discussion.)

10. Requirements definitions:

(Based on the concept of operations in 2. above, define the “what” and not “how” of the system. During early stages of the Systems Engineering [SE] process, they will be broken down into detailed requirements for eventual detailed design. The applicable high-level functional requirements from the RA are a good starting point for discussion. A review of the requirements by the project stakeholders is recommended.)

11. Analysis of alternative system configurations and technology options to meet requirements:

(The analysis of system alternatives should outline the strengths and weaknesses, technical feasibility, institutional compatibility, and life cycle costs of each alternative. The project stakeholders should have input in choosing the preferred solution.)

12. Procurement options:

(Some procurement [contracting] options to consider include: consultant design/low bid contractor, systems manager, systems integrator, task order, and design/build. Deciding on the best procurement option should consider the level of agency participation, compatibility with existing procurement methods, role of system integrator, and life cycle costs.)

13. Identification of applicable ITS standards and testing procedures:

(Include documentation on which standards will be incorporated into the system design and justification for any applicable standards not incorporated. The standards report from the RA is a good starting point for discussion.)

14. Procedures and resources necessary for operations and management of the system:

(In addition to the concept of operations in 2. above, document any internal policies or procedures necessary to recognize and incorporate the new system into their current operations and decision processes. Resources necessary to support continued operations, including staffing and training must also be recognized early and be provided. Such resources must also be provided to support necessary maintenance and upkeep to ensure continued system viability.)

| (Attachment to Field Review Form)

Exhibit 6-A Preliminary Environmental Study (PES) Form

Federal Project No.: _____ <small>(Federal Program Prefix-Project No., Agreement No.)</small>	Final Design: _____ <small>(Expected Start Date)</small>
---	--

To: _____ <small>(District Local Assistance Engineer)</small> _____ <small>(District)</small> _____ <small>(Address)</small> _____ <small>(E-mail Address)</small>	From: _____ <small>(Local Agency)</small> _____ <small>(Project Manager's Name and Telephone No.)</small> _____ <small>(Address)</small> _____ <small>(E-mail Address)</small>
--	--

Is this Project "ON" the State Highway System? Yes No **IF YES, STOP HERE** and contact the District Local Assistance Engineer regarding the completion of other environmental documentation.

Federal State Transportation Improvement Program (FSTIP) <http://www.dot.ca.gov/hq/transprog/fedpgm.htm>: _____
(Currently Adopted Plan Date) _____
(Page No. ___ attach to this form)

Programming for FSTIP:	Preliminary Engineering	Right of Way	Construction
_____	\$ _____	\$ _____	\$ _____
<small>(Fiscal Year)</small>	<small>(Dollars)</small>	<small>(Fiscal Year)</small>	<small>(Dollars)</small>

Project Description as Shown in RTP and FSTIP:

Detailed Project Description: *(Describe the following, as applicable: purpose and need, project location and limits, required right of way acquisition, proposed facilities, staging areas, disposal and borrow sites, construction activities, and construction access.)*

(Continue description on "Notes" sheet, last page of this Exhibit, if necessary)

Preliminary Design Information:

Does the project involve any of the following? Please check the appropriate boxes and delineate on an attached map, plan, or layout including any additional pertinent information.

- | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| <table style="width: 100%; border-collapse: collapse;"> <tr><td style="width: 50%;">Yes</td><td style="width: 50%;">No</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td></tr> </table> | Yes | No | <input type="checkbox"/> | <table style="width: 100%; border-collapse: collapse;"> <tr><td style="width: 50%;">Yes</td><td style="width: 50%;">No</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td></tr> </table> | Yes | No | <input type="checkbox"/> | <table style="width: 100%; border-collapse: collapse;"> <tr><td style="width: 50%;">Yes</td><td style="width: 50%;">No</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td></tr> </table> | Yes | No | <input type="checkbox"/> |
| Yes | No | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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Required Attachments:

- Regional map Project location map Project footprint map (existing/proposed right of way)
 - Engineering drawings (existing and proposed cross sections), if available Borrow/disposal site location map, if applicable
- (Note: all maps (except project location map and regional maps) should be consistent with the project description (minimum scale: 1" = 200').)
- Notes to support the conclusions of this checklist/project description continuation page (attached)

Examine the project for potential effects on the environment, direct or indirect and answer the following questions. The “construction area,” as specified below, includes all areas of ground disturbance associated with the project, including staging and stockpiling areas and temporary access roads.

Each answer must be briefly documented on the “Notes” pages at the end of the PES Form.

A. Potential Environmental Effects	Yes	To Be Determined	No
General			
1. Will the project require future construction to fully utilize the design capabilities included in the proposed project?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Will the project generate public controversy?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Noise			
3. Is the project a Type I project as defined in 23 CFR 772.5(h); “construction on new location or the physical alteration of an existing highway, which significantly changes either the horizontal or vertical alignment or increases the number of through-traffic lanes”?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Does the project have the potential for adverse construction-related noise impact (such as related to pile driving)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Air Quality			
5. Is the project in a NAAQS non-attainment or maintenance area?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Is the project exempt from the requirement that a conformity determination be made? (If “Yes,” state which conformity exemption in 40 CFR 93.126, Table 2 applies): _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Is the project exempt from regional conformity? (If “Yes,” state which conformity exemption in 40 CFR 93.127, Table 3 applies): _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. If project is not exempt from regional conformity, (If “No” on Question #7)			
Is project in a metropolitan non-attainment/maintenance area?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is project in an isolated rural non-attainment area?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is project in a CO, PM10 and/or PM2.5 non-attainment/maintenance area?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Hazardous Materials/Hazardous Waste			
9. Is there potential for hazardous materials (including underground or aboveground tanks, etc.) and/or hazardous waste (including oil/water separators, waste oil, asbestos-containing material, lead-based paint, ADL, etc.) within or immediately adjacent to the construction area?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Water Quality/Resources			
10. Does the project have the potential to impact water resources (rivers, streams, bays, inlets, lakes, drainage sloughs) within or immediately adjacent to the project area?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. Is the project within a designated sole-source aquifer?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Coastal Zone			
12. Is the project within the State Coastal Zone, San Francisco Bay, or Suisun Marsh?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Floodplain			
13. Is the construction area located within a regulatory floodway or within the base floodplain (100-year elevation of a watercourse or lake)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Wild and Scenic Rivers			
14. Is the project within or immediately adjacent to a Wild and Scenic River System?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Biological Resources			
15. Is there a potential for federally listed threatened or endangered species, or their critical habitat or essential fish habitat to occur within or adjacent to the construction area?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
16. Does the project have the potential to directly or indirectly affect migratory birds, or their nests or eggs (such as vegetation removal, box culvert replacement/repair, bridge work, etc.)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17. Is there a potential for wetlands to occur within or adjacent to the construction area?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- | | | | |
|--|--------------------------|--------------------------|--------------------------|
| 18. Is there a potential for agricultural wetlands to occur within or adjacent to the construction area? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 19. Is there a potential for the introduction or spread of invasive plant species? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Sections 4(f) and 6(f)

- | | | | |
|--|--------------------------|--------------------------|--------------------------|
| 20. Are there any historic sites or publicly owned public parks, recreation areas, wildlife or waterfowl refuges (Section 4[f]) within or immediately adjacent to the construction area? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 21. Does the project have the potential to affect properties acquired or improved with Land and Water Conservation Fund Act (Section 6[f]) funds? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Visual Resources

- | | | | |
|---|--------------------------|--------------------------|--------------------------|
| 22. Does the project have the potential to affect any visual or scenic resources? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|---|--------------------------|--------------------------|--------------------------|

Relocation Impacts

- | | | | |
|--|--------------------------|--------------------------|--------------------------|
| 23. Will the project require the relocation of residential or business properties? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|--|--------------------------|--------------------------|--------------------------|

Land Use, Community, and Farmland Impacts

- | | | | |
|--|--------------------------|--------------------------|--------------------------|
| 24. Will the project require any right of way, including partial or full takes? Consider construction easements and utility relocations. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 25. Is the project inconsistent with plans and goals adopted by the community? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 26. Does the project have the potential to divide or disrupt neighborhoods/communities? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 27. Does the project have the potential to disproportionately affect low-income and minority populations? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 28. Will the project require the relocation of public utilities? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 29. Will the project affect access to properties or roadways? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 30. Will the project involve changes in access control to the State Highway System (SHS)? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 31. Will the project involve the use of a temporary road, detour, or ramp closure? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 32. Will the project reduce available parking? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 33. Will the project construction encroach on state or federal lands? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 34. Will the project convert any farmland to a different use or impact any farmlands? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Cultural Resources

- | | | | |
|---|--------------------------|--------------------------|--------------------------|
| 35. Is there National Register listed, or potentially eligible historic properties, or archaeological resources within or immediately adjacent to the construction area?
<i>(Note: Caltrans PQS answers question #35)</i> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 36. Is the project adjacent to, or would it encroach on Tribal land? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

For Sections B, C, and D, check appropriate box to indicate required technical studies, coordination, permits, or approvals.

B. Required Technical Studies and Analyses	C. Coordination	D. Anticipated Actions/Permits/Approvals
<input type="checkbox"/> Traffic <i>Check one:</i> <input type="checkbox"/> Traffic Study <input type="checkbox"/> Technical Memorandum <input type="checkbox"/> Discussion in ED Only	<input type="checkbox"/> Caltrans <input type="checkbox"/> Caltrans <input type="checkbox"/> Caltrans	<input type="checkbox"/> Approval <input type="checkbox"/> Approval <input type="checkbox"/> Approval
<input type="checkbox"/> Noise <i>Check as applicable:</i> <input type="checkbox"/> Traffic Related <input type="checkbox"/> Construction Related <i>Check one:</i> <input type="checkbox"/> Noise Study Report <input type="checkbox"/> NADR <input type="checkbox"/> Technical Memorandum <input type="checkbox"/> Discussion in ED Only	<input type="checkbox"/> Caltrans <input type="checkbox"/> Caltrans <input type="checkbox"/> Caltrans <input type="checkbox"/> Caltrans	<input type="checkbox"/> Approval <input type="checkbox"/> Approval <input type="checkbox"/> Approval <input type="checkbox"/> Approval
<input type="checkbox"/> Air Quality <i>Check as applicable:</i> <input type="checkbox"/> Traffic Related <input type="checkbox"/> Construction Related <i>Check one:</i> <input type="checkbox"/> Air Quality Report <input type="checkbox"/> Technical Memorandum <input type="checkbox"/> Discussion in ED Only	<input type="checkbox"/> Caltrans <input type="checkbox"/> Caltrans <input type="checkbox"/> Caltrans <input type="checkbox"/> FHWA <input type="checkbox"/> Caltrans <input type="checkbox"/> Regional Agency	<input type="checkbox"/> Approval <input type="checkbox"/> Approval <input type="checkbox"/> Approval <input type="checkbox"/> Conformity Finding (6005 CEs, EAs, EISs) <input type="checkbox"/> Conformity Finding (6004 CEs) <input type="checkbox"/> PM10/PM2.5 Interagency Consultation
<input type="checkbox"/> Hazardous Materials/ Hazardous Waste <i>Check as applicable:</i> <input type="checkbox"/> Initial Site Assessment (Phase 1) <input type="checkbox"/> Preliminary Site Assessment (Phase 2) <input type="checkbox"/> Discussion in ED Only	<input type="checkbox"/> Caltrans <input type="checkbox"/> Caltrans <input type="checkbox"/> Caltrans <input type="checkbox"/> Cal EPA DTSC <input type="checkbox"/> Local Agency	<input type="checkbox"/> Approval <input type="checkbox"/> Approval <input type="checkbox"/> Approval <input type="checkbox"/> Review Database <input type="checkbox"/> Review Database
<input type="checkbox"/> Water Quality/Resources <i>Check as applicable:</i> <input type="checkbox"/> Water Quality Assess. Report <input type="checkbox"/> Technical Memorandum <input type="checkbox"/> Discussion in ED Only	<input type="checkbox"/> Caltrans <input type="checkbox"/> Caltrans <input type="checkbox"/> Caltrans	<input type="checkbox"/> Approval <input type="checkbox"/> Approval <input type="checkbox"/> Approval
<input type="checkbox"/> Sole-Source Aquifer (Districts 5, 6 and 11)	<input type="checkbox"/> EPA (S.F. Regional Office)	<input type="checkbox"/> Approval of Analysis in ED
<input type="checkbox"/> Coastal Zone	<input type="checkbox"/> CCC	<input type="checkbox"/> Coastal Zone Consistency Determination

B. Required Technical Studies and Analyses	C. Coordination	D. Anticipated Actions/Permits/Approvals
<input type="checkbox"/> Floodplain		
<i>Check as applicable:</i>		
<input type="checkbox"/> Location Hydraulic Study	<input type="checkbox"/> Caltrans	<input type="checkbox"/> Approval
<input type="checkbox"/> Floodplain Evaluation Report	<input type="checkbox"/> Caltrans	<input type="checkbox"/> Approval
<input type="checkbox"/> Summary Floodplain Encroachment Report	<input type="checkbox"/> Caltrans	<input type="checkbox"/> Approval
	<input type="checkbox"/> Caltrans	<input type="checkbox"/> Only Practicable Alternative Finding
	<input type="checkbox"/> FHWA	<input type="checkbox"/> Approves significant encroachments and concurs in Only Practicable Alternative Findings
<input type="checkbox"/> Wild and Scenic Rivers		
	<input type="checkbox"/> River Managing Agency	<input type="checkbox"/> Wild and Scenic Rivers Determination
<input type="checkbox"/> Biological Resources		
<i>Check as applicable:</i>		
<input type="checkbox"/> NES, Minimal Impact	<input type="checkbox"/> Caltrans	<input type="checkbox"/> Approval
<input type="checkbox"/> NES		
<input type="checkbox"/> BA	<input type="checkbox"/> Caltrans	<input type="checkbox"/> Approves for Consultation
	<input type="checkbox"/> USFWS	<input type="checkbox"/> Section 7 Informal/Formal Consultation
	<input type="checkbox"/> NOAA Fisheries	
<input type="checkbox"/> EFH Evaluation	<input type="checkbox"/> NOAA Fisheries	<input type="checkbox"/> MSA Consultation
<input type="checkbox"/> Bio-Acoustic Evaluation	<input type="checkbox"/> NOAA Fisheries	<input type="checkbox"/> Approval
<input type="checkbox"/> Technical Memorandum	<input type="checkbox"/> Caltrans	<input type="checkbox"/> Approval
<input type="checkbox"/> Wetlands		
<i>Check as applicable:</i>		
<input type="checkbox"/> WD and Assessment	<input type="checkbox"/> Caltrans	<input type="checkbox"/> Approval
	<input type="checkbox"/> ACOE	<input type="checkbox"/> Wetland Verification
	<input type="checkbox"/> NRCS	<input type="checkbox"/> Agricultural Wetland Verification
	<input type="checkbox"/> Caltrans	<input type="checkbox"/> Wetlands Only Practicable Alternative Finding
<input type="checkbox"/> Invasive Plants		
<input type="checkbox"/> Discussion in ED Only	<input type="checkbox"/> Caltrans	<input type="checkbox"/> Approval
<input type="checkbox"/> Section 4(f)		
<i>Check as applicable:</i>		
	<input type="checkbox"/> Caltrans	<input type="checkbox"/> Determine Temporary Occupancy
<input type="checkbox"/> De minimis	<input type="checkbox"/> Caltrans	<input type="checkbox"/> De minimis finding
<input type="checkbox"/> Programmatic 4(f) Evaluation Type: _____	<input type="checkbox"/> Caltrans	<input type="checkbox"/> Approval
<input type="checkbox"/> Individual 4(f) Evaluation	<input type="checkbox"/> Caltrans	<input type="checkbox"/> Approval
	<input type="checkbox"/> Agency with Jurisdiction	
	<input type="checkbox"/> SHPO	
	<input type="checkbox"/> DOI	
	<input type="checkbox"/> HUD	
	<input type="checkbox"/> USDA	

B. Required Technical Studies and Analyses	C. Coordination	D. Anticipated Actions/Permits/Approvals
<input type="checkbox"/> Section 6(f)	<input type="checkbox"/> Agency with Jurisdiction <input type="checkbox"/> NPS	<input type="checkbox"/> Determines Consistency with Long-Term Management Plan
	<input type="checkbox"/> NPS	<input type="checkbox"/> Approves Conversion
<input type="checkbox"/> Visual Resources <i>Check one:</i> <input type="checkbox"/> Visual Impact Assessment <input type="checkbox"/> Technical Memorandum <input type="checkbox"/> Discussion in ED Only	<input type="checkbox"/> Caltrans <input type="checkbox"/> Caltrans <input type="checkbox"/> Caltrans	<input type="checkbox"/> Approval <input type="checkbox"/> Approval <input type="checkbox"/> Approval
<input type="checkbox"/> Relocation Impacts <i>Check one:</i> <input type="checkbox"/> Relocation Impact Memo <input type="checkbox"/> Relocation Impact Study <input type="checkbox"/> Relocation Impact Report	<input type="checkbox"/> Caltrans <input type="checkbox"/> Caltrans <input type="checkbox"/> Caltrans	<input type="checkbox"/> Approval <input type="checkbox"/> Approval <input type="checkbox"/> Approval
<input type="checkbox"/> Land Use and Community Impacts <i>Check one:</i> <input type="checkbox"/> CIA <input type="checkbox"/> Technical Memorandum <input type="checkbox"/> Discussion in ED Only	<input type="checkbox"/> Caltrans <input type="checkbox"/> Caltrans <input type="checkbox"/> Caltrans	<input type="checkbox"/> Approval <input type="checkbox"/> Approval <input type="checkbox"/> Approval
<input type="checkbox"/> Construction/Encroachment on State Lands <i>Check as applicable:</i> <input type="checkbox"/> SLC Jurisdiction <input type="checkbox"/> Caltrans Jurisdiction <input type="checkbox"/> SP Jurisdiction	<input type="checkbox"/> SLC <input type="checkbox"/> Caltrans <input type="checkbox"/> SP	<input type="checkbox"/> SLC Lease <input type="checkbox"/> Encroachment Permit <input type="checkbox"/> Encroachment Permit
<input type="checkbox"/> Construction/Encroachment on Federal Lands	<input type="checkbox"/> Federal Agency with Jurisdiction	<input type="checkbox"/> Encroachment Permit
<input type="checkbox"/> Construction/Encroachment On Indian Trust Lands	<input type="checkbox"/> Bureau of Indian Affairs	<input type="checkbox"/> Right of Way Permit
<input type="checkbox"/> Farmlands <i>Check one:</i> <input type="checkbox"/> CIA <input type="checkbox"/> Technical Memorandum <input type="checkbox"/> Discussion in ED Only	<input type="checkbox"/> Caltrans <input type="checkbox"/> Caltrans <input type="checkbox"/> Caltrans	<input type="checkbox"/> Approval <input type="checkbox"/> Approval <input type="checkbox"/> Approval
<i>Check as applicable:</i> <input type="checkbox"/> Form AD 1006 <input type="checkbox"/> Conversion to Non-Agri Use	<input type="checkbox"/> NRCS <input type="checkbox"/> CDOC <input type="checkbox"/> ACOE	<input type="checkbox"/> Approves Conversion <input type="checkbox"/> Approves Conversion

B. Required Technical Studies and Analyses	C. Coordination	D. Anticipated Actions/Permits/ Approvals
<input type="checkbox"/> Cultural Resources (PQS completes this section) <i>Check as applicable:</i>		
<input type="checkbox"/> APE Map	<input type="checkbox"/> Caltrans PQS	<input type="checkbox"/> Screened Undertaking
	<input type="checkbox"/> Caltrans PQS and DLAE	<input type="checkbox"/> Approves APE Map
<input type="checkbox"/> HPSR <input type="checkbox"/> ASR <input type="checkbox"/> HRER	<input type="checkbox"/> Local Preservation Groups and/or Native American Tribes <input type="checkbox"/> Caltrans	<input type="checkbox"/> Provides Comments Regarding Concerns with Project <input type="checkbox"/> Approves for Consultation
<input type="checkbox"/> Finding of Effect Report	<input type="checkbox"/> Caltrans	<input type="checkbox"/> Concurs on No Effect, No Adverse Effect with Standard Conditions
	<input type="checkbox"/> SHPO	<input type="checkbox"/> Letter of Concurrence on Eligibility, No Adverse Effect without Standard
<input type="checkbox"/> MOA	<input type="checkbox"/> Caltrans <input type="checkbox"/> SHPO <input type="checkbox"/> ACHP (if requested)	<input type="checkbox"/> Approves MOA <input type="checkbox"/> Approves MOA <input type="checkbox"/> Approves MOA
<input type="checkbox"/> Permits Copies of permits and a list of mitigation commitments are mandatory submittals following NEPA approval.	<input type="checkbox"/> ACOE <input type="checkbox"/> ACOE <input type="checkbox"/> Caltrans/ACOE/EPA <input type="checkbox"/> USFWS <input type="checkbox"/> NOAA Fisheries <input type="checkbox"/> ACOE <input type="checkbox"/> USCG <input type="checkbox"/> RWQCB <input type="checkbox"/> CDFG <input type="checkbox"/> RWQCB <input type="checkbox"/> CCC <input type="checkbox"/> Local Agency <input type="checkbox"/> BCDC	<input type="checkbox"/> Section 404 Nationwide Permit <input type="checkbox"/> Section 404 Individual Permit <input type="checkbox"/> NEPA/404 Integration MOU <input type="checkbox"/> Rivers and Harbors Act Section 10 Permit <input type="checkbox"/> USCG Bridge Permit <input type="checkbox"/> Section 401 Water Quality Certification <input type="checkbox"/> Section 1602 Streambed Alteration Agreement <input type="checkbox"/> NPDES Permit <input type="checkbox"/> Coastal Zone Permit <input type="checkbox"/> BCDC Permit

Notes: Additional studies may be required for other federal agencies.

ACHP	=	Advisory Council on Historic Preservation	HRER	=	Historical Resources Evaluation Report
ACOE	=	U.S. Army Corps of Engineers	HUD	=	U.S. Housing and Urban Development
ADL	=	Aerially Deposited Lead	MOA	=	Memorandum of Agreement
APE	=	Area of Potential Effect	MSA	=	Magnuson-Stevens Fishery Conservation and Management Act
APN	=	Assessor Parcel Number	NEPA	=	National Environmental Policy Act
ASR	=	Archaeological Survey Report	NADR	=	Noise Abatement Decision Report
BA	=	Biological Assessment	NES	=	Natural Environment Study
BCDC	=	Bay Conservation and Development Commission	NHPA	=	National Historic Preservation Act
BE	=	Biological Evaluation	NOAA	=	National Oceanic and Atmospheric Administration
BO	=	Biological Opinion	NMFS	=	National Marine Fisheries Service
Cal EPA	=	California Environmental Protection Agency	NPDES	=	National Pollutant Discharge Elimination System
CCC	=	California Coastal Commission	NPS	=	National Park Service
CDFG	=	California Department of Fish and Game	NRCS	=	Natural Resources Conservation Service
CDOC	=	California Department of Conservation	PM10	=	Particulate Matter 10 Microns in Diameter or Less
CE	=	Categorical Exclusion	PM2.5	=	Particulate Matter 2.5 Microns in Diameter or Less
CIA	=	Community Impact Assessment	PMP	=	Project Management Plan
CWA	=	Clean Water Act	PQS	=	Professionally Qualified Staff
DLAE	=	District Local Assistance Engineer	ROD	=	Record of Decision
DOI	=	U.S. Department of Interior	RTIP	=	Regional Transportation Improvement Program
DTSC	=	Department of Toxic Substances Control	RTP	=	Regional Transportation Plan
EA	=	Environmental Assessment	RWQCB	=	Regional Water Quality Control Board
ED	=	Environmental Document	SER	=	Standard Environmental Reference
EFH	=	Essential Fish Habitat	SEP	=	Senior Environmental Planner
EIS	=	Environmental Impact Statement	SHPO	=	State Historic Preservation Officer
EPA	=	U.S. Environmental Protection Agency	SLC	=	State Lands Commission
FEMA	=	Federal Emergency Management Agency	SP	=	State Parks
FHWA	=	Federal Highway Administration	TIP	=	Transportation Improvement Program
FONSI	=	Finding of No Significant Impacted	USCG	=	U.S. Coast Guard
FTIP	=	Federal Transportation Improvement Program	USDA	=	U.S. Department of Agriculture
HPSR	=	Historic Property Survey Report	USFWS	=	U.S. Fish and Wildlife Service
			WD	=	Wetland Delineation

E. Preliminary Environmental Document Classification (NEPA)

Based on the evaluation of the project, the environmental document to be developed should be:

Check one:

- Environmental Impact Statement (*Note: Engagement with participating agencies in accordance with SAFETEA-LU Section 6002 required*)
 - Compliance with SAFETEA-LU Section 6002 regarding Participating Agencies required
- Complex Environmental Assessment
- Routine Environmental Assessment
- Categorical Exclusion without required technical studies.
- Categorical Exclusion with required technical studies

(if Categorical Exclusion is selected, check one of the following):

- Section 6004
 - 23 CFR 771 activity (c)(____)
 - 23 CFR 771 activity (d) (____)
 - Activity ____ listed in the Section 6004 MOU
- Section 6005

F. Public Availability and Public Hearing

Check as applicable:

- Not Required
- Notice of Availability of Environmental Document
- Public Meeting
- Notice of Opportunity for a Public Hearing
- Public Hearing Required

G. Signatures

Local Agency Staff and/or Consultant Signature

_____ (Signature of Preparer) _____ (Date) _____ (Telephone No.)

_____ (Name)

Local Agency Project Engineer Signature

This document was prepared under my supervision, in accordance with the *Local Assistance Procedures Manual*, Exhibit 6-B, "Instructions for Completing the Preliminary Environmental Study Form."

_____ (Signature of Local Agency) _____ (Date) _____ (Telephone No.)

Caltrans District Professionally Qualified Staff (PQS) Signature

- Project does not meet definition of an “undertaking”; no further review is necessary under Section 106 (“No” Section A, #35).
- Project is limited to the type of activity listed in Attachment 2 of the Section 106 PA and based on the information provided in the PES Form, the project does not have the potential to affect historic properties (“No” Section A, #35).
- Project is limited to the type of activity listed in Attachment 2 of the Section 106 PA, but the following additional procedures or information is needed to determine the potential for effect (“To Be Determined” Section A, #35):
 - Records Search _____ _____ _____
- Project meets the definition of an “undertaking”; all properties in the project area are exempt from evaluation per Attachment 4 of the Section 106 PA (“No” Section A, #35).
- The proposed undertaking is considered to have the potential to affect historic properties; further studies for 106 compliance are indicated in Sections B, C, and D of this PES Form (“Yes” Section A, #35).

(Signature of Professionally Qualified Staff) *(Date)* *(Telephone No.)*

The following signatures are required for all CEs, routine and complex EAs, and EISs:

Caltrans District Senior Environmental Planner (or Designee) and DLAE Signatures

I have reviewed this Preliminary Environmental Study (PES) Form and determined that the submittal is complete and sufficient. I concur with the studies to be performed and the recommended NEPA Class of Action.

(Signature of Senior Environmental Planner or Designee) *(Date)* *(Telephone No.)*

(Name)

(Signature of District Local Assistance Engineer or Designee) *(Date)* *(Telephone No.)*

(Name)

HQ DEA Environmental Coordinator concurrence _____ . E-mail concurrence attached.
(date)

**Preliminary Environmental Investigation
Notes to Support the Conclusions of the PES Form
(May Also Include Continuation of Detailed Project Description)**

Brief Explanation of How Project Complies, or Will Comply with Applicable Federal Mandate (Part A):

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Distribution 1) Original - DLAE, 2) Local Agency Project Manager, 3) DLA Environmental Coordinator
4) Senior Environmental Planner (or designee), 5) District PQS

Updated: 05/15/08

EXHIBIT 6-B INSTRUCTIONS FOR COMPLETING THE PRELIMINARY ENVIRONMENTAL STUDY (PES) FORM

A Preliminary Environmental Study (PES) Form must be completed for **all** local agency federal-aid projects “**off**” the State Highway System (SHS). If a local agency desires federal reimbursement for National Environmental Protection Act (NEPA) compliance, then the local agency must submit a “Request for Authorization to Proceed with Preliminary Engineering” form (*Local Assistance Procedures Manual* (LAPM), Chapter 3, “Project Authorization” Exhibit 3-A) to the DLAE prior to commencing with the PES Form. The local agency may not proceed with any reimbursable activities prior to the project’s inclusion in a federally approved Federal Statewide Transportation Improvement Program (FSTIP) and receipt of “Authorization to Proceed” notification from Caltrans. (See LAPM, Chapter 3, “Project Authorization,” Section 3.2)

Detailed instructions for completing the Preliminary Environmental Study (PES) Form are provided below.

Federal-Aid Project No: (Federal Program Prefix-Project No., Agreement No.) Example: RPSTPLE 5017(020). Obtain federal-aid project number from your District Local Assistance Engineer (DLAE). This number is required in order for the District SEP (or designee) to process PES Form.

Final Design: Indicate the date the local agency expects to begin final design. The 23 CFR 771.113 (Timing of Administration activities) prohibits final design activities until NEPA approval has been obtained; this is the date by which NEPA clearance is needed.

To: (Self explanatory)

From: (Self explanatory)

Is the Project “ON” the SHS? Check “Yes” or “No.” If Yes, **STOP**, and contact the DLAE regarding the Departmental policy on local agency projects “on” the SHS.

Note: The current and long-standing policy is for the Department to be California Environmental Quality Act (CEQA) lead agency for improvement projects “on” the SHS. The Department’s practice of acting as CEQA Lead for projects on the SHS is based on the Department’s statutory obligation to plan, design, construct, operate and maintain the SHS as well as its actual ownership of the SHS. Further, as owner of the right of way, the Department is the entity ultimately responsible for property stewardship of all resources within State right of way. This stewardship obligation cannot be delegated to others. This applies even if the project is financed by others. See Departmental policy memo provided at:

http://www.dot.ca.gov/ser/downloads/memos/CEQA_Lead_Agency_24Jun04.pdf

Based on information contained in the above referenced policy memo, local agency projects “**on**” the SHS are processed as State Highway Projects in accordance with procedures set forth in the *Caltrans Project Development Procedures Manual*.

Federal Statewide Transportation Improvement Program (FSTIP): Enter the currently adopted FSTIP date and page number on which project is identified, and attach a copy of the FSTIP page (showing the project) to the PES Form. The FSTIP is available at:

<http://www.dot.ca.gov/hq/transprog/fedpgm.htm>

Note: The California FSTIP is a multi-year, statewide, intermodal program of transportation projects that is consistent with the statewide transportation plan and planning processes, metropolitan plans, and Federal Transportation Improvement Programs (FTIPs) and processes. The FSTIP is prepared by Caltrans in cooperation with the Metropolitan Planning Organizations (MPOs) and the Regional Transportation Planning

Agencies (RTPAs). The FTIPs/FSTIP contains all capital and non-capital transportation projects, or identified phases of transportation projects proposed for funding under the Federal Transit Act and Title 23 of the United States Code including federally funded projects.

Programming for FSTIP: Identify the fiscal year and dollar amount programmed in the FSTIP for each phase of the project (preliminary engineering, right of way, and construction).

Project Description as Shown in FSTIP: Enter the project description exactly as it appears in the FSTIP.

Detailed Project Description: Describe all aspects of the project including project location and limits, proposed facilities, and required right of way acquisition. Discuss the main transportation problem or problems that point to the need for the project and describe how the project will solve the identified problem or need (i.e., is the project necessary in order to correct existing roadway deficiencies, such as substandard geometry or lane width?). How will the project correct these deficiencies? Describe any design deficiencies, such as substandard cross section or horizontal or vertical alignment. Is the new or upgraded facility needed to serve a new housing development, or shopping complex? Discuss the logical termini of the project.

Note: 23 CFR 771.111(f) requires that federal-aid projects:

- *Connect logical termini and be of sufficient length to address environmental matters on a broad scope;*
- *Have independent utility or independent significance, i.e., be usable and be a reasonable expenditure even if no additional transportation improvements in the area are made; and*
- *Not restrict consideration of alternatives for other reasonably foreseeable transportation improvements.*

Provide as much detail as possible for all boxes checked “Yes” under Preliminary Design Information.

Preliminary Design Information: Check all applicable boxes and provide as much pertinent information on engineering drawings and maps as possible. If project will involve excavation, delineate location of excavation on map and indicate maximum depth of excavation. If right of way will be acquired, provide a map of the project area with the location of each parcel to be acquired. Provide Assessor Parcel Numbers for all parcels.

Required Attachments: Please note that all of the maps listed on the PES Form are **required**. Maps should be consistent with the project description and at a minimum scale of 1” = 200’.

A. Potential Environmental Effects:

Section A of the PES Form should not be completed until after the local agency has completed Steps 1 through 4 in the LAPM, Chapter 6, Section 6.7, Step-by-Step Procedures, as follows:

- Develop Complete Project Description and Detailed Map
- Review Relevant Literature Maps and Inventories
- Request Technical Information from Resource and Regulatory Agencies
- Verify Research Findings in the Field (Site Visit)

Following completion of Steps #1 through #4, answer each of the following questions. For “No” response, explain in the “Preliminary Investigation Notes to Support the Conclusions of the PES Form” how the mandate of federal law has been met (i.e., The Preliminary Environmental Investigation [Steps #1- 4 above] concluded that the resource is not present within the project area or that the resource is present, but will not be affected by the project. A technical memo explaining how the project will not affect the resource in question is attached, or a “No Effect” determination by a Caltrans Biologist is attached, etc.).

For “No” response, check the “No” box next to the appropriate question in Section A of the PES Form, and in the “Preliminary Investigation Notes to Support the Conclusions of the PES Form” briefly discuss how the mandates of federal law have been met.

For “Yes” response, indicate in Section B whether a technical study, technical memo or discussion in the ED will be prepared to comply with the federal requirements. Local Agency should consult the DLAE and District SEP (or designee) when determining the appropriate level of analysis. Required technical reports shall be prepared in accordance with guidance and procedures set forth in the *Standard Environmental Reference* (SER). Local agency shall not commence with technical studies until after the PES Form is fully signed by local agency and Caltrans staff.

All environmental contracts shall be prepared in accordance with guidance and procedures set forth in the LAPM, Chapter 10, “Consultant Selection.” The contract shall be consistent with requirements set forth in the PES Form and shall direct the preparation of reports in accordance with guidance set forth in the SER.

http://www.dot.ca.gov/hq/LocalPrograms/lam/prog_p/p10consult.pdf.

General

1. Will the project require future construction to fully utilize the design capabilities included in the proposed project?

Note: This question is designed to address independent utility and segmentation. The Council on Environmental Quality (CEQ) regulations (40 CFR 1502.13) are directed at avoiding improper segmentation, wherein the significance of the environmental impact of an action as a whole would not be evident, if the action were to be broken into component parts and the impact of those parts analyzed separately.

If “No,” check the “No” box next to Question #1 in Section A of the PES Form. In the “Preliminary Investigation Notes to Support the Conclusions of the PES Form,” briefly discuss the transportation problem, traffic and transportation conditions that the project is intended to address and clearly state the rationale supporting the project’s end points.

If “Yes,” or “To Be Determined,” check the appropriate box next to Question #1 in Section A of the PES Form. (*Note: Projects must satisfy the provisions of 23 CFR 771.111[f] in order to be eligible for federal reimbursement.*) Under Section B of the PES Form, indicate whether a Traffic Study, Technical Memorandum, or Discussion in ED Only will be prepared to clearly show how the action shall:

- Connect logical termini and be of sufficient length to address environmental matters on a broad scope.
- Have independent utility or independent significance, i.e., be usable and be a reasonable expenditure even if no additional transportation improvements in the area are made.
- Not restrict consideration of alternatives for other reasonably foreseeable transportation improvements.

2. Will the project generate any public controversy?

Consider whether there is any public controversy associated with the project and if so, on what grounds.

If “No,” check the “No” box next to Question #2 in Section A of the PES Form. In the “Preliminary Environmental Investigation Notes to Support the Conclusions of the PES Form” indicate what steps were taken to determine the potential for public controversy.

If “Yes,” or “To Be Determined,” check the appropriate box next to Question #2 in Section A of the PES Form. In the “Preliminary Environmental Investigation Notes to Support the Conclusions of the PES Form” indicate the grounds on which the controversy exists.

Note: Projects involving substantial public controversy on environmental grounds require additional environmental study (23 CFR 771.117[b] [2]).

If the basis for controversy is environmental, complete Section F of the PES Form as appropriate.

Consult with the DLAE and District SEP or designee when determining the extent of public involvement that may be necessary.

Noise:

3. Is the project a Type 1 project as defined in 23 CFR 772.5(h)... “construction on new location or the physical alteration of an existing highway, which significantly changes either the horizontal or vertical alignment, or increases the number of through-traffic lanes”?

Note: Federal law and state policy require that every project that adds through-lanes or significantly realigns roadways must receive a noise evaluation.

If “No,” check the “No” box next to Question #3 in Section A of the PES Form. Check all applicable boxes under Preliminary Design Information (i.e., widen existing roadway, increase number of through-lanes, new alignment, capacity increasing, etc). In the “Preliminary Environmental Investigation Notes to Support the Conclusions of the PES Form,” briefly discuss the scope of the project and how this type of work will not result in significant changes in the horizontal or vertical alignment nor increase the number of through-traffic lanes.

If “Yes,” or “To Be Determined,” check the appropriate box next to Question #3 in Section A of the PES Form. Indicate under Section B of the PES Form that a Noise Study Report, Technical Memorandum or Discussion in the ED Only will be prepared. Consult with the DLAE and District SEP (or designee) when determining which level of analysis will be necessary based on project scope and potential for impact.

The Noise Study Report shall be completed in accordance with guidance set forth at:

<http://www.dot.ca.gov/ser/vol1/sec3/physical/ch12noise/chap12noise.htm>

If a sound wall is needed, a Noise Abatement Decision Report will be required.

4. Does the project have the potential for adverse construction-related noise impacts (such as related to pile driving)?

Consider whether the construction of the project will involve pile driving, structure demolition, blasting, etc. Will the project have the potential for adverse construction-related noise impacts either on land or underwater?

If “No,” check the “No” box next to Question #4 in Section A of the PES Form. Check all applicable boxes under Preliminary Design Information (i.e., bridge work, equipment staging, excavation, pile driving road cuts, stream channel work, etc.) that could result in excessive noise. In the “Preliminary Environmental Investigation Notes to Support the Conclusions of the PES Form” briefly discuss how these types of activities will not result in excessive construction noise or generate underwater noise.

If “Yes,” or “To Be Determined,” check the “Yes” or “To be Determined” box as appropriate, next to Question #4 in Section A of the PES Form. Under Section B of the PES Form indicate whether a Technical Memorandum or Discussion in the ED will be prepared. Consult with the DLAE and District SEP (or designee) when determining which level of analysis will be necessary based on the potential for impact.

“Guidance on Transportation and Construction-Induced Vibration” is provided in the SER at:

<http://www.dot.ca.gov/ser/vol1/sec3/physical/ch12noise/chap12noise.htm>.

5. Is the project in a National Ambient Air Quality Standard (NAAQS) non-attainment or maintenance area?

Check the Table of Conformity Areas provided at:

<http://www.dot.ca.gov/hq/env/air/pages/conftable.htm>

Is the county that the project is located in, listed in the Table of Conformity Areas?

If “Yes,” check the “Yes” box as appropriate, next to Question #5 in Section A of the PES Form and proceed to Question #6.

If “No,” no further Air Quality (AQ) studies are needed because transportation conformity only applies in federal non-attainment and maintenance areas. Check the “No” box next to Question #5 in Section A of the PES Form and proceed to Question #9.

6. Is the project exempt from the requirement that a conformity determination be made?

Review the list of project types in 40 CFR Part 93, Sec. 93.126, Table 2 Exempt Projects, provided as Exhibit 6-C of this chapter, or electronically at:

http://a257.g.akamaitech.net/7/257/2422/12feb20041500/edocket.access.gpo.gov/cfr_2004/julqtr/pdf/40cfr93.126.pdf

Is project one of the project types included in the 40 CFR 93.126, Table 2?

If “Yes,” no conformity determination is required. Check the “Yes” box next to Question #6 in Section A of the PES Form, and state which conformity exemption in Table 2 applies. Skip Questions #7 & #8.

If “No,” a project level conformity determination may be required. Continue with Question #7.

7. Is the project exempt from regional conformity?

Review list of project types listed in 40 CFR Section 93.127, Table 3 Projects Exempt from Regional Analysis, provided as Exhibit 6-D of this chapter, or electronically at:

http://a257.g.akamaitech.net/7/257/2422/12feb20041500/edocket.access.gpo.gov/cfr_2004/julqtr/pdf/40cfr93.127.pdf.

Is project one of the project types included in 40 CFR 93.127, Table 3?

If “Yes,” **and project is located in a non-attainment/maintenance area for ONLY ozone**, no project-level conformity determination is required. Check the “Yes” box next to Question #7 under Section A of the PES Form, and state which conformity exemption in Table 3 applies. In the “Preliminary Environmental Investigation Notes to Support the Conclusions of the PES Form” state: “A regional emissions analysis is not required because project is one of the project types included in Table 3, and a localized hot spot analysis is not required because project is located in an area that is attainment/unclassified for ALL of CO, PM10 and PM2.5. Skip to Question #9.

If “Yes,” **and the project is located in an area that is non-attainment/attainment-maintenance for CO, PM10 and/or PM2.5, a project-level conformity determination is required.** Check the “Yes” box next to Question #7 under Section A of the PES Form and state which conformity exemption in Table 3 applies. Under Section B of the PES Form check Air Quality Report, Technical Memorandum, or Discussion in ED Only. Consult with the District SEP (or designee) to determine the appropriate level of analysis and documentation needed. Indicate coordination with and approval by Caltrans under Sections C and D of the PES Form. In the “Preliminary Environmental Investigation Notes to Support the Conclusions of the PES Form” state: “A regional emissions analysis is not required because project is one of the project types included in Table 3, however, a localized hot spot analysis is required because project is located in an area that is non-attainment/maintenance for CO, PM10 and PM2.5 (indicate which).” Guidance on conducting a Localized Hotspot Analysis is provided at:

<http://www.dot.ca.gov/ser/vol1/sec3/physical/ch11air/chap11.htm#Conformity>.

Do not begin technical studies until after the PES Form is fully signed. Skip to Question #9.

If “No,” **a project-level conformity determination is required including both a regional emissions analysis and hot spot analysis regional level conformity analysis (e.g. dispersion modeling).** Check the “No” box next to Question #7 in Section A of the PES Form. In Section B of the PES Form, check Air Quality Report, Technical Memorandum, or Discussion in ED Only. Consult with the District SEP (or designee) to determine the appropriate level of analysis and documentation needed. Indicate coordination with and approval by Caltrans under Sections C and D of the PES Form. Guidance on project-level conformity determinations and regional emissions analysis and hot spot analysis is provided at:

<http://www.dot.ca.gov/ser/vol1/sec3/physical/ch11air/chap11.htm#Conformity>.

Do not begin technical studies until after the PES Form is fully signed. Continue with Question #8.

8. If project is **not exempt** (i.e., if “No” on Question #6 and Question #7) a project-level conformity determination is required. The project-level conformity determination would include both the regional emissions analysis and a hot spot analysis (in PM2.5, PM10 and CO non-attainment and/or maintenance areas).

For the regional emissions analysis **in a metropolitan non-attainment/maintenance area**, the project needs to be included in the MPOs currently conforming Regional Transportation Plan (RTP) and Transportation Improvement Program (TIP). To be “included” in the currently conforming RTP and TIP, there must be no significant changes in the project’s design concept and scope from those assumed in regional emissions analysis. Additionally, the assumed open-to-traffic date must be correct. On the first page of the PES Form identify the date of the currently adopted RTP and FTIP within which the project is included and provide the page numbers wherein the project is specifically listed.

For regional emissions in an **“isolated rural” non-attainment area** (non-attainment area with no MPO within the non-attainment area boundaries), a regional emissions analysis would be performed as part of the project-level conformity determination. Refer to 40 CFR 93.109 for guidance on projects not included in a conforming RTP and TIP. Specific Isolated Rural area requirements are in 40 CFR 93.109(1). Under Section B of the PES Form, check Air Quality Study and under Section C and D, check coordination with and approval by Caltrans respectively. Guidance on project-level conformity determinations and Regional Emissions analysis is provided at:

<http://www.dot.ca.gov/ser/vol1/sec3/physical/ch11air/chap11.htm#Conformity>.

Do not begin technical studies under after the PES Form is fully signed.

For projects in **CO, PM10, and/or PM2.5 non-attainment/maintenance areas**, a localized hot spot analysis also needs to be completed. Check Air Quality Study, Technical Memorandum, or Discussion in ED Only. Consult with the District SEP (or designee) to determine the appropriate level of analysis and documentation needed. Indicate coordination with and approval by Caltrans under Sections C and D of the PES Form. Guidance on conducting a localized hot spot analysis is provided at:

<http://www.dot.ca.gov/ser/vol1/sec3/physical/ch11air/chap11.htm#Conformity>.

Do not begin technical studies until after the PES Form is fully signed.

Hazardous Materials/Hazardous Waste

9. Is there a potential for hazardous materials (including underground or aboveground tanks, etc.) and/or hazardous waste (including oil/water separators, waste oil, asbestos-containing material, lead-based paint, ADL, etc.) within or immediately adjacent to the construction area?

Conduct screening in accordance with the procedures set forth in the SER, provided at:

<http://www.dot.ca.gov/ser/vol1/vol1.htm>

Note: Screening typically includes a review of local records of prior land uses and local and state-maintained databases of hazardous materials sites and underground tanks. During the site visit, note existing land uses (i.e., gas stations, auto wrecking yards, railroad yard or tracks, landfills, etc.) and any evidence of past land uses (i.e., above ground tanks, stained soil, 50-gallon drums, etc.).

Are there any signs of past or present hazardous materials or waste uses, or any known hazardous materials within or immediately adjacent to the construction area?

If “No,” check the “No” box next to Question #9 in Section A of the PES Form. On the “Preliminary Environmental Investigation Notes to Support the Conclusions of the PES Form” include the steps taken to determine whether any hazardous materials or wastes could potentially occur within or immediately adjacent to the construction area. Include field notes from site visit, documenting observations, (i.e., surrounding land uses [current and historic], general characteristics of area/soil, absence of staining on soil, proximity to gas station, landfill or rail yard, etc.)

If “Yes,” or “To Be Determined,” check the appropriate box next to Question #9 in Section A of the PES Form. Further study will be required. Check ISA (Phase I) in Section B of the PES Form and indicate coordination and permit requirements under Sections C and D of the PES Form.

The ISA (Phase I) shall be undertaken in accordance with guidance set forth in the SER, Chapter 10, “Hazardous Wastes,” provided at: <http://www.dot.ca.gov/ser/vol1/vol1.htm>

Water Quality/Resources

10. Does the project have the potential to impact water resources (rivers, streams, bays, inlets, lakes, drainage sloughs) within or immediately adjacent to the project area?

Review maps to determine if there are water resources (i.e., rivers, streams, lakes, reservoirs, impoundments, bays, inlets, estuaries, wetlands, drainage sloughs, vernal pools, swales, CWA Section 303d impaired water bodies, etc.) within or immediately adjacent to the project area. Confirm and note presence or absence on the “Preliminary Environmental Investigation Notes to Support the Conclusions of the PES Form.” Are there water resources in the immediate project vicinity that may be affected by the project?

If “No,” check the “No” box next to Question #10 under Section A of the PES Form. Under “Preliminary Environmental Investigation Notes to Support the Conclusions of the PES Form” briefly discuss the project’s potential for impacting water quality. Include a vicinity map (clearly showing project’s proximity to water resources) and a copy of the field notes confirming the absence of water resources.

If “Yes,” or “To Be Determined,” check the appropriate box next to Question #10 in Section A of the PES Form. Check “Yes” next to “Bridge Work,” “Stream Channel Work” or “Flooding,” as appropriate. Under Preliminary Design Information on the first page of the PES Form, check “Water Quality Assessment Report,” “Technical Memorandum,” “Analysis in ED or Permit Only,” (as applicable). Under Section B of the PES Form and under “Preliminary Environmental Investigation Notes to Support the Conclusions of the PES Form” specifically identify the water resources that may be affected by the project.

The technical report shall be prepared in accordance with guidance set forth in the SER, Chapter 9, “Hydrology, Water Quality and Stormwater,” provided at:

<http://www.dot.ca.gov/ser/vol1/vol1.htm>

Projects involving the dredging or filling in of waters of the US (including wetlands) will require coordination with the U.S. Army Corps of Engineers (ACOE) and may require water quality permits, such as Section 404 Individual or Nationwide Permit, Section 401 from Regional Water Quality Control Board (RWQCB), and/or 1600 permit from the California Department of Fish and Game (CDFG).

Projects involving work in navigable waters, such as the demolition or construction of bridges or docks and bulkheads, or that result in obstructions to navigation, or in the dumping of trash, or sewage into navigable waterways (Rivers & Harbors Act [Section 10]) will also require a Section 10 Permit.

Projects involving the construction of a bridge over a Navigable River will require coordination with the U.S. Coast Guard (USCG) and may require a USCG Bridge Permit. Check USCG (bottom of Section C of the PES Form) indicating that coordination with the USCG is required during the environmental and design phases of the project and check USCG Bridge Permit (bottom of Section D of PES Form) indicating that a Coast Guard Bridge Permit may be needed.

Since two to three months is normally required to process a routine application involving a public notice, local agencies should apply for permits as early as possible to allow sufficient time to obtain all necessary approvals prior to beginning construction. For large or complex projects, local agencies should request a “pre-application consultation” or informal meeting with the ACOE during the early planning phase of your project to minimize the potential for delays later.

Projects with five (5) acres or more of permanent impacts to waters of the US and processed with an EIS, will require an Individual Section 404 Permit. Local agency should consult with the DLAE (or designee) as early

as possible to ensure compliance with all provisions of the Memorandum of Understanding, among the FHWA, California Department of Transportation (Caltrans), United States Environmental Protection Agency (US EPA), United States Army Corps of Engineers (USACOE), United States Fish and Wildlife Service (USFWS), and the National Marine Fisheries Service (NMFS), National Environmental Policy Act (NEPA) and Clean Water Act Section 404 Integration Process for Federal Aid Surface Transportation Projects in California (April 2006) AKA: NEPA/404 MOU. MOU provided at:

http://www.dot.ca.gov/ser/downloads/MOUs/NEPA404/nepa404_2006_final_mou.pdf.

11. Is the project within a designated Sole-Source Aquifer?

A Sole-Source Aquifer is an aquifer upon which a community depends exclusively for its fresh water supply. The U.S. Environmental Protection Agency's Sole-Source Aquifer Program was established under Section 1424(e) of the U.S. Safe Drinking Water Act (SDWA) in 1977 to help prevent contamination of groundwater from federally funded projects. The Sole-Source Aquifer Program allows for EPA environmental review of any project which is financially assisted by federal funds to determine whether the project has the potential to contaminate a Sole-Source Aquifer. If there is such a potential, the project would need to be modified to reduce or eliminate the risk, or federal (FHWA) financial support may be withdrawn.

Four (4) aquifers in California have been designated as "Sole-Source Aquifers" by the EPA. These include:

- Santa Margarita Aquifer, Scotts Valley, Santa Cruz County
- Fresno Aquifer, Fresno County
- Ocotillo-Coyote Wells Aquifer, Imperial County
- Campo/Cottonwood Creek Aquifer, San Diego County

Consider if the project is located within or near one of the four EPA-designated Sole-Source Aquifers. Additional information regarding each aquifer is provided at:

<http://www.epa.gov/region09/water/groundwater/ssa.html>

If "No," check the "No" box next to Question #11 under Section A of the PES Form. No further study is needed. If the project is proposed within Santa Cruz, Fresno or Imperial Counties, or where proximity is questionable, state distance of project from Sole-Source Aquifer in the "Preliminary Environmental Investigation Notes to Support the Conclusions of the PES Form" and attach map showing project's relation to Sole-Source Aquifer boundary.

If "Yes," or "To Be Determined," check the appropriate box next to Question #11 under Section A of the PES Form. Additional study will be needed. Check Sole-Source Aquifer box under Section B of the PES Form. If the project is being processed with an EA or an EIS, EPA review of the NEPA document will be required prior to the public availability period. Check EPA box under Section C of the PES Form. If the project is being processed with a CE, and the project will involve a well or sewage disposal, or result in a threat of aquifer contamination or hazard to public health, EPA review will also be required prior to Caltrans approval of the CE. Check Sole-Source Aquifer under Section C of the PES Form, and check Coordination with EPA under Section C of the PES Form.

If the project is within a designated Sole-Source Aquifer, but does not involve a well or sewage disposal, or result in a threat of aquifer contamination or hazard to public health and will be processed with a CE, project is exempt from a project-by-project review by EPA. Documentation of research and impacts on the aquifer shall be prepared in accordance with guidance set forth in the SER, Chapter 9, "Hydrology, Water Quality and Stormwater," provided at:

<http://www.dot.ca.gov/ser/vol1/vol1.htm>

Coastal Zone

12. Is the project within the State Coastal Zone, San Francisco Bay or Suisun Marsh?

If "No," check the "No" box next to Question #12 under Section A of the PES Form. Reiterate location of project in the "Preliminary Environmental Investigation Notes to Support the Conclusions of the PES Form."

Where proximity is questionable, state distance of project (in miles) from State Coastal Zone jurisdiction. Attach a regional map showing location of project relative to State Coastal Zone.

If “Yes,” or “To Be Determined,” check the appropriate box next to Question #12 under Section A of the PES Form. Check Coastal Zone under Section B of the PES Form. Preparation of a separate technical report for coastal resources is not required. However, other technical reports may be needed to confirm project’s consistency with the State Coastal Zone Management Plan. As part of the permitting process, the following technical reports are often used to support the permit application: **water quality reports, visual assessments, community impact assessments, natural environment studies, biological assessments, and geotechnical reports**. In addition, the permitting agencies will require a copy of the approved final ED as well as documentation of consultation with resource and regulatory agencies including permits and approvals from these agencies.

Local agencies are responsible for obtaining a Coastal Consistency Determination or Waiver (required under the Federal Coastal Zone Management Act) from the California Coastal Commission (CCC). However, in order to obtain the consistency determination/waiver, the local agency must demonstrate that the project is consistent with the California Coastal Act and any Local Coastal Plan (LCP). The CCC Consistency Office will require a Coastal Development Permit (CDP) from the Local Coastal Agency (LCA), or at least a letter documenting consistency with the LCP before they will provide a consistency determination/waiver. Check Coordination boxes next to LCA and CCC (Federal Consistency Office) under Section C and check Action/Permit/Approval box next to CDP and Coastal Zone Consistency Determination under Section D of the PES Form.

Projects located within the San Francisco Bay Area and involving the construction, remodel or repair of structures, or the dredging or extraction of materials from within the San Francisco Bay, or in certain tributaries that flow into the Bay will also need to obtain a Bay Conservation and Development Commission (BCDC) permit prior to commencing any work within BCDC’s jurisdiction. Check Coordination with BCDC under Section C of the PES Form and check BCDC Permit under Section D of the PES Form.

Projects located within coastal areas outside San Francisco Bay will need to obtain a Coastal Zone Permit from the CCC prior to commencing any work within CCC’s jurisdiction. Check Coordination with CCC under Section C of the PES Form and check Coastal Zone Permit under Section D of the PES Form.

Consult with the DLAE and District SEP (or designee) to determine the best course of action.

Refer to the SER, Chapter 18, for additional guidance on compliance in Coastal Zone areas, at: <http://www.dot.ca.gov/ser/vol1/sec3/special/ch18coastal/chap18.htm>

Floodplain

13. Is the construction area located within a regulatory floodway or within the base floodplain (100-year elevation of a watercourse or lake?)

Check current Federal Management Agency (FEMA) maps and current National Flood Insurance Program (NFIP) maps available from public libraries, State Department of Water Resources, city and county flood control managers, or public works departments.

Will the project encroach on the base (100 year) floodplain? If “No,” check the “No” box next to Question #13 in Section A of the PES Form. Attach a copy of relevant FEMA or NFIP map, showing location of project. In the “Preliminary Environmental Investigation Notes to Support the Conclusions of the PES Form,” cite FEMA and/or NFIP map number and date. Also indicate whether or not all work will occur within existing right of way.

If “Yes,” or “To Be Determined,” check the appropriate box next to Question #13 in Section A of the PES Form. Further study will be required to determine if the action would support base floodplain development and/or if the action will involve any work permanently encroaching on a regulatory floodway, or if the action

will involve any work affecting the base floodplain (100-year) elevations of a watercourse or lake. Check Location Hydraulic Study under Section B of the PES Form. The conclusion of the Location Hydraulic Study will determine whether a Floodplain Evaluation Report or a Summary of Floodplain Encroachment Report will be needed.

The Location Hydraulic Study shall be prepared in accordance with guidance set forth in the SER, Chapter 17, "Floodplains," provided at:

<http://www.dot.ca.gov/ser/vol1/sec3/special/ch17flood/chap17.htm>

Wild and Scenic Rivers

14. Is the project within or immediately adjacent to a Wild and Scenic River System?

Look up the river on the following web site to determine if it is designated wild and scenic. Consider the project's proximity to these rivers. (*Note: Designation protects river and a 0.25-mile corridor from development. Consider whether the action involves any construction in, across, or adjacent to a river, designated as a component of, or proposed for inclusion in the National System of Wild and Scenic Rivers published by the U.S. Department of the Interior/U.S. Department of Agriculture.*)

If "No," check the "No" box next to Question #14 in Section A of the PES Form. In the "Preliminary Environmental Investigation Notes to Support the Conclusions of the PES Form" indicate in miles of closest designated Wild and Scenic River. When the project is in the general vicinity of a Wild and Scenic River, indicate that the project is not within the 0.25-mile protected corridor. Attach Regional Map showing project's relation to river in question.

If "Yes," or "To Be Determined," check the appropriate box next to Question #14 in Section A of the PES Form. Further study will be required to determine if the construction, operation or maintenance of the project will affect the river and whether the effect will be significant. Check Wild and Scenic Rivers Study under Section B, coordination with River Managing Agency under Section C, and Wild and Scenic Rivers Determination under Section D of the PES Form.

Consult with the DLAE and District SEP (or designee) to determine the level of analysis that will be necessary based on the potential for impact.

The Wild and Scenic River Studies shall be undertaken in accordance with guidance set forth in the SER, Chapter 19, "Wild and Scenic Rivers," provided at:

<http://www.dot.ca.gov/ser/vol1/sec3/special/ch19wsrivers/chap19.htm>

Early coordination with the River Managing Agency is strongly encouraged to expedite the Wild and Scenic Rivers Determination.

Biological Resources

15. Is there a potential for federally listed threatened or endangered species or their designated critical habitat to occur within or adjacent to the construction area? Note: The Federal Endangered Species Act, Sections 7, 9 and 10 protect federally listed threatened and endangered species and their designated critical habitat.

Consult the U.S Fish and Wildlife Service (USFWS), Division of Endangered Species web site (<http://www.fws.gov/endangered/listdata.html>) to determine whether there are any federally listed threatened or endangered species, or their designated critical habitat in the county within which the project is located.

If "No," check the "No" box next to Question #15 in Section A of the PES Form and request the Caltrans District Biologist prepare a finding of "No Effect" for the project file.

If “To Be Determined,” check the “To Be Determined” box next to Question #15 in Section A of the PES determining if there is a potential for federally listed plant and animal species and/or their critical habitat to occur within the project area. *Note: Caltrans staff assistance will depend on current workload and staff availability. When Caltrans District Biologists are not available, the local agency will need to retain a qualified biologist to survey the project area and prepare a Technical Memo summarizing the following:*

- Description of project setting
- USFWS list of the federally listed plant and animal species and their critical habitat occurring within the county
- Brief discussion of the habitat needs of each species on the list
- General reconnaissance survey notes and conclusion as to whether or not any of the species on the USFWS list exist or could occur within the project area
- Caltrans District Biologists will review the Technical Memo, when appropriate, make a finding of “No Effect”

If “Yes,” or “To Be Determined,” check the appropriate box next to Question #15 in Section A of the PES Form. Further study will be required. Check the appropriate technical report (NES or BA) under Section B of the PES Form. Consult with the DLAE and the District SEP (or designee) to determine the appropriate study based on the potential for impact(s). When a NES or NES (Minimal Impacts) is required, encircle the appropriate one in Section B, check coordination with Caltrans under Section C, and check Approval by Caltrans under Section D. When a BA is required, encircle the appropriate study under Section B, check coordination with Caltrans under Section C, and check approval for consultation by Caltrans under Section D. For BAs and BEs for federal-listed plants, animals or their critical habitat, check coordination with USFWS under Section C and Section 7 Informal/Formal Consultation under Section D. For BAs for federal-listed species protected by the NOAA, NMFS, check coordination with NOAA Fisheries under Section C.

Consult the following web sites to determine if the project has the potential to affect fish species covered by a Fisheries Management Plan at:

<http://www.nmfs.noaa.gov/habitat/efh/Consultation/TOC.html>

<http://www.nmfs.noaa.gov/sfa/magact/>

If the project has the potential to affect fish species covered by a Fisheries Management Plan, an Essential Fish Habitat (EFH) Evaluation will be required. Check EFH Evaluation under Section B, coordination with NOAA under Section C, and Magnuson-Stevens Fishery Conservation and Management Act (MSA) Consultation under Section D of the PES Form.

If the project will involve pile driving, structure demolition, explosives, or blasting, or will generate other forms of underwater noise, a Bio-Acoustic Evaluation, to assess the effects of this noise or sound pressure levels on fish, diving birds and other underwater species, will be required. Check Bio-Acoustic Evaluation under Section B, coordination with NOAA Fisheries under Section C, and approval by Caltrans under Section D of the PES Form. The NES (Minimal Impacts), NES or BA shall be prepared in accordance with guidance set forth in the SER, Chapter 14, “Biological Resources,” provided at:

<http://www.dot.ca.gov/ser/vol1/sec3/natural/Ch14Bio/ch14bio.htm>

Templates for the NES (Minimal Impacts), NES and BA and Quality Control guidance for Standard Biological Technical Documents and Reports are provided at:

<http://www.dot.ca.gov/ser/forms.htm>

16. Does the project have the potential to directly or indirectly affect migratory birds or their nests or eggs (such as vegetation removal, box culvert replacement/repair, bridge work etc.)?

Note: The Migratory Bird Treaty Act implements various treaties between the United States and Canada, Mexico, former Soviet Union, Japan protecting migratory birds by making it unlawful at any time, by any means or in any manner, to pursue, hunt, take, capture, or kill said species. The law applies to the removal of nests (such as swallow nests on bridges) occupied by migratory birds during the breeding season.

If “No,” check the “No” box next to Question #16 in Section A of the PES Form. No further study is required.

If “Yes,” or “To Be Determined,” check the appropriate box next to Question #16 in Section A of the PES Form and indicate under Section B of the PES Form that a NES (Minimal Impacts), NES, BA or BE will be prepared.

Coordinate with Caltrans District Biologist under Sections C & D.

The NES (Minimal Impacts), NES, BE or BA shall be prepared in accordance with guidance set forth in the SER, Chapter 14, “Biological Resources,” provided at:

<http://www.dot.ca.gov/ser/vol1/sec3/natural/Ch14Bio/ch14bio.htm>

17. Is there a potential for wetlands to occur within or adjacent to the construction area?

Begin by reviewing National Wetland Inventory (NWI) maps available through the appropriate Natural Resource Conservation Service (NRCS) field office(s). Where NWI maps indicate a potential for wetlands, a biologist, or someone with knowledge of wetlands should field review the project area. If a biologist is not available, photos of the project area should be taken and submitted with the completed PES Form. Is there potential for wetlands?

If “No,” check the “No” box next to Question #17 in Section A of the PES Form. No further study is needed. Indicate the soil classification in the “Preliminary Environmental Investigation Notes to Support the Conclusions of the PES Form.” Attach a copy of the relevant NWI map, showing location of project relative to wetland designations and include any field notes from the site visit and photographs of project area with project limits delineated.

If “Yes,” or “To Be Determined,” check the appropriate box next to Question #17 in Section A of the PES Form. Further study will be required to determine the exact boundary of the wetland (based on the ACOE three-parameter definition 330 CFR 323.2[c]), and to quantify the project related impacts on the wetland. Check Wetlands and Wetland Delineation (WD) and Assessment under Section B, check coordination with Caltrans and USACE under Section C, and check approval of assessment by Caltrans, Wetland Verification by USACE, and Wetlands Only Practicable Alternative Finding by Caltrans under Section D.

The Wetland Delineation shall be prepared in accordance with guidance set forth in the SER, Chapter 15, “Wetlands and Other Waters of the U.S.,” provided at:

<http://www.dot.ca.gov/ser/vol1/sec3/natural/ch15wetland/ch15wet.htm>

18. Is there a potential for agricultural wetlands to occur within or adjacent to the construction area?

Note: The 404 Regulatory Program covers discharges of dredged or fill material to wetlands on agricultural lands and requires authorization by the ACOE (either an individual permit or NWP) unless the activity has a CWA statutory exemption, or the area is prior converted cropland. Field staff of the NRCS determines whether an agricultural site is a wetland.

Review relevant maps and information available from the appropriate National Resources Conservation Service field office to determine if any agricultural wetlands are present within the project area.

If “No,” check the “No” box next to Question #18 in Section A of the PES Form. No further study is needed. Indicate the types of land uses immediately surrounding the project area and whether all work will occur

within existing right of way, etc., in the “Preliminary Environmental Investigation Notes to Support the Conclusions of the PES Form.” Attach a copy of any field notes from the site visit and/or any photographs of project area with project limits delineated.

If “Yes,” or “To Be Determined,” check the appropriate box next to Question #18 in Section A of the PES Form. Further study will be required to determine the exact boundary of the agricultural wetland (based on the ACOE three-parameter definition 33 CFR 323.2[c]) and to quantify the project related impacts on the agricultural wetland. Check Wetlands and Wetland Delineation (WD) and Assessment under Section B, check coordination with Caltrans and NRCS under Section C, check approval of the WD and Assessment by Caltrans and Agricultural Wetland Verification by NRCS under Section D.

The WD shall be prepared in accordance with guidance set forth in the SER, Chapter 15, Wetlands and Other Waters of the U.S., provided at:

<http://www.dot.ca.gov/ser/vol1/sec3/natural/ch15wetland/ch15wet.htm>

19. Is there a potential for the introduction or spread of invasive plant species?

Note: Presidential Executive Order 13112 prohibits the use of federal-aid for construction, revegetation or landscaping activities that purposely include the use of known invasive plant species. This Order is concerned with plant material being used in revegetation, and with the spread of invasive from or to a project area. If the project area is infested with Star Thistle, for example, the project needs to include measures to ensure that material is not being spread to other areas by disposal off-site or by tracking seed on equipment. Also, if equipment/material is being brought in from areas of invasive plants, this must be identified to ensure that invasive plants are not inadvertently being spread to the project area.

Review the California official noxious weed list and the California Invasive Plant Council (Cal-IPC) Invasive Plant Inventory at: <http://www.cal-ipc.org/> to determine if invasive plants are in the project area, or if any plants proposed for project landscaping are included on the list.

If “No,” check the “No” box next to Question #19 in Section A of the PES Form. No further action regarding invasive plants is needed. In the “Preliminary Environmental Investigation Notes to Support the Conclusions of the PES Form” clearly state that the project will not involve construction, revegetation or landscaping activities that use known invasive plant species. If landscaping is proposed, list plant species proposed for use, or if invasive plants exist within the project area, list those plants in the “Preliminary Environmental Investigations Notes to Support the Conclusions of the PES Form.”

If “Yes,” or “To Be Determined,” check the appropriate box next to Question #19 in Section A of the PES Form. Check “Invasive Species” and “Discussion in ED Only” under Section B, check coordination with Caltrans in Section C, and check “Approval” (of Discussion in ED) under Section D. If an NES is being prepared for impacts to biological species, noxious weed management and invasive species would be addressed in the NES. An NES template is provided at:

http://www.dot.ca.gov/ser/vol1/sec3/natural/Ch14Bio/files/nes_10_4_05.doc

Sections 4(f) and 6(f)

20. Are there any historic sites or publicly owned public parks, recreation areas, wildlife or waterfowl refuges (Section 4(f)) within or immediately adjacent to the construction area?

Review right of way and parcel maps prior to conducting a site visit to determine property ownership. During the site visit note all land uses surrounding the project limits. If “No,” check the “No” box next to Question #20 in Section A of the PES Form. No further study is needed. In the “Preliminary Environmental Investigation Notes to Support the Conclusions of the PES” list all surrounding land uses. Attach Project Footprint Map.

If “Yes,” or “To Be Determined,” check the appropriate box next to question #20 in Section A of the PES Form. Further study will be required. Check Section 4(f) in Section B and write in specific Programmatic Section 4(f) Evaluation, if applicable. Consult with the DLAE and District SEP (or designee) to determine

whether a Programmatic Section 4(f) Evaluation, or an Individual Section 4(f) Evaluation is appropriate, or if the action constitutes a Temporary Occupancy, or qualifies for a de minimis finding. Programmatic and Individual Section 4(f) Evaluations shall be prepared.

Do not begin the Section 4(f) Evaluation until after the PES Form is fully signed. The consultant contract for the Evaluation shall be prepared in accordance with guidance and procedures set forth in the LAPM, Chapter 10, "Consultant Selection," provided at:

http://www.dot.ca.gov/hq/LocalPrograms/lam/prog_p/p10consult.pdf

Guidance on determining de minimis impacts to Section 4(f) properties, or on preparing an Individual Section 4(f), or one of the five (5) Programmatic Section 4(f) Evaluations:

- Parklands, Recreation Areas and Wildlife and Waterfowl Refuges
- Minor Involvement with Historic Sites
- Historic Bridges
- Bikeways and Walkways
- Projects that have a Net Benefit to Section 4(f) properties

Refer to SER, Chapter 20, Section 4(f) and Related Requirements, at:

<http://www.dot.ca.gov/ser/vol1/sec3/special/ch204f/chap20.htm>

21. Does the project have the potential to affect properties acquired or improved with Land and Water Conservation Fund Act (Section 6(f)) funds?

Review right of way and/or parcel maps prior to conducting a site visit to determine if there are any parks adjacent to, or that would be affected by the project. In order to determine whether Land and Water Conservation Fund (L&WCF) were involved in the acquisition or improvement of a 4(f) property, the park authority having jurisdiction over the property should be interviewed.

If "No," check the "No" box next to Question #21 in Section A of the PES Form. No further study is needed. In the "Preliminary Environmental Investigation Notes to Support the Conclusions of the PES Form" list all surrounding land uses. When one of the surrounding land uses is a park, identify ownership.

If "Yes," (*L&WCF funds were utilized for acquisition or improvement*), further study will be needed and all practical alternatives to the proposed conversion must be evaluated.

Check the "Yes," or "To Be Determined," box next to Question #21 in Section A of the PES Form. Check Section 6(f) in Section B, check coordination with Agency with Jurisdiction under Section C, and if the project will result in the conversion of the Section 6(f) property, check coordination with National Park Service (NPS) under Section C, and check Approves Conversion under Section D. The NPS Regional Office must concur that all environmental review requirements related to the proposed project have been met.

Section 6(f) study procedures are outlined in the SER, Chapter 20, provided at:

<http://www.dot.ca.gov/ser/vol1/sec3/special/ch204f/chap20.htm#consider>

Approval of a Section 6(f) conversion/replacement property shall be documented in the Section 4(f) Evaluation and Environmental Document.

Visual Resources

22. Does the project have the potential to affect any visual or scenic resources?

Refer to the Visual Impact Assessment (VIA) Guide in the SER, provided at:

<http://www.dot.ca.gov/ser/vol1/sec3/community/ch27via/VIAChecklistGuidefinal.doc>

Consider each of the ten (10) questions and select the response that most closely applies to the project in question. Refer to *Preliminary Design Information provided on the first page of the PES Form when answering questions*. Each response has a corresponding point value. After the checklist is completed the total

score will indicate the potential for impact and the level of detail needed to adequately address visual impacts in the PES Form.

Note: This scoring system should only be used as a preliminary guide and should not be used as a substitute for objective analysis on the part of the user. Although the collective score may direct the user toward a certain level of analysis, circumstances associated with any one of the ten question-areas may necessitate elevating the VIA to a greater level of detail.

Scores between 10-14 indicate a low potential for the project to affect a visual or scenic resource. If this is the case, check the “No” box next to Question #22 in Section A of the PES Form. No further study is needed. In the “Preliminary Environmental Investigation Notes to Support the Conclusions of the PES Form” briefly summarize the outcome of the ten (10) questions or attach a copy of the questions.

If “Yes,” or “To Be Determined,” check the appropriate box next to Question #22 in Section A of the PES Form and indicate under Section B of the PES Form whether a VIA Technical Memorandum or Discussion in the ED will be prepared. Refer to the scores from the ten (10) questions when determining which level of analysis is appropriate based on the potential for impact.

- Score 20-30 – potentially high adverse impacts, prepare VIA
- Score 15-19 – potential impacts, prepare abbreviated VIA
- Score 10-14 – little or no potential for impacts, prepare Technical Memorandum or Discussion in the ED.

When a VIA is needed, indicate Coordination with Caltrans in Section C of the PES Form, and Approval by Caltrans under Section D of the PES Form.

The VIA shall be prepared in accordance with guidance provided in the SER, Chapter 27, “Visual and Aesthetics Review,” at:

<http://www.dot.ca.gov/ser/vol1/sec3/community/ch27via/chap27via.htm#eval>

Keep in mind that the Administration has determined (23 CFR 771.135, Section 4[f] [49 U.S.C. 303]) that a Section 4(f) Constructive Use occurs when: (ii) The proximity of the proposed project substantially impairs aesthetic features or attributes of a resource protected by Section 4(f), where such features or attributes are considered important contributing elements to the value of the resource. Examples of substantial impairment to visual or aesthetic qualities would be the location of a proposed transportation facility in such proximity that it obstructs or eliminates the primary views of an architecturally significant historical building, or substantially detracts from the setting of a park or historic site which derives its value in substantial part due to its setting.

Relocation Impacts

23. Will the project require the relocation of residential or business properties?

Note: The Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 provides important protections and assistance for people affected by federally funded projects. This law was enacted by Congress to ensure that people whose real property is acquired, or who move as a result of projects receiving federal funds, will be treated fairly and equitably and will receive assistance in moving from the property they occupy. Responsibility for the enforcement of this Act has been delegated to the FHWA and is carried out by the Office of Real Estate Services. Title 49: Transportation, Part 24—Uniform Relocation Assistance And Real Property Acquisition For Federal and Federally Assisted Programs, Section 24.205, Relocation Planning, Advisory Services and Coordination, requires that during the early stages of development, an agency shall plan federal and Federally Assisted Programs or projects in such a manner that recognizes the problems associated with the displacement of individuals, families, businesses, farms, and nonprofit organizations and develop solutions to minimize the adverse impacts of displacement. Such planning, where appropriate, shall precede any action by an agency which will cause displacement, and should be scoped to the complexity and nature of the anticipated displacing activity including an evaluation of program resources available to carry out timely and orderly relocations.

Will the project require the relocation of residential or business properties?

If “No,” check the “No” box next to Question #23 in Section A of the PES Form. No further study is needed.

If “Yes,” or “To Be Determined,” check the appropriate box next to Question #23 in Section A of the PES Form. Under Section B of the PES Form indicate whether a Relocation Impact Memo, Relocation Impact Study or Relocation Impact Report will be prepared. Consult with the DLAE and District SEP (or designee) when determining which level of analysis will be necessary based on the scope of the project. Indicate coordination with and approval by Caltrans under Section C and P of the PES Form.

The Relocation Impact Study or Report shall be prepared in accordance with guidance provided in the SER, Chapter 24, “Community Impacts,” at:

<http://www.dot.ca.gov/ser/vol1/sec3/community/ch24cia/chap24cia.htm#laws>

Land Use, Community and Farmland Impacts

24. Will the project require any right of way, including partial or full takes? Consider construction easements and utility relocations.

Note: As mentioned earlier, the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 provides important protections for people whose real property is acquired as a result of projects receiving federal funds.

If “No,” check the “No” box next to Question #24 in Section A of the PES Form. Also check “No” next to Right of Way Acquisition under Preliminary Design Information on the first page of the PES Form.

In the “Preliminary Environmental Investigation Notes to Support the Conclusions of the PES Form” indicate that “all work (i.e., trenching, slope stabilization, etc.), if applicable, will occur within existing right of way” next to #23.

If “Yes,” or “To Be Determined,” check the appropriate box next to Question #24 in Section A of the PES Form. Further study will be needed. Indicate under Section B of the PES Form whether a Community Impact Assessment (CIA), Technical Memorandum, or Discussion in ED Only will be prepared. Consult with the DLAE and District SEP (or designee) when determining which level of analysis is appropriate based on scope of project and potential for impacts. Under Sections C & D of the PES Form indicate that coordination with and approval by Caltrans will be required.

On the first page of the PES Form, under Preliminary Design Information, check the “Yes” box next to Right of Way Acquisition and attach a map showing all affected APNs. On the “Preliminary Environmental Investigation Notes to Support the Conclusions of the PES Form” indicate the total acreage to be acquired and the purpose for the acquisition next to Question #23.

The Relocation Impact Study or Report shall be prepared in accordance with guidance provided in the SER, Chapter 24, “Community Impacts,” at:

<http://www.dot.ca.gov/ser/vol1/sec3/community/ch24cia/chap24cia.htm#laws>

Note: 23 CFR 771.111(h)(2)(iii) requires one or more public hearings or the opportunity for a public hearing for any federal-aid project which requires significant amounts of right of way, substantially changes the layout or functions of connecting roadways, or if the facility being improved has a substantial adverse impact on abutting properties.

25. Is the project inconsistent with plans and goals adopted by the community?

Note: NEPA requires that when a proposed federal action, normally classified as a CE, involves an unusual circumstance, such as “...likely to cause substantial division or disruption of an established community, disrupt orderly and planned development, or is likely to be not reasonably consistent with plans or goals that have been adopted by the community...,” the project shall be the subject of an EA or EIS.

Check comprehensive development plan, general plan and/or community plan and goals adopted by the community. Is project inconsistent?

If “No,” check the “No” box next to Question #25 in Section A of the PES Form. No further study is needed. In the “Preliminary Environmental Investigation Notes to Support the Conclusions of the PES Form” indicate steps taken to ensure consistency with local plans.

If “Yes,” or “To Be Determined,” check the appropriate box next to Question #25 in Section A of the PES Form. Additional study will be needed. Under Section B, Land Use and Community Impacts, indicate whether a CIA, Technical Memorandum, or Discussion in ED Only will be prepared. Consult with the DLAE and District SEP (or designee) when determining which level of analysis will be necessary based on the scope of the project and potential for impact.

The CIA shall be undertaken in accordance with guidance provided in the SER, Chapter 24, “Community Impacts,” at:

<http://www.dot.ca.gov/ser/vol1/sec3/community/ch24cia/chap24cia.htm#laws>

26. Does the project have the potential to divide or disrupt neighborhoods/communities?

Note: The U.S. DOT Order clarifies and reinforces Title VI responsibilities as well as addresses effects on low-income populations. The goal of the U.S. DOT Order is to ensure that programs, policies, and other activities do not have a disproportionately high and adverse effect on minority or low-income populations. This goal is to be achieved, in part, by implementing both Title VI and NEPA during the development and implementation of transportation activities. All reasonably foreseeable adverse social, economic, and environmental effects on minority populations and low-income populations must be identified and addressed. As defined in the Appendix of the DOT Order, adverse effects include, but are not limited to the “destruction or disruption of community cohesion or a community's economic vitality.”

Consult demographic data (i.e., age, ethnicity, and income) from most recent census, consider:

- sense of neighborhood and community cohesion relative to project
- community resources (parks, churches, shopping, schools, emergency services, libraries) travel patterns
- types of housing and businesses
- employment and tax base

Does the project have the potential to divide or disrupt neighborhoods?

If “No,” check the “No” box next to Question #26 in Section A of the PES Form. No further study is needed. In the “Preliminary Environmental Investigation Notes to Support the Conclusions of the PES Form” briefly describe the steps taken to support a “No” answer and briefly describe surrounding land uses.

If “Yes,” or “To Be Determined,” check the appropriate box next to Question #26 in Section A of the PES Form. Additional study will be needed. Under Section B, Land Use and Community Impacts, indicate whether a CIA, Technical Memorandum, or Discussion in ED Only will be prepared. Consult with the DLAE and District SEP (or designee) when determining the most appropriate level of analysis based on the scope of the project and potential for impact.

The CIA shall be undertaken in accordance with guidance provided in the SER, Chapter 24, Community Impacts, at:

<http://www.dot.ca.gov/ser/vol1/sec3/community/ch24cia/chap24cia.htm#laws>

27. Does the project have the potential to disproportionately affect low-income or minority populations?

Note: The U.S. DOT Order clarifies and reinforces Title VI responsibilities as well as addresses effects on low-income populations. The goal of the U.S. DOT Order is to ensure that programs, policies, and other activities do not have a disproportionately high and adverse effect on minority or low-income populations. This goal is to be achieved, in part, by implementing both Title VI and NEPA during the development and implementation of transportation activities. When the project will affect a Minority or Low-Income

Community, Presidential E.O. 12898 (on Environmental Justice) requires federal agencies to assure that their actions do not result in disproportionate adverse environmental impacts on minority or low-income populations.

Check the Census to see which census tracts the project goes through and see if they are identified as “minority” or “low-income”.

If the project does not go through “minority” or “low-income” census tracts, no further study will be needed. Check the “No” box next to Question #27 in Section A of the PES Form. In the “Preliminary Environmental Investigation Notes to Support the Conclusions of the PES Form” state the date of the Census consulted.

If the project does go through “minority” or “low-income” census tracts, then further study may be required. Check the “Yes” or “To Be Determined” box next to Question #27 in Section A of the PES Form and consult with the DLAE and District SEP (or designee) to determine the appropriate level of analysis needed based on the scope of the project and the potential for impact. Under Sections C and D of the PES Form, indicate that coordination with Caltrans and approval by Caltrans is required.

The CIA shall be undertaken in accordance with guidance provided in the SER, Chapter 24, “Community Impacts,” at:

<http://www.dot.ca.gov/ser/vol1/sec3/community/ch24cia/chap24cia.htm#laws>

28. Will the project require the relocation of public utilities?

Note: Relocation of public utilities can disrupt public services to an established community. NEPA requires consideration of impacts associated with disruption of established communities. Additionally, the LAPM, Chapter 14, “Utility Relocations,” requires that the E-76 include a list of every utility facility anticipated to be adjusted along with the utility company name and best available estimate of the total local agency costs involved.

Review public services and utilities presently available to the project area and determine whether relocation will be necessary.

If “No,” check the “No” box next to Question #28 in Section A of the PES Form. If “Yes,” or “To Be Determined,” check the appropriate box next to Question #28 in Section A of the PES Form. Under Section B indicate whether a CIA, Technical Memorandum or Discussion in ED Only will be prepared. Consult with the DLAE and District SEP (or designee) when determining the appropriate level of analysis based on the scope of the project and the potential for impact. Under Sections C and D of the PES Form, indicate that coordination with Caltrans and approval by Caltrans is required.

The CIA shall be undertaken in accordance with guidance provided in the SER, Chapter 24, “Community Impacts,” at:

<http://www.dot.ca.gov/ser/vol1/sec3/community/ch24cia/chap24cia.htm#laws>

29. Will the project affect access to properties or roadways?

Note: 23 CFR 771.111(h)(2)(iii) requires consideration of potential impacts associated with any federal-aid project which substantially changes the layout or functions of connecting roadways or of the facility being improved, or has a substantial adverse impact on abutting properties. One or more public hearings of the opportunity for a public hearing may be required when substantial adverse impacts result.

If “No,” check the “No” box next to Question #29 in Section A of the PES Form. No further study will be needed. In the “Preliminary Environmental Investigation Notes to Support the Conclusions of the PES Form,” briefly list adjacent land uses and proposed access to those land uses during project construction.

If “Yes,” or “To Be Determined,” check the appropriate box next to Question #29 in Section A of the PES Form. Under Section B, indicate whether a CIA, Technical Memorandum or Discussion in ED Only will be prepared. Consult with the DLAE and District SEP (or designee) when determining the appropriate level of

analysis based on the scope of the project and the potential for impact. Under Sections C and D of the PES Form, indicate that coordination with Caltrans and approval by Caltrans is required.

The CIA shall be undertaken in accordance with guidance provided in the SER, Chapter 24, "Community Impacts," at: <http://www.dot.ca.gov/ser/vol1/sec3/community/ch24cia/chap24cia.htm#laws>

Keep in mind that the Administration has determined (23 CFR 771.135, Section 4[f][49 U.S.C. 303]) that a Section 4(f) Constructive Use occurs when: (iii) the project results in a restriction on access, which substantially diminishes the utility of a significant publicly owned park, recreation area, or a historic site.

30. Will the project involve changes in access control to the State Highway System?

Note: 23 CFR 771.117 includes in the definition of an "Action" activities such as joint and multiple use permits and changes in access control which may or may not involve a commitment of federal funds.

A change in access control can come about from either:

- New connection to mainline freeway lanes.
- Addition of entrance or exit ramps that complete basic existing interchange.
- Major reconstruction where existing interchanges are being modified and/or dislocated ramps are being added or deleted.
- Removal of existing connection points.

Where the change in access control occurs on an interstate, FHWA concept approval will be needed. Where the change in access control occurs on a non-interstate, no FHWA involvement is needed.

If the project will not involve a change in access control to the SHS, check the "No" box next to Question #30 in Section A of the PES Form. No further study is needed. Briefly discuss project's location relative to the SHS in the "Preliminary Environmental Investigation Notes to Support the Conclusions of the PES Form." Include a Vicinity Map to showing the project's relationship to the SHS.

If the project will involve a change in access control, check the "Yes" or "To Be Determined" box next to Question #30 as appropriate in Section A of the PES Form and consult the DLAE regarding the process for obtaining FHWA concept approval.

31. Will the project involve the use of a temporary road, detour, or ramp closure?

If "No," check the "No" box next to Question #31 in Section A of the PES Form. No further study is needed.

If "Yes," or "To Be Determined," check the appropriate box next to Question #31 in Section A of the PES Form. Additional study will be needed to determine whether:

- Provisions have been made for access by local traffic.
- Through-traffic dependent business will be adversely affected.
- The detour or ramp closure will interfere with a local special event or festival.
- The temporary road, detour or ramp closure will substantially change the environmental consequences of the action.
- There is a substantial controversy associated with the temporary road, detour or ramp closure.

Under Section B of the PES Form, indicate whether a CIA, Technical Memorandum or Discussion in ED Only will be prepared. Consult with the DLAE and District SEP (or designee) when determining the appropriate level of analysis based on the scope of the project and the potential for impact. Under Sections C and D of the PES Form indicate that coordination with Caltrans and approval by Caltrans is required.

The CIA shall be undertaken in accordance with guidance provided in the SER, Chapter 24, "Community Impacts," at:

<http://www.dot.ca.gov/ser/vol1/sec3/community/ch24cia/chap24cia.htm#laws>

Keep in mind that the Administration has determined (23 Section 4[f] [49 U.S.C. 303]) that a Section 4(f) Constructive Use occurs when: (iii) the project results in a restriction on access which substantially diminishes the utility of a significant publicly owned park, recreation area, or a historic site.

32. Will the project reduce available parking?

If “No,” check the “No” box next to Question #32 in Section A of the PES Form. In the “Preliminary Environmental Investigation Notes to Support the Conclusions of the PES Form” briefly describe parking within the construction area and quantify the number of parking spaces that will be temporarily impacted during project construction. Delineate location of parking spaces on Project Footprint Map.

If “Yes,” or “To Be Determined,” check the appropriate box next to Question #32 in Section A of the PES Form. Further study will be required. Under Section B of the PES Form, indicate whether a CIA, Technical Memorandum or Discussion in ED Only will be prepared. Consult with the DLAE and District SEP (or designee) when determining the appropriate level of analysis based on the scope of the project and the potential for impact. Under Sections C and D of the PES Form, indicate that coordination with Caltrans and approval by Caltrans is required.

The CIA shall be undertaken in accordance with guidance provided in the SER, Chapter 24, “Community Impacts,” at:

<http://www.dot.ca.gov/ser/vol1/sec3/community/ch24cia/chap24cia.htm#laws> Section 4-6.7 of the *Environmental Handbook Volume 4*, “Community Impact Assessment” provides guidance on Parking Impacts at: <http://www.dot.ca.gov/ser/vol4/envhb4.pdf>

33. Will the project construction encroach on state or federal lands?

If “No,” check the “No” box next to Question #33 in Section A of the PES Form.

If “Yes,” or “To Be Determined,” check the appropriate box next to Question #33 in Section A of the PES Form. For Construction/Encroachments on State Lands, check the box next to State Lands under Section B of the PES Form and indicate the agency with jurisdiction (i.e., SLC, Caltrans, or SP), check coordination with the respective agency under Section C, and mark the appropriate box under Section D indicating the action that the agency will take.

For Construction/Encroachments on Federal Lands, check the box next to Federal Lands under Section B of the PES Form. Under Section C, check the box next to Federal Agency with Jurisdiction, indicating the need for ongoing coordination throughout the NEPA process. Under Section D check the box beside Encroachment Permits, indicating the action the federal agency with jurisdiction will take.

Note: Early and continued coordination with other agencies is crucial for smoothing the process of completing projects in a timely and efficient manner. Chapter 16 of the FHWA, Office of Real Estate Services Project Development Guide, provides guidance on coordination with other state and federal agencies. The guide is provided at:

<http://www.fhwa.dot.gov/realestate/coordnt.pdf>

34. Will the project convert any farmland to a different use or impact any farmlands?

Consult maps provided at: http://www.consrv.ca.gov/DLRP/fmmp/pubs/Order%20Form_1-4-07.pdf

If “No,” check the “No” box next to Question #34 in Section A of the PES Form. No further study will be needed. List surrounding land uses in the “Preliminary Environmental Investigation Notes to Support the Conclusions of the PES Form” or attach field notes from site visit, indicating surrounding land uses (i.e., farmlands).

If “Yes,” or “To Be Determined,” check the appropriate box next to Question #34 in Section A of the PES Form. Further study will be required. Check the appropriate study to be undertaken (i.e., CIA, Technical Memorandum, Discussion in ED Only, Form AD 1006). Consult with the DLAE and District SEP (or designee) when determining the appropriate level of analysis.

No technical reports are mandated by state or federal law concerning farmlands. However, it may be appropriate to prepare a separate CIA if any farmland will be affected by the proposed project. Guidance on preparing the farmland section of a CIA is provided at:

<http://www.dot.ca.gov/ser/vol1/sec3/community/ch23farm/chap23farm.htm>. Otherwise, a Technical Memorandum and/or Discussion in the ED Only addressing the following should suffice: (1) Identification of impacts on agricultural lands and on prime or unique farmland in the project area; (2) Form AD-1006 evaluation, if appropriate; (3) Evidence of coordination with USDA and/or California Department of Conservation (CDOC), as appropriate; and (4) Identification of possible mitigation measures for significant impacts. Under Section C of the PES Form check coordination with Caltrans, NRCS or CDOC and under Section D check action the respective agency will take.

Local agency should complete Parts I and III of U.S. Department of Agriculture [Form AD 1006](#), "Farmland Conversion Impact Rating," and submit it with maps showing location of alternatives to the appropriate Natural Resources Conservation Service field office for verification of prime and unique farmlands.

Are lands subject to the Farmland Protection Policy Act? If "No," no further study will be required. If "Yes," any conversions to non-agricultural use will require coordination with the ACOE. Check coordination with ACOE under Section C of the PES Form. Document results of the Form AD 1006 in the "Preliminary Environmental Investigation Notes to Support the Conclusions of the PES Form."

Note: Regarding the Farmland Conversion Impact Rating Form (AD-1006), sites with the highest combined scores are regarded as most suitable for protection and sites with the lowest scores, least suitable. Sites receiving a total score of less than 160 need not be given further consideration for protection and no additional sites need to be evaluated. Sites receiving scores totaling 160 or more shall be given increasingly higher levels of consideration for protection.

Cultural Resources

35. Is there National Register listed or potentially eligible historic properties or archaeological resources within or immediately adjacent to the construction area?

All federal-aid transportation projects require screening by a District Professionally Qualified Staff (PQS) in order to satisfy the requirements of Section 106 Programmatic Agreement, which became effective on January 1, 2004.

For this reason, there is no need for local agencies to undertake any research on the potential presence of historic or cultural resources unless advised to do so by the District PQS. A completed PES Form (including a detailed Project Description, Preliminary Design Information and Sections A and B) is needed by the PQS in order to perform the Section 106 screening.

The District PQS will indicate on the PES Form whether a record search, an APE map or technical studies are needed. The local agency should not initiate cultural studies until such time that the District PQS has determined the appropriate study areas for archaeology and historic architecture. The APE must be finalized and signed by the DLAE and District PQS prior to the completion and submittal of the Section 106 documentation. The local agency should request the DLAE to schedule an Early Coordination Meeting to discuss required format and content of required cultural reports.

36. Is the project adjacent to, or would it encroach on Tribal Land?

Note: In accordance with the 6004 MOU and Section 106 PA, the FHWA reserves any responsibility for all government-to-government consultation with Indian tribes as defined in 36 CFR 800.16(m). However, notice from the State to an Indian tribe advising the tribe of a proposed activity is not considered "government-to-government consultation" within the meaning of this MOU.

If the State adequately resolves any project-specific tribal issues or concerns, then the FHWA's role in the environmental process shall be limited to carrying out any government-to-government consultation process, if needed.

If “No,” check the “No” box next to Question #36 in Section A of the PES Form. No further coordination is needed.

If “Yes,” or “To Be Determined,” check the appropriate box next to Question #36 in Section A of the PES Form and consult with the DLAE, District SEP (or designee) and District PQS on the most current procedures/guidance pertaining to encroachments on Tribal Land. Provide to the FHWA any information necessary in order for the FHWA to carry out its consultation, evaluation, or decision-making activities stipulated in the 6004 MOU, Section II(B)(1).

Sections B, C, & D

Section B: Section C: Section D: Check action, approval or permit coordinating agency will provide.

B. Required Technical Studies and Analyses

Local agency considers the results of the preliminary environmental investigation and the responses to the questions under Section A of the PES Form. Additional technical studies or documentation will be necessary for each “Yes” or “To Be Determined” response in Section A. Consult with the DLAE and District SEP (or designee) when determining the appropriate level of analysis under Section B.

C. Coordination

Local agency checks appropriate Coordinating Agency for each required study.

D. Anticipated Actions/Permits/Approvals

The local agency checks action, approval or permit needed. Note that a list of permits is provided at the bottom of Section D. The permit issuing agency will be the Coordinating Agency (in Section C) listed adjacent to the permit (in Section D). Consult the *California Permit Handbook*.

E. Preliminary Environmental Document Classification (for NEPA)

Based on the answers provided in Section A through D of the PES Form, the local agency makes a preliminary recommendation as to the appropriate NEPA class of action.

Environmental Impact Statement: When the action has the potential to significantly affect the environment an EIS should be prepared. Examples of actions that normally require an EIS include:

- a new controlled access freeway
- a highway project of four or more lanes on a new location
- new construction or extension of fixed rail transit facilities
- new construction or extension of a separate roadway for buses or high occupancy vehicles not located within an existing highway facility

Complex Environmental Assessment: An action involving one or more of the following should be classified as a Complex EA:

- multiple location alternatives
- debate related to purpose and need
- strong public controversy
- issues of logical termini or independent utility
- individual Section 4(f) determinations
- complex Endangered Species Act issues
- numerous cumulative impacts
- high mitigation costs

Routine Environmental Assessment: An action that cannot be classified as a CE and yet it does not clearly require preparation of an EIS, or an action in which the significance of the environmental impact is not clearly established.

Categorical Exclusion with or without required technical studies: Review the list of activities provided at 23 CFR 771 (c), 23 CFR 771 (d) and Appendix A of the Section 6004 MOU to find the activity most closely resembling the project. Place a check mark next to the list that contains the similar activity and indicate the specific activity number.

Section 6005

The Section 6005 Pilot Program MOU, in addition to assigning Caltrans the authority to approve EISs and EAs, also assigned Caltrans approval of those CE activities not covered under the provisions of the Section 6004 MOU. The District SEP will ultimately determine the applicable MOU under which the CE determination shall be made.

Public Hearing and Public Availability

Local agency indicates whether a Public Hearing or Public Availability may be required. When determining whether a public hearing is necessary, note that all draft EISs require a public hearing, and NEPA requires a public hearing on EDs when there is:

- Substantial environmental controversy concerning the proposed action.
- Substantial interest in holding a hearing.
- A request for hearing by another agency with jurisdiction over the action.

Public Involvement for other federal environmental processes includes:

- Section 106 - notification to potentially interested parties if the project will affect a historic property
- E.O. 11990 (Wetlands) - a public notice, if the project will affect a wetland
- E.O. 11998 (Floodplain) - a public notice, if the project involves a of floodplain encroachment
- E.O. 12898 (Environmental Justice) - a public notice, if the project will adversely affect a minority or low-income community

G. Signatures:

Local Agency Staff and/or Consultant Signature: This is the name and telephone number of the person that performed the preliminary environmental investigation and completed the PES Form.

Local Agency Project Engineer Signature: This is the name of the local agency representative (typically the person having responsible charge for the project, i.e., Public Works Director or City Engineer). They sign the PES Form when they are satisfied that the form and all supporting documentation is “complete and sufficient.”

Caltrans District Professionally Qualified Staff (PQS) Signature: The District PQS will indicate the results of their screening in the PQS signature block of the PES Form, indicate appropriate response to Question 35 under Section B of the PES Form, complete Sections C, D, and E, (regarding Section 106), and sign the PES Form for all projects.

Caltrans District Senior Environmental Planner (or Designee) and DLAE (or Designee) Signatures: A Caltrans District Environmental signature is required on the PES Forms for all projects. Their signature means the submittal is complete and sufficient and that they concur with the studies to be performed and the recommended NEPA Class of Action. The DLAE or designee must also sign all PES Forms when they are satisfied that the form and supporting documentation are complete and sufficient, and when they concur with the studies to be performed and the recommended NEPA Class of Action.

Headquarters Environmental Coordinator Signature: The Headquarters (HQ) DEA (Regional) Environmental Coordinator concurrence is a required attachment to the PES Form when the recommended NEPA Class of Action is an EA or an EIS. The HQ DEA Environmental Coordinator concurrence means that

they have reviewed the PES Form and concur with the recommended NEPA Class of Action. The HQ DEA Environmental Coordinator will concur via e-mail to the District SEP (or designee), who shall attach the e-mail to the PES Form and check the box below and enter the date of concurrence on the PES Form.

Distribution: The original signed PES Form and appropriate guidance memo shall be maintained in the DLAE's project file. A copy of the signed PES Form shall be retained by the Local Agency Project Manager, and the District SEP (or designee). Additional copies of the PES Form may be retained by the District SEP (or designee) and the District PQS.

Updated: 05/15/08

EXHIBIT 6-C TABLE 2 -EXEMPT PROJECTS**CODE OF FEDERAL REGULATIONS****TITLE 40 -- PROTECTION OF ENVIRONMENT***§ 93.126 Exempt projects.*

Notwithstanding the other requirements of this subpart, highway and transit projects of the types listed in Table 2 of this section are exempt from the requirement to determine conformity. Such projects may proceed toward implementation even in the absence of a conforming transportation plan and TIP. A particular action of the type listed in Table 2 of this section is not exempt if the MPO in consultation with other agencies (see § 93.105(c)(1)(iii)), the EPA, and the FHWA (in the case of a highway project) or the FTA (in the case of a transit project) concur that it has potentially adverse emissions impacts for any reason. States and MPOs must ensure that exempt projects do not interfere with TCM implementation. Table 2 follows:

TABLE 2. -- EXEMPT PROJECTS**SAFETY**

Railroad/highway crossing.
 Hazard elimination program.
 Safer non-Federal-aid system roads.
 Shoulder improvements.
 Increasing sight distance.
 Safety improvement program.
 Traffic control devices and operating assistance other than signalization projects.
 Railroad/highway crossing warning devices.
 Guardrails, median barriers, crash cushions.
 Pavement resurfacing and/r rehabilitation.
 Pavement marking demonstration.
 Emergency relief (23 U.S.C. 125).
 Fencing.
 Skid treatments.
 Safety roadside rest areas.
 Adding medians.
 Truck climbing lanes outside the urbanized area.
 Lighting improvements.
 Widening narrow pavements or reconstructing bridges (no additional travel lanes).
 Emergency truck pullovers.

MASS TRANSIT

Operating assistance to transit agencies.
 Purchase of support vehicles.
 Rehabilitation of transit vehicles fn1.
 Purchase of office, shop, and operating equipment for existing facilities.
 Purchase of operating equipment for vehicles (e.g., radios, fareboxes, lifts, etc.).
 Construction or renovation of power, signal, and communications systems.
 Construction of small passenger shelters and information kiosks.

Reconstruction or renovation of transit buildings and structures (e.g., rail or bus buildings, storage and maintenance facilities, stations, terminals, and ancillary structures).
Rehabilitation or reconstruction of track structures, track, and trackbed in existing rights of way.
Purchase of new buses and rail cars to replace existing vehicles or for minor expansions of the fleet **fn1**.
Construction of new bus or rail storage/maintenance facilities categorically excluded in 23 CFR Part 771.

Air Quality

Continuation of ride-sharing and van-pooling promotion activities at current levels.
Bicycle and pedestrian facilities.

Other

Specific activities which do not involve or lead directly to construction, such as:

- Planning and technical studies.
- Grants for training and research programs.
- Planning activities conducted pursuant to titles 23 and 49 U.S.C.
- Federal-aid systems revisions.

Engineering to assess social, economic, and environmental effects of the proposed action or alternatives to that action.

Noise attenuation.

Emergency or hardship advance land acquisitions (23 CFR 710.503).

Acquisition of scenic easements.

Plantings, landscaping, etc.

Sign removal.

Directional and informational signs.

Transportation enhancement activities (except rehabilitation and operation of historic transportation buildings, structures, or facilities).

Repair of damage caused by natural disasters, civil unrest, or terrorist acts, except projects involving substantial functional, locational or capacity changes.

fn1 In PM [10] nonattainment or maintenance areas, such projects are exempt only if they are in compliance with control measures in the applicable implementation plan.

[58 FR 62246, Nov. 24, 1993; 62 FR 43780, 43816, Aug. 15, 1997; 69 FR 40004, 40081, July 1, 2004]

[EFFECTIVE DATE NOTE: 69 FR 40004, 40081, July 1, 2004, amended Table 2, effective Aug. 2, 2004.]

EXHIBIT 6-D TABLE 3 - EXEMPT PROJECTS

[Code of Federal Regulations]
[Title 40, Volume 19]
[Revised as of July 1, 2004]
From the U.S. Government Printing Office via GPO Access
[CITE: 40CFR93.127]

[Page 583]

TITLE 40--PROTECTION OF ENVIRONMENT

CHAPTER I--ENVIRONMENTAL PROTECTION AGENCY (CONTINUED)

PART 93_DETERMINING CONFORMITY OF FEDERAL ACTIONS TO STATE OR FEDERAL
IMPLEMENTATION PLANS--Table of Contents

Subpart A_Conformity to State or Federal Implementation Plans of

Sec. 93.127 Projects exempt from regional emissions analyses.

Notwithstanding the other requirements of this subpart, highway and transit projects of the types listed in Table 3 of this section are exempt from regional emissions analysis requirements. The local effects of these projects with respect to CO or PM10 concentrations must be considered to determine if a hot-spot analysis is required prior to making a project-level conformity determination. These projects may then proceed to the project development process even in the absence of a conforming transportation plan and TIP. A particular action of the type listed in Table 3 of this section is not exempt from regional emissions analysis if the MPO in consultation with other agencies (see Sec. 93.105(c)(1)(iii)), the EPA, and the FHWA (in the case of a highway project) or the FTA (in the case of a transit project) concur that it has potential regional impacts for any reason. Table 3 follows:

Table 3--Projects Exempt From Regional Emissions Analyses

Intersection channelization projects.
Intersection signalization projects at individual intersections.
Interchange reconfiguration projects.
Changes in vertical and horizontal alignment.
Truck size and weight inspection stations.
Bus terminals and transfer points.

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EXHIBIT 6-E - CATEGORICAL EXCLUSION CHECKLIST

District/Co/Route/P.M.	Fed.-Aid No.:	EA:
------------------------	---------------	-----

1. Project is a CE under Section 6004 of 23 U.S.C. 326 Yes No If “ yes,” check applicable activity below.

Activity Listed in 23 CFR 771.117(c)			
<input type="checkbox"/> 1	Activities which do not involve or lead directly to construction.	<input type="checkbox"/> 11	Determination of payback under 23 CFR part 480 for property previously acquired with federal-aid participation.
<input type="checkbox"/> 2	Utility installations along or across a transportation facility.	<input type="checkbox"/> 12	Improvements to existing rest areas and truck weigh stations.
<input type="checkbox"/> 3	Bicycle and pedestrian lanes, paths, and facilities.	<input type="checkbox"/> 13	Ridesharing activities.
<input type="checkbox"/> 4	Activities included in the State's <i>highway safety plan</i> under 23 U.S.C. 402 .	<input type="checkbox"/> 14	Bus and rail car rehabilitation.
<input type="checkbox"/> 5	Transfer of Federal lands pursuant to 23 U.S.C. 317 when the subsequent action is not an FHWA action.	<input type="checkbox"/> 15	Alterations to facilities or vehicles in order to make them accessible for elderly and handicapped persons.
<input type="checkbox"/> 6	Installation of noise barriers or alterations to existing publicly owned buildings to provide for noise reduction.	<input type="checkbox"/> 16	Program administration, technical assistance activities, and operating assistance to transit authorities to continue existing service or increase service to meet routine changes in demand.
<input type="checkbox"/> 7	Landscaping.	<input type="checkbox"/> 17	Purchase of vehicles by the applicant where the use of these vehicles can be accommodated by existing facilities or by new facilities which themselves are within a CE.
<input type="checkbox"/> 8	Installation of fencing, signs, pavement markings, small passenger shelters, traffic signals, and railroad warning devices where no substantial land acquisition or traffic disruption will occur.	<input type="checkbox"/> 18	Track and railbed maintenance and improvements when carried out within the existing right of way.
<input type="checkbox"/> 9	Emergency repairs under 23 U.S.C. 125 .	<input type="checkbox"/> 19	Purchase and installation of operating or maintenance equipment to be located within the transit facility and with no significant impacts off the site.
<input type="checkbox"/> 10	Acquisition of scenic easements.	<input type="checkbox"/> 20	Promulgation of rules, regulations, and directives.

Activity Listed in Examples in 23 CFR 771.117(d)			
<input type="checkbox"/>	1	Modernization of a highway by resurfacing, restoration, rehabilitation, reconstruction, adding shoulders, or adding auxiliary lanes (e.g., parking, weaving, turning, climbing).	<input type="checkbox"/> 7 Approvals for changes in access control.
<input type="checkbox"/>	2	Highway safety or traffic operations improvement projects including the installation of ramp metering control devices and lighting.	<input type="checkbox"/> 8 Construction of new bus storage and maintenance facilities in areas used predominantly for industrial or transportation purposes, not inconsistent with existing zoning and located on or near a street with adequate capacity to handle anticipated bus and support vehicle traffic.
<input type="checkbox"/>	3	Bridge rehabilitation, reconstruction or replacement or the construction of grade separation to replace existing at-grade railroad crossings.	<input type="checkbox"/> 9 Rehabilitation or reconstruction of existing rail and bus buildings and ancillary facilities where only minor amounts of additional land are required and there is not a substantial increase in the number of users.
<input type="checkbox"/>	4	Transportation corridor fringe parking facilities.	<input type="checkbox"/> 10 Construction of bus transfer facilities when located in a commercial area or other high activity center in which there is adequate street capacity for projected bus traffic.
<input type="checkbox"/>	5	Construction of new truck weigh stations or rest areas.	<input type="checkbox"/> 11 Construction of rail storage and maintenance facilities in areas used predominantly for industrial or transportation purposes where such construction is not inconsistent with existing zoning and where there is no significant noise impact on the surrounding community.
<input type="checkbox"/>	6	Approvals for disposal of excess right of way or for joint or limited use of right of way, where the proposed use does not have significant adverse impacts.	<input type="checkbox"/> 12 Acquisition of land for hardship or protective purposes; advance land acquisition loans under section 3(b) of the UMT Act .

Activity Listed in Appendix A of the MOU for State Assumption of Responsibilities for Categorical Exclusions			
<input type="checkbox"/>	1	Construction, modification, or repair of storm water treatment devices, protection measures such as slope stabilization, and other erosion control measures.	<input type="checkbox"/> 5 Routine seismic retrofit of facilities to meet current seismic standards and public health and safety standards without expansion of capacity.
<input type="checkbox"/>	2	Replacement, modification, or repair of culverts or other drainage facilities.	<input type="checkbox"/> 6 Air space leases that are subject to Subpart D, Part 710, Title 23, Code of Federal Regulations .
<input type="checkbox"/>	3	Projects undertaken to assure the creation, maintenance, restoration, enhancement, or protection of habitat for fish, plants, or wildlife.	<input type="checkbox"/> 7 Drilling of test bores/soil sampling to provide information for preliminary design and for environmental analyses and permitting purposes.
<input type="checkbox"/>	4	Routine repair of facilities due to storm damage, including permanent repair to return the facility to operational condition that meets current standards of design and public health and safety without expanding capacity (e.g., slide repairs, construction or repair of retaining walls).	

2. Project is a CE for a highway project under [Section 6005 of 23 U.S.C. 327](#). Yes No (Use only if project does not qualify under [Section 6004](#).)

3. Unusual Circumstances (23 CFR 771.117[b]). Project does not include any:

<input type="checkbox"/>	Significant environmental impacts.
<input type="checkbox"/>	Substantial controversy on environmental grounds.
<input type="checkbox"/>	Significant impact on properties protected by Section 4(f) of the DOT Act or Section 106 of the National Historic Preservation Act.
<input type="checkbox"/>	Inconsistencies with any federal, state, or local law, requirement or administrative determination relating to the environmental aspects of the action.

4. Air Quality. (SER Chapter 38)

A. Air Quality Checklist is complete and project meets all applicable air quality requirements.

Identify who completed the Air Quality Checklist and the date it was completed.

B. Project is exempt from regional air quality conformity. (40 CFR 93.127, Table 3) Yes No

If "no", list the current RTP and RTIP including dates and page numbers that contain the project.

C. For Section 6005 CE, FHWA determination of air quality conformity is complete.

Provide name of FHWA contact and date of determination letter here:

Attach FHWA conformity determination letter.

5. Project complies with all other federal environmental laws, regulations, and executive orders on the PES form.

Environmental Statutory or Regulatory Compliance	Does Project Trigger Statute or Regulation?	Date and type of Technical Study or Memo to File or Field Survey	Outcome of Agency Coordination (Concurrence Type and Date)	Notes, Documentation Reference &/or Explanation
Historic Preservation (Section 106)	Yes <input type="checkbox"/> No <input type="checkbox"/>			
Executive Order on Floodplains	Yes <input type="checkbox"/> No <input type="checkbox"/>			
Wetland Protection	Yes <input type="checkbox"/> No <input type="checkbox"/>			
Coastal Zone	Yes <input type="checkbox"/> No <input type="checkbox"/>			
Wild and Scenic Rivers	Yes <input type="checkbox"/> No <input type="checkbox"/>			
Farmland Protection	Yes <input type="checkbox"/> No <input type="checkbox"/>			
Noise (23 CFR 772)	Yes <input type="checkbox"/> No <input type="checkbox"/>			
Hazardous Waste/Material	Yes <input type="checkbox"/> No <input type="checkbox"/>			
Environmental Justice	Yes <input type="checkbox"/> No <input type="checkbox"/>			
Project-Level Air Quality (CO, PM Hot spot and MSAT)	Yes <input type="checkbox"/> No <input type="checkbox"/>			
Water Quality	Yes <input type="checkbox"/> No <input type="checkbox"/>			
Relocation	Yes <input type="checkbox"/> No <input type="checkbox"/>			
Land Use	Yes <input type="checkbox"/> No <input type="checkbox"/>			
Other (i.e., Visual)	Yes <input type="checkbox"/> No <input type="checkbox"/>			

5. Project complies with all other federal environmental laws, regulations, and executive orders on the PES Form. *(Continued)*

Environmental Statutory or Regulatory Compliance	Does Project Trigger Statute or Regulation?	Date and type of Technical Study or Memo to File or Field Survey	Outcome of Agency Coordination (Concurrence Type and Date)	Notes, Documentation Reference &/or Explanation
Section 4(f) (23 CFR 774) <input type="checkbox"/> De minimis <input type="checkbox"/> Programmatic _____(type) <input type="checkbox"/> Individual. Legal sufficiency complete: Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>			
Section 6(f) <input type="checkbox"/> De minimis <input type="checkbox"/> Programmatic _____(type) <input type="checkbox"/> Individual. Legal sufficiency complete: Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>			
Endangered Species (Section 7 FESA) Effect Determination: <input type="checkbox"/> No effect <input type="checkbox"/> Not likely to adversely affect <input type="checkbox"/> Likely to adversely affect	Yes <input type="checkbox"/> No <input type="checkbox"/>			
Essential Fish Habitat (Section 7 FESA) Effect Determination				

Based on all of the above, the project is determined to be a categorical exclusion pursuant to the National Environmental Policy Act and all other applicable federal environmental laws, regulations and executive orders have been complied with.

Prepared by: _____ Date: _____

Signature

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EXHIBIT 6-F CATEGORICAL EXEMPTION/CATEGORICAL EXCLUSION DETERMINATION FORM

Revised September 6, 2007

Dist.-Co.-Rte. (or Local Agency) P.M/P.M. E.A. (State project) Federal-Aid Project No. (Local project)/ Proj. No.

PROJECT DESCRIPTION: (Briefly describe project, purpose, location, limits, right of way requirements, and activities involved.)

Enter project description in this text box. Use Continuation Sheet, if necessary.

CEQA COMPLIANCE *(for State Projects only)*

Based on an examination of this proposal, supporting information, and the following statements (See 14 CCR 15300 et seq.):

- If this project falls within exempt class 3, 4, 5, 6 or 11, it does not impact an environmental resource of hazardous or critical concern where designated, precisely mapped and officially adopted pursuant to law.
- There will not be a significant cumulative effect by this project and successive projects of the same type in the same place, over time.
- There is not a reasonable possibility that the project will have a significant effect on the environment due to unusual circumstances.
- This project does not damage a scenic resource within an officially designated state scenic highway.
- This project is not located on a site included on any list compiled pursuant to Govt. Code § 65962.5 (“Cortese List”).
- This project does not cause a substantial adverse change in the significance of a historical resource.

CALTRANS CEQA DETERMINATION

Exempt by Statute. (PRC 21080[b]; 14 CCR 15260 et seq.)

Based on an examination of this proposal, supporting information, and the above statements, the project is:

Categorically Exempt. Class ____. (PRC 21084; 14 CCR 15300 et seq.)

Categorically Exempt. General Rule exemption. (This project does not fall within an exempt class, but it can be seen with certainty that there is no possibility that the activity may have a significant effect on the environment CCR 15061[b][3]).

Signature: Environmental Branch Chief Date Signature: Project Manager Date

NEPA COMPLIANCE

In accordance with 23 CFR 771.117, and based on an examination of this proposal and supporting information, the State has determined that this project:

- Does not individually or cumulatively have a significant impact on the environment as defined by NEPA and is excluded from the requirements to prepare an Environmental Assessment (EA) or Environmental Impact Statement (EIS).
- Has considered unusual circumstances pursuant to 23 CFR 771.117(b) (<http://www.fhwa.dot.gov/hep/23cfr771.htm#sec.771.117>)

In non-attainment or maintenance areas for Federal Air Quality Standards, the project is either exempt from all conformity requirements, or conformity analysis has been completed pursuant to [42 USC 7506\(c\)](#) and [40 CFR 93](#).

CALTRANS NEPA DETERMINATION

Section 6004: The State has been assigned and hereby certifies that it has carried out the responsibility to make this determination pursuant to Chapter 3 of Title 23, United States Code, Section 326 and a Memorandum of Understanding (MOU) dated June 7, 2007, executed between the FHWA and the State. The State has determined that the project is a Categorical Exclusion under:

- 23 CFR 771 activity (c)(___)
- 23 CFR 771 activity (d)(___)
- Activity ___ listed in the MOU between FHWA and the State

Section 6005: Based on an examination of this proposal and supporting information, the State has determined that the project is a CE under Section 6005 of 23 U.S.C. 327.

Signature: Environmental Branch Chief Date Signature: Project Manager/DLA Engineer Date

Briefly list mitigation commitments on continuation sheet. Reference additional information, as appropriate (e.g., air quality studies, documentation of conformity exemption, FHWA conformity determination if Section 6005 project; §106 commitments; § 4(f); § 7 results; Wetlands Finding; Floodplain Finding; additional studies; and design conditions). **Revised September 6, 2007**

CATEGORICAL EXEMPTION/CATEGORICAL EXCLUSION DETERMINATION FORM
Continuation Sheet

Distribution: 1) District Local Assistance Engineer-Original copy
2) District Senior Environmental Planner (for Local Assistance) - copy
3) Local Agency Project Files

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EXHIBIT 6-G NEPA/CEQA REVALIDATION FORM

DIST./CO./RTE.	<i>Enter District, County & Route (State projects) or the County & Route (Local projects) here.</i>
PM/PM	<i>Enter the beginning and ending postmiles here (State projects).</i>
E.A. or Fed-Aid Project No.	<i>Enter the Expenditure Authorization (State projects) or Federal-Aid Project # (Local projects) here.</i>
Other Project No. (specify)	<i>Enter any other project number here, and specify the type.</i>
PROJECT TITLE	<i>Enter project title here.</i>
ENVIRONMENTAL APPROVAL TYPE	<i>Enter type of original environmental document/CE Determination here.</i>
DATE APPROVED	<i>Enter date that environmental document/CE Determination was originally approved here.</i>
REASON FOR CONSULTATION (23 CFR 771.129)	<i>Check reason for consultation:</i> <input type="checkbox"/> <i>Project proceeding to next major federal approval</i> <input type="checkbox"/> <i>Change in scope, setting, effects, mitigation measures, requirements</i> <input type="checkbox"/> <i>3-year timeline (EIS only)</i>
DESCRIPTION OF CHANGED CONDITIONS	<i>Briefly describe the changed conditions or new information on page 2. Append continuation sheet(s) as necessary. Include a revised Environmental Commitments Record (ECR) when applicable.</i>

NEPA CONCLUSION - VALIDITY

Based on an examination of the changed conditions and supporting information: (Check ONE of the three statements below, regarding the validity of the original document/determination [23 CFR 771.12]). If document is no longer valid, indicate whether additional public review is warranted and whether the type of environmental document will be elevated.

- _____ **The original environmental document or CE remains valid. No further documentation will be prepared.**
- _____ **The original environmental document or CE is in need of updating; further documentation has been prepared and is included on the continuation sheet(s) or is attached.**
 _____ (Yes/No) **Additional public review is warranted (23 CFR 771.111[h][3])**
- _____ **The original document or CE is no longer valid.**
 _____ (Yes/No) **Additional public review is warranted (23 CFR 771.111[h][3])**
 _____ (Yes/No) **Supplemental environmental document is needed.**
 _____ (Yes/No) **New environmental document is needed. (If "Yes," specify type: _____)**

CONCURRENCE WITH NEPA CONCLUSION

I concur with the NEPA conclusion above.

Signature: Environmental Branch Chief

Date

Signature: Project Manager/DLAE

Date

CEQA CONCLUSION : (Only mandated for projects on the State Highway System.)

Based on an examination of the changed conditions and supporting information (Check ONE of the three statements below, regarding the validity of the original document/determination [23 CFR 771.129]. If document is no longer valid, indicate whether additional public review is warranted and whether the type of environmental document will be elevated.)

- _____ **Original document remains valid. No further documentation is necessary.**
- _____ **Only minor technical changes or additions to the previous document are necessary. An addendum has been or will be prepared and is included on the continuation sheets or will be attached. It need not be circulated for public review. (CEQA Guidelines, §15164)**
- _____ **Changes are substantial, but only minor additions or changes are necessary to make the previous document adequate. A Supplemental environmental document will be prepared, and it will be circulated for public review. (CEQA Guidelines, §15163)**
- _____ **Changes are substantial and major revisions to the current document are necessary. A subsequent environmental document will be prepared, and it will be circulated for public review. (CEQA Guidelines, §15162)**
(Specify type of subsequent document, e.g., subsequent FEIR:)

CONCURRENCE WITH CEQA CONCLUSION

I concur with the CEQA conclusion above.

Signature: Environmental Branch Chief

Date

Signature: Project Manager

Date

CONTINUATION SHEET(S)

Address only substantial changes or substantial new information since approval of the original document and only those areas that are applicable. Use the list below as section headings as they apply to the project change(s). Use as much or as little space as needed to adequately address the project change(s) and the associated impacts, minimization, avoidance and/or mitigation measures, if any.

Changes in project design, e.g., substantial scope change; a new alternative; change in project alignment.

Changes in environmental setting, e.g., new development affecting traffic or air quality.

Changes in environmental circumstances, e.g., a new law or regulation; change in the status of a listed species.

Changes to environmental impacts of the project, e.g., a new type of impact, or a change in the magnitude of an existing impact.

Changes to avoidance, minimization, and/or mitigation measures since the environmental document was approved.

Changes to environmental commitments since the environmental document was approved, e.g., the addition of new conditions in permits or approvals. When this applies, append a revised Environmental Commitments Record (ECR) as one of the Continuation Sheets.

Distribution: 1) District Local Assistance Engineer - Original copy
2) District Senior Environmental Planner (for Local Assistance) – copy
3) Local Agency Project Files

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**EXHIBIT 6-H EXTERNAL CERTIFICATIONS
ENVIRONMENTAL DOCUMENT QUALITY CONTROL REVIEWS**

Project Name: _____	<input type="checkbox"/> Local Assistance	<input type="checkbox"/> SHS
DIST-CO-RTE-PM: _____	EA: _____	
Federal-Aid No.: _____		
Document Type:	<input type="checkbox"/> EA	<input type="checkbox"/> EIS
	<input type="checkbox"/> IS	<input type="checkbox"/> EIR
	<input type="checkbox"/> Draft	<input type="checkbox"/> Final
District Local Assistance Engineer (DLAE): _____		
Local Agency: _____	Contact: _____	Phone No: _____
Caltrans Oversight Coordinator: _____		
Environmental Consultant: _____	Contact: _____	Phone No: _____

I have performed the quality control review required by Caltrans and hereby find that this environmental document satisfactorily meets State and federal requirements, as applicable, in my area of expertise and is consistent with the applicable technical study (State "NA" if the technical area is not applicable).

Type of Review	Reviewer (Print Name)	Reviewer's Signature	Verification Date
Technical Specialist Reviewers:			
<input type="radio"/> Biology	_____	_____	_____
<input type="radio"/> Cultural	_____	_____	_____
<input type="radio"/> CIA	_____	_____	_____
<input type="radio"/> Visual	_____	_____	_____
<input type="radio"/> Hazardous Waste	_____	_____	_____
<input type="radio"/> Floodplain	_____	_____	_____
<input type="radio"/> Water Quality	_____	_____	_____
<input type="radio"/> Air Quality	_____	_____	_____
<input type="radio"/> Noise	_____	_____	_____
<input type="radio"/> Traffic	_____	_____	_____
<input type="radio"/> Section 4(f)	_____	_____	_____
<input type="radio"/> Other: _____	_____	_____	_____
Technical Edit Reviewer	_____	_____	_____

Required signatures may appear on multiple versions of this form to allow concurrent reviews by specialists and technical editor.

I have reviewed this environmental document and hereby find that it is internally consistent and was prepared consistent with Caltrans and FHWA requirements and guidance and the applicable SER annotated environmental document outline.

Environmental Consultant: _____ **Date:** _____

I have reviewed this environmental document and hereby find that the required quality control reviews shown above have been satisfactorily completed and that the environmental document meets all Caltrans and FHWA requirements.

Local Agency: _____ **Date:** _____

Date form sent to project file: _____

- Distribution:** 1) District Senior Environmental Planner (for Local Assistance) - Original copy
 2) District Local Assistance Engineer - copy
 3) Local Agency Project Files

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**EXHIBIT 6-I INSTRUCTIONS FOR COMPLETING THE EXTERNAL CERTIFICATIONS
(ENVIRONMENTAL DOCUMENT QUALITY CONTROL REVIEW CERTIFICATION) FORM**

The following quality control review process is required by the local agency/consultant for all draft and final EA and EIS documents.

Technical Specialist Reviewers:

The purpose of the technical specialist review is to ensure the accuracy of specific resource studies and technical information summarized in the environmental document. A technical specialist review will be completed for each resource topic discussed in the environmental document. The review will be conducted for those sections in each chapter that contain information about the individual resource or technical area under consideration (e.g., Summary, Affected Environment, Environmental Consequences, and Avoidance, Minimization and/or Mitigation Measures; Cumulative Impacts).

The local agency's or consultant's technical specialists who are responsible for conducting the technical studies and preparing the technical reports shall review the technical report(s) to ensure that:

- the technical reports were required in the fully signed PES form
- the format and content of each technical report is consistent with the format and content requirements set forth in the SER
- the qualifications of the preparer of the technical report are consistent with the qualifications set forth in the SER
- technical report is accurate and regulatory requirements are appropriately addressed
- the technical report clearly summarizes/concludes how the mandates of the applicable federal law have been met
- there is consistency between the technical study and the information as summarized in the environmental document
- all mitigation commitments are appropriately characterized and are feasible to implement
- all anticipated permit and/or approval actions have been accurately identified within the environmental document

The technical specialist signs the External Certifications (Environmental Document Quality Control) form certifying that they have performed the quality control review and the environmental document meets State and federal requirements in their area of expertise and is consistent with the applicable technical study.

Technical Edit Reviewer:

The local agency or consultant (environmental project manager), responsible for preparing, or overseeing the preparation of the NEPA document, shall review the technical reports and the NEPA document to ensure that:

- the NEPA document prepared is consistent with the NEPA class of action identified in the PES Form
- the format and content of the NEPA document is consistent with the applicable Annotated Outline:
 - Correct Title Page
 - All chapters and necessary resource topics are present and complete
 - All appendices are present and complete
 - All required correspondence relative to procedural and regulatory requirements
 - Complete, clear, legible and logical exhibits and figures
- the conclusions of the technical reports are consistently stated in the NEPA document
- the NEPA document is written in a clear and concise manner
- grammar, punctuation and spelling are correct

- the Environmental Document Review Checklist is complete, providing cross-referenced page numbers on the checklist
- the External Certifications (Environmental Document Quality Control) form is signed, certifying that the document is adequate within his or her area of expertise

The technical edit reviewer signs the External Certifications (Environmental Document Quality Control) form certifying that they have performed the quality control review and the environmental document meets State and federal requirements in their area of expertise and is consistent with the applicable technical study.

Environmental Consultant:

The local agency (principal engineer/project manager) shall review the technical reports and NEPA document to ensure that:

- the reports and NEPA document meet the requirements set forth in the Scope of Work
- the reports/document prepared are consistent with the PES Form
- the content and format of the reports and document is consistent with guidance set forth in the SER/annotate outline
- adequacy of the project's purpose and need statement, logical termini independent utility and project description
- completeness of the alternative analysis, including information supporting the range of alternatives selected for study in the document
- all proposed mitigation commitments are properly identified, characterized and are reasonable and practicable to implement
- correspondence from resource and regulatory agencies is included and clearly indicates that the mandates of law have been met
- compliance with FHWA Environmental Impact and Related Procedures (23 CFR 771) and FHWA environmental policies and applicable guidance
- compliance with other federal laws and regulations, such as Section 7 of the Endangered Species Act, Section 106 of the National Historic Preservation Act, Section 404 of the Clean Water Act, Executive Order 11990-Protection of Wetlands, Executive Order 11988-Floodplain Management, and Section 4(f) of the Department of Transportation Act
- the consultant's technical specialist and environmental project manager have signed the External Certifications form
- a copy of the complete Environmental Review Checklist with cross-referenced page numbers has been provided

The environmental consultant signs the External Certifications (Environmental Document Quality Control) form certifying that the document is internally consistent and was prepared consistent with Caltrans and FHWA requirements and guidance and the applicable SER annotated environmental document outline.

Local Agency:

The local agency (principal engineer/project manager) reviews the technical reports and environmental document to ensure that:

- the technical reports and environmental document prepared are consistent with the information required in the approved and signed PES Form and meet the requirements set forth in the scope of work
- the content and format of the technical reports and environmental document is consistent with guidance set forth in the SER/annotated outline:
 - all chapters and necessary resource topics are present, complete and the NEPA document is written in a clear and concise manner

- adequacy of the project's purpose and need statement, logical termini independent utility and project description
 - completeness of the alternative analysis
 - all proposed mitigation commitments are properly identified, characterized and are reasonable and practicable to implement
 - correspondence from resource and regulatory agencies is included and clearly indicates that the mandates of law have been met
 - compliance with FHWA Environmental Impact and Related Procedures (23 CFR 771) and FHWA environmental policies and applicable guidance
 - compliance with other federal laws and regulations, such as Section 7 of the Endangered Species Act, Section 106 of the National Historic Preservation Act, Section 404 of the Clean Water Act, Executive Order 11990-Protection of Wetlands, Executive Order 11988-Floodplain Management, and Section 4(f) of the Department of Transportation Act if applicable
- the consultant's technical specialist and environmental project manager have signed the External Certification form
 - a copy of the complete Environmental Review Checklist, with cross-referenced page numbers has been provided
 - correspondence from resource and regulatory agencies is included and clearly indicates that the mandates of federal law have been met

The principle engineer/project manager signs the External Certifications (Environmental Document Quality Control) form certifying that the above statements are true and submits the following to the DLAE:

- Transmittal Memo, signed by the local agency (principle engineer/project manager) stating that the document and supporting technical studies have been prepared
- Five (5) hard copies of the administrative environmental document
- One (1) electronic copies of the administrative environmental document
- One (1) copy of each technical study
- One (1) electronic copy of each technical study
- One (1) copy of the completed Environmental Document Review Checklist
- Completed and signed External Certifications (Environmental Document Quality Control Review Certification) form

Following Caltrans' review, the local agency is responsible for revising the document consistent with Caltrans' comments.

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