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## **GUIDELINES FOR TRAFFIC SIGNAL CONTROLLERS AND INSPECTION**

(Rev 07/2023)

Costs for Department-Furnished Equipment are updated regularly, after determining the average actual cost to acquire, test, stock and ship the equipment to the local District. For component prices, please see the “Department-Furnished Electrical Equipment Price List” available on the Headquarters Division of Traffic Operations intranet site. A copy of this list must be provided to the permittee and their contractor.

Districts must also determine and charge any additional fees covering the actual cost to deliver, install, inspect, and turn on traffic signal controllers. These costs must be collected prior to the issuance of the encroachment permit.

The permittee is responsible for all costs and fees associated with Department-Furnished Equipment. When there is Department participation in the project, the Department's share of the actual costs of the project will be reduced by the actual cost of the controllers, which include controller fee, testing costs and any other mandatory charges.

The traffic signal controllers, and all other actual costs incurred by the Department, are charged against the appropriate Project Code depending on the project’s administrative process (Encroachment Permit Office Process (EPOP) or Quality Management Assessment Process (QMAP).

### **Charges for EPOP projects:**

As each controller assembly is ordered, the districts must instruct the Department’s warehouse in Sacramento to charge the equipment to the Encroachment Permits Expenditure Authorization (EA) 937700, using Subjob 3EPIC and Object Code 118. A Special Designation (SD) of 7CONTROL must also be used if the permittee has paid a fee for the equipment.

### **Charges for QMAP projects:**

The Caltrans District Project Manager must instruct the Department’s warehouse in Sacramento to charge the equipment to their appropriate Project Code. (Do not use the Encroachment Permits’ EA, Subjob or Special Designation).

### **Procedures to order controller assemblies from the Department’s warehouse**

To allow time for delivery to the local District, controller assemblies must be ordered from the Department’s warehouse in Sacramento a minimum of ten (10) business days before a permittee plans to pick up an assembly in the District (controller not included). Caltrans District Maintenance or Traffic Operations staff will deliver actual controllers and auxiliary equipment to job sites at the time of a scheduled signal turn on.

**FEEES FOR TRAFFIC SIGNAL CONTROLLERS AND INSPECTION**

<b>TYPE OF PROJECT</b>	<b>PROJECT FEE PAYMENTS</b>		
	<b>CONTROLLER</b>	<b>INSPECTION*</b>	<b>DELIVERY AND INSTALLATION</b>
<b>PRIVATELY FUNDED</b>	YES	YES	YES
<b>LOCALLY FUNDED and administered through EPOP</b>	YES	YES	YES
<b>JOINT FUNDED WITH COOPERATIVE AGREEMENT or HIA</b>	YES (As part of Department's Contribution and/or Charged to the Project Code)	YES (As part of Department's Contribution and/or Charged to the Project Code)	YES (As part of Department's Contribution and/or Charged to the Project Code)
<b>100% SPECIAL FUNDED WITH COOPERATIVE AGREEMENT or HIA</b>	YES (Charged to the Project Code)	YES (Charged to the Project Code)	YES (Charged to the Project Code)

\* This is not field inspection but inspection of the controller assembly or material inspection that is part of sourcing the controller. This fee must be recovered as part of Department-Furnished Material costs.

# Deputy Directive

*Number* DD-23-R2

*Refer to*

*Director's Policy:* DP-03, Safety and Health  
DP-06, Caltrans' Partnerships  
DP-07, Project Delivery  
DP-08, Transportation System Management and Operations (TSMO)  
DP-10, Departmental Commitments  
DP-14, Quality in Caltrans  
DP-33, Sustainability

*Effective Date:* 12/04/2018

*Supersedes:* DD-23 R1 (2/23/2007)

*Responsible*

*Program:* Project Delivery,  
Division of Design

*TITLE* Roles and Responsibilities for Development of Projects on the State Highway System

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*POLICY*

The California Department of Transportation (Caltrans), as owner/operator of the State Highway System (SHS), has the statutory (Government Code section 14000(c)) and inherent goal to ensure that all modifications or additions to the SHS are:

- Safe, operational, maintainable, environmentally compatible, and of good value.
- Efficient in providing multimodal movement of people and goods.
- In the best interest of the general public.
- Developed and constructed in compliance with laws and regulations that govern the use of state and federal transportation funds.
- Developed and constructed in partnership with vested stakeholders.

Caltrans meets this goal by:

- Applying quality management practices.
- Engaging in early and continuous partnerships and ensuring accountability amongst project sponsors, implementing agencies, stakeholders, Caltrans functional units, local, regional, and transit agencies, tribal governments, developers and consulting firms employed by Caltrans or its partners.
- Ensuring that all projects on or proposed for the SHS are planned, developed, and constructed efficiently and effectively resulting in a quality project in accordance with Caltrans standards and practices.

*"Provide a safe, sustainable, integrated and efficient transportation system to enhance California's economy and livability"*

- Ensure one implementing agency undertakes the project's advertising, awarding, and administration of a construction contract.
- Maintaining ultimate approval authority for all projects on the SHS.
- Keeping the public informed through appropriate outreach.

#### *DEFINITION/BACKGROUND*

The roles and responsibilities in planning, designing, and constructing transportation projects on the SHS continue to increase in complexity due to the influx of various transportation funding sources, the ability to use alternative project delivery methods, regional transportation planning agencies' active roles in selecting and programming transportation projects, and these agencies' ability to contract with private architectural and engineering firms to deliver those projects. Caltrans as steward of the SHS strives to ensure the appropriate accountability and professional liability remain with project sponsors, implementing agencies, and product suppliers. Caltrans seeks to ensure the integrity of the SHS by defining the various roles and responsibilities of all parties involved, and by ensuring the quality of transportation projects. The definitions provided below are recognition of the parties' interests related to transportation project development.

Owner/Operator is the entity ultimately responsible for the planning, design, construction, operation, maintenance, and liability of a facility. Government Code section 14520.3 (b) and Streets and Highways Code section 90 establishes Caltrans as the owner/operator of the SHS.

Project is the undertaking by a project sponsor of a transportation related construction, erection, alteration, repair, or improvement to the SHS, including all work necessary to fulfill the owner/operator's requirements and commitments while satisfying all state and federal laws and regulations. (Public Contract Code section 10105).

Project Sponsor is the project advocate that acquires funding partners to ensure adequate project funding.

Project Components are prescribed in Government Code section 14529(b) and describe the resources during the life of a project in the State Transportation Improvement Program. Components are synonymous to phases which are used to indicate the progression of a project in the project development process.

Implementing Agency is an entity charged with successful completion of a project component, and assumes project management responsibilities for the component. There is only one implementing agency per component.

Supplier is the entity that provides a service or product to the implementing agency.

Delegation is the process of transferring powers, duties, obligations, or actions from one person/entity to another.

Quality Project is the result in the fulfillment of project responsibilities in the delivery of products and services that considers stakeholders' interests and fulfills Caltrans' requirements and outcomes.

Quality Control (QC) is the methods, means, or procedures used by a supplier to monitor and assess products or services to ensure that the final product will fulfill the established quality requirements.

Quality Assurance (QA) is the performance of all the planned and systematic activities that provide confidence that the product requirements will be fulfilled.

Quality Management Plan (QMP) is a document prepared by the implementing agency that describes by who, what, when, and how QC and QA activities will be performed for each project component as specified in the quality assurance program.

Quality Assurance Program (QAP) is the implementing agency's promulgated quality related policies, procedures, and guidelines necessary to ensure the work performed for each project component results in a quality project.

Quality Management Assessment (QMA) is the performance of all planned systematic activities by the owner/operator that verifies the implementing agency's QAP effectiveness and precedes the owner/operator approval.

Quality Management Practices are all the implementing agency's systematic activities used to direct, control, and coordinate the development of a quality project. These activities include the QAP and QMP implementation, the performances of QC and QA activities, and quality improvements originating from QMA, QC, or QA.

Owner/Operator Approval is a non-delegable project related decision which can only be performed by the owner/operator.

Stakeholder Approval is a project related decision which can only be performed by an external individual or organization whose duties are established by law (e.g. National Environmental Policy Act (NEPA) permitting agencies, California Environmental Quality Act (CEQA) permitting agencies, railroads, or the California Transportation Commission (CTC)).

California Environmental Quality Act Lead Agency (CEQA) (Public Resources Code section 21067) is the public agency which has the principal responsibility for carrying out or approving a project which may have a significant effect on the environment.

National Environmental Policy Act Lead Agency is the public agency which ensures federal compliance and approvals for a project.

CEQA Responsible Agency (Public Resource Code section 21069) is the public agency, other than the lead agency, that has discretionary authority over a project.

### *RESPONSIBILITIES*

#### Owner/Operator:

- Performs QMA for all projects to ensure a quality project on the SHS.
- Provides owner/operator approval as needed.
- Provides written approval on risks the project sponsor is unable to mitigate or avoid.
- Fulfills the FHWA Stewardship and Oversight Agreement responsibilities.
- Fulfills NEPA lead agency role and responsibilities when assigned by FHWA.
- Fulfills CEQA lead agency role and responsibilities.
- Performs CEQA responsible agency responsibilities, when not a CEQA lead agency.

#### Project Sponsor:

- Secures funding for the preparation and completion of all the project components including quality management practices.
- Identifies and seeks approval for the transportation need and purpose that conforms to Caltrans Strategic Management Plan.
- Evaluates and compares project outcomes to the established project goals.
- Chooses an implementing agency for each project component.
- Mitigates project risks and does not create undue risk for the owner/operator unless necessary approvals are obtained using proper procedures.
- Ensures the project management plan is implemented, including, but not limited to, the QMP and risk management plan.

#### CEQA Lead Agency:

- Determines the appropriate type of environmental documentation.
- Exercises its independent judgment and analysis for the adequacy and objectivity of the CEQA environmental document.
- Reviews and approves the need and purpose for the project as it relates to the environmental documentation.

- Reviews and approves a reasonable range of alternatives in relation to the environmental documentation.
- Reviews, comments, approves, and certifies the environmental documentation at appropriate stages of project development as prescribed in the Caltrans Standard Environmental Reference (SER).

NEPA Lead Agency:

Performed by the US Department of Transportation, Federal Highway Administration (FHWA) unless assigned to Caltrans.

- Reviews, comments, and approves the NEPA environmental documentation at appropriate stages of project development.
- Reviews and approves the need and purpose for the project as it relates to the environmental document.
- Ensures a reasonable range of alternatives are considered in relation to the environmental document.
- Reviews, comments, approves, and reevaluates environmental documentation at each project component.
- Ensures the project sponsor complies with the project's environmental mitigation and other environmental commitments disclosed in the environmental document.

CEQA Responsible Agency:

- Ensures its concerns are met by providing early consultation to the CEQA lead agency.
- Participates in the CEQA process.
- Prepares and issues its own findings.
- Certifies its review and consideration of the CEQA lead agency's CEQA document.
- Acts on or approves the project.

Implementing Agency:

- Chooses the supplier for each project component.
- Establishes and implements QAP and generates a QMP for each component.
- Delivers quality project components on time, and within budget.
- Verifies and accepts work performed by the supplier provided appropriate documentation is obtained to allow for verification and acceptance.
- Advertises, awards, and administers the construction contract.
- Ensures that all project component closeout activities are completed in a timely manner, including, but not limited to, survey control and right of way monumentation, as-built plans, environmental commitments compliance, and right-of-way.



Deputy Director, Project Delivery:

- Ensures establishment and implementation of Caltrans policies, standards, procedures, and best practices for each project component affecting project development.
- Ensures establishment of the QAP for each project component affecting Project Delivery that includes QC, QA, QMA, and owner/operator approval activities.
- Ensures allocation of capital outlay support (COS) resources for the timely delivery of quality products and services.

Deputy Director, Maintenance and Operations:

- Ensures establishment and implementation of Caltrans policies, procedures, and best practices for maintenance and operations of SHS.
- Ensures allocation of maintenance and operations support resources for the timely delivery of products and services related to project development.
- Ensures establishment and implementation of Caltrans policies, procedures, and best practices for issuance of encroachment permits.
- Ensures allocation of maintenance and operations support resources for the timely delivery of products and services including CEQA lead agency or responsible agency.

Deputy Director, Planning and Modal Programs:

- Ensures establishment and implementation of Caltrans policies, procedures, and best practices for Transportation Planning of the SHS.
- Ensures that implementation of projects on or proposed for the SHS are consistent with all Caltrans transportation planning documents.
- Provides resources for the development of project initiation documents in the project initiation phase.
- Establishes and ensures the QAP for the project initiation phase includes QC, QA, QMA, and owner/operator approval activities.
- Ensures allocation of Transportation Planning support resources for the timely delivery of products and services including CEQA lead agency or responsible agency.

Division Chiefs:

For each Division's respective area of responsibility pertaining to the efficient and timely delivery of quality projects and services:

- Develop and implement standards, procedures, and best practices that are aligned with Caltrans' Strategic Management Plan.
- Develop and implement guidance, tools, and training to ensure successful delivery of quality projects.
- Develop a QAP pertaining to their product and services for which Caltrans is the implementing agency and responsible agency.

- Provide statewide direction, policies and standards for activities required to ensure compliance with Caltrans policies, standards, and best practices.
- Measure and monitor critical program and project deliverables and outcomes by districts and regions in alignment with Caltrans' Strategic Management Plan.
- Act as the approval authority for owner/operator approvals for those decisions delegated.
- Provide guidance, policies, tools, and training for QMA activities.
- Perform audit, surveillance, or process reviews for ensuring the consistent and effective application of Caltrans standards, procedures, best practices, and quality management activities.
- Implement a system of continuous quality improvement using information learned from measuring and monitoring deliverables and from process reviews.

District Directors:

- Assess the feasibility of the project sponsor's ability to obtain funding for the proposed project component(s) before Caltrans begins work.
- Act as the Caltrans authority for any owner/operator approval for those decisions delegated.
- Concur on the project's need and purpose relative to its public benefit and impacts to the SHS.
- Appoint a primary point of contact for each project.
- Determine and provide those activities that ensure a quality project on the SHS, including, but not limited to:
  - Implementation of the QAP for each project component for which Caltrans is the implementing agency.
  - Implementation of QMA for all project components.
- Ensure project decisions are made considering information gathered through public outreach and involvement of stakeholders.
- Enter into cooperative or highway improvement agreements as appropriate with project sponsor(s) prior to expenditure of COS resources.
- Inform stakeholders of the policies, standards, procedures, and best practices required by Caltrans and FHWA.
- Deliver on commitments made to partners and customers, based on statutory authority and available resources, and ensure the timely delivery of quality products and services for which Caltrans is the implementing agency.
- Ensure that Caltrans functional units are properly resourced to deliver quality products and services in a timely manner.
- Determine the appropriate agency to be the lead under CEQA.
- Approve and certify the CEQA environmental document if Caltrans is the CEQA lead agency or approve the project if Caltrans is the responsible agency.

- Review and approve the project report or equivalent after consideration of the CEQA.
- If assigned, approve the NEPA environmental documentation.
- Ensures all proposed projects are evaluated and prioritized for funding.

Public Information Officers:

Communicate to the public specifications that will be taken to restore or minimize effects of all construction, maintenance, permitting, planned emergency restoration, or other activities on the SHS.

District Deputies, Office Chiefs, and Branch Chiefs:

- Provide QA for the products, and services within their functional area.
- Empower employees with the tools, resources, time, and training to deliver the products and services for which Caltrans is the implementing agency.
- Participate in the development of work plans and quality management activities defining project scope, cost, schedule, resource, and quality requirements.
- Prioritize commitments to ensure the successful delivery of both Caltrans' and external project sponsors' projects.
- Ensure that work does not begin without appropriate written authorization.
- Notify their District Director and/or Deputy District Directors, via established reporting relationship, of any changes, problems, or risks that could affect the scope, cost, schedule, and overall quality of projects on the SHS, or owner/operator approval.
- Apply the QAP, and develop the QMP if Caltrans is the implementing agency.
- Perform QMA, if assigned this responsibility.
- Assess and manage risk affecting the owner/operator responsibilities.

Project Managers:

- Lead the project development team on issues and risks related to quality management, scope management, schedule management, or cost management issues for each project component utilizing appropriate documentation.
- Facilitate resolutions and seek approvals for project related issues and risks affecting the quality, scope, schedule or cost.
- Ensure funding requirements are met.

Task Managers or Employees:

- Participate in the deployment of the QAP by performing quality control or quality assurance, if assigned, on work or services.
- Provide quality and timely products and services by using appropriate tools, resources, time, documentation, and training.

- Assess risk of issues affecting the owner/operator responsibilities and communicate those in a collaborative fashion to the implementing agency and stakeholders.
- Communicate to their supervisors, project managers, and impacted functional units any changes, problems, or risks by using proper and approved methods of documentation for the project.

*APPLICABILITY*

All employees involved with the delivery of modifications or additions to the SHS.



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RYAN CHAMBERLAIN  
Chief Deputy Director

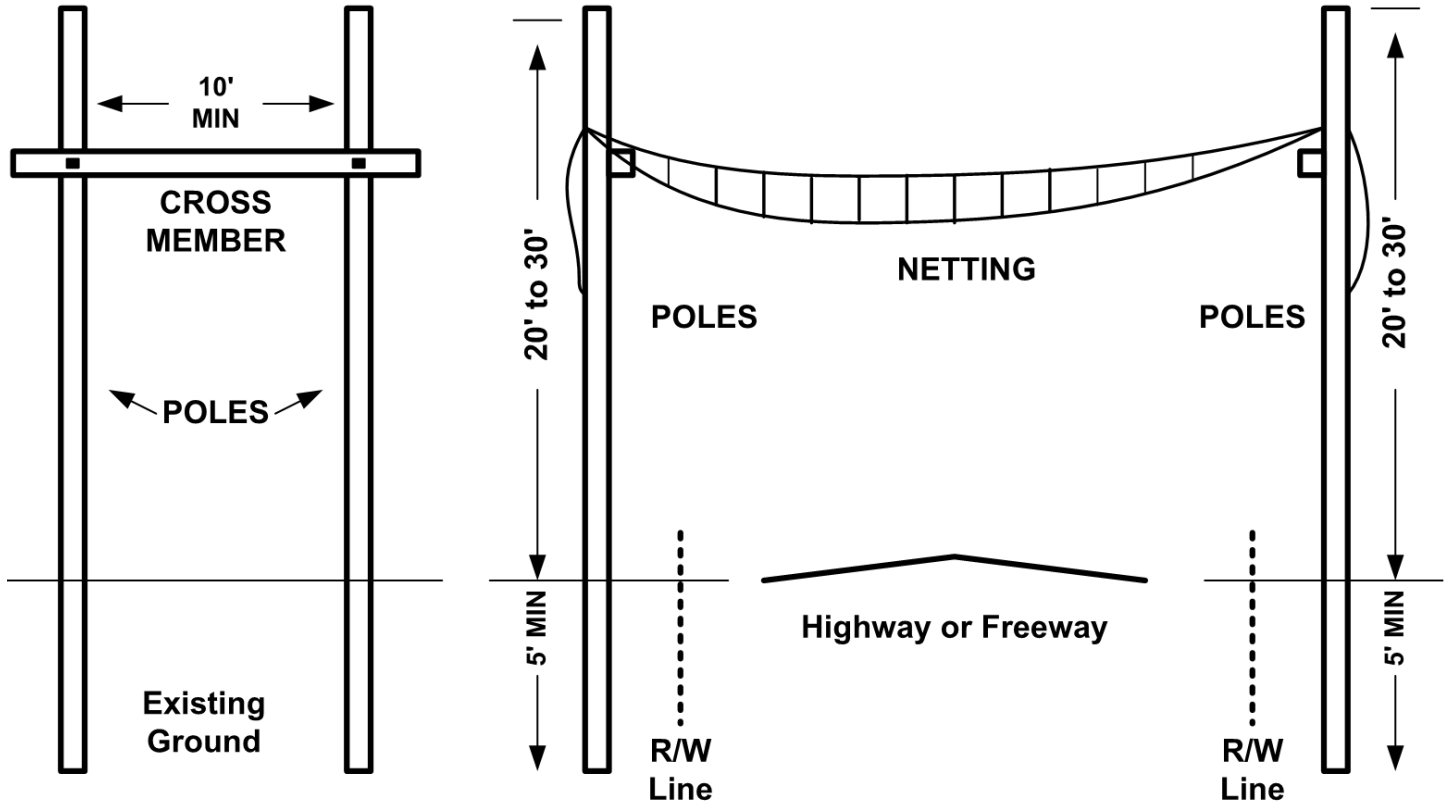
12/4/18

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Date Signed

## H - Support Diagram for Aerial Crossings

TR-0108 (Rev 07/2021)



### Construction Notes:

A minimum of 18 feet shall be maintained over and across highway or freeway lanes.

Netting shall be maintained over and across lanes until aerial facilities are properly secured in place.

H - supports shall be installed outside of State highway right-of-way, unless permitted by the State's representative.

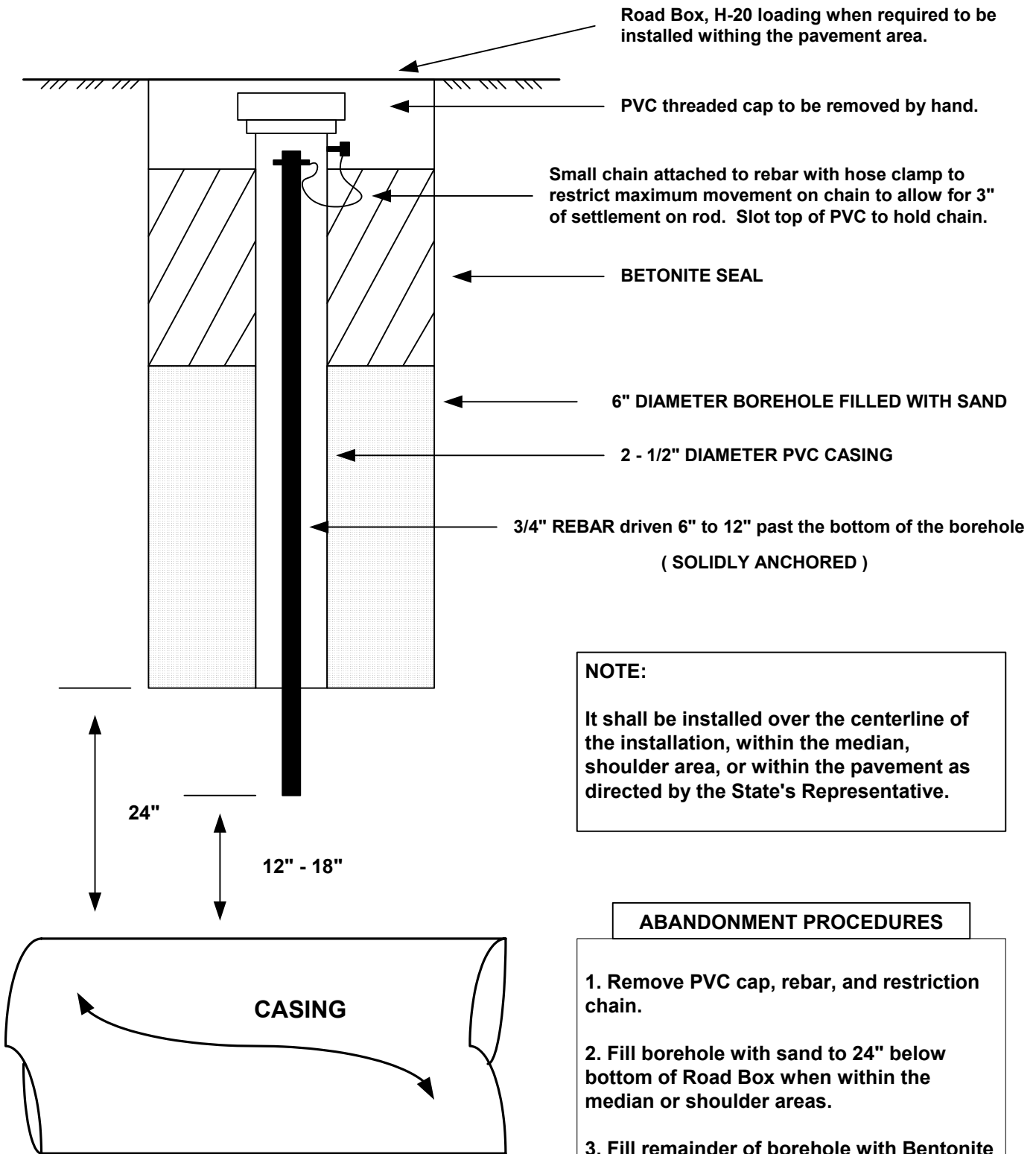
California Highway Patrol (CHP) breaks shall be in accordance with Standard Specifications 12-4.02C(7)(d) Traffic Breaks for the placement of netting.

Placement of aerial lines: Installation or removal of overhead conductors crossing a freeway require traffic control by the CHP and usually occur on weekend mornings. The CHP can perform a rolling break in traffic on most highways in accordance with Standard Specifications 12-4.02C(7)(d) Traffic Breaks. These breaks are adequate for simple cable installation. Utility personnel carry the conductors across the freeway lanes and hoist them into place on the opposite side of the freeway.

On larger conductor crossings such as transmission lines, one inch or greater in diameter, districts may determine that safety nets are needed to prevent transmission lines from falling on traffic during cabling installations. Temporary safety-net support poles are placed at protected locations outside shoulders and in medians. If locations for temporary supports are not available, the utility company may use K-rail and sand barrel crash cushions. After rope nets are strung during CHP traffic breaks other work is then allowed to proceed. Placement of the aerial line may be by helicopter.

# ENCROACHMENT PERMIT SETTLEMENT ROD DETAIL




TR-0152 (REV. 09/2006)

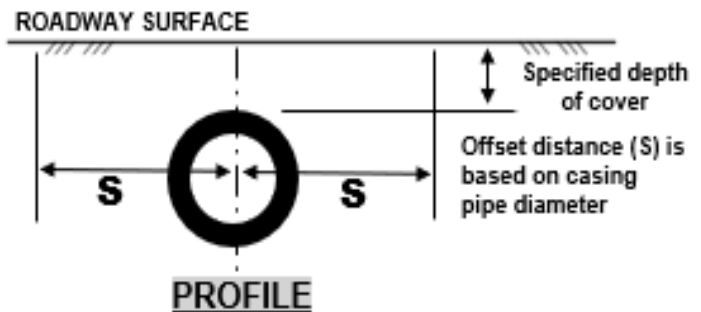


# SURVEY GRID

TR-0151 (Rev 07/2023)

**LEGEND:**

-  Octagon Data Points required when the casing pipe diameter is < 96 inches
-  Octagon & Triangle Data Points required when the casing pipe diameter is 96 inches or greater
-  Settlement rod may be required when the casing diameter is > 60 inches (See TR-0152 in Appendix E for settlement rod detail)



**EP** Edge of Pavement

**ETW** Edge of Travel Way  
(Fog line, Yellow Stripe, etc.)

- S** Offset distance away from the pipe alignment must be a minimum of:
- 3' for casing outer diameters < 30"
  - 5' for casing outer diameters < 72", but ≥ 30"
  - 10' for casing outer diameters < 108", but ≥ 72"
  - 15' for casing outer diameters ≥ 108"

For longitudinal installations, survey the EP and ETW:

- every 50' if they fall within "S" for installation greater than 500' in length.
- every 20' if they fall within "S" for installation less than or equal to 500' in length.
- at locations of angle points or sharp turns.

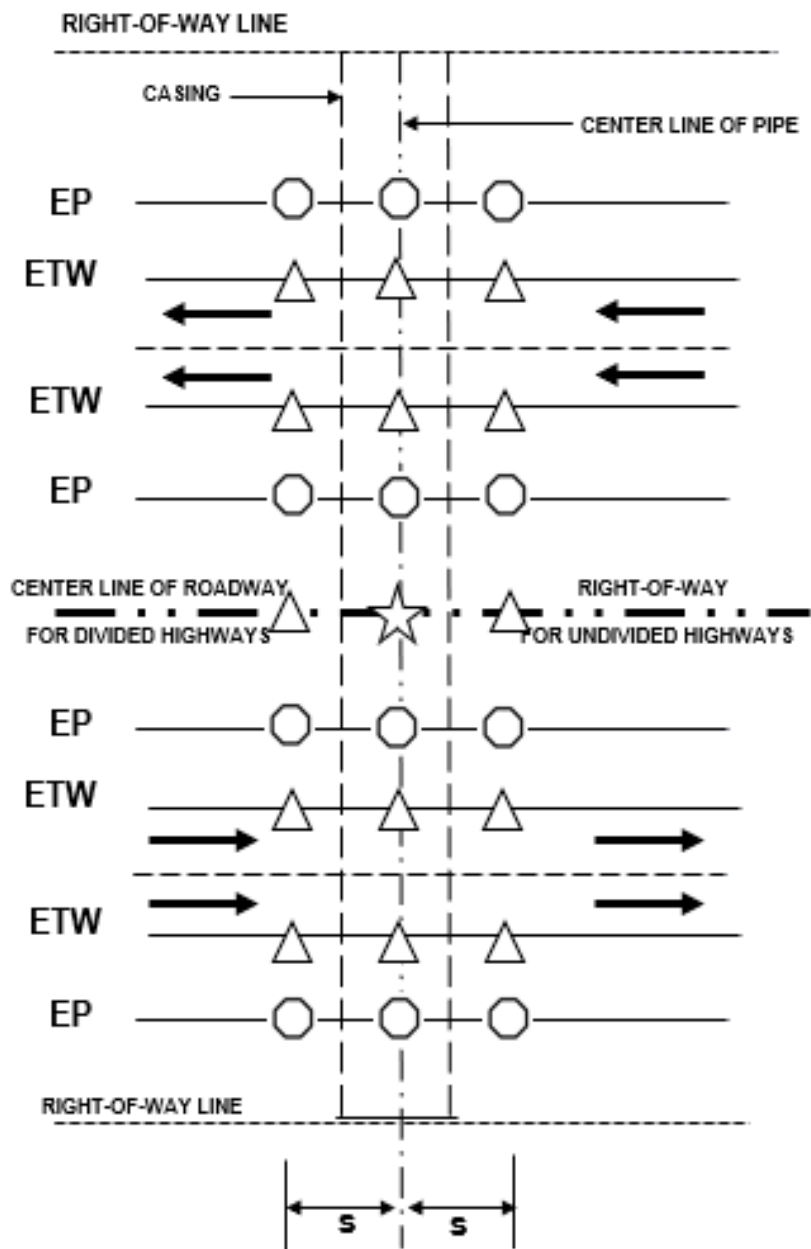
If any deformations or settlements are observed, Caltrans at its discretion may require surveys at shorter intervals as deemed necessary.

Survey improvements such as concrete pads, overhead signs, traffic loops, electrical boxes/vaults, and other man-made improvements within S + 3'.

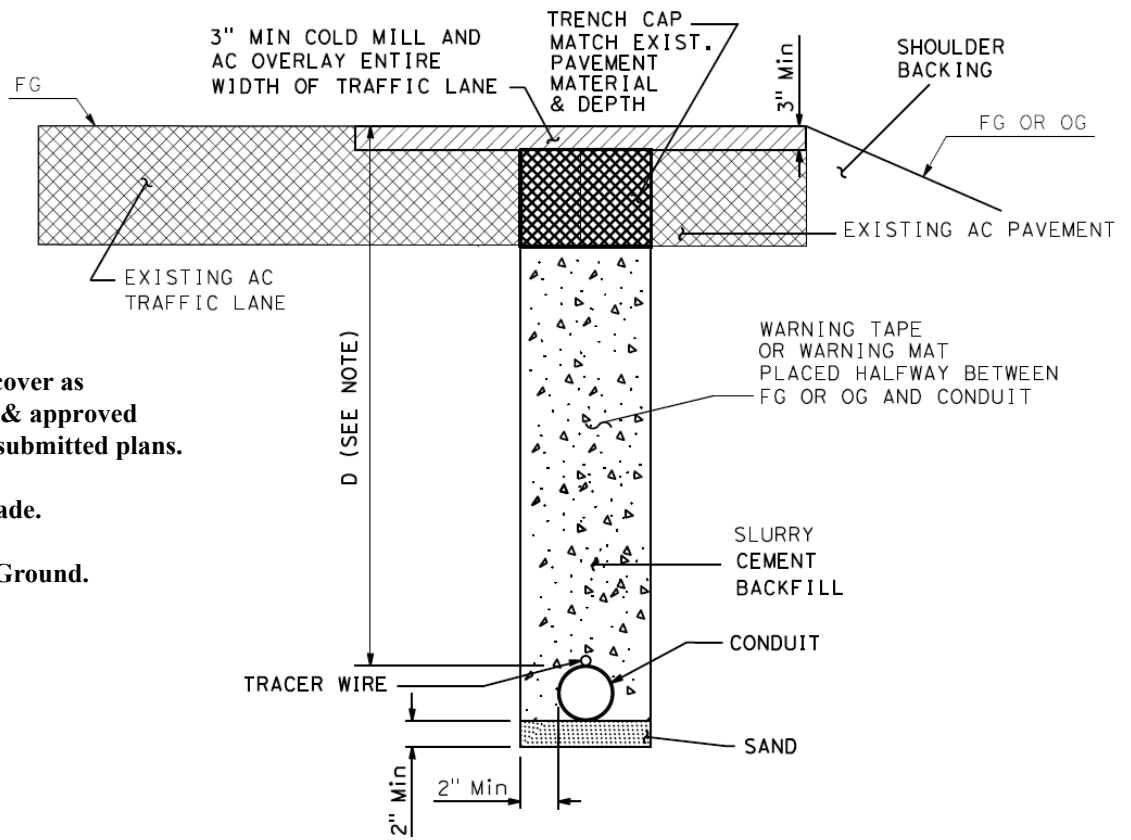
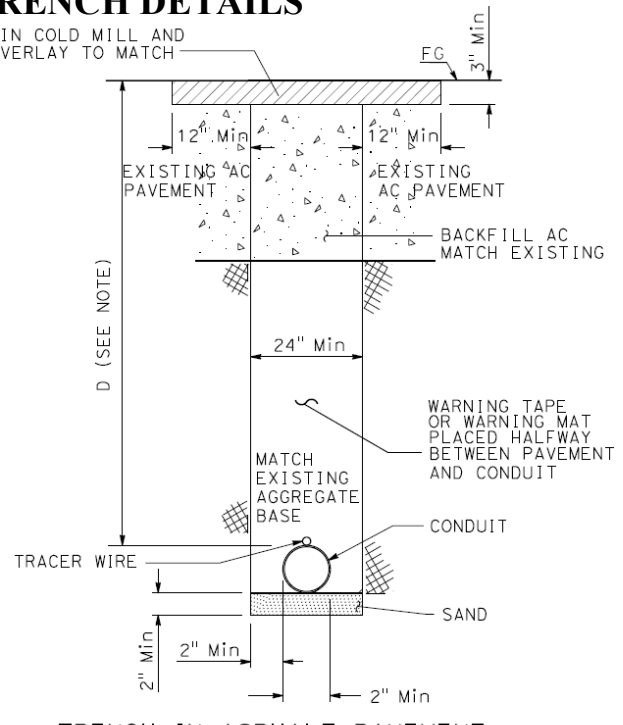
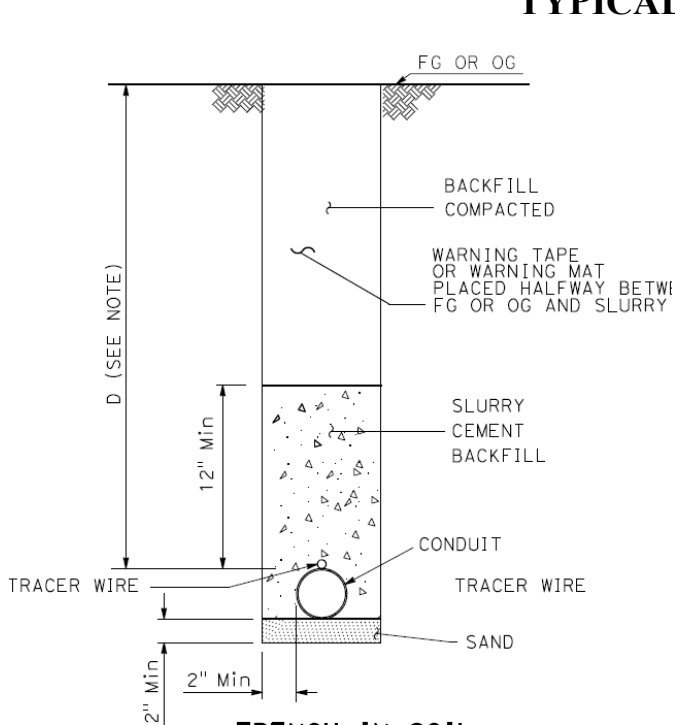
**NOTES:**

Survey data is to be collected at the specific points along the casing alignment at the following times:

1. Prior to Start of Work.
2. Every two (2) hours continuously throughout the project.
3. Upon completion of the project.
4. Every two (2) months, during a six-month period after the data of



**TYPICAL TRENCH DETAILS**



**Notes: D - Depth of cover as identified & approved based on submitted plans.**

**FG - Finish Grade.**

**OG - Original Ground.**

- All work must be authorized by the encroachment permit, and/or as directed by the State's representative. (Notes continue on page 2)



- Must include tracer wire or other continuous measure to provide positive subsurface detection for the life of the facility (Project Development Procedures Manual (PDPM) Chapter 17).
- Open trench installation of underground utility facilities must include warning tape or warning mats complying with the American Public Works Association (APWA) Uniform Color Code for identifying the type of underground utility. Where mechanical protection is installed, warning tape must be placed above the mechanical protection and below the roadbed subgrade as shown on the details. (PDPM Chapter 17).
- Clearance between the trench wall and conduit of less than 6 inches in width shall be a minimum of 2 inches. Clearance between the trench wall and conduit of greater than 6 inches in width shall be a minimum of 6 inches.
- When the trench width is less than 24 inches the backfill for subgrade must consist of slurry cement. Controlled Low-Strength Material (CLSM) can be substituted at the discretion of the State's representative.
- When trench width is greater than 24 inches compacted aggregate base may be used for backfilling.
- Structure backfill and compaction must conform to Section 19-3.02C and 3.03 of the Standard Specifications.
- For trench located under unimproved surface, structure backfill can use the original soil. Soil must be compacted by mechanical means. Ponding, jetting or flooding are not allowed. Slurry cement backfill is not optional unless approved by the Caltrans District.
- Slurry cement backfill must conform to Section 19-3.02E of the Standard Specifications.
- Aggregate base and its compaction shall conform to Section 26 of the Standard Specifications.
- CLSM if used must conform to Section 19-3.02G of the Standard Specifications. When CLSM is utilized the mix design and test results must be submitted to the State's representative. See Appendix H of the Encroachment Permits Manual for additional information.
- Cold planed surface and overlay shall be to the nearest lane line for the entire length of the trench/disturbed areas, and/or as directed by the State's representative.
- When Hot mix asphalt (HMA) is used to backfill Asphalt Concrete (AC) Section of the road, HMA must conform to Section 39 of the Standard Specifications.
- A paving notch ("T" Cut) shall be cold planed in exist asphalt concrete to a minimum width of 12 inches beyond each side of the trench and to a depth of 3 inches for the final layer of HMA.
- AC used to replace pavement section shall match existing pavement depth, unless directed otherwise by the State's representative.
- A tack coat of asphaltic emulsion conforming to Section 39-2.01C (3) (f) shall be applied.
- When the trench is within 4 feet of curb and gutter, additional cold planning may be required at the discretion of the State's representative. Potholes or trenches separated / adjoined by 10 feet or less to be overlaid together at the discretion of the State's representative.
- Pavement markings and/or striping removed or damaged during construction must be replaced in kind as directed by the State's representative.
- Other trench related details are shown in Chapter 6 of the Encroachment Permits Manual as well as the Trenching and Shoring Manual. Both publications can be found on the State of California, Department of Transportation's website.
- If trench is located in the roadway where Portland Cement Concrete (PCC) exist, remove the concrete to a depth of at least 3 feet below finished grade as per standard Specification 15-1.03B. Replace entire concrete slab from joint to joint as directed by State's representative.
- Electrical systems installations that are part of State Highway System must be installed in compliance with Caltrans Standard Specifications, Section 87.



# **NEWSPAPER DISTRIBUTION GUIDELINES**

For

Safety Roadside Rest Areas

**HEADQUARTERS  
OFFICE OF ENCROACHMENT PERMITS  
&  
HEADQUARTERS LANDSCAPE ARCHITECTURE PROGRAM**

**MAY 2009**

**NEWSPAPER DISTRIBUTION GUIDELINES**  
**SPECIAL PROVISIONS & PERMIT CONDITIONS**

**APPLICATION SUBMITTAL**

Streets and Highway Codes Section 220.5 authorizes the placement of Newspaper Vending Machines, herein after referred to as “distribution boxes,” at Safety Roadside Rest Areas (SRRA).

- Section 220.5 (c) authorizes the Department the rights of determination in which SRRA are suitable for placement of these facilities.
- Section 220.5 (d) authorizes the Department the right to determine a suitable fee.

Newspaper distribution boxes at Safety Roadside Rest Areas (SRRA) and Vista Points are permissible when a Newspaper Entity has entered into a “Newspaper Distribution Agreement,” hereinafter referred to as “Agreement”, through the District Landscape Architect.

The District Landscape Architect is responsible for all reviews, field studies, and document preparation before sending the completed package, consisting of the Agreement, the required fee/deposit and a completed Encroachment Permit Application to the District Encroachment Permits Office for permit issuance.

The Department retains all rights in determining whether or not the placement of Newspapers and distribution boxes will be allowed within any SRRA and/or Vista Point. When the Department grants permission to allow placement of these facilities, they shall be limited to a total of four units per SRRA location. A copy of the agreement, permit and guidelines shall be provided to the requestor, and a copy forwarded to Headquarters Landscape Architecture Program.

**FEE / DEPOSIT**

A check in the amount of four (4) hours of the encroachment standard hourly rate shall be submitted with the package to the District Permits Office. This deposit/fee will cover processing of the application, review, issuance of the permit and inspection. All permits issued for the placement of a Newspaper within a SRRA shall be issued for a period of one year.

The permittee is responsible for all actual costs of the permitting process. When there are issues of non-conformance that could result in additional time expenditures the permittee shall be required to compensate re-imbusement of that time expended.

**SPECIAL PROVISIONS & CONDITIONS**

Subcontracting under this permit will not be allowed for the placement of the newspapers.

The permittee is required to provide weekly maintenance checks on their distribution facility, to ensure cleanliness of the area surrounding their facility.

Storage of newspapers on State rights-of-way will not be allowed.

A copy of the newspaper is the only item that will be allowed in the window of the door on the distribution box.

The permittee is required to notify the District Landscape Architect prior to start of any work in the States’ right-of-way, to include performing weekly inspections.

**Vehicles shall be parked in the parking lot when filling or re-filling of the distribution boxes.**

Any three violations of the special provisions or permit conditions within the term of the permit will result in revocation of your permitted privileges.

### **INSTALLATIONS & CONDITIONS**

All new installations of distribution facilities shall be installed and maintained by the permittee under the direction of the District Landscape Architect and shall be in compliance with the following criteria:

Within each Safety Roadside Rest Area (SRRA), all distribution facilities (boxes and pedestals) shall all be of the same type, model, manufacturer and color (see Attachment #1 & #2) so that a uniform appearance is maintained as directed by the District Landscape Architect and per the attachments provided.

The distribution facilities shall be located within the SRRA as directed by the District Landscape Architect, in the planted areas wherever practicable, adjacent to walkways and electroliers to reduce the exposure to vandalism and theft.

The distribution facility should be located in an area where it will be unobtrusive and not detract from other elements of the SRRA. It will be located so that it is convenient and easily accessible to the traveling public.

The front of the distribution facility should be parallel with the edge of the walkway.

The distribution boxes are to be securely fastened to square steel pedestal mounts, which are to be set in a concrete footing located within the planted area. The top of the concrete footing is to be covered with soil, mulch or ground cover to restore the area to its previous appearance to as great an extent as possible. Distribution boxes furnished with a pedestal mount equipped with a steel flange base designed to be bolted to concrete surfaces are to be used only where directed by the District Landscape Architect.

All distribution facilities shall be free of any advertisements and shall be maintained in a clean, neat and attractive condition and in good repair at all times. Any facilities (boxes, pedestals) that are damaged, in a state of disrepair, or due to wear and tear which are no longer in a presentable condition (clean, neat and attractive) shall be replaced or repaired by the permittee within (48) hours after discovery or notification by the States' representative to do so.

All distribution facilities which have been lost, stolen or vandalized and facilities that are no longer to be used, shall be removed, replaced or repaired by the permittee within (48) hours after discovery or notification by the District Landscape Architect to do so.

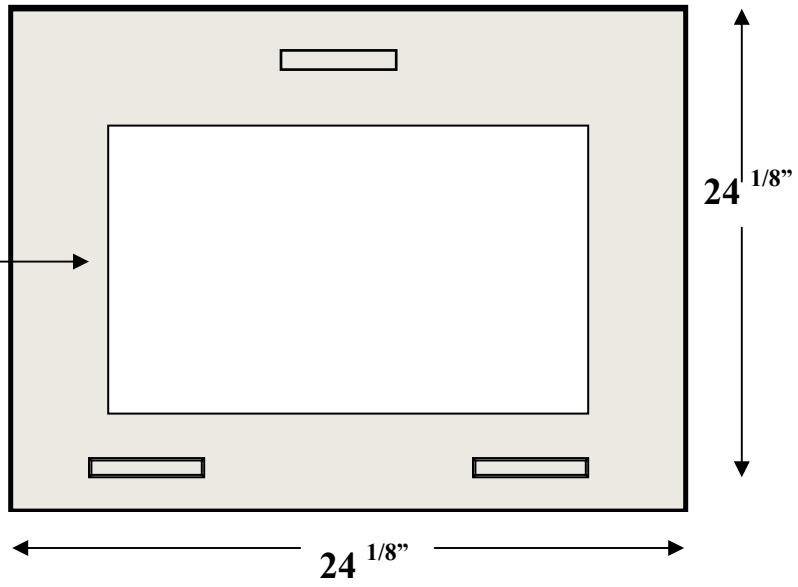
Any distribution facility that is missing, vandalized or unused and is not to be replaced shall be removed, and the site shall be returned to its original condition.

**THESE GUIDELINES ARE SUBJECT TO CHANGE AT THE DISCRETION OF THE HEADQUARTERS OFFICE OF ENCROACHMENT PERMITS. IT IS THE RESPONSIBILITY OF THE PERMITTEE TO REMAIN CURRENT WITH THE SPECIAL PROVISIONS AND PERMIT CONDITIONS OF THESE GUIDELINES.**

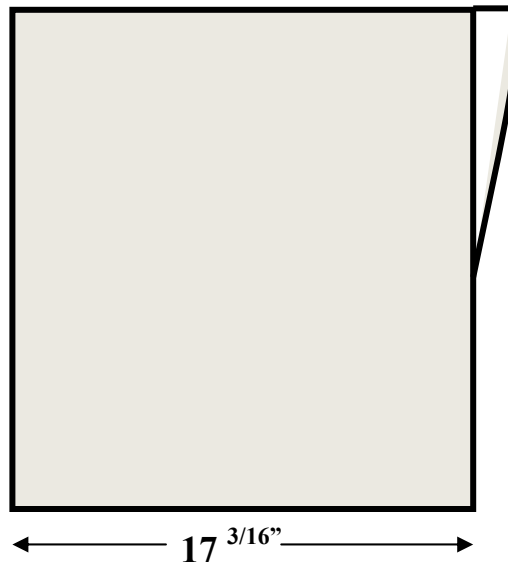
ATTACHMENT #1  
DISTRIBUTION BOXES

FACE VIEW

BEIGE COLOR

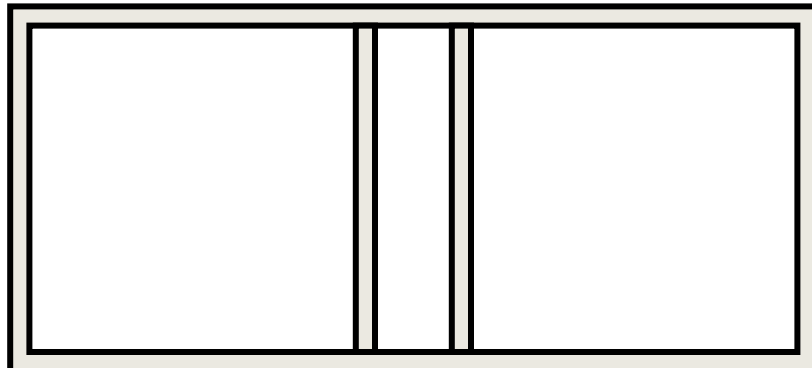


SIDE VIEW



DOUBLE BOX DIAGRAM

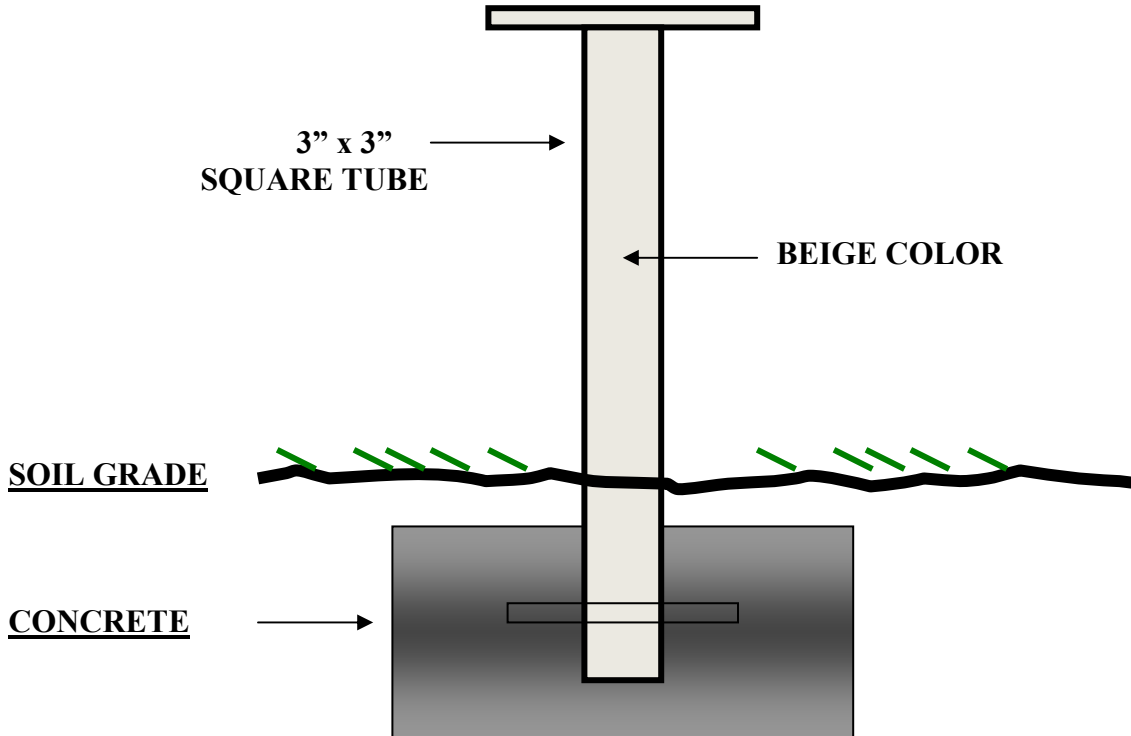
TOP VIEW  
Of  
BASE TRAY



ATTACHMENT #2

PEDESTAL

SINGLE BOX DIAGRAM



The distribution boxes are to be securely fastened to square steel pedestal mounts, which are to be set in a concrete footing located within the planted area. The top of the concrete footing is to be covered with soil, mulch or ground cover to restore the area to its previous appearance to as great an extent as possible. Distribution boxes furnished with a pedestal mount and equipped with a steel flange base that are designed to be bolted to concrete surfaces are to be used only where directed by the Department.


The undersigned newspaper distributor, hereinafter referred to as DISTRIBUTOR, desires to place and maintain a **newspaper** and newspaper vending machine, hereinafter referred to as "Machine", at certain identified safety roadside rest areas owned and operated by the State of California, Department of Transportation, hereinafter referred to as STATE. DISTRIBUTOR agrees that the following conditions apply:

1. DISTRIBUTOR shall comply with the applicable provisions of the California Administrative Code and directions from the State's representative as to the location and placement of each Machine and including its associated pedestal.
2. DISTRIBUTOR shall indemnify, protect and hold harmless the STATE, its officers and employees from all claims for injury to persons or damage to property by reason of the presence, location and/or maintenance of the Machine on STATE property, or by reason of claims based on acts of DISTRIBUTOR'S agents, employees or workers.
3. Maintenance of the Machine shall be the sole responsibility of DISTRIBUTOR, including any replacement or repair of Machine stolen or damaged by vandalism. DISTRIBUTOR shall begin to make necessary repairs within 48 hours after receipt of written or oral notification by STATE.
4. In the course of servicing a Machine, DISTRIBUTOR shall not deposit in or about any safety roadside rest area any wrapping paper, tying material or other litter, except to dispose of such material in a receptacle intended for that purpose. Any material that cannot be disposed of in available receptacles shall be immediately removed from the premises by DISTRIBUTOR.
5. If distribution of the newspaper is discontinued for thirty consecutive days, the DISTRIBUTOR shall remove the Machine and restore the site to its original condition.
6. If the Machine to be removed is on a pedestal shared with other machines, the DISTRIBUTOR shall modify the pedestal to properly accommodate the remaining machines.
7. If, after such discontinuance, or if the terms of this Agreement are violated, and DISTRIBUTOR fails to remove the Machine and restore the site within ten days after reasonable notice and demand, the STATE may thereafter remove the Machine and restore the site to its original condition and the DISTRIBUTOR agrees to reimburse the STATE for the reasonable costs of that removal and restoration.
8. The STATE reserves the right to close, temporarily or permanently, the safety roadside rest area for any reason without notification to the DISTRIBUTOR.
9. This Agreement shall commence on \_\_\_\_\_ 20\_\_\_\_, and shall terminate on \_\_\_\_\_ 20\_\_\_\_

The parties agree that only the following newspaper may be distributed:


NAME OF REST AREA(S)	TRAVEL DIRECTION	NEWSPAPER NAME

COMPANY NAME	CONTACT PERSON	PHONE NUMBER
ADDRESS		E-MAIL ADDRESS

DISTRIBUTOR'S SIGNATURE  


**DISTRICT USE ONLY**

DISTRICT SRRA COORDINATOR / DISTRICT LANDSCAPE ARCHITECT NAME	PHONE NUMBER
DISTRICT SRRA COORDINATOR / DISTRICT LANDSCAPE ARCHITECT NAME	E-MAIL ADDRESS



DEPARTMENT OF TRANSPORTATION

AND

CALIFORNIA HIGHWAY PATROL

Joint Operational Policy Statements

PLANNED LANE CLOSURES

GENERAL

The California Department of Transportation (Caltrans) and the California Highway Patrol (CHP) share responsibility for operating the state highway system safely and efficiently. Because of the shared responsibilities, planned lane closures impact both Caltrans and CHP. Minimizing motorist delay while maintaining the quality of work and public and worker safety are key goals during planned lane closures.

PLANNED LANE CLOSURE POLICY

Transportation Management Plans (TMPs), including contingency plans, are required for all construction, maintenance, encroachment permit, planned emergency restoration, or other planned activities. TMPs define the actions necessary to ensure a safe workzone that minimizes impacts to motorists. Caltrans District offices will seek input from local CHP personnel for the development of significant TMPs.

When planned lane closures are necessary, some of the techniques or considerations when developing a TMP may include:

1. Consideration of lane closure hour restriction.
  2. Use of Construction/Maintenance Zone Enhanced Enforcement Program (COZEEP/MAZEEP).
  3. Use of Freeway Service Patrol for workzone.
  4. Consideration of predictable heavy congestion, such as commute hours and holidays.
  5. Detour routes.
  6. Reduced lane widths.
  7. Consideration of impact on adjacent roads.
- Decisions on how to handle public safety situations should be made collaboratively between Caltrans and CHP at pre-job meetings and/or when they



occur. More information on termination of lane closures is contained under Joint Responsibilities.

#### A. JOINT RESPONSIBILITIES

1. Lane Closure Review Committees. When a planned lane closure-related traffic delay is expected to exceed 30 minutes, a Caltrans District Lane Closure Review Committee (DLCRC) review and approval is required. The DLCRC will include a local designated CHP representative. The DLCRC decides when to submit lane closure requests that are of an interregional, statewide, environmental, or otherwise of a sensitive nature to the Caltrans headquarters Lane Closure Review Committee (HLCRC) for their approval. The HLCRC includes a designated CHP headquarters representative.

2. Contingency Plans. Contingency plans will be developed to address construction process problems, and those for unexpected traffic issues. A contingency plan addresses specific actions that will be taken to restore or minimize effects on traffic when traffic congestion or delay exceeds the original estimates. The contingency plans will prescribe actions for likely problems and provide the criteria “triggers” for initiating the planned actions. The CHP and Caltrans will collaborate in the development of contingency plans and will:

- a. Commit personnel and resources, as available, to ensure the efficient execution of the plan.
- b. Ensure the plan provides that clearly designated responsible personnel, with the authority to act, will be available at all times during closure.
- c. Coordinate and collaborate with other commands and agencies as required.
- d. Ensure local authorities and allied agencies as appropriate are participants in the plan and are willing to act.
- e. Ensure the TMCs are part of the plan, including interregional TMC participation.

1. Termination of Highway Lane Closures. Either department may terminate a lane closure because of safety concerns (e.g., unacceptable smoke or dust that restricts motorist visibility, development of inclement weather, potential for flooding). Whenever possible, a closure should be terminated collaboratively between Caltrans and the CHP.

When a CHP field representative determines a lane closure should be terminated

because of safety concerns or unacceptable traffic congestion, the following protocol should be used:

- a. Notify a CHP supervisor.
- b. Contact the Caltrans person responsible for overseeing field work. If mutual agreement to terminate the closure is not reached, the CHP supervisor should notify the Area commander or designee, who will contact the appropriate Caltrans manager to mutually resolve the issue. If the decision is made to terminate the closure, the CHP and Caltrans representatives shall:
  1. Advise the TMC or Caltrans Maintenance Dispatch as appropriate.
  2. Notify all other applicable entities (e.g., highway contractor).

When a Caltrans field representative or District Traffic Manager (DTM) determines a lane closure should be terminated because of safety concerns or unacceptable traffic congestion on the immediate and/or adjacent highway/roadway system, the following protocol should be used:

- a. Notify the Caltrans person responsible for overseeing field work, Maintenance Dispatch, CHP Communication Center, and TMC.
  - b. Notify all other applicable entities (e.g., highway contractor).
4. Evaluation. For some major TMPs, it is expected that evaluations will be done as a joint CHP/Caltrans activity, and include any other participants such as allied agencies.

## **B. CHP'S RESPONSIBILITIES**

CHP Division and Area commanders, or their designees, will collaborate and cooperate with responsible Caltrans personnel to minimize traffic congestion (e.g., vehicle queuing, stopping, slow bumper-to-bumper vehicles) resulting from planned lane closures. CHP Division and Area commanders will work with the appropriate Caltrans District Division Chief, DTM, Resident Engineer, Maintenance Region Manager, or person(s) designated by the District Director to ensure the CHP's concerns are adequately addressed in the TMPs and contingency plans.

Area commanders or their designees participating on, and/or reviewing and commenting on project-specific TMPs and contingency plans will:

1. Review the plans in a timely manner to ensure CHP concerns, including motorist and worker safety, are adequately addressed.
2. Provide notification to appropriate CHP commands of all impending planned lane closures and status of associated TMPs.
3. Notify respective CHP Division commanders of agreed upon traffic queues (distance and amount of time for stop-and-go vehicles) during the lane closures and any significant issues concerning traffic control that were not resolved in the TMP.
4. Verify that TMCs have been notified and are part of impending projects, TMPs, and contingency plans.
5. Ensure the commitment of CHP personnel and resources to COZEEP/MAZEEP, directing traffic, and traffic monitoring is clearly and accurately described in TMPs and contingency plans.

#### C. CALTRANS' RESPONSIBILITIES

The Caltrans TMP Coordinator will confer with the respective CHP Area commanders to determine criteria and procedures for notification of planned highway lane closures and changes to TMPs.

Depending on the project and impact on traffic, Caltrans may include CHP in the development and review of TMPs.

1. Caltrans should designate a responsible representative for each lane closure.
2. Caltrans should ensure the contractor is able and prepared to comply with the TMP and contingency plan as they relate to its performance of work.

#### D. SPECIAL EVENTS ON STATE HIGHWAYS

Special events include, but are not limited to, activities such as parades, marathons, bikeathons, walkathons, marches, triathlons, and other activities. Filming operations are covered under separate guidelines.

An encroachment permit for special events is required whenever any activity is conducted within a state highway right-of-way which interferes with the unrestricted movement of traffic, requires special traffic control, and/or cannot be conducted in such a manner as to fall under the permissible uses of a highway as authorized in the California Vehicle Code (CVC). Activities which do not

interfere with traffic and which conform to the CVC do not require a permit.

Preliminary and operational meetings should be held with Caltrans, CHP, and special event representatives for all proposed special events before a permit is issued. When appropriate, other local authorities and law enforcement agencies should be invited to attend the meetings. The purpose of these meetings is to define permit conditions, which generally include:

1. Highway location feasibility.
2. Traffic control and facility needs.
3. CHP and Caltrans personnel required for event.
4. Timing of event.
5. Preventing damage to state property.
6. Safety considerations, which includes preventing traffic hazards and determining the least amount of impact to traffic.

Operational decisions and/or emergency situations may require the roadway to be reopened immediately. This decision should be made by the state representative in charge (Caltrans or CHP). CHP and Caltrans may bill the permit-holder for all costs incurred.



WILL KEMPTON, Director  
Department of Transportation



M. L. BROWN, Commissioner  
Department of California  
Highway Patrol



Date

Date

PROFESSIONAL ENGINEERS ACT (Business and Professions Code §§ 6700 – 6799),  
CHAPTER 7. PROFESSIONAL ENGINEERS, Article 3.

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6735. Preparation, signing, and sealing of civil engineering documents

(a) All civil (including structural and geotechnical) engineering plans, calculations, specifications, and reports (hereinafter referred to as "documents") shall be prepared by, or under the responsible charge of, a licensed civil engineer and shall include his or her name and license number. Interim documents shall include a notation as to the intended purpose of the document, such as "preliminary," "not for construction," "for plan check only," or "for review only." All civil engineering plans and specifications that are permitted or that are to be released for construction shall bear the signature and seal or stamp of the licensee and the date of signing and sealing or stamping. All final civil engineering calculations and reports shall bear the signature and seal or stamp of the licensee, and the date of signing and sealing or stamping. If civil engineering plans are required to be signed and sealed or stamped and have multiple sheets, the signature, seal or stamp, and date of signing and sealing or stamping, shall appear on each sheet of the plans. If civil engineering specifications, calculations, and reports are required to be signed and sealed or stamped and have multiple pages, the signature, seal or stamp, and date of signing and sealing or stamping shall appear at a minimum on the title sheet, cover sheet, or signature sheet.

6746. Exemption - communications companies under the Public Utilities Commission  
Plans, specifications, reports and documents relating to communication lines and equipment prepared by employees of communications companies which come under the jurisdiction of the Public Utilities Commission, and by employees of contractors while engaged in work on communication equipment for communications companies which come under the jurisdiction of the Public Utilities Commission, are not subject to the provisions of this chapter.

6746.1. Exemption - employees of the communications industry

The provisions of this act pertaining to licensure of professional engineers other than civil engineers, do not apply to employees in the communication industry, nor to the employees of contractors while engaged in work on communication equipment. However, those employees may not use any of the titles listed in Section 6732, 6736, and 6736.1, unless licensed.

6747. Exemption – industrial corporations and public utilities

(a) This chapter, except for those provisions that apply to civil engineers and civil engineering, shall not apply to the performance of engineering work by a manufacturing, mining, public utility, research and development, or other industrial corporation, or by employees of that corporation, provided that work is in connection with, or incidental to, the products, systems, or services of that corporation or its affiliates.

(b) For purposes of this section, "employees" also includes consultants, temporary employees, contract employees, and those persons hired pursuant to third-party contracts

## Memorandum

*Flex your power!  
Be energy efficient!*

To: DIRECTOR  
DEPUTY DIRECTORS  
DISTRICT DIRECTORS  
DIVISION CHIEFS

Date: December 22, 2009

From: MALCOLM DOUGHERTY  
Interim Chief Engineer



Subject: Inclusion of Expiration Date on Engineering and Land Surveying Documents

Assembly Bill 645, which becomes effective January 1, 2010, deletes the requirement to include the license expiration date on engineering and land surveying documents.

The Department has considered the impending changes and has determined that engineering and survey documents prepared for the Department's use or for construction on the State Highway System will continue to include the expiration date on the seal or stamp.

The current business practice of including the expiration date is consistent with the Department's quality management policies and its desire to perpetuate only the highest quality engineering and surveying documents.

Please refer any questions on this policy to Terry Abbott or Linda Fong.



# KIOSK

# ADVERTISING/ DISPLAY

# GUIDELINES

For  
Safety Roadside Rest Areas

**HEADQUARTERS LANDSCAPE**

**ARCHITECTURE PROGRAM**

**MAY 2009**

## KIOSK ADVERTISING GUIDELINES

### SUBMITTAL

**This program is “optional” at the discretion of the District Office.**

Requests for placement of an advertisement/display within a Traveler/Tourist Information Center, hereinafter referred to as “Kiosk,” shall be submitted by the responsible person (City, County, Chamber of Commerce, Organization or Business Owner) for that activity, service or facility, hereinafter referred to as the “Requestor,” to the District’s Representative.

Kiosk Advertising Guidelines are established from Barclays California Code of Regulations, Title 21·Public Works, Division·2 Department of Transportation, Chapter·20 Permissible Activity and Use of Safety Roadside Rest Areas (SRRA) and Vista Points in and along California State Highways, which authorize the placement of commercial advertisements/displays within kiosks.

- Article 2, Section 2204 (b) authorizes the placement of commercial displays under an agreement within Traveler Information Centers for a cost.
- Article 2, Section 2204 (d) defines Traveler Information Centers as kiosks.
- Article 2, Section 2204 (f) authorizes the Department to place Public Information displays/advertisements determined to be of a specific value, interest or assistance to the traveling public, for a cost.

Streets and Highway Codes Section 220.5 authorizes the placement of kiosks, within Safety Roadside Rest Areas (SRRA), and the following advertisements/displays are allowed for placement at no cost.

- Section 220 authorizes the placement of agricultural displays.
- Section 221 authorizes the placement of information regarding missing children.

Forty-percent (40%) of the kiosk space is devoted to non-commercial public information. The remaining sixty-percent (60%) may be utilized as follows:

Placement of an advertisement/display can be monthly, quarterly or semi-annual.

**The format and content of the advertisement/display will be provided for review and consideration. The District SRRA Coordinator or District Landscape Architect is responsible for review, approval and processing of the submitted request.**

Upon approval in writing from the Department, the advertisement/display can not be changed or altered in any way without the written consent of the Department.

Displays approved for placement can only provide public information regarding:

- local and state points of interest
- local communities and community service facilities
- location of recreational areas and facilities (campgrounds, etc)
- identification of local automotive service stations



- food
- lodging
- traveler service related facilities

## **FEE**

The entire fee of the agreement, per advertisement/display, is required due upon written approval of the request. Payment of the fee shall be by personal or company check, money order or cashier's check, made out to the Department of Transportation.

Districts will assess the fee for the placement of the "advertising/display" based upon the following criteria:

1. Location of the SRRA
2. Distance of the SRRA in relation to the District Office (round-trip travel time, etc.)
3. Size of the advertising/display
4. Other district resources expended

The assessed advertising fee is subject to change at the end of the existing agreement period entered into by the requestor and the Department, at the discretion of the Department.

## **CONDITIONS OF INSTALLATION**

Installation or removal of the advertisement/display upon any kiosk will solely be the responsibility of the Department. Under no circumstances can the requestor install, replace, repair, alter or remove the advertisement/display.

The Department reserves all rights, as stipulated within Barclays California Code of Regulations:

- to reject or refuse at its sole discretion any advertisement/display which is false or misleading, which may misinform, or which does not qualify as traveler information under the Department's rules and regulations.
- to reject, refuse or remove any advertisement/display which does not conform to the Department's specifications, which is deemed unsightly or in a bad state of repair.
- to cancel the agreement at any time, upon ten-days written notification.
- any delay in the placement of an advertisement/display or interruption of the display time caused by the Department shall not constitute a breach of the agreement. In its discretion, the Department may extend the term of the agreement or provide a pro rata credit equal to the period of delay or interruption. Such extension or credit shall be the only damages recoverable.
- to close the Safety Roadside Rest Area for any reason without notification, temporarily or permanently, or to cancel the agreement. The requestor shall have no claim for damages, or extension of the agreement by reasons of such removal, disruption, discontinuance or termination.

The Requestor is responsible for the production of the advertisement/display at their sole cost and expense.

The Requestor is responsible at their own cost and expense for, the restoration, repair or replacement of any advertisement/display which is lost, stolen, defaced, damaged, or destroyed through no fault of

the Department, or which is deemed by the Department to be in a faded, or deteriorated condition, regardless of the cause.

In this event, if the requestor fails to provide an acceptable replacement of the advertisement/display within thirty-days of notification, the Department may cancel the agreement.

The advertisement/display will be of a professional quality, printed on LEXAN or a comparable material pre-approved by the District SRRA Coordinator or District Landscape Architect, able to withstand adverse conditions, such as direct sunlight, rain or snow and able to endure the length of the agreement. The minimal size of the advertisement/display allowed shall be no less than 10" x 14," and a maximum size of 14" x 20." Advertisement/displays not enclosed within a protective casing shall be durable, and protected with an anti graffiti coating.

### **SPECIAL PROVISIONS**

Sub-contracting or third party agreements **will not be allowed** for the request or placement of an advertisement/display. The requestor is required to be solely responsible for the service or facility, listed within the advertisement/display.

The requestor assumes full and complete responsibility and liability for the content of the advertisement/display, and shall agree to save, defend, indemnify and hold the State, the Department, its officers, agents and employees harmless against any and all demands, claims, liability, damages and causes of action, including attorney's fees and all costs of any legal action occasioned by or resulting from injuries or losses to any person, firm or corporation, however occurring, resulting from their reliance on the person's or company's advertisement/display or from the form, content or representations contained therein.

**THESE GUIDELINES ARE SUBJECT OF CHANGE AT THE DISCRETION OF THE DEPARTMENT. IT IS THE REQUESTOR'S RESPONSIBILITY TO REMAIN CURRENT WITH THESE GUIDELINES.**

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION  
**KIOSK ADVERTISING/DISPLAY AGREEMENT**  
 TR-0401 (REV. 05/2009)

The undersigned requests to place an advertisement/display within the Traveler/Tourist Information Center, hereinafter referred to as "kiosk" within the Safety Roadside Rest Area, and hereby agrees to the following conditions:

I have read the Kiosk Advertising/Display Guidelines, and conditions contained herein and agree to comply. And, understand that any failure to do so will result in termination of this agreement.

The requestor assumes full and complete responsibility and liability for the content of the advertisement/display, and shall agree to save, defend, indemnify and hold the State, the department, its officers, agents and employees harmless against any and all demands, claims, liability, damages and causes of action, including attorney's fees and all costs of any legal action occasioned by or resulting from injuries or losses to any person, firm or corporation, however occurring, resulting from their reliance on the person's or company's advertisement/display or from the form, content or representations contained therein.

The name on the agreement shall be that of the responsible party for that service or facility. Sub-contracting or third-party agreements **will not be allowed** for the placement of an advertisement/display. The requestor is required to be solely responsible for the service or facility, listed within the advertisement/display.

The advertisement/display shall be of a professional quality, printed on LEXAN or a comparable material pre-approved by the SRRA Coordinator, able to withstand adverse conditions, such as direct sunlight, rain or snow and able to endure the length of the agreement. The minimal size of the advertisement/display allowed shall be no less than 10" x 14," and a maximum size of 14" x 20." Advertisement /displays not enclosed within a protective casing shall be durable, and protected with an anti graffiti coating.

The requestor is responsible for the production of the advertisement/display at their sole cost and expense.

The format and content of the advertisement/display shall be provided for review. Upon approval in writing from the department, the advertisement/display shall not be changed or altered in any way without the written consent of the Department.

The requestor is seeking placement in the following SRRA:

NAME OF BUSINESS OR ORGANIZATION	OWNER OR REPRESENTATIVES NAME	PHONE NUMBER
ADDRESS		E-MAIL ADDRESS
OWNER OR REPRESENTATIVES SIGNATURE ▶		

NAME OF SAFETY ROADSIDE REST AREA	DIRECTION	TYPE OF ADVERTISEMENT/DISPLAY	FEE ASSESSED
			@ SEMI-ANNUALLY <input type="checkbox"/>
			@ ANNUAL <input type="checkbox"/>
			TOTAL: _____

**DISTRICT USE ONLY**

<b>APPROVAL:</b>	YES <input type="checkbox"/>	COMMENTS: _____
	NO <input type="checkbox"/>	_____

**CASHIER**

INITIALS BY _____	DATE _____	<input type="checkbox"/> CASH	<input type="checkbox"/> MONEY ORDER	
		<input type="checkbox"/> CHECK	<input type="checkbox"/> OTHER _____	

**AGREEMENT PERIOD**

BEGINNING DATE _____	ENDING DATE _____
DISTRICT REPRESENTATIVES NAME	PHONE NUMBER
DISTRICT REPRESENTATIVES SIGNATURE ▶	E-MAIL ADDRESS

# Memorandum

*Flex your power!  
Be energy efficient!*

**To:** DEPUTY DISTRICT DIRECTORS  
for Planning

**Date:** August 2, 2004

DEPUTY DISTRICT DIRECTORS  
for Operations

**From:**

  
BRIAN J. SMITH

Deputy Director

Planning and Modal Programs

  
LAWRENCE H. ORCUTT

Acting Deputy Director

Maintenance and Operations

**Subject:** Guidelines for Submitting Transportation Information from a Reporting or Monitoring Program to the California Department of Transportation (Department), Revised July 9, 2004

The California Environmental Quality Act (CEQA), (Public Resources Code [PRC] Section 21081.6) requires that public agencies adopt a reporting or monitoring program when they include environmental impact mitigation as a condition of project approval. PRC Section 21081.7 requires that public agencies submit such information to the Department if the project is of statewide, regional or area-wide significance; in addition, 21081.7 requires that the Department adopt guidelines for the submittal of such information.

In February 2003, the Department issued *Guidelines for Submitting Transportation Information From a Reporting or Monitoring Program to the Department* (Guidelines).

We revised the Guidelines, effective July 9, 2004, in response to comments and questions that we received following distribution of the February 2003 edition. The new Guidelines seek to clarify the procedures for the Department and public agencies by providing a bit more detail to the steps that we are asking them to take. In addition, we have modified the Checklist/Certification form to more easily accommodate its purposes.

The revised Guidelines are enclosed, as is a sample cover letter for use in forwarding them from district Intergovernmental Review (IGR) units to local public agencies.

Please direct questions to Tom Neumann, Chief, Office of Community Planning at Calnet 8-461-6882, or Paul Cavanaugh, Chief, Encroachment Permit Branch at Calnet 8-464-6232.

Enclosures: 1. Guidelines, including "Checklist/Certification" form  
2. Sample cover letter.

*"Caltrans improves mobility across California"*

DEPUTY DISTRICT DIRECTORS, et. al

August 2, 2004

Page 2

c: Joan Sollenberger, DOTP  
Karla Sutliff, DOTO  
District Directors  
Paul Cavanaugh, DOTO, Encroachment Permit Branch  
Maxine Ferguson, Legal Division  
Robert Wiswell, Division of Aeronautics  
District IGR Coordinators  
Tom Neumann, DOTP,OCP  
Terri Pencovic, DOTP, OCP, IGR



Guidelines for Submitting  
Transportation Information from a  
Reporting or Monitoring Program to  
the California Department of  
Transportation

*for a*

**Project of Statewide, Regional, or  
Areawide Significance**

**California Department of Transportation**

**July 9, 2004**

**GUIDELINES FOR SUBMITTING TRANSPORTATION  
INFORMATION FROM A REPORTING OR MONITORING  
PROGRAM TO THE CALIFORNIA DEPARTMENT OF  
TRANSPORTATION (DEPARTMENT)**

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**INTRODUCTION** The California Environmental Quality Act (CEQA) requires, under Public Resources Code (PRC) Section 21081.6, the adoption of reporting or monitoring programs when public agencies include environmental impact mitigation as a condition of project approval. Reporting or monitoring takes place after project approval to ensure implementation of the project in accordance with mitigation adopted during the CEQA review process.

Assembly Bill 1807 (effective January 1, 2001) amended the PRC in a number of ways. Section 21080.4 was amended to add a requirement that lead agencies submit Notices of Preparation (NOPs) to the Governor's Office of Planning and Research when they determine that an environmental impact report will be required to approve a project.

Section 21081.7 was amended with two additional provisions. The first provision required that transportation information resulting from a reporting or monitoring program adopted by a public agency in accordance with Section 21081.6 be submitted to the Department of Transportation (Department) when a project has impacts that are of statewide, regional, or area-wide significance. The second provision required that the Department adopt guidelines for the submittal of those reporting or monitoring programs.

**PURPOSE** The purpose of these guidelines is to establish clear and consistent statewide procedures to be used by both Department District Intergovernmental Review (IGR) Program Coordinators to identify the scope and timing of transportation information needed from lead agencies, and public agencies when submitting transportation information to the Department, in accordance with Section 21081.7.

**PROCEDURES**      A.      The District IGR Program Managers and/or Coordinators shall:

1. Prior to implementation of mitigation measures:
  - a. Notify the CEQA lead agency by letter during “early consultation,” the Notice of Preparation (NOP) stage, or the Initial Study (IS) phase of the CEQA review process that the transportation information included in the reporting or monitoring program will need to be provided to the Department following project mitigation agreement.
  - b. Provide the name, address, and telephone number of the District IGR contact to the lead agency.
  - c. Provide, as an enclosure to the notification letter, a copy of these “Guidelines” and the Department’s “CEQA Lead Agency Checklist/Certification” form. (Part 1 of the form, *Checklist*, is to be signed by the lead agency following project approval, and a copy submitted to the District along with the transportation reporting or monitoring information. Part 2 of the form, *Certification*, is to be signed by the lead agency and the District upon implementation of all agreed-upon mitigation measures.)
2. Following implementation of mitigation measures as identified in Part 1, *Checklist*, of the CEQA Lead Agency Checklist/Certification form, and certification of implementation by the lead agency in Part 2, *Certification*:

Ensure sign off of Part 2, indicating that the mitigation measures have been implemented.

- 1) If the project required encroachment onto a state highway, obtain the District Permit Engineer’s signature in Part 2.
- 2) If the project did not involve encroachment onto a state highway, the District IGR Coordinator shall sign Part 2.



- 3) The District IGR Coordinator shall: (a) Retain the original document; (b) forward a copy to the District Permit Engineer (if the Permit Engineer signed Part 2); (c) forward a copy to the Department's Headquarters IGR Program Manager; and, (d) send a copy to the lead agency.

B. The CEQA lead agency shall:

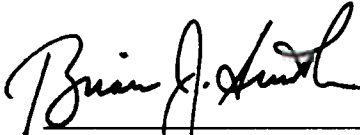
1. Following project approval:

Submit the following information to the Department District IGR contact:

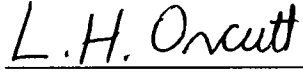
- 1) Name, address, and telephone number of the CEQA lead agency contact responsible for the mitigation reporting or monitoring program.
- 2) Location and custodian of the documents or other material, which constitute the record of proceedings upon which the lead agency's decision to approve the project is based.
- 3) Assurances that the Department can obtain copies of the aforementioned documents and materials, if needed, to clarify details or resolve issues related to the mitigation adopted.
- 4) Detailed information on impact assessment methods, the type of mitigation, specific location, and implementation schedule for each transportation impact mitigation measure included in the reporting or monitoring program.
- 5) A copy of the "CEQA Lead Agency Checklist/Certification" form, with Part 1, *Checklist*, signed and dated, and the reporting or monitoring program transportation information attached or enclosed. The CEQA lead agency, at its discretion, may submit the complete reporting or monitoring program with the required transportation information highlighted.

2. Following implementation of mitigation measures:
  - a. Sign and date Part 2, *Certification*, of the "CEQA Lead Agency Checklist/Certification" form.
  - b. Forward the "CEQA Lead Agency Checklist/Certification" form, with appropriate completion documents attached, to the District IGR contact, certifying that the mitigation measures agreed upon and identified in the reporting or monitoring program have been implemented, and that all other reporting requirements have been adhered to, in accordance with PRC Sections 21081.6 and 21081.7.

**APPROVED:**

  
\_\_\_\_\_  
BRIAN J. SMITH  
Deputy Director  
Planning and Modal Programs

8 July 04  
Date

  
\_\_\_\_\_  
LARRY ORCUTT  
Acting Deputy Director  
Maintenance and Operations

7-9-04  
Date

**CEQA LEAD AGENCY CHECKLIST/CERTIFICATION ♦  
TRANSPORTATION INFORMATION FROM A REPORTING OR MONITORING PROGRAM**

**Part 1 - Checklist**

**Project Name:** \_\_\_\_\_

**Lead Agency:** \_\_\_\_\_

**Lead Agency Contact (Name, Title, Agency, Address & Phone):** \_\_\_\_\_

**State Clearinghouse (SCH) File #/s:** \_\_\_\_\_

**Document Type/s:** \_\_\_\_\_

**Findings & Approval Date/s:** \_\_\_\_\_

**Project Proponent (Name, Title, Company, Address & Phone):** \_\_\_\_\_

**For each specific Transportation Related Mitigation Measure associated with this Project, The following information items are included in the attached materials:**

<b>Yes</b>	<b>No</b>	
<input type="checkbox"/>	<input type="checkbox"/>	<b>Location/Custodian Of CEQA Documents, Proceedings, Records</b>
<input type="checkbox"/>	<input type="checkbox"/>	<b>Description Of How To Obtain Copies Of Above Documents</b>
<input type="checkbox"/>	<input type="checkbox"/>	<b>Mitigation Measure Name &amp; Identifying Number</b>
<input type="checkbox"/>	<input type="checkbox"/>	<b>Detailed Description of Measure &amp; its Purpose (attach blueprints if necessary)</b>
<input type="checkbox"/>	<input type="checkbox"/>	<b>Measure Location Description, Latitude/Longitude, &amp; Vicinity Map</b>
<input type="checkbox"/>	<input type="checkbox"/>	<b>Location of Impacted State Highway Component (County, Route, Postmile)</b>
<input type="checkbox"/>	<input type="checkbox"/>	<b>Caltrans Encroachment Permit Number (if one was needed)</b>
<input type="checkbox"/>	<input type="checkbox"/>	<b>Copy of Other Agency Permits required for this Measure (if needed)</b>
<input type="checkbox"/>	<input type="checkbox"/>	<b>Completion Criteria (including detailed performance objectives)</b>
<input type="checkbox"/>	<input type="checkbox"/>	<b>Implementation Schedule</b>
<input type="checkbox"/>	<input type="checkbox"/>	<b>Estimated Monetary Value of Completed Measure &amp; % Local Agency Funded</b>
<input type="checkbox"/>	<input type="checkbox"/>	<b>Responsible Contractor (Name, Company, Address &amp; Phone)</b>

*The above project mitigation measures will be implemented as indicated in the adopted reporting or monitoring program, and the California Department of Transportation will be notified upon implementation.*

\_\_\_\_\_  
CEQA Lead Agency Date

**Part 2 - Certification**

*We certify that the agreed upon mitigation measures have been implemented, and all other requirements have been adhered to, in accordance with PRC Sections 21081.6 and 21081.7. Attached: 1. Completion evaluation (including field inspection reports); 2. Photograph of completed measure.*

**Signature & Date:** \_\_\_\_\_

\_\_\_\_\_

**Name:** \_\_\_\_\_

\_\_\_\_\_

**Title:** \_\_\_\_\_  
CEQA Lead Agency

\_\_\_\_\_ **California Department of Transportation**

\* This form is to be used by public agencies to submit their mitigation reporting or monitoring programs to the California Department of Transportation (Department) when a CEQA project has been found to have transportation or circulation impacts that are of statewide, regional, or area-wide significance. Copies of this form, and the Department Guidelines developed pursuant to PRC Section 21081.7, can be downloaded from our website ([http://www.dot.ca.gov/hq/tpp/offices/ocp/igr\\_guidelines\\_procedures.htm](http://www.dot.ca.gov/hq/tpp/offices/ocp/igr_guidelines_procedures.htm)). Completed form with attached materials may be post-mailed, e-mailed, or faxed to the appropriate Department District Planning Office, Attention: Intergovernmental Review (IGR) Coordinator. {Form Version 07/2004}



# GUIDELINES

*for the placement of*

**TRAVELER DISCOUNT BOOKLETS**

In

**AMTRAK-CALIFORNIA STATIONS**

**&**

**SAFETY ROADSIDE REST AREAS**



***OCTOBER 2007***

**CUPON BOOKLET GUIDELINES**  
**SPECIAL PROVISIONS & PERMIT CONDITIONS**

**Definition**

Periodical vendors, herein after referred to as Coupon Booklet Vendors (CBV), offer discount coupons for lodging and entertainment to the traveling public.

**Written Agreement**

The Department's representative for Amtrak-California Stations will be the Chief of the Rail Marketing Branch, Division of Rail.

The Department's representative for Safety Roadside Rest Areas (SRRA) will be the District Rest Area Coordinator.

CBV companies requesting to place their coupon booklet(s) within Amtrak-California Stations and SRRA are first required to enter into a written agreement with the Department, administered by the Headquarters Office of Encroachment Permits.

This written agreement shall stipulate the reserving of four full-pages for departmental campaign advertisements within their respective publications, to be administered by the Statewide Events & Awards Coordinator, in the Headquarters Office of External Affairs.

The Department's advertisements will consist of Slow for the Cone Zone, Amtrak-California, California Highway Information Network (CHIN) and Don't Trash California. These campaign advertisements shall be effectively placed in the booklets upon finalization of the written agreement.

The location of placement of the Department's campaign advertisements within the publications is at the discretion of the CBV, so long as the pages appear either before the first page of lodging coupons or, after the final page of lodging coupons.

The CBV agree to endeavor to place the Department's campaign advertisements together, facing each other whenever the paid composition of the publication permits.

When, and if constraints are imposed upon the CBV by the placement of paid advertising, the CBV shall still be obligated to provide the advertisements at their discretion within the areas of the publications as prescribed above.

The Department retains the right and privilege to prescribe the content of the four full-page advertisements during the course of the written agreement and thereafter.

Each CBV will deliver 2 copies of each new publication printed to the Statewide Events & Awards Coordinator, HQ Office of External Affairs, and 2 copies of each new publication printed to the Chief, Rail Marketing Branch, Division of Rail, 1120 N Street, MS-74, Sacramento, California 95814.

**Application Submittal**

Upon confirmation of the revised agreement, each CBV will only be required to submit one standard encroachment permit application, for the issuance of one statewide biennial permit allowing the continual distribution and maintenance of their facilities. In the box labeled "description of work to be performed", the applicant shall state the intent for the "placement and maintenance of Traveler Discount Coupon Booklets, and/or facilities."

In the event that placement is sought where there are no existing facilities, as a new installation, will require the CBV to submit an exempt encroachment permit rider request, and the CBV shall be responsible for all costs incurred with the installation of new facilities.

### **Permit Fee**

All permits are to be issued “exempt” for periodical distribution, and shall be issued as biennial permits (2-years).

### **Special Provisions**

The Department will allow for the placement of these booklets for each year following as long as the respective parties adhere to the conditions of the written agreement entered into:

District 11 Encroachment Permit Office will issue a statewide biennial “CU” encroachment permit, listing the specific Amtrak-California Stations and SRRA locations statewide, following the permit special provisions, on the following pages of the permit. All respective districts will receive cc: copies of the statewide permits issued.

Require the placement of a laminated placard depicting the cover of the booklet to be placed within the window of the display box.

The CBV booklets will be allowed in the Department's Headquarters building, on the sixth floor outside of the cafeteria area and in Amtrak-California Stations stipulated within their permit, to be placed within facilities provided by the CBV.

### **Permit Conditions**

Subcontracting under this permit will not be allowed for the placement of the coupon booklets.

The CBV is required to provide weekly maintenance checks on all distribution facilities, to ensure cleanliness of the area surrounding their facilities and to ensure that the traveling public is provided with current information at no cost to the public.

Storage of coupon booklets upon State rights-of-way or within the Amtrak-California termini will not be allowed.

The CBV is required to notify the Department’s representative a minimum of two days prior to entry into any of the locations stipulated within their respective permit and/or the States’ rights-of-way.

Any combination of three violations of the special provisions or permit conditions within the term (two-years) of the permit will result in suspension and/or revocation of your permitted privileges.

### **Installation Conditions**

All new installations of distribution facilities shall be installed and maintained by the CBV under the direction of the Department’s representative and shall be in compliance with the following criteria:

Upon completion on the installation of the distribution facilities located within an Amtrak-California Station or SRRA, said facilities inherently become the property of the State of California.

Within each Amtrak-California Station or SRRA, all distribution facilities (boxes and pedestals) shall all be of the same type, model, manufacturer and color (see Attachment #1 & #2) to ensure a uniform appearance is maintained as directed by the Department’s representative and per the attachments provided.

The color for new distribution facilities shall be consistent at a location but may be a color other than Beige, as determined by the Department's representative.

The distribution facility should be located in an area where it will be unobtrusive and not detract from other elements of the SRRA.

The distribution facility should be located within the planted areas wherever practicable, adjacent to walkways and electroliers to reduce the exposure to vandalism and theft, or as directed by the Department's representative.

It will be located so that it is convenient and easily accessible to the traveling public, as directed by the Department's representative.

The front of the distribution facility should be parallel with the edge of the walkway.

The maximum number of distribution boxes shall not exceed four (a double stack of two) in any SRRA.

The distribution boxes located within SRRA are to be securely fastened to square steel pedestal mounts, which are to be set in a concrete footing located within the planted area. The top of the concrete footing is to be covered with soil, mulch or ground cover to restore the area to its previous appearance to as great an extent as possible. Distribution boxes furnished with a pedestal mount equipped with a steel flange base designed to be bolted to concrete surfaces are to be used only where directed by the Department's representative.

All distribution facilities shall be free of any advertisements (see Attachment #3) and shall be maintained in a clean, neat and attractive condition and in good repair at all times. Any facilities (boxes, pedestals, and racks) that are damaged, in a state of disrepair, or due to wear and tear which are no longer in a presentable condition (clean, neat and attractive) shall be replaced or repaired by the CBV as soon as practicable after discovery or notification by the Department's representative to do so.

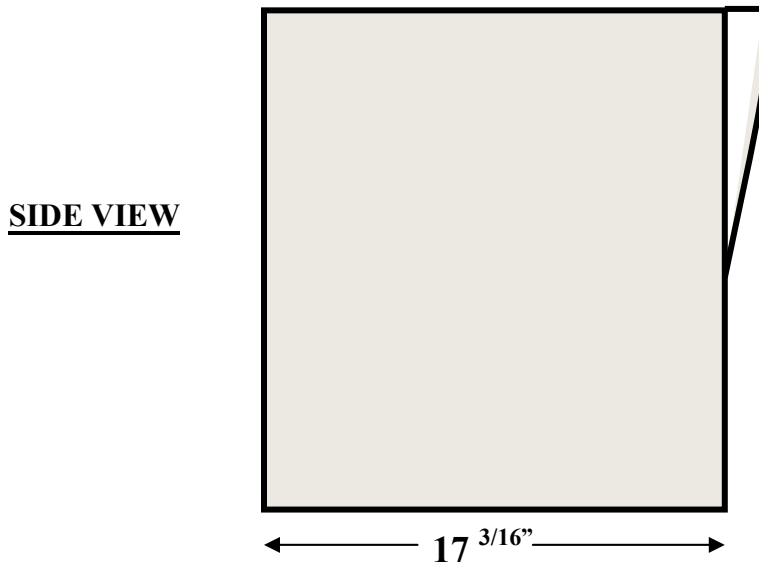
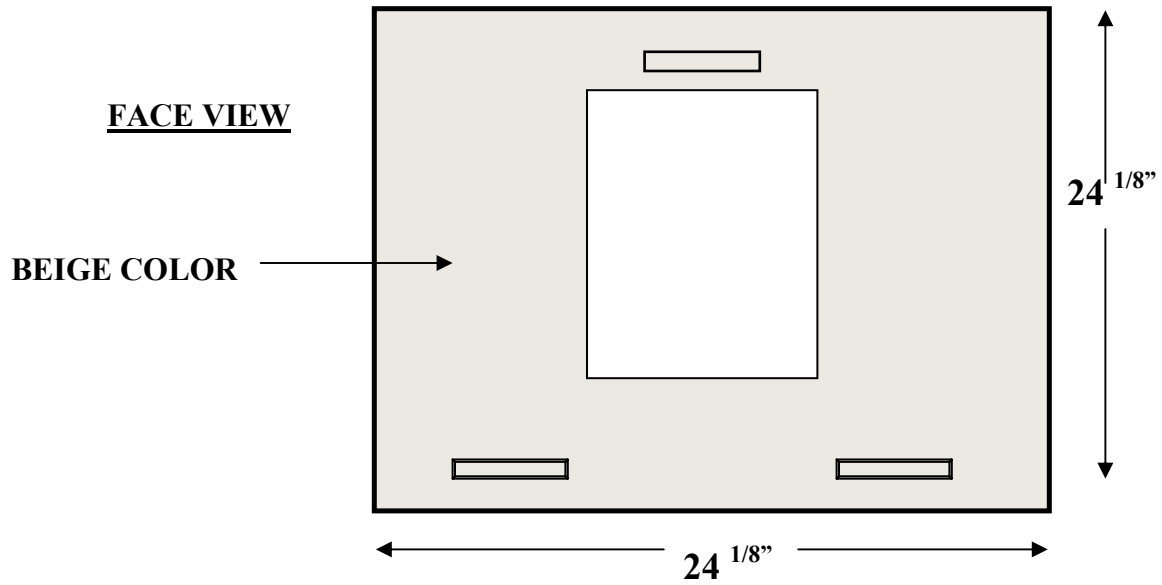
All distribution facilities which have been lost, stolen or vandalized and facilities that are no longer to be used, shall be removed, replaced or repaired by the CBV as soon as practicable after discovery or notification by the Department's representative to do so.

The CBV is responsible for removal of the remaining facilities when any distribution facility is missing, vandalized or unused, and there is not intent to replace it in kind. The site shall be returned to its original condition.

**THESE GUIDELINES ARE SUBJECT TO CHANGE AT THE DISCRETION OF THE HEADQUARTERS OFFICE OF ENCROACHMENT PERMITS. IT IS THE RESPONSIBILITY OF THE PERMITTEE TO REMAIN CURRENT WITH THE SPECIAL PROVISIONS AND PERMIT CONDITIONS OF THESE GUIDELINES.**

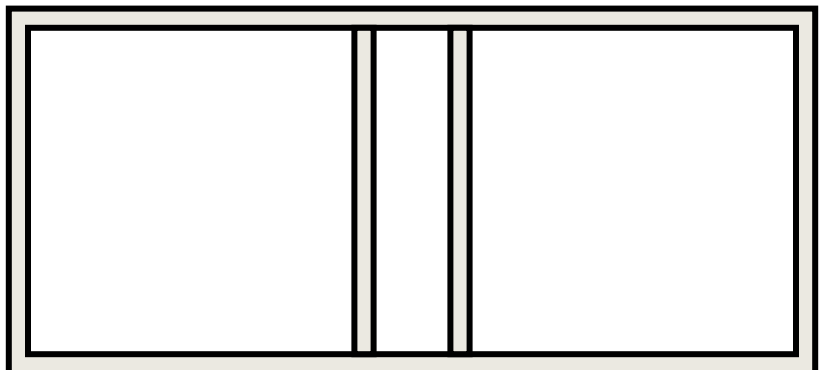
ATTACHMENT #1

COUPON BOOK DISTRIBUTION BOXES



DOUBLE BOX DIAGRAM

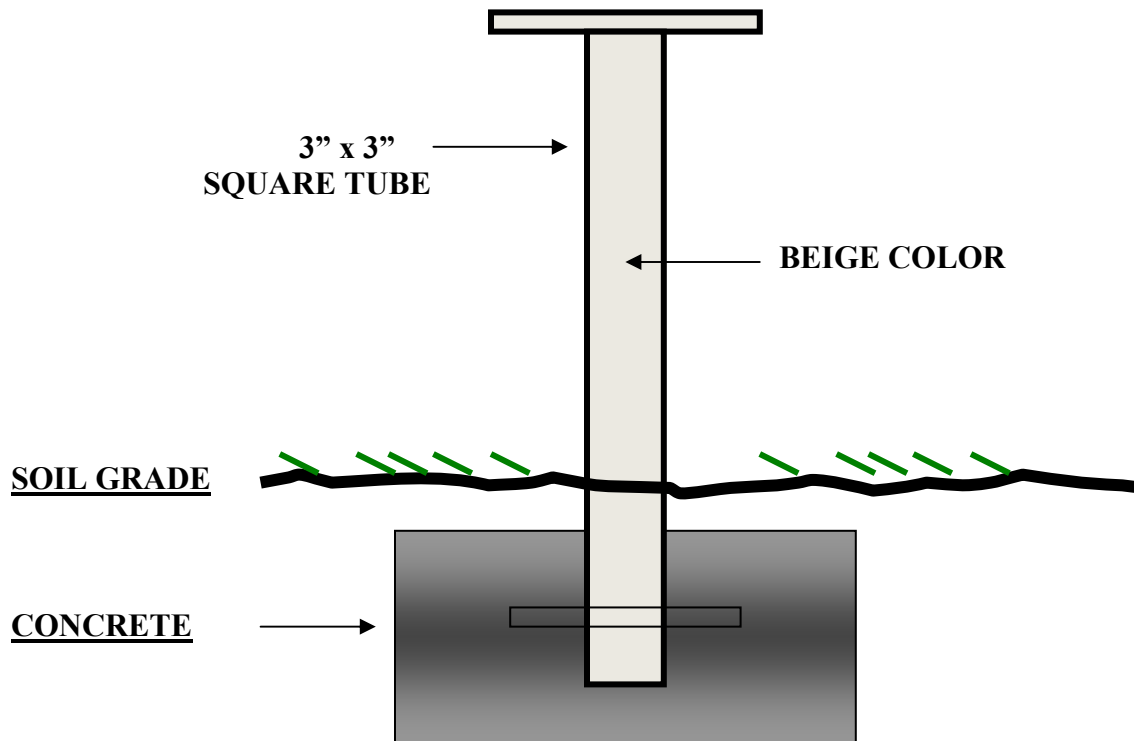
TOP VIEW  
Of  
BASE TRAY





ATTACHMENT #2

PEDESTAL  
SINGLE BOX DIAGRAM



The distribution boxes are to be securely fastened to square steel pedestal mounts, which are to be set in a concrete footing located within the planted area. The top of the concrete footing is to be covered with soil, mulch or ground cover to restore the area to its previous appearance to as great an extent as possible. Distribution boxes furnished with a pedestal mount and equipped with a steel flange base that are designed to be bolted to concrete surfaces are to be used only where directed by the Department.

### ATTACHMENT #3

This illustration shows the appearance in how the placements of these distribution facilities are to appear in the Safety Roadside Rest Areas. Also shown is what is acceptable for placement in the door window and what is NOT.

