

INPUTS TO GOOD PURPOSE AND NEED STATEMENTS

This matrix was prepared by the California Department of Transportation (Caltrans) Purpose and Need Quality Team. The matrix identifies many of the information sources, or inputs, about project purpose and need. These can contribute to the development of supporting information for good purpose and need statements. This matrix is intended to increase awareness of information sources and also encourage broader communication. This tool was primarily developed to be applied to projects in the State Transportation Improvement Program (STIP). Where applicable, this tool and the other tools on this web site can also be used for State Highway Operation and Protection Program (SHOPP) projects or local projects.

How the Matrix Works

Rows: typical needs. The typical inputs to good purpose and need statements are arranged in rows according to the categories of purpose and need identified by the Federal Highway Administration (FHWA) in its Memorandum, 9/18/90, "The Importance of Purpose and Need in Environmental Documents" (<http://environment.fhwa.dot.gov/guidebook/vol2/doc7d.pdf>). Note: a project purpose and need can be developed around additional categories that are not explicitly listed here. For example, a project's purpose and need could involve context-sensitive solutions; livable communities; or goods movement.

Columns: project phases. For each of these typical categories, inputs are arranged in columns according to project phase, beginning in pre-programming phases. Information developed during one project phase often becomes an important input to the next phase. For instance, the Regional Transportation Plan (RTP) that is prepared during the RTP phase is used during the Project Initiation Document (PID) phase. The same inputs may often be used in multiple project phases, and in fact this is encouraged.

Table cells: possible inputs. Individual entries (cells) are sorted into three broad categories. Inputs are not always provided for all three of the categories:

- Document (a report, plan, manual, software, model or other written or electronic medium that can be referred to);
- Contact (a person, functional unit or agency that can be consulted); and
- Action (an activity that can be performed, such as holding a meeting).

Caveats about the table cells: Not all the inputs listed in the matrix will apply to every project – inputs that are available and relevant will vary on a case-by-case basis. There may also be additional useful inputs for any given project. The sources for these inputs will also vary from District to District, so no attempt has been made here to describe where they are located - the intent is to increase awareness of the kinds of sources that may be available.

The matrix complements other tools on this web site: This matrix is designed to be used with the "Useful Acronyms" and the "Glossary of Useful Terms Related to Purpose and Need," also on this web site. Together, these tools provide information about various resources that can help project teams to prepare and refine quality purpose and need statements.

INPUTS TO GOOD PURPOSE AND NEED STATEMENTS: Rows show categories of project Purpose and Need from FHWA's guidance. Columns focus on major project phases, from pre-programming through construction. Individual entries are sorted into three broad groupings: Document (a report, plan, manual, software, model or other written or electronic medium that can be referred to); Contact (a person, functional unit, agency or group that can be conferred with); and Action (an activity that can be performed). The inputs to a good purpose and need statement are not limited to the resources identified below. Also, not all inputs will apply to every project; relevant and available inputs will vary on a case-by-case basis. The sources for these inputs will also vary from District to District within Caltrans, so no attempt has been made to describe where they are located. For additional information about many of the specific inputs, please refer to the other Appendices in this Report, especially Appendix E (Glossary). Guidance provided by your own functional area is also strongly recommended as a source of additional information. See the introduction to Appendix B for additional information about this matrix. While the focus of this matrix is on STIP projects, it can also be used for SHOPP projects and local projects where applicable.

| | Planning Prior to Project Initiation Document | | | Project Initiation Documents (PIDs) and Feasibility Study Reports | Project Approval / Environmental Document (PAED) | Plans, Specifications and Estimates (PS&E) | Construction |
|--|---|---|---------------|---|---|--|--|
| | Regional Transportation Plan (RTP) | System Planning Documents (Route Concept Reports / Transportation Concept Reports) & Corridor Studies | 10-Year SHOPP | | | | |
| (1) Project Status Briefly describe the project history including actions taken to date, other agencies and governmental units involved, actions pending, schedules, etc. | Not Applicable | <p>Document:</p> <ul style="list-style-type: none"> Regional Transportation Plan (RTP) RTP environmental document General Plan – Circulation element Previous Route Concept Reports/Transportation Concept Reports (RCRs/TCRs) Previous project files California Transportation Plan (CTP) Interregional Transportation Strategic Plan (ITSP) Statewide and Federal Systems & Designations (e.g., Scenic Highway System, IRRS, STRAHNET, Functional Classification, etc.) Statutes Intergovernmental Review (IGR) documents <p>Contact:</p> <ul style="list-style-type: none"> Regional Transportation Planning Agency (RTPA) Chamber of Commerce Planning Departments Public Works Departments Public officials Law enforcement Advocacy groups Civic groups Public land-holding agencies Historical Societies Caltrans System Planning Caltrans Regional Planning Caltrans IGR Caltrans Air Quality Coordinator Caltrans Goods Movement Coordinator <p>Action:</p> <ul style="list-style-type: none"> Town Hall meetings Other community/public meetings | | <p>Document:</p> <ul style="list-style-type: none"> RTP System Planning documents (RCRs/TCRs) TSDP Old project files Previous studies IGR documents <p>Contact:</p> <ul style="list-style-type: none"> Caltrans Intergovernmental Review (IGR) Caltrans Air Quality Coordinator Caltrans Goods Movement Coordinator Appropriate Caltrans Functional Units, e.g., System Planning, Regional Planning, Local Assistance, Traffic Operations, Traffic Safety, Environmental, Design, Maintenance, Legal Local and regional agencies, e.g., cities, counties, COGs Resource agencies with jurisdiction <p>Action:</p> <ul style="list-style-type: none"> Form Project Development Team (PDT); draft or revise purpose and need statement Field review Identify whether NEPA/404 coordination is necessary per MOU; if necessary, contact MOU signatories and initiate process for this phase | <p>Document:</p> <ul style="list-style-type: none"> State Implementation Plan (SIP) Transportation Control Measures (TCMs) for air quality Project Initiation Document (PID) Preliminary Environmental Analysis Report (PEAR) Draft Project Report PDT meeting minutes Project files RTP-stage information <p>Contact:</p> <ul style="list-style-type: none"> PDT members Caltrans Regional Planning <p>Action:</p> <ul style="list-style-type: none"> Hold PDT meetings; assign new members as needed; revisit purpose and need and revise as needed based on updated studies Identify whether NEPA/404 coordination is necessary per MOU; if necessary, contact MOU signatories and initiate process for this phase | <p>Document:</p> <ul style="list-style-type: none"> Project Report Environmental Document <p>Contact:</p> <ul style="list-style-type: none"> Project Manager PDT <p>Action:</p> <ul style="list-style-type: none"> Hold PDT meetings; assign new members as needed Refer to Project Report and Environmental Document, verify that PS&E are consistent with purpose and need statement | <p>Document:</p> <ul style="list-style-type: none"> Project Report Environmental Document <p>Contact:</p> <ul style="list-style-type: none"> Project Manager PDT <p>Action:</p> <ul style="list-style-type: none"> Hold PDT meetings; assign new members as needed Refer to Project Report and Environmental Document, verify that project being constructed is consistent with purpose and need statement |

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| (2) System Linkage Is the proposed project a "connecting link"? How does it fit in the transportation system? | <p>Document:</p> <ul style="list-style-type: none"> Statutes (e.g. Section 230 to Section 635 of the Streets and Highways Code) Previous RTP General Plan elements (Circulation, Bike) RTP Guidelines Tribal Plans Federal agency Master Plans Statewide Plans (TSDP) Air Quality Conformity Plans Plans for Airports, Ferries, etc. Congestion Management Plans Transit Plans <p>Contact:</p> <ul style="list-style-type: none"> Planning Departments Modal advocacy groups Trucking associations | <p>Document:</p> <ul style="list-style-type: none"> General Plan Circulation element RTP RTPA environmental document Transit information <p>Contact:</p> <ul style="list-style-type: none"> Caltrans System Planning RTPA Local agencies FHWA/FTA Advocacy groups (bike & trail groups) – through Caltrans Regional Planning and Community Planning Caltrans Goods Movement Coordinator | | <p>See left; also:</p> <p>Document:</p> <ul style="list-style-type: none"> System Planning documents (RCRs/TCRs) CTP Interregional Road System (IRRS) Interregional Transportation Strategic Plan (ITSP) <p>Contact:</p> <ul style="list-style-type: none"> Appropriate Caltrans Functional Units, e.g., System Planning, Regional Planning, Local Assistance, Traffic Operations, Traffic Safety, Environmental, Design, Maintenance, Legal Local and regional agencies, e.g., cities, counties, COGs Resource agencies with jurisdiction <p>Action:</p> <ul style="list-style-type: none"> Form PDT; draft or revise purpose and need statement Field review Identify whether NEPA/404 coordination is necessary per MOU; if necessary, contact MOU signatories and initiate process for this phase Initiate or update traffic analysis, traffic model and forecasts | <p>See left; also:</p> <p>Document:</p> <ul style="list-style-type: none"> PID Draft Project Report RTP-stage information <p>Contact:</p> <ul style="list-style-type: none"> Caltrans Regional Planning PDT members Local/regional agencies Advocacy or special interest groups Other stakeholders <p>Action:</p> <ul style="list-style-type: none"> Hold PDT meetings; assign new members as needed; revisit purpose and need and revise as needed based on updated studies Identify whether NEPA/404 coordination is necessary per MOU; if necessary, contact MOU signatories and initiate process for this phase Initiate or update traffic analysis, traffic model and forecasts as needed | <p>Document:</p> <ul style="list-style-type: none"> Project Report Environmental Document <p>Contact:</p> <ul style="list-style-type: none"> Project Manager PDT <p>Action:</p> <ul style="list-style-type: none"> Hold PDT meetings; assign new members as needed Refer to Project Report and Environmental Document, verify that PS&E are consistent with purpose and need statement | <p>Document:</p> <ul style="list-style-type: none"> Project Report Environmental Document <p>Contact:</p> <ul style="list-style-type: none"> Project Manager PDT <p>Action:</p> <ul style="list-style-type: none"> Hold PDT meetings; assign new members as needed Refer to Project Report and Environmental Document, verify that project being constructed is consistent with purpose and need statement |

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| <p>(3) Capacity Is the capacity of the present facility inadequate for the present traffic? Projected traffic? What capacity is needed? What is the level(s) of service for existing and proposed facilities?</p> | <p>Document:</p> <ul style="list-style-type: none"> Traffic modeling Highway Capacity Manual Existing and projected land use planning General Plan: Housing and Land Use elements and Zoning Maps Caltrans Highway Logs Caltrans Sign Logs Caltrans forecasts Caltrans Statewide Model (TSIP) Transit Studies <p>Contact:</p> <ul style="list-style-type: none"> Planning Departments Modal advocacy groups <p>Action:</p> <ul style="list-style-type: none"> Traffic modeling Air Quality modeling Transportation Demand modeling | <p>Document:</p> <ul style="list-style-type: none"> RTP State Implementation Plan (SIP) Agency Corridor Studies Traffic counts Traffic Accident Surveillance & Analysis System (TASAS) Circulation Plans Functional Classification Air Quality models Major Investment Study (MIS) Cost/benefit analysis (may be more appropriate under project status) IGR documents IRRS (Interregional Road System) ITSP ITMS (Intermodal Transportation Management System) Statewide Model MPO models General Plan Highway Capacity Software (HCS) Highway Capacity Manual (HCM) Simulation Models <p>Contact:</p> <ul style="list-style-type: none"> Caltrans Traffic Operations Caltrans Transportation Modeling Caltrans System Planning Caltrans IGR Caltrans Goods Movement Coordinator Caltrans Mass Transportation Air Resources Board <p>Action:</p> <ul style="list-style-type: none"> Collect data Calculate Level of Service (LOS) Calculate Demand/Capacity (D/C) | | <p>See left; also:</p> <p>Document:</p> <ul style="list-style-type: none"> System Planning documents (RCRs/TCRs) Transportation System Development Program (TSDP) DSMP (District System Management Plan) RTP IGR documents <p>Contact:</p> <ul style="list-style-type: none"> Caltrans IGR Caltrans Goods Movement Coordinator Caltrans Mass Transportation Appropriate Caltrans Functional Units, e.g., System Planning, Regional Planning, Local Assistance, Traffic Operations, Traffic Safety, Environmental, Design, Maintenance, Legal Local and regional agencies, e.g., cities, counties, COGs Resource agencies with jurisdiction <p>Action:</p> <ul style="list-style-type: none"> Form PDT; draft or revise purpose and need statement Field review Identify whether NEPA/404 coordination is necessary per MOU; if necessary, contact MOU signatories and initiate process for this phase Initiate or update traffic analysis, traffic model and forecasts | <p>See left; also:</p> <p>Document:</p> <ul style="list-style-type: none"> PID Draft Project Report Traffic forecasts RTP-stage information <p>Contact:</p> <ul style="list-style-type: none"> Caltrans Regional Planning Caltrans Traffic Operations Caltrans Design PDT members Local/regional agencies Advocacy or special interest groups Other stakeholders <p>Action:</p> <ul style="list-style-type: none"> Hold PDT meetings; assign new members as needed; revisit purpose and need and revise as needed based on updated studies Identify whether NEPA/404 coordination is necessary per MOU; if necessary, contact MOU signatories and initiate process for this phase Initiate or update traffic analysis, traffic model and forecasts as needed | <p>Document:</p> <ul style="list-style-type: none"> Project Report Environmental Document <p>Contact:</p> <ul style="list-style-type: none"> Project Manager PDT <p>Action:</p> <ul style="list-style-type: none"> Hold PDT meetings; assign new members as needed Refer to Project Report and Environmental Document, verify that PS&E are consistent with purpose and need statement | <p>Document:</p> <ul style="list-style-type: none"> Project Report Environmental Document <p>Contact:</p> <ul style="list-style-type: none"> Project Manager PDT <p>Action:</p> <ul style="list-style-type: none"> Hold PDT meetings; assign new members as needed Refer to Project Report and Environmental Document, verify that project being constructed is consistent with purpose and need statement |

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| (4) Transportation Demand Including relationship to any statewide plan or adopted urban transportation plan together with an explanation of the project's traffic forecasts that are substantially different from those estimates from the 23 U.S.C. 134 (Section 134) planning process. | See Capacity inputs, above. | See Capacity inputs, above. | | See Capacity inputs, above. Also: Contact: <ul style="list-style-type: none"> • Caltrans Forecastng and Modeling • Caltrans Traffic Operations • Caltrans IGR • Local and regional agencies, e.g., cities, counties, COGs | See Capacity inputs, above, and see left. Also: Document: <ul style="list-style-type: none"> • TCR/RCR • PID • Draft Project Report • Traffic forecasts | Document: <ul style="list-style-type: none"> • Project Report • Environmental Document Contact: <ul style="list-style-type: none"> • Project Manager • PDT Action: <ul style="list-style-type: none"> • Hold PDT meetings; assign new members as needed • Refer to Project Report and Environmental Document, verify that PS&E are consistent with purpose and need statement | Document: <ul style="list-style-type: none"> • Project Report • Environmental Document Contact: <ul style="list-style-type: none"> • Project Manager • PDT Action: <ul style="list-style-type: none"> • Hold PDT meetings; assign new members as needed • Refer to Project Report and Environmental Document, verify that project being constructed is consistent with purpose and need statement |

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| (5) Legislation Is there a Federal, State, or local government mandate for the action? | <p>Document:</p> <ul style="list-style-type: none"> TEA 21 - Transportation Equity Act for the 21st Century State Implementation Plan Americans with Disabilities Act Title VI Clean Air Act Clean Water Act Initiatives/Measures <p>Contact:</p> <ul style="list-style-type: none"> FHWA/FTA | <p>See left. Also:</p> <p>Document:</p> <ul style="list-style-type: none"> RTP SB 45 Seismic Retrofit Program Noise Attenuation Program Regulatory agency mandates Court orders <p>Contact:</p> <ul style="list-style-type: none"> Planning Department Local government offices Air Resources Board Regulatory agencies Caltrans Legal Caltrans Legislative Analyst's Office | | <p>See left. Also:</p> <p>Document:</p> <ul style="list-style-type: none"> TCRP (Traffic Congestion Relief Program) (Statute) Previous Project Files Design Exceptions on previous projects Listings of Department commitments <p>Contact:</p> <ul style="list-style-type: none"> Caltrans Legal Caltrans HQ Environmental Division Caltrans Air Quality Coordinator SHOPP Program Managers Appropriate Caltrans Functional Units, e.g., System Planning, Regional Planning, Local Assistance, Traffic Operations, Traffic Safety, Environmental, Design, Maintenance Local and regional agencies, e.g., cities, counties, COGs Local politicians Resource agencies with jurisdiction <p>Action:</p> <ul style="list-style-type: none"> Form PDT; draft or revise purpose and need statement Field review Identify whether NEPA/404 coordination is necessary per MOU; if necessary, contact MOU signatories and initiate process for this phase | <p>See left. Also:</p> <p>Document:</p> <ul style="list-style-type: none"> Design Exceptions from Previous Projects Project Initiation Document Land use plans PDT meeting minutes <p>Contact:</p> <ul style="list-style-type: none"> SHOPP Program Managers Local/regional agencies Advocacy or special interest groups Other stakeholders <p>Action:</p> <ul style="list-style-type: none"> Hold PDT meetings; assign new members as needed; revisit purpose and need and revise as needed based on updated studies Identify whether NEPA/404 coordination is necessary per MOU; if necessary, contact MOU signatories and initiate process for this phase | <p>Document:</p> <ul style="list-style-type: none"> Project Report Environmental Document <p>Contact:</p> <ul style="list-style-type: none"> Project Manager PDT <p>Action:</p> <ul style="list-style-type: none"> Hold PDT meetings; assign new members as needed Refer to Project Report and Environmental Document, verify that PS&E are consistent with purpose and need statement | <p>Document:</p> <ul style="list-style-type: none"> Project Report Environmental Document <p>Contact:</p> <ul style="list-style-type: none"> Project Manager PDT <p>Action:</p> <ul style="list-style-type: none"> Hold PDT meetings; assign new members as needed Refer to Project Report and Environmental Document, verify that project being constructed is consistent with purpose and need statement |

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| (6) Social Demands or Economic Development New employment, schools, land use plans, recreation, etc. What projected economic development/land use changes indicate the need to improve or add to the highway capacity? | <p>Document:</p> <ul style="list-style-type: none"> General Plans (Housing and Land Use elements) Tentative Parcel Maps Subdivision Maps Specific Plans (e.g., large residential/commercial developments) Plans for major events (e.g., Olympics) Security plans Plans for context-sensitive solutions <p>Contact:</p> <ul style="list-style-type: none"> Planning Department FHWA/FTA Tribes <p>Action:</p> <ul style="list-style-type: none"> Hold public meetings | <p>See left. Also:</p> <p>Document:</p> <ul style="list-style-type: none"> RTP TCR/RCR Economic Plan Zoning maps Models Public agency Master Plans Tribal Plans <p>Contact:</p> <ul style="list-style-type: none"> Chamber of Commerce Visitor/Welcome Centers Redevelopment Agency State Department of Housing and Development Local Recreation Department State Office of Tourism School Districts Department of Finance (for census) Community-based organizations Elected officials Tribes <p>Action:</p> <ul style="list-style-type: none"> Hold public meetings | <p>See left. Also:</p> <p>Document:</p> <ul style="list-style-type: none"> RTP environmental document <p>Contact:</p> <ul style="list-style-type: none"> Caltrans Goods Movement Coordinator IGRCEQA Reviewer District Encroachment Permits Engineer Appropriate Caltrans Functional Units, e.g., System Planning, Regional Planning, Local Assistance, Traffic Operations, Traffic Safety, Environmental, Design, Maintenance, Legal Local and regional agencies, e.g., cities, counties, COGs Resource agencies with jurisdiction <p>Action:</p> <ul style="list-style-type: none"> Form PDT; draft or revise purpose and need statement Field review Identify whether NEPA/404 coordination is necessary per MOU; if necessary, contact MOU signatories and initiate process for this phase For PEAR, perform environmental scoping for socio-economic and Environmental Justice issues Initiate or update traffic analysis, traffic model and forecasts, and safety studies | <p>See left. Also:</p> <p>Document:</p> <ul style="list-style-type: none"> PID PEAR Draft Project Report Traffic forecasts <p>Contact:</p> <ul style="list-style-type: none"> IGR CECQ Reviewer District Encroachment Permits Local/regional agencies Advocacy or special interest groups Other stakeholders Caltrans Public Affairs <p>Action:</p> <ul style="list-style-type: none"> Hold PDT meetings; assign new members as needed; revisit purpose and need and revise as needed based on updated studies Identify whether NEPA/404 coordination is necessary per MOU; if necessary, contact MOU signatories and initiate process for this phase Initiate or update traffic analysis, traffic model and forecasts, and safety studies as needed Keep up on local news | <p>Document:</p> <ul style="list-style-type: none"> Project Report Environmental Document <p>Contact:</p> <ul style="list-style-type: none"> Project Manager PDT <p>Action:</p> <ul style="list-style-type: none"> Hold PDT meetings; assign new members as needed Refer to Project Report and Environmental Document, verify that PS&E are consistent with purpose and need statement | <p>Document:</p> <ul style="list-style-type: none"> Project Report Environmental Document <p>Contact:</p> <ul style="list-style-type: none"> Project Manager PDT <p>Action:</p> <ul style="list-style-type: none"> Hold PDT meetings; assign new members as needed Refer to Project Report and Environmental Document, verify that project being constructed is consistent with purpose and need statement | |

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| (7) Modal Inter-relationships How will the proposed facility interface with and serve to complement airports, rail and port facilities, mass transit services, etc? | <p>See System Linkage, above. Also:</p> <p>Document:</p> <ul style="list-style-type: none"> • General Plan • Transit studies • Airport Land Use Plans • California Aviation System Plan • California Trade and Goods Movement Plan • Rail and Port studies <p>Contact:</p> <ul style="list-style-type: none"> • Planning Department • FHWA/FTA • FAA • State Department of Aeronautics • Transit Agencies • Rail and Port Authorities • Trucking associations • Consolidated Transportation Service • Airport Land Use Plans • Modal advocacy groups | <p>See left. Also:</p> <p>Document:</p> <ul style="list-style-type: none"> • RTP • <p>Contact:</p> <ul style="list-style-type: none"> • RTPA/MPO • Caltrans Goods Movement • Caltrans Mass Transportation • Caltrans Local Assistance • Rail and Port operators • Caltrans Division of Rail • Regulatory agencies <p>Action:</p> <ul style="list-style-type: none"> • Meet with mode providers/agencies • Meet with advocacy groups | | <p>See left. Also:</p> <p>Document:</p> <ul style="list-style-type: none"> • TCR/RCR • FHWA's "Flexibility in Highway Design" • Caltrans' "Main Streets: Flexibility in Design and Operations Guide 2002" <p>Contact:</p> <ul style="list-style-type: none"> • Appropriate Caltrans Functional Units, e.g., System Planning, Regional Planning, Local Assistance, Traffic Operations, Traffic Safety, Environmental, Design, Maintenance, Legal • Local and regional agencies, e.g., cities, counties, COGs • Local transit providers • Identify whether NEPA/404 coordination is necessary per MOU; if necessary, contact MOU signatories and initiate process for this phase <p>Action:</p> <ul style="list-style-type: none"> • Form PDT; draft or revise purpose and need statement • Field review • Meet with mode providers/agencies | <p>See left. Also:</p> <p>Document:</p> <ul style="list-style-type: none"> • PID <p>Contact:</p> <ul style="list-style-type: none"> • Local/regional agencies • Local transit providers • Local bike groups • Other advocacy and special interest groups • Other stakeholders • Caltrans Public Affairs <p>Action:</p> <ul style="list-style-type: none"> • Hold PDT meetings; assign new members as needed; revisit purpose and need and revise as needed based on updated studies • Identify whether NEPA/404 coordination is necessary per MOU; if necessary, contact MOU signatories and initiate process for this phase • Keep up on local news | <p>Document:</p> <ul style="list-style-type: none"> • Project Report • Environmental Document <p>Contact:</p> <ul style="list-style-type: none"> • Project Manager • PDT <p>Action:</p> <ul style="list-style-type: none"> • Hold PDT meetings; assign new members as needed • Refer to Project Report and Environmental Document, verify that PS&E are consistent with purpose and need statement | <p>Document:</p> <ul style="list-style-type: none"> • Project Report • Environmental Document <p>Contact:</p> <ul style="list-style-type: none"> • Project Manager • PDT <p>Action:</p> <ul style="list-style-type: none"> • Hold PDT meetings; assign new members as needed • Refer to Project Report and Environmental Document, verify that project being constructed is consistent with purpose and need statement |

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| (8) Safety Is the proposed project necessary to correct an existing or potential safety hazard? Is the existing accident rate excessively high? Why? How will the proposed project improve it? | <p>Document:</p> <ul style="list-style-type: none"> Accident reports <p>Contact:</p> <ul style="list-style-type: none"> CHP Local law enforcement Caltrans Planning Caltrans Traffic Operations <p>Action:</p> <ul style="list-style-type: none"> Hold public meetings | <p>See left. Also:</p> <p>Document:</p> <ul style="list-style-type: none"> RTP TASAS Transportation Research Board Reports Structures Maintenance: Bridge Management System (BMS) and Structure Replacement and Improvement Needs (STRAIN) Report Feasibility Study Reports Coastal Plan Alquist-Priolo Fault Zones Avalanche Plans <p>Contact:</p> <ul style="list-style-type: none"> Caltrans Maintenance Caltrans Structures Maintenance Caltrans Division of New Technology and Research State Office of Transportation Safety State Office of Emergency Services (OES) Federal Emergency Management Agency (FEMA) <p>Action:</p> <ul style="list-style-type: none"> Collect data Calculate Safety Index (S.I.) Calculate accident rates | <p>See left. Also:</p> <p>Document:</p> <ul style="list-style-type: none"> TASAS—accident rates Safety index (calculated as a cost/benefit ratio) <p>Contact:</p> <ul style="list-style-type: none"> Caltrans Traffic Safety California Highway Patrol Caltrans Truck Permitting—for bridge vertical clearances and bridge loading standards Caltrans Structures Maintenance Caltrans Safety SHOPP Program Manager Caltrans Roadside SHOPP Program Manager Caltrans Design Coordinator Appropriate Caltrans Functional Units, e.g., System Planning, Regional Planning, Local Assistance, Traffic Operations, Environmental, Design, Maintenance, Legal Local and regional agencies, e.g., cities, counties, COGs Local advocacy groups Resource agencies with jurisdiction <p>Action:</p> <ul style="list-style-type: none"> Form PDT; draft or revise purpose and need statement Field review Identify whether NEPA/404 coordination is necessary per MOU; if necessary, contact MOU signatories and initiate process for this phase Initiate or update safety studies | <p>See left. Also:</p> <p>Document:</p> <ul style="list-style-type: none"> PID <p>Contact:</p> <ul style="list-style-type: none"> Caltrans Design Coordinator Local/regional agencies Advocacy groups Other stakeholders Caltrans Public Affairs <p>Action:</p> <ul style="list-style-type: none"> Hold PDT meetings; assign new members as needed; revisit purpose and need and revise as needed based on updated studies Identify whether NEPA/404 coordination is necessary per MOU; if necessary, contact MOU signatories and initiate process for this phase Initiate or update safety studies as needed Update TASAS and safety index Keep up on local news | <p>Document:</p> <ul style="list-style-type: none"> Project Report Environmental Document <p>Contact:</p> <ul style="list-style-type: none"> Project Manager PDT <p>Action:</p> <ul style="list-style-type: none"> Hold PDT meetings; assign new members as needed Refer to Project Report and Environmental Document, verify that PS&E are consistent with purpose and need statement | <p>Document:</p> <ul style="list-style-type: none"> Project Report Environmental Document <p>Contact:</p> <ul style="list-style-type: none"> Project Manager PDT <p>Action:</p> <ul style="list-style-type: none"> Hold PDT meetings; assign new members as needed Refer to Project Report and Environmental Document, verify that project being constructed is consistent with purpose and need statement |

| | Planning Prior to Project Initiation Document | | | Project Initiation Documents (PIDs) and Feasibility Study Reports | Project Approval / Environmental Document (PAED) | Plans, Specifications and Estimates (PS&E) | Construction |
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| | Regional Transportation Plan (RTP) | System Planning Documents (Route Concept Reports / Transportation Concept Reports) & Corridor Studies | 10-Year SHOPP | | | | |
| <p>(9) Roadway Deficiencies Is the proposed project necessary to correct existing roadway deficiencies (e.g., substandard geometrics, load limits on structures, inadequate cross-section, or high maintenance costs)? How will the proposed project improve it?</p> | <p>Document:</p> <ul style="list-style-type: none"> General Plan (Circulation element) TCR/RCR <p>Contact:</p> <ul style="list-style-type: none"> Caltrans Planning Local Public Works Department Rail and Port Authorities Truckers' Association Modal advocacy groups <p>Action:</p> <ul style="list-style-type: none"> Public meetings Field reviews Data collection | <p>Document:</p> <ul style="list-style-type: none"> Operations Management Plan Intelligent Transportation System (ITS) Plan Pavement management surveys Structures Maintenance: Bridge Management System (BMS) and Structure Replacement and Improvement Needs (STRAIN) Report Caltrans Highway Design Manual <p>Contact:</p> <ul style="list-style-type: none"> Caltrans Maintenance Caltrans Structures Maintenance Caltrans Traffic Operations Caltrans Engineering Service Center Translab Caltrans Design <p>Action:</p> <ul style="list-style-type: none"> Public meetings Field reviews Data collection | | <p>See left. Also:</p> <p>Document:</p> <ul style="list-style-type: none"> As-builts Pavement Management System (regular surveys of roadways for rideability, etc) Bridge Management System <p>Contact:</p> <ul style="list-style-type: none"> Caltrans SHOPP Program Managers (Safety, Roadside, Roadway, Mobility) Caltrans Design Coordinator Caltrans Traffic Coordinator Caltrans District Hazardous Waste Caltrans District Maintenance Caltrans District Traffic Operations Appropriate Caltrans Functional Units, e.g., System Planning, Regional Planning, Local Assistance, Traffic Safety, Design, Environmental, Legal Local and regional agencies, e.g., cities, counties, COGs Resource agencies with jurisdiction <p>Action:</p> <ul style="list-style-type: none"> Form PDT; draft or revise purpose and need statement Field review Identify whether NEPA/404 coordination is necessary per MOU; if necessary, contact MOU signatories and initiate process for this phase Initiate or update traffic analysis, traffic model and forecasts, and safety studies | <p>See left. Also:</p> <p>Document:</p> <ul style="list-style-type: none"> PID <p>Contact:</p> <ul style="list-style-type: none"> Caltrans Design Coordinator Local/regional agencies Advocacy or special interest groups Other stakeholders Caltrans Public Affairs <p>Action:</p> <ul style="list-style-type: none"> Hold PDT meetings; assign new members as needed; revisit purpose and need and revise as needed based on updated studies Identify whether NEPA/404 coordination is necessary per MOU; if necessary, contact MOU signatories and initiate process for this phase Initiate or update traffic analysis, traffic model and forecasts, and safety studies as needed Keep up on local news | <p>Document:</p> <ul style="list-style-type: none"> Project Report Environmental Document <p>Contact:</p> <ul style="list-style-type: none"> Project Manager PDT <p>Action:</p> <ul style="list-style-type: none"> Hold PDT meetings; assign new members as needed Refer to Project Report and Environmental Document, verify that PS&E are consistent with purpose and need statement | <p>Document:</p> <ul style="list-style-type: none"> Project Report Environmental Document <p>Contact:</p> <ul style="list-style-type: none"> Project Manager PDT <p>Action:</p> <ul style="list-style-type: none"> Hold PDT meetings; assign new members as needed Refer to Project Report and Environmental Document, verify that project being constructed is consistent with purpose and need statement |

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| (Later guidance) Bicycle / Pedestrian Facilities If the proposed project includes a bicycle or pedestrian facility, is the facility a link in the local plan? Will it reduce project impacts to community access? | <p>Document:</p> <ul style="list-style-type: none"> General Plan Bike element (if there is one) Land Use Plans Trails Plan Specific Plans Community Plans Americans with Disabilities Act Caltrans System Plans FHWA's "Flexibility in Highway Design" Caltrans' "Main Streets: Flexibility in Design and Operations Guide 2002" Caltrans' "Context-Sensitive Solutions" <p>Contact:</p> <ul style="list-style-type: none"> Planning Department Advocacy groups <p>Action:</p> <ul style="list-style-type: none"> Hold public meetings | <p>See left. Also:</p> <p>Document:</p> <ul style="list-style-type: none"> RTP <p>Contact:</p> <ul style="list-style-type: none"> Caltrans Non-motorized Transportation Team Bicycle/pedestrian advocacy groups <p>Action:</p> <ul style="list-style-type: none"> Hold outreach meetings with advocacy groups | | <p>See left. Also:</p> <p>Document:</p> <ul style="list-style-type: none"> TCR/RCR <p>Contact:</p> <ul style="list-style-type: none"> Caltrans System Planning and Regional Planning Caltrans District Bicycle/ Pedestrian Coordinator Caltrans Community Planning Caltrans IGR Appropriate Caltrans Functional Units, e.g., Local Assistance, Traffic Operations, Traffic Safety, Environmental, Design, Maintenance, Legal Local and regional agencies, e.g., cities, counties, COGs Bicycle and pedestrian advocacy groups Resource agencies with jurisdiction <p>Action:</p> <ul style="list-style-type: none"> Form PDT; draft or revise purpose and need statement Field review Identify whether NEPA/404 coordination is necessary per MOU; if necessary, contact MOU signatories and initiate process for this phase | <p>See left. Also:</p> <p>Document:</p> <ul style="list-style-type: none"> PID PEAR <p>Contact:</p> <ul style="list-style-type: none"> Other stakeholders <p>Action:</p> <ul style="list-style-type: none"> Hold PDT meetings; assign new members as needed; revisit purpose and need and revise as needed based on updated studies Identify whether NEPA/404 coordination is necessary per MOU; if necessary, contact MOU signatories and initiate process for this phase Hold outreach meetings with advocacy groups | <p>Document:</p> <ul style="list-style-type: none"> Project Report Environmental Document <p>Contact:</p> <ul style="list-style-type: none"> Project Manager PDT <p>Action:</p> <ul style="list-style-type: none"> Hold PDT meetings; assign new members as needed Refer to Project Report and Environmental Document, verify that PS&E are consistent with purpose and need statement | <p>Document:</p> <ul style="list-style-type: none"> Project Report Environmental Document <p>Contact:</p> <ul style="list-style-type: none"> Project Manager PDT <p>Action:</p> <ul style="list-style-type: none"> Hold PDT meetings; assign new members as needed Refer to Project Report and Environmental Document, verify that project being constructed is consistent with purpose and need statement |