Executive Summary
2014 Monitoring of Caltrans Performance under the Surface Transportation Project Delivery Program
April 2013–June 2014

The California Department of Transportation (Caltrans) has prepared this report on monitoring of performance pursuant to title 23 United States Code Section 327 (23 USC 327).

The Moving Ahead for Progress in the 21st Century Act (MAP-21), effective October 2012, amended 23 USC 327 to, in part, make the "Surface Transportation Project Delivery Pilot Program" (Pilot Program) permanent as the "Surface Transportation Project Delivery Program" (Project Delivery Program). Under the Project Delivery Program, the U.S. Department of Transportation Secretary (Secretary) may assign, and states may assume, the Secretary's responsibilities under the National Environmental Policy Act (NEPA).

The assignment and assumption of the Secretary's NEPA responsibilities are subject to written agreements such as a memorandum of understanding (MOU). MAP-21 limits the term of such agreements to no more than five years but requires that they be renewable.

Working through the Federal Highway Administration (FHWA), the Secretary originally assigned those responsibilities (for highway projects), to Caltrans in a MOU under the Pilot Program (July 2007). The FHWA has continued the assignment of these responsibilities to Caltrans in the current MOU under the permanent Project Delivery Program (October 2012), which is more commonly referred to as "NEPA Assignment", meaning the activities performed collectively under the MOUs since July 2007.

Previous to 2013, during the Pilot Program, Caltrans made "Self-Assessments" of its performance, which were subject to FHWA audits. During the first two years of the Pilot Program, the audits were semiannual and during the last three years of the Pilot Program, the audits were annual.

Under the current, renewed NEPA Assignment MOU, the FHWA is required to monitor Caltrans for compliance with the terms of the MOU, pursuant to 23 USC 327(h). Caltrans is expected to assess its performance and report the results to annually, heretofore referred to as "Self-Assessment". The FHWA monitors compliance through the annual monitoring report submitted by Caltrans.

In 2013, Caltrans conducted the first Monitoring review for the period April 1, 2012 through March 30, 2013, the 20th through 23rd Quarters of NEPA Assignment. This report documents results of the 2014 Monitoring review. This second Monitoring review evaluates NEPA document approvals for the period April 1, 2013 through June 30, 2014, the 24th through 28th Quarters of NEPA Assignment. References to activities related to NEPA Assignment from 2007 to the present have referred to "quarters" or 3-month periods for purposes of reporting. "Quarter 1" began in July 1, 2007, the effective date of the first MOU. This and

future reports will make reference to quarters for historical and trend comparison purposes; however there will be less reliance on references to quarters, with an emphasis instead on identifying the quarterly evaluation periods by start and end dates. And in the future, annual monitoring periods will cover respective state fiscal years (July 1 through June 30).

The findings of the 2014 Monitoring show that Caltrans is successfully carrying out the federal responsibilities assigned by the FHWA under the MOU in accordance with all applicable federal laws and policies. The findings are based on Caltrans progress toward meeting the four performance measures identified in Section 10.2 of the MOU. Those four performance measures are listed in the Appendix A table of this report (labeled A–D to correspond with their identifiers in the MOU). Also listed in Appendix A are the "components" of each measure (labeled i, ii, and iii consistent with the MOU) and the "metrics" associated with each component (labelled 1, 2, 3, and 4 with lower case letters). These metrics were developed in discussions with the FHWA and have consistently been evaluated each year under NEPA Assignment.

To the original list of metrics, Caltrans has added five additional metrics (identified in italicized print and labelled 1a, 1b, 1c, 1d, and 1e) related to specific federal requirements. These additions enhance the assessment of the performance measures required under NEPA Assignment (see footnote to Appendix A) and were added, in part, to respond to deficiencies and "needs improvement" findings found during FHWA audits. These metrics are identified in Appendix A as A.ii.1.a–e. (See footnote to Appendix A)

For the 2014 Monitoring review, Caltrans achieved an overall average 93 percent rating for compliance with NEPA and other federal laws and attainment of supportable NEPA decisions for the 15 percentage-based metrics. The 2014 Monitoring review findings are summarized in the table found in Appendix A of this report.

In addition to reporting the findings of the 2014 Monitoring review, this report also documents the corrective actions that were identified in the 2013 Monitoring Report and that have been implemented by Caltrans. Those corrective actions and their implementation are summarized in the Appendix B table. The NEPA Assignment MOU requires Caltrans to report the implementation status of corrective actions identified as a result from the most recent Monitoring review.

The performance measures are listed below, with a description of goals and units of measurement:

- **A. Compliance with NEPA and other Federal laws and regulations (comprising two components and eight metrics):** Percentage of final environmental documents and Categorical Exclusions (CEs) that appropriately document compliance with specified federal regulations, which are then measured against an acceptable performance goal of 95 percent.

- **B. Attainment of supportable NEPA decisions (comprising three components and six metrics):** Percentage of draft and final environmental documents that comply with the six review criteria specified in the associated performance metrics. Those percentages are then measured against an acceptable performance goal of 95 percent. Of these six metrics, only one, B.i.c.1, (established filing system) is applied to CEs. The other five metrics relate exclusively to environmental documents.
- **C. Monitor relationships with agencies and the general public (comprising three components and five metrics):** Of the five metrics associated with the third performance measure, the first three metrics are related to changes in communication among Caltrans, Federal and State resource agencies, and the public. Changes are expressed as being above or below the cumulative average rating for all relationship surveys and reviews conducted since the initiation of the NEPA Assignment Program. For these three metrics, ratings received during the 2014 monitoring period, which are above the cumulative average, are considered acceptable.

  The 4th metric, related to maintaining effective responsiveness to substantive comments received on NEPA documents, is measured as a percentage of compliance, which is then measured against an acceptable performance goal of 95 percent.

  The 5th metric related to conflict resolution does not apply to this monitoring review period since no formal conflict resolution actions have been initiated.
- **D. Timely completion of NEPA process (comprising two components and five metrics):** Measured as the number of months saved over projects approved prior to initiation of the Pilot Program (referred to as pre-Pilot Program projects in this report) timeframes. Any time savings meets the goal of the performance measure.

  For each metric, Appendix A identifies whether the identified goals were met during the 2014 monitoring period and presents corrective actions for those metrics for which acceptable goals were not met.

For the April 2013 through June 2014 monitoring period, Caltrans concludes the following for each performance measure in the MOU:

- **A. Compliance with NEPA and Other Federal Laws and Regulations**

  The 95 percent goal was met for six of the eight metrics. The goal was not met for the other two metrics (see metrics A.ii.1. and A.ii.1.a. in Appendix A).
- **B. Attainment of Supportable NEPA Decisions**

  The 95 percent goal was exceeded for five of six metrics. The goal was not met for one metric (see metric B.i.c.1 in Appendix A).
- **C. Monitor Relationships with Agencies and the General Public**

This measure comprises one metric that is percentage-based and four metrics that are not percentage-based.

The goal was met or exceeded for two of the three metrics (see metrics C.1.1, C.1.2, and C.1.3 in Appendix A) based on a comparison with cumulative averages (See Figures 1, 2, and 3 attached at the end of this monitoring report). See Figure 1 for the metric related to changes in communication among Caltrans, Federal and State resource agencies. For the two metrics related to communications with the public, see Figure 2 for a review of public meeting materials and Figure 3 for a review of public meetings by anonymous attendees.

The goal was also met for the 4th (C.ii.1) metric, a percentage-based metric, related to signed certifications that draft environmental document public review comments have been addressed.

The 5th metric (C.iii.1) related to the NEPA conflict resolution process was not measured since no conflict resolutions actions were required during the 2014 Monitoring Review period.

- **D. Timely Completion of NEPA Process**

  Caltrans saved time for all measured time frames, as compared against the timeframes prior to NEPA Assignment; therefore the goals for all five metrics were met (see metrics D.i.1 through D.i.4 in Appendix A).

As noted above, for this April 2013 through June 2014 monitoring period, Caltrans achieved an overall average 93 percent rating for compliance with NEPA and other federal laws and attainment of supportable NEPA decisions for the 15 percentage-based metrics. This is lower than the 94 percent compliance rating achieved during the 2013 Monitoring (April 2012–March 2013). More specifically, a comparison of 2014 findings with those in 2013 indicates the following:

- Caltrans did not meet the goal of the following metrics in 2013, but met the goal in 2014:
  - Compliance with 23 USC 139
  - Percentage of draft and final environmental documents for which the completed QA/QC procedures are appropriately completed based on an independent review of the internal QC certification form and follow-up information
- Conversely, Caltrans met the goal for the following metrics in 2013, but did not meet them in 2014:
  - Compliance with other Executive Order 11990; Executive Order 11988; and Section 176(c) of the federal Clean Air Act
  - Resource Agency Survey: Compare average evaluation ratings for each period and cumulatively over time

Caltrans DEA and DLA Management staff are actively engaged with District staff in reviewing these findings in order to identify best practices, recommend improvements, and

develop and implement corrective actions. Caltrans works continuously to improve performance in executing the federal responsibilities assumed under NEPA Assignment. Steps will be taken to further develop staff expertise, clarify procedures and provide guidance, and to actively monitor the implementation of corrective actions.

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Scope of Monitoring

The purpose of NEPA Assignment Monitoring is to evaluate District/Region environmental document approvals for compliance with performance measures, as required by the NEPA Assignment MOU. Based on discussions with the FHWA, performance metrics have been identified to measure Caltrans progress in meeting the performance measures.

During this 2014 Monitoring effort, Caltrans evaluated NEPA documents that were approved during the April 2013 through June 2014 Monitoring Period (Quarters 24–28 of NEPA Assignment.) A total of 48 approvals for State Highway System and Local Assistance projects in all 12 Caltrans Districts were reviewed against one or more performance metrics. These 48 approvals are identified below by class of NEPA action:

- 16 Environmental Assessments (EAs)
- 17 Findings of No Significant Impact (FONSIs)[1]
- three draft Environmental Impact Statements (EISs)
- three final EISs
- nine CEs were approved under 23 USC 327 (as distinguished from CEs approved by Caltrans under 23 USC 326)

Caltrans also visited Districts 4, 6, and 10 to review project files for NEPA documents and CEs approved by these Districts.

In addition to specific performance measurements, Caltrans conducted a program-level review of NEPA Assignment activities to identify achievements made in environmental guidance, training, and the accuracy of quarterly monitoring on environmental document milestones and decisions.

Monitoring Methods

During the 2014 Monitoring effort, Caltrans used methods consistent with those used since 2007. The methods used included the review of all draft and final environmental documents approved statewide for the April 2013 to June 2014 monitoring period, as well as the environmental document review checklists and quality control (QC) certification forms

[1] Caltrans rescinded one District 3 FONSI originally reported to FHWA during this monitoring report period; this document is excluded from the scope of this review.

associated with these approved environmental documents, submitted electronically by the Districts to Headquarters; physical inspection of project environmental files; in-person discussions with project generalists; a survey of resource agencies; reviews of public meetings and public meeting materials, and measurement of time savings.

Caltrans visited Districts 4, 6, and 10 in September/October 2014 to physically inspect project files for environmental documents approved in these Districts during the April 2013 to June 2014 monitoring period. A different group of Districts will be visited each year, based on number of document approvals and results of quarterly reviews during the monitoring period.

Appendix C presents the number of draft and final environmental documents and CEs reviewed for each performance metric identified in Appendix A. Appendix C also presents the percentage of compliant documents and CEs for the percentage-based metrics.

The methods used in the reviews are further described below.

A. Compliance with NEPA and other Federal Laws and Regulations

For the review period April 2013 through June 2014, Caltrans reviewed all final environmental documents approved among all Caltrans districts and, for Districts 4, 6, and 10 (in visits to those districts), 327 CE approvals. All these approvals were evaluated for compliance with federal laws and regulations (listed below), as measured against certain criteria, or review elements, in order to determine whether the documentation used to prepare the final environmental documents and CEs was appropriate and complete:

- Section 7 of the Endangered Species Act
- Section 106 of the National Historic Preservation Act
- Section 4(f) of the Department of Transportation Act
- Section 176(c) of the Clean Air Act
- Executive Order 11990 Protection of Wetlands
- Executive Order 11998 Floodplain Management
- Caltrans Traffic Noise Protocol

EIS files were also reviewed to determine if they contained correspondence and other materials required by 23 USC 139 (Efficient Environmental Reviews for Project Decision-making).

The files for environmental document and CE approvals in Districts 4, 6, and 10 were also reviewed for their organization and to determine if they contained complete documentation.

During the District visits, as part of the file reviews, technical studies prepared to support the approved NEPA documents were reviewed, as needed, to assess compliance with federal regulations. During these visits, District environmental staff were also interviewed and, as needed, informal discussions with project generalists were held regarding the project files.

CEs approved in Districts 4, 6, and 10 were also reviewed against specific criteria or review elements to determine if the projects had been appropriately approved with a CE and if the approved CE was appropriately a 23 USC 327 CE.

Senior and associate environmental planners in Districts 4, 6, and 10 were also interviewed with a set list of questions regarding their general knowledge of basic Section 4(f) terms and requirements and the air quality conformity process germane to a generalist.

B. Attainment of Supportable NEPA Decisions

This performance measure was evaluated based on the following:

- **Legal Sufficiency Determinations**

  Caltrans reviewed draft and final EISs and Section 4(f) individual evaluations approved during the 2014 Monitoring period to ensure that Caltrans Legal staff conducted required legal reviews and made legal sufficiency determinations.

- **Compliance with Caltrans Environmental Document Content Standards and Procedures**

  Caltrans reviewed the environmental document review checklist completed for each approved draft and final environmental document to ensure that they were completed accurately and comprehensively. Caltrans also compared each approved draft and final environmental document against the appropriate environmental document annotated outline to ensure consistency with the annotated outline. These annotated outlines are developed by Caltrans and are posted online for internal and external use.

  Finally, Caltrans reviewed the internal and external QC certifications forms completed for each approved draft and final environmental document to determine if the proper QC review procedures were followed and documented on the QC certification forms.

- **Environmental Record Keeping**

  During the September/October 2014 District visits, Caltrans reviewed a sample of project files in Districts 4, 6, and 10 for consistency with UFS organizational requirements and for general completeness. The sample included files for approved draft and final environmental documents and CEs, as well as for projects that did not yet have an approved environmental document ("in-progress" files). The in-progress project files reviewed were selected to include a range of staff involvement, project complexity, and project locations within the Districts/Regions.

C. Monitor Relationships with Agencies and the Public

As with the previous Self-Assessments (conducted during the Pilot years of NEPA Assignment) and the 2013 monitoring review, Caltrans conducted a survey of state and federal resource agencies to assess whether the relationships between Caltrans and resource agencies have remained consistent or have changed since initiation of the NEPA Assignment. A total of 43 resource agency staff members were polled regarding Caltrans effectiveness as the NEPA lead agency.

To monitor relationships with the public, Caltrans conducted two types of reviews: one for public meeting materials and another for Caltrans performance at public meetings (see Figures 2 and 3 at the end of this report). Districts are required to submit, for review by Headquarters, materials used to publicize project public meetings and materials used in those meetings to illustrate and explain the project and to receive public comments. For the other review, Caltrans sends independent consultant reviewers to attend public meetings anonymously in order to evaluate the performance of Caltrans District staff during the public meetings.

Public meeting materials were evaluated for 15 projects with environmental documents approved during the monitoring period. These materials included, for example, public notices and project maps, illustrations and bulletins. For the anonymous review of meetings, the reviewers, acting as incognito proxies for the public, attended a sample of four public meetings held during the past year. The independent reviewers rated the quality of the public meetings based on a number of criteria, including the quality of handouts distributed at the meetings, quality of visual aids presented at the meetings, translation and comment recording services, and project staff knowledge conveyed at the meetings.

D. Timely Completion of NEPA Process

From the start of NEPA Assignment in 2007, Caltrans has analyzed approval times for environmental documents on a quarterly basis. This is a comparative analysis that shows the median number of months Caltrans is taking to review and approve environmental documents under NEPA Assignment as compared with FHWA timeframes for review and approval prior to NEPA Assignment. The pre-NEPA Assignment FHWA timeframes are used as a baseline.

Note that the establishment of a baseline for purposes of analyzing time savings was required by the California Legislature as a condition of authorizing Caltrans to assume federal NEPA responsibilities.

This baseline represents the median number of months the FHWA took to review and approve 39 environmental documents. Four different timeframes are evaluated to determine if any time savings have been achieved under NEPA Assignment as compared to prior to NEPA Assignment (See Table 1, “Environmental Document Review and Approval Time Savings”.)

Program-Level Review

As part of the of NEPA Assignment performance monitoring, Caltrans conducts a program-level review comprised of three elements: improved environmental guidance, implementation of the NEPA Assignment training plan, and accuracy of quarterly reporting by Districts.

Guidance

The primary source of environmental guidance in California is the Caltrans Standard Environmental Reference (SER). The SER is a comprehensive online resource to support the development of environmental documents and implementation of procedures in compliance with NEPA and California environmental law. The SER is available statewide to Caltrans staff and external partner agencies and consultants. Caltrans continuously updates the SER to reflect changes in environmental law and, as needed, to address needs identified during NEPA Assignment monitoring activities.

Training

Caltrans evaluates the implementation and effectiveness of the NEPA Assignment training plan by determining whether training sessions had actually been provided and by reviewing the results of course evaluations submitted by participants and trainers. In response to findings that result from NEPA Assignment monitoring, training course content is revised or augmented.

Quarterly Monitoring of Federal Approvals

Caltrans continuously and systematically reviews the progress of NEPA document approval milestones and decisions for Federal-aid highway projects. On a quarterly basis, the Caltrans NEPA Assignment staff checks for accuracy of the data submitted by Caltrans District staff, who enter this data continuously as milestones and decisions are reached. As required by the 23 USC MOU, Caltrans provides a list of these projects with NEPA milestones and decisions as a biannual report to the FHWA.

In addition to the quarterly monitoring described above, Caltrans regularly exports data to the FHWA California Division for input to the USDOT environmental document tracking database known as the Project and Program Action Information system (PAPAI). For more on quarterly reporting, see “Accuracy of Quarterly Reporting” at the end of this report.

Findings and Corrective Actions

This section summarizes the findings of the 2014 Monitoring work (summarized in Appendix A). The performance percentage that was achieved for each metric (that is the number of environmental documents/CEs that comply with the review elements as a percentage of the total number of environmental documents/CEs reviewed) is identified in parentheses in the metric title (see Appendix C for the numbers of environmental documents/CEs used in the calculation of percentages).

Note that MOU Performance Metric A.i.2. requires Caltrans to report annually on the current implementation status of corrective actions that were identified to address deficiencies found in the most recent monitoring effort. For this 2014 Monitoring Report, Caltrans is reporting on corrective actions that resulted from the 2013 Monitoring Report under the Surface Transportation Project Delivery Program (see Performance Metric A.i.2. in Appendix A). Appendix B presents the corrective actions from the 2013 Monitoring Report and summarizes how they were implemented.

Performance Measure A. Compliance with NEPA and Other Federal Laws and Regulations

This performance measure is measured by eight metrics: two are related to compliance with the NEPA Assignment MOU and six are related to compliance with the following federal regulations and/or Caltrans requirements:

- Section 7 of the federal Endangered Species Act/Section 106 of the National Historic Preservation Act/Section 4(f) of the U.S. Department of Transportation Act;
- Executive Order 11990/Executive Order 11988/Section 176(c) of the federal Clean Air Act;
- 23 USC 139;
- Caltrans Traffic Noise Analysis Protocol;
- 23 CFR 771; and
- 23 USC 326 and 23 USC 327.

The summary below indicates that Caltrans transportation projects comply with NEPA and other federal environmental regulations.

A.i.1. Percentage of Monitoring Reports Submitted (100%)

NEPA Assignment has been in place for seven years, including the initial Pilot Program years. During the first two years of the Pilot Program, two Self-Assessments were conducted each year. Beginning with the third year of the Pilot Program, one Self-Assessment had been

conducted annually. Under the current MOU, one Monitoring review was completed. One-hundred percent of the required Self-Assessment and Monitoring reports, including this report, were submitted to the FHWA as required by the MOU.

A.i.2. Percentage of Identified Corrective Actions Implemented (100%)

The corrective actions identified in the most recent monitoring (the first Monitoring Review under the Project Delivery Program) and their effectiveness in addressing the areas needing improvement are summarized in Appendix B, which shows that, 100 percent of the corrective actions were implemented.

A.ii.1. Compliance with Sections 7, 106, and 4(f) (52%)

During the April 2013–June 2014 monitoring period (Quarters 24–28), Caltrans achieved 52 percent overall compliance with this performance metric. This was based on 15 final environmental documents/CEs that appropriately document compliance with Sections 7, 106, and 4(f). The sections below describe compliance for each of these three federal regulations in this metric (see also Performance Metric A.ii.1 in Appendix A). See also Appendix C for the numbers of environmental documents/CEs used in the calculation of percentages.

Section 7 (55%)

Caltrans achieved 55 percent compliance for Section 7 based on 16 reviewed final environmental documents/CEs appropriately documenting Section 7 compliance relative to the review elements assessed for this federal regulation. The environmental documents that did not meet the evaluated review elements used non-standard language for No Effect and May Affect Likely to Adversely Affect findings. The majority of environmental documents that did not use the standard regulatory findings language had Section 7 "No Effect" conclusions. Rather than stating "No Effect", these environmental documents used non-standard language such as "The project will not affect any listed species." or "The project would not impact threatened or endangered species." etc. One document used non-standard language for a May Affect Likely to Adversely Affect finding, stating that the project would result in "adverse environmental effects to listed species".

During the 2014 Monitoring review period, Caltrans coordinated extensively with the resource agencies having obtained 11 Biological Opinions and two letters of concurrences from these agencies.

The Section 7 review conducted for the 2014 Monitoring included the following review questions, which were not used in most of the previous monitoring efforts[2]:

[2] Presence of a species list was reviewed during one Self-Assessment during the early years of the Pilot Program.

- Is a U.S. Fish and Wildlife Service (USFWS) species list contained in the environmental document?
- Is the species list no older than 180 days?
- Is a No Effect finding made for each applicable species on the USFWS species list?

There were a number of environmental documents that did not contain a species lists less than 180 days old and that lacked No Effect findings for every applicable species on the USFWS species list. Although these review elements are not counted in the percentage compliance calculations since they are elements that have not been consistently reviewed for on an annual basis, District staff have been made aware of these problems and are undertaking actions to correct the problems.

Corrective Actions: The following actions will be undertaken:

- A Caltrans revalidation form will be completed for each environmental document that incorporated non-standard Section 7 findings language. The form will clarify the Section 7 finding using the correct regulatory language.
- Discussions will also be held with the project generalists and biologists who prepared the environmental documents with corrective actions to ensure that they understand the Section 7 requirements under review.
- The requirements related to Section 7 regulatory language will be discussed in training courses and at the statewide NEPA Assignment and Caltrans partnership teleconferences, as needed, to remind Caltrans staff and consultants of these requirements.

Section 106 (93%)

Caltrans achieved 93 percent compliance for Section 106 based on 27 reviewed final environmental documents/CEs appropriately documenting Section 106 compliance relative to the review elements assessed for this federal regulation. The documents with irregular documentation included the following:

- One final EA, that should have concluded a finding of No Historic Properties Affected, did not contain any Section 106 findings language.
- Another final EA on a project that involved a bridge over 50 years in age did not contain any documentation on the bridge's status relative to Section 106. The environmental document should have documented that the bridge was Category 5 (ineligible for the National Register of Historic Places).

During the 2014 Monitoring review period, Caltrans processed six Adverse Effect findings and one finding of No Adverse Effect without Standard Conditions.

Corrective Action: A Caltrans revalidation form will be completed for each of the two projects with irregular Section 106 documentation. One form will clarify the

Section 106 finding and the other form will document a Category 5 bridge. Discussions will also be held with the project generalist and cultural resources specialist who prepared the environmental document to ensure that they understand standard Section 106 findings language.

Section 4(f) (97%)

Caltrans achieved 97 percent compliance for Section 4(f). The Section 4(f) review comprised the following components (see Performance Metric A.ii.1 in Appendix A):

- Review of 29 final environmental documents and CEs for appropriate documentation of Section 4(f) compliance. All except for one project had appropriate documentation. The approval with irregular compliance documentation was a CE with a Section 4(f) temporary occupancy exception. The project met all five conditions of a temporary occupancy exception, but the CE did not document the five conditions.
- Review of four draft environmental documents to determine if any Section 4(f) resources had been overlooked. All four draft documents appropriately addressed Section 4(f) requirements.

Interviews were also conducted with 15 senior and associate environmental planners in Districts 4, 6, and 10. Thirteen of the 15 planners had a strong understanding of the triggers for Section 4(f), the definitions of Section 4(f) uses, and the documentation options for Section 4(f). All 15 of those interviewed had some knowledge of the definitions of Section 4(f) resources, with ten of the 15 able to comprehensively recite the full definitions. Fourteen of the 15 had some knowledge of what constituted a de minimis finding. Of the 14, nine had a thorough understanding of when a de minimis finding could be made on publicly-owned parks/recreation areas/ waterfowl and wildlife refuges and historic sites; the other five interviewees had a better understanding of de minimis findings for parks/recreation areas/ waterfowl and wildlife refuges or for findings on historic sites, but did not have a full understanding of de minimis findings for both types of resources.

Corrective Action: A Caltrans revalidation form will be completed for the one project that did not adequately document the Section 4(f) temporary occupancy. The form will document all five temporary occupancy conditions. Discussions will also be held with the project generalist and environmental planner who prepared the Section 4(f) documentation to ensure that they understand the documentation requirements for a temporary occupancy.

A.ii.1.a. Compliance with Executive Orders 11990 and 11988 and Section 176 (c) (86%)

In addition to reviewing compliance with Sections 7, 106, and 4(f), compliance with the following laws was also reviewed. The findings for these reviews are documented below and

in Appendix A (see Performance Metric A.ii.1.a in Appendix A). See also Appendix C for the numbers of environmental documents/CEs used in the calculation of percentages.

Executive Order 11990 (100%)

Caltrans achieved 100 percent compliance for Executive Order 11990 based on 29 reviewed final environmental documents/CEs appropriately documenting compliance relative to the review elements assessed for this executive order (see Performance Metric A.ii.1.a in Appendix A). Of the 29 approved final documents/CEs, four were for projects with impacts to wetlands. All of the environmental documents with wetland impacts contained the appropriate finding required by the executive order.

Executive Order 11988 (97%)

Caltrans achieved 97 percent compliance with Executive Order 11988 with 29 final documents/CEs adequately documenting compliance (see Performance Metric A.ii.1.a in Appendix A). The one document that did not meet the evaluated review elements indicated there *would be* a significant encroachment even though the project Location Hydraulic Study showed there would be no significant encroachment.

> **Corrective Action:** A revalidation form will be completed for the project with confusing floodplain impacts documentation to clarify that the project will not result in a significant encroachment.

Section 176(c) of the Federal Clean Air Act (86%)

Caltrans achieved 86 percent compliance with Section 176(c) of the federal Clean Air Act review criteria based on 25 reviewed final environmental documents/CEs appropriately documenting compliance with air quality conformity requirements (see Performance Metric A.ii.1.a in Appendix A). The final environmental documents/CEs with irregular documentation had the following issues:

- Lack of completed air quality conformity checklists. The conformity processes were adequately addressed in the projects' NEPA documentation but these processes were not documented on the checklist, as required.
- One document lacked an air quality conformity determination from the FHWA prior to FONSI approval. That conformity determination has since been obtained for this project, and a revalidation form has been completed that documents the air quality conformity determination.

Sixteen environmental generalists were interviewed on the air quality conformity process with the following results:

- Twelve of the 16 knew that Caltrans makes the air quality conformity determination for 23 USC 326 projects.

- All 16 knew that the FHWA makes the air quality conformity determination for 23 USC 327 projects.
- Twelve of the 16 understood that the air quality conformity determination is to be made prior to final environmental document approval. The other four offered various answers including during scoping, prior to draft environmental document approval, or before completion of the Project Approval & Environmental Document phase.
- Thirteen of the 16 understood that an affirmative air quality conformity determination letter from the FHWA served as documentation that an air quality conformity determination had been made.

Corrective Actions: As noted above, the project that lacked an air quality conformity determination has a completed revalidation form that documents the conformity determination that was obtained from the FHWA after FONSI approval. A revalidation form will also be completed for the project with confusing floodplain impacts documentation to clarify that the project will not result in a significant encroachment.

Air quality conformity checklists will be completed for the projects that lacked them. Discussions will also be held with the project generalist, air quality specialists, and hydraulics specialist for these projects to ensure that they understand the problems that were discovered with their documentation.

A.ii.1.b. Compliance with 23 USC Section 139 (100%)

Caltrans achieved 100 percent compliance related to documentation of 23 USC 139 (see Performance Metric A.ii.1.b in Appendix A). During the September/October 2014 District visits, three EIS files were reviewed to evaluate whether the requirements of 23 USC Section 139 (Efficient Environmental Decisions for Project Decision-making) were being appropriately implemented, including inviting participating and cooperating agencies; preparing coordination plans; providing opportunities for participating agencies and the public to be involved in developing the purpose and need statement and the range of alternatives; and providing opportunities for participating agencies to be involved in developing methodologies for the analysis of alternatives.

All three project files reviewed contained the required documentation.

A.ii.1.c. Compliance with Caltrans Traffic Noise Analysis Protocol (100%)

Caltrans achieved 100 percent compliance related to the sample of 43 project files that was reviewed for consistency with the Caltrans Traffic Noise Analysis Protocol (see Performance Metric A.ii.1.c in Appendix A). This sample included projects with approved environmental

documents and projects that were in-progress and did not yet have approved environmental documents.

The files for all of the reviewed environmental documents contained evidence indicating that the appropriate version of the Noise Protocol was followed.

Twenty-nine final environmental documents/CEs were also reviewed to determine if noise impacts were appropriately documented. It was found that all documents/CEs had adequate documentation.

A.ii.1.d. and A.ii.1.e. Categorical Exclusion Determinations (100%)

Caltrans achieved 100 percent compliance related to the review of approved CE Determination forms (see Performance Metrics A.ii.1.d and A.ii.1.e in Appendix A). These forms were reviewed to determine if the approved projects fit the definition of a categorically excluded action and if the determination of a 23 USC 327 CE (versus a 23 USC 326 CE) was appropriate.

All nine CEs reviewed were determined to have been accurately identified as a categorically excluded action under 23 USC 327.

Performance Measure B. Attainment of Supportable NEPA Decisions

This performance measure is measured by six metrics. One metric relates to legal sufficiency and four relate to compliance with Caltrans' environmental document content standards. The sixth metric relates to compliance with the UFS. See Appendix C for the numbers of environmental documents used in the calculation of percentages presented below.

B.i.a.1. Legal Sufficiency Determinations (100%)

All or 100 percent of documents requiring legal sufficiency determinations met this requirement (see Performance Metric B.i.a.1 in Appendix A). Three final EISs and three final individual Section 4(f) evaluations approved during the 2014 monitoring period had legal sufficiency findings. In addition, two draft EISs, two draft Individual Section 4(f) evaluations, and three complex EAs had Headquarter Coordinator and legal reviews. In all cases, the dates of the Headquarter Coordinator reviews and legal reviews/legal sufficiency findings were the same date or pre-dated the environmental document approval dates per procedural requirements.

B.i.b.1. Certifications for Consistency with Annotated Outlines (100%)

All 39 (100 percent) of the draft and final environmental documents approved during the 2014 monitoring period had QC certification forms signed by the environmental document preparer indicating that the document was prepared consistent with the applicable SER annotated outline (see Performance Metric B.i.b.1 in Appendix A).

B.i.b.2. Consistency with Annotated Outlines (100%)

Caltrans achieved 100 percent compliance in approving environmental documents that were consistent with the appropriate annotated outline (see Performance Metric B.i.b.2 in Appendix A). Based on this evaluation, it was found that all of the reviewed draft and final documents followed the annotated outlines in terms of chapter and section organization and report covers with the required NEPA Assignment Program language.

All 20 of the FONSIs and final EISs that were reviewed also included the required NEPA Assignment Program language.

B.i.b.3. Proper Implementation of Environmental Document Quality Control Requirements (95%)

Caltrans achieved 95 percent compliance in implementing and documenting the required QC steps (see Performance Metric B.i.b.3 in Appendix A) based on the review of the internal and external QC certification forms for 39 environmental documents.

All QC reviews were completed as required by Caltrans internal certification QC form: Of the 39 approved environmental documents that were reviewed, 38 had evidence of completed QC reviews, as required. One environmental document was not reviewed by a technical editor.

> **Corrective Action:** The District's practice had been not to conduct a technical editor review of those final environmental documents in which only a limited number of topical sections had been modified based on draft environmental document public review comments. This District will update its environmental document quality control practices to require technical editor review of all final environmental documents.

All internal QC reviews were conducted after the last certification date on the external certification form: Of the 39 approved environmental documents that were reviewed, 32 were prepared by external partners (either local agencies or consultants) and seven were prepared by Caltrans staff. Completion of a QC external certification form, in addition to the internal QC certification form, is required for those environmental documents prepared by external partners. For 31of the 32 prepared by external partners, the internal QC reviews

were sequentially completed after external reviews. For one of the projects, four internal technical specialist reviews preceded the final date on the external certification form.

> **Corrective Action:** Discussions will be held with affected staff to ensure they have a full understanding of the proper sequencing of internal versus external QC reviews.

The last internal QC review was conducted by the Environmental Branch Chief: For all of the 39 reviewed environmental documents, the Environmental Branch Chief was the last to sign the environmental documents.

All internal QC reviews were conducted before the environmental document was signed: All 39 of the reviewed environmental documents had evidence of approvals that occurred on the same date as the last internal QC review or after the last date on the internal certifications forms.

The public review comments box is checked on all final environmental document internal QC certification forms: All 20 (100 percent) of the final environmental documents reviewed indicated that public review comments had been appropriately addressed.

B.i.b.4. Completed Environmental Document Checklist (100%)

Caltrans had 100 percent compliance in completing the environmental document checklist (see Performance Metric B.i.b.4 in Appendix A). Of the 39 environmental documents referenced above, Caltrans found the environmental document checklist was completed for each of these documents.

B.i.c.1. Files Organized According to the Established Filing System (58%)

Caltrans inspected 33 project files in Districts 4, 6, and 10 for compliance with the UFS review criteria (see Performance Metric B.i.c.1 in Appendix A). Nineteen of the 33 files were deemed to be organized consistently with UFS requirements and complete.

Fourteen reviewed files were missing materials including final technical reports, air quality conformity checklists, air quality conformity correspondence, class of action determination concurrences, Environmental Commitments Records (ECRs), and/or required QC documentation. These missing materials had not been printed for placement in the files or could only be found in the specialists' files. Two of these 14 project files were also disorganized and contained many misfiled items.

> **Corrective Action:** For projects with files that did not conform to UFS requirements, discussions were held with the responsible staff. Staff gathered the missing documents and placed them in the project files. Staff with disorganized files have been asked to clean up their files, add tabs to files where needed, and ensure proper placement of all materials behind the appropriate tab.

To ensure consistent compliance with UFS requirements, Caltrans will discuss UFS best practices in quarterly teleconferences with NEPA Assignment staff. Caltrans will also identify opportunities in formal training courses where information on implementing UFS requirements can be added.

In Districts without formal practices to ensure that documentation is placed in both the technical specialists' and environmental generalists' files, procedures will be developed and implemented to ensure that technical materials are provided to the project generalist for filing according to UFS requirements.

Performance Measure C. Monitor Relationships with Agencies and the General Public

C.i.1. Average Evaluation Ratings from Resource Agency Surveys (50% versus a goal of 55% or higher)

In 2014, Caltrans conducted the sixth annual survey of federal and state resource agencies that work with Caltrans on NEPA Assignment projects. Seventy-five percent of this year's survey participants had not worked with the FHWA on environmental documents prior to NEPA assignment. This section focuses on the survey results for the 25 percent who did work with the FHWA prior to NEPA Assignment.

The results of the 2014 survey are presented in Figure 1 (at the end of this monitoring report). As with the previous resource agency surveys, the 2014 results were compared with the results of an initial poll conducted in 2006, as well as with the average cumulative ratings of all annual surveys conducted under NEPA Assignment between 2009 and 2014. Caltrans contracted the 2006 poll to the Gallup Organization, as a baseline, prior to the start of NEPA Assignment.

In the initial 2006 poll and the 2009–2014 surveys, respondents were presented with a combined group of ten questions and statements related to Caltrans performance. Respondents were asked to rate Caltrans performance by choosing a range of ratings such as, from *very capable* to *very incapable;* from *strongly agree* to *strongly disagree*; and from *excellent* to *poor* (see Figure 1). Figure 1 shows the percentages of respondents who rated Caltrans favorably for these 10 questions and statements.

The 2014 results show that resource agency opinions regarding Caltrans performance have improved since 2006 (prior to NEPA Assignment) in the following evaluation areas:

- Capable of assumption
- Responsiveness
- Interagency coordination

- Timeliness

In the following areas, the resource agencies provided lower ratings in 2014 in the following areas, as compared to 2006:

- Consultation efficiency
- Cooperativeness on existing programmatic agreements and MOUs
- Caltrans consideration of the resource agency missions

In Figure 1, the 2009-2014 cumulative average percentage of favorable ratings for each question is shown in red to the right of each graph and is represented as a dashed-dotted red line. In comparison to these multi-year cumulative averages, the 2014 survey results indicated that resource agencies believe that Caltrans performance has improved in the following areas:

- Consideration of agency mission
- Timeliness

However, the resource agencies provided lower ratings of Caltrans performance in the following areas as compared to the cumulative average:

- Capable of assumption
- Responsiveness
- Listening skills
- Efficiency
- Quality
- Conscientiousness in adhering to federal laws
- Cooperativeness on existing programmatic agreements and MOUs
- Interagency coordination

The goal for this metric is that the average 2014 percentage of favorable responses for all questions is equal to or exceeds the cumulative average percentage of favorable responses received for all questions between 2009 and 2014. During the 2014 Monitoring period, Caltrans had an average of 50 percent favorable responses for all questions, as compared to 55 percent since 2009. Caltrans fell below the 2014 goal for this metric by 5 percent.

> **Corrective Action:** Caltrans DEA staff will meet in person with each of the surveyed agencies in order to identify problems on specific projects that contribute to approval delays and to work with the agencies to spell out improvement strategies that can work. As a result of these meetings, Caltrans will develop an implementation plan for corrective actions.

C.i.2. Average Evaluation Ratings from Public Meeting Surveys (4.6 versus a goal of 4.5 or higher)

Caltrans has exceeded its goal in this area and continues to improve on the quality of the materials developed for its public meetings. The public meeting materials survey involved rating the quality of materials for 15 public meetings (including formal public hearings) that were held for projects with environmental document approvals during the April 2013–June 2014 monitoring period (Quarters 24–28). The ratings were based on the following five-point scale:

1: Disagree strongly

2: Disagree somewhat

3: Neutral

4: Agree somewhat

5: Agree strongly

Figure 2 (at the end of this monitoring report) presents the 2014 Monitoring ratings. Figure 2 shows that ratings for the 2014 monitoring period were the same or higher than in the 2013 Monitoring period in two areas:

- Public meeting notices
- Adequate opportunity to provide comments

The 2014 ratings fell slightly compared to the 2013 ratings in the areas of:

- Appropriate specialized Caltrans staff available to discuss project alternatives
- Appropriate specialized Caltrans staff available to discuss project impacts
- Display materials depicting project alternatives easy to understand
- Display materials depicting project impacts easy to understand
- Meeting accessibility

Figure 2 also presents the cumulative ratings between 2008 (when Caltrans began to review the materials used in public meetings) and 2014 for each question. In Figure 2, the cumulative average rating for each question is shown in red to the right of each graph and is represented as a dashed-dotted red line. The 2014 Monitoring ratings were equal to or higher than the cumulative average ratings for five of the seven areas reviewed:

- Public meeting notices
- Adequate opportunity to provide comments

- Appropriate specialized Caltrans staff available to discuss project alternatives
- Appropriate specialized Caltrans staff available to discuss project impacts
- Meeting accessibility

The two areas for which the 2014 ratings were lower than the cumulative average ratings were:

- Display materials depicting project alternatives easy to understand
- Display materials depicting impacts easy to understand

The goal for this metric is that the average 2014 rating for all questions is equal to or exceeds the cumulative average rating for all questions for the surveys conducted between 2008 and 2014. In 2014, Caltrans achieved an average rating of 4.6 for all questions, as compared to a cumulative average rating of 4.5 for 2008-2014. Therefore, in 2014, Caltrans exceeded the cumulative average rating and has exceeded its goal in this area. Caltrans continues to improve on the quality of the materials developed for its public meetings.

C.i.3. Average Evaluation Ratings for Anonymous Third-Party Public Meeting Review (4.6 versus a goal of 4.5 or higher)

Caltrans exceeded its goal related to the third-party review of public meetings. Anonymous, independent consultants[3] attended four public meetings during the past year, in order to review and report on the performance of Caltrans District staff during public meetings related to project environmental documents.

Figure 3 shows the 2014 ratings for each evaluation factor. This figure shows that ratings for the 2014 monitoring period were the same or higher than in the 2013 Monitoring period in five areas:

- Handouts provided clear information and were understandable to the public
- Project staff conveyed their knowledge effectively
- Project staff treated participants with courtesy and respect
- Meeting was valuable
- Meeting was an overall positive experience

The 2014 ratings decreased compared to the 2013 ratings in the areas of:

- Visual aids were beneficial

[3] The meetings were rated by a team of reviewers, and therefore, the same reviewer did not review all meetings. Therefore, the variation in ratings may be due to variations in the ratings of individual reviewers.

- Information needed to understand the project was provided
- Project staff responded effectively to questions

Figure 3 also shows the cumulative average ratings between 2009 (when Caltrans began to anonymously review public meetings) and 2014. In Figure 3, the cumulative average rating for each question is shown in red to the right of each graph and is represented as a dashed-dotted red line. The 2014 Monitoring ratings were consistently higher than the cumulative average ratings for six of the eight areas reviewed:

- Handouts provided clear information and were understandable to the public
- Visual aids were beneficial
- Information needed to understand the project was provided
- Project staff treated participants with courtesy and respect
- Meeting was valuable
- Meeting was an overall positive experience

The two areas for which the 2014 ratings were slightly lower than the cumulative average ratings were:

- Project staff conveyed their knowledge effectively
- Project staff responded effectively to questions

The goal for this metric is that the average 2014 Monitoring rating equals or exceeds the cumulative average rating of the six reviews that were conducted between 2009 and 2014. In 2014, Caltrans achieved an average rating of 4.6 for all questions, as compared to an average cumulative rating of 4.5 between 2009 and 2014. Therefore, Caltrans has exceeded its goal in this area.

C.ii.1. Percentage of Signed Final Document QC Forms with Public Review Comments Box Checked (100%)

All 20 of the final environmental documents that were reviewed had QC certification forms showing that public review comments had been addressed appropriately (see Performance Metric C.ii.1 in Appendix A).

C.iii.1. Date that Formal Conflict Resolution Action Began to Date Resolution Reached

No formal conflict resolution action has been initiated on any NEPA Assignment project. This metric will be evaluated, as appropriate, in future monitoring evaluations.

Performance Measure D. Timely Completion of NEPA Process

Review of the four timeliness metrics, as described below, indicates that Caltrans achieved a substantial time savings for each measured environmental milestone.

D.i.1. Draft Environmental Document Review and Approval Median Time Frames

Caltrans achieved a savings of 2.9 (draft EA) and 3.3 (draft EIS) months in the median time that it took to review and approve draft environmental documents that were approved through the 2014 monitoring period, as compared to the baseline of pre-NEPA Assignment approvals by the FHWA (see Performance Metric D.i.1 in Appendix A) . These time savings are shown in the first and third rows of Table 1, below.

Table 1. Environmental Document Review and Approval Time Savings

Milestone	Median Timeframe in Months (Number of Projects)		Median Time Savings in Months
	Pre-Pilot Program Projects	NEPA Assignment Program Projects Through Quarter 28	
Begin QC of administrative draft EA to **draft EA** approval	5.4 (29)	2.5 (148)	2.9
Begin QC of administrative final EA to **FONSI** approval	2.5 (22)	1.6 (127)	0.9
Begin QC of administrative draft EIS to **draft EIS** approval	9.3 (8)	6.0 (16)	3.3
Begin QC of administrative final EIS to **final EIS** approval	9.9 (4)	5.5 (12)	4.4

D.i.2. Final Environmental Document Review and Approval Median Time Frames

As shown in the second and fourth rows of Table 1, above, Caltrans also achieved savings of 0.9 (FONSI) and 4.4 (final EIS) months in the median time that it took to review and approve final environmental documents (see Performance Metric D.i.2 in Appendix A).

D.i.3. Draft Environmental Document Preparation Median Time Frames

Caltrans achieved savings of 10.6 (draft EA) and 34.7 (draft EIS) months in the median time that it took to prepare draft environmental documents approved through the 2014 monitoring period, as compared to the FHWA baseline (see Performance Metric D.i.3 in Appendix A) . These time savings are shown in the first and third rows of Table 2 below.

D.i.4. Final Environmental Document Preparation Median Time Frames

As shown in the second and fourth rows of Table 2, below, Caltrans also achieved savings of 10.6 (FONSI) and 139.8 (final EIS) months in the median time that it took to prepare final environmental documents (see Performance Metric D.1.4 in Appendix A).

Table 2. Environmental Document Preparation Time Savings

Milestone	Median Timeframe in Months (Number of Projects)		Median Time Savings in Months
	Pre-Pilot Program Projects	NEPA Assignment Program Projects Through Quarter 23	
Begin environmental studies to **draft EA** approval	42.3 (31)	31.7 (148)	10.6
Begin environmental studies to **FONSI** approval	54.1 (31)	43.5 (128)	10.6
Notice of Intent to **draft EIS** approval	69.9 (8)	35.2 (17)	34.7
Notice of Intent to **final EIS** approval	193.9 (5)	54.2 (8)	139.8

D.ii.1. Section 7 Consultation Median Time Frames

Table 3 shows the median time savings that has been achieved for Section 7 formal consultations. Caltrans has achieved a savings of 5.2 months for the first 28 quarters of the NEPA Assignment Program as compared to pre-Pilot Program consultations (see Performance Metric D.ii.1 in Appendix A).

Table 3. Section 7 Consultation Time Savings

Milestone	Median Timeframe in Months (Number of Biological Opinions)		Median Time Savings in Months
	Pre-Pilot Program Projects	NEPA Assignment Program Projects Through Quarter 28	
Submittal of Section 7 documentation to resource agency to Biological Opinion	11.0 (25)	5.8 (93)	5.2

Program Updates and Reviews

Improved Guidance: Standard Environmental Reference Update

Caltrans continues to update the SER, Chapter 6 of the Local Assistance Procedures Manual, and the NEPA Assignment page to clarify NEPA Assignment requirements, as needed. These updates are based on observations and input from the FHWA, Caltrans Headquarters Environmental Coordinators, the NEPA Assignment Manager and staff, and Caltrans Environmental Management Office, Division of Local Assistance, Legal Division, and

District/Region managers and staff. The most notable updates to the SER this year included revisions and updates related to the Final Rule that established application requirements for states seeking to assume NEPA Assignment, an updated reference tool to determine NEPA lead agency for Caltrans projects, updates to the annotated outlines for Natural Environment Studies and Natural Environment Studies-Minimal Impacts, development of a new checklist containing information needs and analysis needed for Section 7 consultations, and revisions to the Air Quality Conformity Findings Checklist to include hyperlinks providing additional information on control measures and conformity documentation requirements.

Training

The 2013 Caltrans NEPA Assignment Training Plan identified all training courses to be offered to Caltrans environmental staff and technical specialists on an as-needed basis during California Fiscal Year (FY) 2013–14. These courses included 12 live training sessions that were to be offered one or more times. All the training courses specified in the training plan were delivered during FY 2013–14, and the number of deliveries was also consistent with the plan. The *California Coastal Commission Training* beta course was also delivered during this timeframe. In addition to the live training sessions planned, Caltrans provides six online, "on-demand" courses that are available for staff to take any time throughout the year.

In terms of the number of course offerings, the number of offerings met or exceeded that which was specified in the training plan. The plan specified that the *Section 4(f) Evaluation* course was to be offered once as a 16-hour course; instead, the course was consolidated into an eight hour session, delivered twice during the year.

Accuracy of Caltrans District Data on Federal Approvals

As described in this report under "Program-Level Review", Caltrans prepares for annual monitoring reports by compiling quarterly reports (which simply show environmental document approval milestones listed by project) identical to those required biannually under the current MOU. Compiling quarterly reports allows Caltrans to accurately respond to frequent requests by others for various reports on NEPA Assignment performance.

The accuracy of the data submitted by Caltrans District staff is reviewed each quarter. For the reports on Quarters 24–28 (April 2013–June 2014), 19 environmental document or other related federal environmental approvals were not reported during the quarter in which the approval occurred or were initially reported with an inaccurate approval type. These misreported approvals comprised 15 percent of all reported approvals during the 24th through 28th quarters. However, this represents a 2 percent improvement over the 2013Monitoring period of Quarters 20–23 (April 2012–March 2013). The rate of misreported environmental document approval dates fluctuated throughout the year with a low of 3 percent and a high of 27 percent.

A NEPA "report card" is disseminated quarterly to Caltrans Environmental Deputies, Environmental Coordinators, and District staff as well as posted on Caltrans intranet. The

report card quantifies the number and percentage of reporting errors during the reporting quarter by District. A monthly STEVE usage report is also distributed to the Environmental Deputies. The report includes the number of times staff are updating key data such as the dates for environmental milestones, permit approvals, and approval of final technical studies. It is expected that issuing these report cards, sending periodic reminders, and having follow-up discussions with staff will result in improved accuracy and timeliness of data submissions by Districts and result in better overall reporting on NEPA Assignment performance.

Headquarters is working with the STEVE development team to augment the database to streamline current NEPA Assignment reporting activities and support future NEPA related data requests. This innovation will also help improve the accuracy of NEPA Assignment reporting.

Appendix A. Caltrans 2014 Monitoring: Findings and Corrective Actions

Performance Measure	Components of Measure	Metric[a]	Findings of 2014 Monitoring Review	Acceptable Performance Goal	Goal Met?	Corrective Action
A. Compliance with NEPA and other Federal laws and regulations	**A.i.** Maintain documented compliance with procedures and processes set forth in the MOU for the environmental responsibilities assumed under NEPA Assignment	**A.i.1.** Percent of Self-Assessment reports submitted to FHWA	100% of the required Self-Assessment summary/ Monitoring reports have been submitted to FHWA.	95%	Yes exceeded goal by 5%	None required
		A.i.2. Percentage of corrective actions identified in most recent Self-Assessment that have been implemented	100% of the corrective actions identified in the 2013 Monitoring summary report have been implemented.	95%	Yes exceeded goal by 5%	None required
	A.ii. Maintain documented compliance with requirements of all Federal laws and regulations being assumed (Section 106, Section 7, etc.)	**A.ii.1.** Percent of final environmental documents (FEDs) that contain evidence of compliance with requirements of Section 7, Section 106, and Section 4(f)	15 out of 29 (52%) reviewed final environmental documents (FEDs)/CEs contained evidence of compliance with requirements of Section 7, Section 106, and Section 4(f).	95%	No below goal by 43%	**Section 7:** A Caltrans revalidation form will be completed for each environmental document that incorporated non-standard Section 7 findings language. The form will clarify the Section 7 finding using the correct regulatory language. Discussions will also be held with the project generalists and biologists who prepared the environmental documents with corrective actions to ensure that they understand the Section 7 requirements under review. The requirements related to Section 7 regulatory language will be discussed in training courses and at the statewide NEPA Assignment and Caltrans partnership teleconferences, as needed, to remind Caltrans staff and consultants of these requirements.

Performance Measure	Components of Measure	Metric[a]	Findings of 2014 Monitoring Review	Acceptable Performance Goal	Goal Met?	Corrective Action
		A.ii.1. *(Continued)*				
						Section 106: A Caltrans revalidation form will be completed for each of the two projects with irregular Section 106 documentation. One form will clarify the Section 106 finding and the other form will document a Category 5 bridge. Discussions will also be held with the project generalist and cultural resources specialist who prepared the environmental documents to ensure that they understand standard Section 106 findings language. **Section 4(f):** A Caltrans revalidation form will be completed for the one project that did not adequately document the Section 4(f) temporary occupancy. The form will document all five temporary occupancy conditions. Discussions will be held with the project generalist and environmental planner who prepared the Section 4(f) documentation to ensure that they understand the documentation requirements for a temporary occupancy.

Performance Measure	Components of Measure	Metric[a]	Findings of 2014 Monitoring Review	Acceptable Performance Goal	Goal Met?	Corrective Action
		A.ii.1. *(Continued)*				
	(See footnote to this table for explanation of *italicized* metrics)	***A.ii.1.a.*** *Compliance with other Executive Order 11990; Executive Order 11988; and Section 176(c) of the federal Clean Air Act*	*25 of 29 (86%) reviewed environmental documents/ CEs appropriately documented compliance with Executive Orders 11990 and 11988 and Section 176(c).*	*95%*	*No below goal by 9%*	**Executive Order 11988:** A revalidation form will be completed for the project with confusing floodplain impacts documentation to clarify that the project will not result in a significant encroachment. **Section 176(c):** The project that lacked an air quality conformity determination has a completed revalidation form that documents the conformity determination that was obtained from FHWA after FONSI approval. Air quality conformity checklists will be completed for the three projects that lacked them. Discussions will be held with the project generalist, air quality specialists, and hydraulics specialist for these projects to ensure that they understand the problems that were discovered with their documentation.
		A.ii.1.b. *Compliance with 23 USC Sec.139 (Efficient Environmental Reviews for Project Decisionmaking)*	*All three (100%) reviewed EISs appropriately documented compliance with 23 USC Sec. 139.*	*95%*	*Yes exceeded goal by 5%*	*None required.*
		A.ii.1.c. *Compliance with Traffic Noise Analysis Protocol requirements*	*All 43 projects (100%) used the appropriate version of the Noise Protocol.*	*95%*	*Yes exceeded goal by 5%*	*None required*

Performance Measure	Components of Measure	Metric[a]	Findings of 2014 Monitoring Review	Acceptable Performance Goal	Goal Met?	Corrective Action
		A.ii.1. *(Continued)*				
		A.ii.1.d. *Appropriate use of Categorical Exclusions*	*All nine (100%) reviewed approved CE Determination forms appropriately identified the projects as categorically excluded.*	*95%*	*Yes exceeded goal by 5%*	*None required*
		A.ii.1.e. *Appropriate use of 23 USC 326 versus 23 USC 327 Categorical Exclusions*	*All nine (100%) reviewed approved CE Determination forms appropriately identified whether the project fit under 23 USC 326 or 23 USC 327.*	*95%*	*Yes exceeded goal by 5%*	*None required*
B. Attainment of supportable NEPA decisions **i.** Maintain internal quality control and assurance measures and processes, including a record of:	**B.i.a.** Legal sufficiency determinations made by counsel (FEISs and individual Section 4(f) determinations)	**B.i.a.1.** Percent of final EISs and individual Section 4(f) determinations with legal sufficiency determinations completed prior to environmental document approval	All six (100%) documents requiring a legal sufficiency determination obtained the required documentation prior to environmental document approval.	95%	Yes exceeded goal by 5%	None required
	B.i.b. Compliance with Caltrans environmental document content standards and procedures	**B.i.b.1.** Percentage of internal QC certification forms certifying consistency with annotated outline	All 39 (100%) reviewed DEDs and FEDs had QC certification forms signed by the environmental document preparer indicating that the document was prepared consistent with the applicable SER annotated outline.	95%	Yes exceeded goal by 5%	None required
		B.i.b.2. Percentage of sampled environmental documents that followed applicable annotated outline	All 39 (100%) reviewed documents followed the annotated outlines in terms of chapter and section organization	95%	Yes exceeded goal by 5%	None required

Performance Measure	Components of Measure	Metric[a]	Findings of 2014 Monitoring Review	Acceptable Performance Goal	Goal Met?	Corrective Action
		B.i.b. *(Continued)*				
		B.i.b.3. Percentage of DEDs and FEDs for which the completed QA/QC procedures are appropriately completed based on an independent review of the internal QC certification form and follow-up information	For 37 of 39 (95%) environmental documents, QC procedures were properly implemented. Two documents did not follow QC procedures.	95%	Yes	District will update its environmental document quality control practices to require Technical Editor review of all final environmental documents. Discussions will be held with affected staff to ensure they have a full understanding of the proper sequencing of internal versus external QC reviews.
		B.i.b.4. Percent of DEDs and FEDs with completed checklists	All 39 (100%) reviewed environmental documents had complete checklists.	95%	Yes exceeded goal by 5%	None required
B.i.	**B.i.c.** Documentation of project records for projects under the NEPA Assignment Program	**B.i.c.1**. Percent of sampled EA/EIS project files organized according to the established filing system	19 of 33 reviewed files (58%) conformed to Uniform Filing System (UFS) requirements. 14 files were either incomplete or did not conform to UFS requirements in some way.	95%	No below goal by 37%	For projects with files that did not conform to UFS requirements, discussions were held with the responsible staff. Staff gathered the missing documents and placed in the project files. Staff with disorganized files have been asked to clean up their files and to add tabs to files where needed. To ensure consistent compliance with UFS requirements, Caltrans will discuss UFS best practices in quarterly teleconferences with NEPA Assignment staff. Caltrans will also identify opportunities in formal training courses where information on implementing UFS requirements can be added.

Performance Measure	Components of Measure	Metric[a]	Findings of 2014 Monitoring Review	Acceptable Performance Goal	Goal Met?	Corrective Action
C. Monitor relationships with agencies and the general public (effectiveness of relationships with agencies and the general public	**C.i.** Assess change in communication among Caltrans, Federal and State resource agencies, and the public	**C.i.1**. Resource Agency Survey: Compare average evaluation ratings for each period and cumulatively over time	50% cumulative average: positive responses	Equal to or above cumulative average of 55% positive responses since first survey in 2009	No below goal by 5%	Caltrans will meet in person with each agency to identify specific problems and improvement areas.
		C.i.2. Public Meeting Material Review: Compare average evaluation ratings for each Self-Assessment period and cumulatively over time	4.6 cumulative average rating	Equal to or above cumulative average rating of 4.5 since 3rd Self-Assessment	Yes exceeded goal by 0.1	None required
		C.i.3. Anonymous Third-Party Public Meeting Review: Compare average evaluation ratings for each Self-Assessment period and cumulatively over time	4.6 cumulative average rating	Equal to or above cumulative average rating of 4.5 since 4th Self-Assessment	Yes exceeded goal by 0.1	None required
	C.ii. Maintain effective responsiveness to substantive comments received from the public, agencies, and interest groups on NEPA documents	**C.ii.1**. Percentage of signed final document internal QC certification forms in file with public review comments box checked	20 (100%) of the reviewed FEDs had QC certification forms that indicated that public review comments had been appropriately addressed.	95%	Yes exceeded goal by 5%	None required
	C.iii. Maintain effective NEPA conflict resolution processes whenever appropriate	**C.iii.1**. Date that formal conflict resolution action began to date resolution reached	No formal conflict resolution actions were required during the 2014 Monitoring Review period.	Not applicable	Not applicable	Not applicable

Performance Measure	Components of Measure	Metric[a]	Findings of 2014 Monitoring Review	Acceptable Performance Goal	Goal Met?	Corrective Action
D. Timely completion of NEPA process	**D.i.** Compare time to completion for environmental document approvals before and after Assignment (July 1, 2007)	**D.i.1**. For SHS and Local Assistance projects, compare median time from begin administrative DED QC process to DED approval before and after assignment	2.9 (draft EAs) and 3.3 (draft EISs) median months saved	Any savings in time as compared to pre-Pilot Program	Yes	None required
		D.i.2. For SHS and Local Assistance projects, compare median time from begin administrative FED QC process to FED approval before and after assignment	0.9 (FONSIs) and 4.4 (final EISs) median months saved	Any savings in time as compared to pre-Pilot Program	Yes	None required
		D.i.3. Compare median time from begin environmental studies/NOI to DED approval before and after assignment	10.6 (draft EAs) and 34.7 (draft EISs) median months saved	Any savings in time as compared to pre-Pilot Program	Yes	None required
		D.i.4. Compare median time from begin environmental studies/NOI to FED approval before and after assignment	10.6 (FONSIs) and 139.8 (final EISs) median months saved	Any savings in time as compared to pre-Pilot Program	Yes	None required

Performance Measure	Components of Measure	Metric[a]	Findings of 2014 Monitoring Review	Acceptable Performance Goal	Goal Met?	Corrective Action
	D.ii. Compare time to completion for key interagency consultations formerly requiring FHWA participation before and after Assignment (July 1, 2007)	**D.ii.1.** Compare median time from submittal of biological assessments to receipt of biological opinions before and after assignment	5.2 median months saved	Any savings in time as compared to pre-Pilot Program	Yes	None required

[a] Part 10.2 of the July 2007 MOU lists four performance measures, each with specific components. Subsequent to executing the MOU, Caltrans and FHWA discussed and agreed upon metrics to be associated with each performance measure/component. Those metrics are listed here in Appendix A, but do not appear in the NEPA Assignment MOUs.

Explanation of *italicized metrics*: In response to deficiencies found during initial FHWA audits (using metrics described above), Caltrans decided to evaluate performance against five additional metrics related to specific federal requirements. These metrics are listed in this table, in *italics*, and are identified as A.ii.1.a–e. (For more on performance measures, components, and metrics, see the "Monitoring Methods" section of this report.)

Appendix B. MOU Performance Measure A.i.2.: Implemented Corrective Actions Identified in Caltrans 2013 Monitoring Report (2013 Monitoring Period: April 2012–March 2013)

Performance Measure	Components of Measure	Metric	2013 Monitoring Corrective Action	Implementation of Corrective Action
A. Compliance with NEPA and other Federal laws and regulations	**A.ii.** Maintain documented compliance with requirements of all Federal laws and regulations being assumed (Section 106, Section 7, etc.)	**A.ii.1.** Percent of final environmental documents that contain evidence of compliance with requirements of Section 7, Section 106, and Section 4(f)	**Section 106:** Discussions will be held with the project generalist and cultural resources specialist who prepared the environmental document to ensure that they understand standard Section 106 findings language.	Discussions were held with affected District staff emphasizing the importance of using the Section 106 regulatory language.
			Section 4(f): Final environmental document discusses a *de minimis* finding for a project that had no Section 4(f) use. Discussions will be held with responsible staff who prepared the document to review triggers for Section 4(f) and associated documentation requirements. Discussions will also be held with the affected District Deputy Directors of Environmental.	A discussion between Caltrans NEPA Assignment team and affected District staff was held in September 2013. Project staff updated the affected project file with a memo clarifying that the project had no Section 4(f) use.
			Final environmental document reports a *de minimis* finding for a historic property but the letter to SHPO does not document a *de minis* finding. A letter will be sent to the SHPO notifying them of the de minimis finding.	District updated the project file with correspondence from the SHPO (dated October 2013) acknowledging receipt of Caltrans' de minimis finding.
		Compliance with Section 6002 of the Safe, Accountable, Flexible, and Efficient Transportation Equity Act: A Legacy of Users	Project file did not contain any evidence that participating agencies had been given opportunity to comment on impact methodologies. Discussions will be held with the involved District staff to ensure that they understand 23 USC 139 requirements. These staff will also be required to take the 23 USC 139 Training-on-Demand module that Caltrans has developed and will soon be posting on its intranet Web site.	Discussions were held with affected District staff to review the requirements under 23 USC 139, and to encourage that staff take the Training-on-Demand course. Twenty District staff have completed the 23 USC 139 Training-on-Demand course since the 2013 Monitoring.

Performance Measure	Components of Measure	Metric	2013 Monitoring Corrective Action	Implementation of Corrective Action
B. Attainment of supportable NEPA decisions **i.** Maintain internal quality control and assurance measures and processes, including a record of:	**B.i.b.** Compliance with Caltrans environmental document content standards and procedures	**B.i.b.3.** Percent of draft and final environmental documents for which the completed QA/QC procedures are appropriately completed based on an independent review of the internal QC certification form and follow-up information	Discussions will occur with affected generalist and Headquarters Environmental Coordinator involved with preparation of environmental documents for which internal QC forms had no NEPA QC reviewer or Environmental Branch Chief certifications.	Affected Headquarters Environmental Coordinators conducted discussions with District staff on the importance of following QA/QC procedures, including proper sequence of reviews, and completing QC certification forms.
			Discussions will be held with Caltrans training staff to determine the need for augmenting existing training courses with materials on QC requirements, and training will be augmented, as needed.	Caltrans' QC procedures and requirements were reviewed during the NEPA Compliance Training for QC Reviewers in May 2014. This is a standard section/discussion in the NEPA QC Reviewers certification training. QC procedures will continue to be emphasized in future classes. NEPA Assignment team-led discussions on the importance of following and documenting proper QC reviews during quarterly monitoring follow-up calls with Districts, and during the NEPA statewide teleconferences held on 1/21/14 and 7/15/14.
			Headquarters will review the QA/QC guidance and the internal and external QC certification forms to determine the need for revising them so that they clearly indicate when certain certification signatures are not needed (i.e., in the instances where revisions to environmental topics have not been made in the environmental document) and the iteration of review to which the form(s) apply.	NEPA Assignment team had discussions with District staff for input on the need to update forms. The decision was made to not revise the QC certification forms. Rather, exceptions to standard review procedures will continue to be clearly documented in the project file.

Performance Measure	Components of Measure	Metric	2013 Monitoring Corrective Action	Implementation of Corrective Action
	B.i.c. Documentation of project records for projects under the NEPA Assignment Program	**B.i.c.1.** Percent of sampled EA/EIS project files organized according to the established filing system	Discussions have occurred with staff involved with those projects with documentation that had been prepared but had not been placed in the environmental file. These staff have been reminded to make sure that project files are complete.	Discussions occurred with staff involved in those projects with incomplete files. Staff confirmed that they will add missing information to the file.
			The District with files missing air quality conformity will develop and implement a procedure to ensure that conformity documentation is provided to the project generalist for filing in the project environmental files.	Affected Deputy District Director issued guidance to staff outlining the process for ensuring that air quality conformity documentation, including correspondence from Caltrans and FHWA, is provided by the specialist to the environmental generalist for placement in the environmental file.
			UFS requirements will continue to be discussed with District staff during future NEPA Assignment teleconferences.	The importance of maintaining the administrative record and utilizing the UFS was discussed at the October 2013 statewide NEPA Assignment teleconference.
			Caltrans will look for opportunities in its training courses to include information on the value of implementing the UFS requirements.	Caltrans will incorporate FHWA's guidance into UFS/record retention guidelines, and incorporate this guidance into environmental staff training. In the interim, NEPA Assignment team encourages use of District best practices when discussing record keeping during quarterly statewide teleconferences and quarterly monitoring review discussions with the Districts.

Appendix C. Caltrans 2014 Monitoring: Percentage Compliance for Percentage-Based Performance Metrics

Performance Measure	Components of Measure	Metric		Number of Environmental Documents/CEs Reviewed for Performance Metric				Number of Environmental Documents/ CEs that Appropriately Documented Compliance	Percentage Compliance with Performance Metric
				Draft Environmental Documents	Final Environmental Documents	Categorical Exclusions	In-progress Environmental Documents Not Yet Approved		
A. Compliance with NEPA and other Federal laws and regulations	**A.i.** Maintain documented compliance with procedures and processes set forth in the MOU for the environmental responsibilities assumed under NEPA Assignment	**A.i.1.**	Percent of Self-Assessment reports submitted to FHWA	NA	NA	NA	NA	NA	100%
		A.i.2.	Percentage of corrective actions identified in most recent Self-Assessment that have been implemented	NA	NA	N**A**	NA	NA	100%
	A.ii. Maintain documented compliance with requirements of all Federal laws and regulations being assumed (Section 106, Section 7, etc.)	**A.ii.1.**	Percent of final environmental documents (FEDs) that contain evidence of compliance with requirements of Section 7, Section 106, and Section 4(f)	*	20	9	0	15	52%
	(See footnote to this table for explanation of *italicized* metrics)		***A.ii.1.a.*** *Compliance with other Executive Order 11990; Executive Order 11988; and Section 176(c) of the federal Clean Air Act*	NA	20	9	0	25	86%
			A.ii.1.b. *Compliance with 23 USC Sec.139 (Efficient Environmental Reviews for Project Decisionmaking)*	NA	3	0	0	3	100%
			A.ii.1.c. *Compliance with Traffic Noise Analysis Protocol requirements*	4	20	9	10	43	100%
			A.ii.1.d. *Appropriate use of Categorical Exclusions*	NA	NA	9	0	9	100%
			A.ii.1.e.	NA	NA	9	0	9	100%

Performance Measure	Components of Measure		Metric		Number of Environmental Documents/CEs Reviewed for Performance Metric: Draft Environmental Documents	Final Environmental Documents	Categorical Exclusions	In-progress Environmental Documents Not Yet Approved	Number of Environmental Documents/ CEs that Appropriately Documented Compliance	Percentage Compliance with Performance Metric
				Appropriate use of 23 USC 326 versus 23 USC 327 Categorical Exclusions						
B. Attainment of supportable NEPA decisions **i.** Maintain internal quality control and assurance measures and processes, including a record of:	**B.i.a.**	Legal sufficiency determinations made by counsel (FEISs and individual Section 4(f) determinations)	**B.i.a.1.**	Percent of final EISs and individual Section 4(f) determinations with legal sufficiency determinations completed prior to environmental document approval	NA	6	0	0	6	100%
	B.i.b.	Compliance with Caltrans environmental document content standards and procedures	**B.i.b.1.**	Percentage of internal QC certification forms certifying consistency with annotated outline	19	20	0	0	39	100%
			B.i.b.2.	Percentage of sampled environmental documents that followed applicable annotated outline	19	20	0	0	39	100%
			B.i.b.3.	Percentage of DEDs and FEDs for which the completed QA/QC procedures are appropriately completed based on an independent review of the internal QC certification form and follow-up information	19	20	0	0	37	95%
			B.i.b.4.	Percent of DEDs and FEDs with completed checklists	19	20	0	0	39	100%
B.i.	**B.i.c.**	Documentation of project records for projects under the	**B.i.c.1**.	Percent of sampled EA/EIS project files organized according to the established	4	10	9	10	19	58%

Performance Measure	Components of Measure	Metric	Number of Environmental Documents/CEs Reviewed for Performance Metric				Number of Environmental Documents/ CEs that Appropriately Documented Compliance	Percentage Compliance with Performance Metric
			Draft Environmental Documents	Final Environmental Documents	Categorical Exclusions	In-progress Environmental Documents Not Yet Approved		
	NEPA Assignment Program	filing system						
	C.ii. Maintain effective responsiveness to substantive comments received from the public, agencies, and interest groups on NEPA documents	**C.ii.1**. Percentage of signed final document internal QC certification forms in file with public review comments box checked	NA	20	0	0	20	100%

NA=Not applicable

* = The four draft environmental documents reviewed only for Section 4(f) compliance are not accounted for in the compliance percentage of the Section 7/10/4(f) metric.

Explanation of *italicized metrics*: In response to deficiencies found during initial FHWA audits (using metrics described above), Caltrans decided to evaluate performance against five additional metrics related to specific federal requirements. These metrics are listed in this table, in *italics*, and are identified as A.ii.1.a–e. (For more on performance measures, components, and metrics, see the "Monitoring Methods" section of this report.)

Statement by Chief, Division of Environmental Analysis

Based on this Report on 2014 Monitoring of Caltrans Performance under the Surface Transportation Project Delivery Program, I find the responsibilities assumed by Caltrans under the NEPA Assignment MOU are being carried out in accordance with the MOU and all applicable federal laws and policies.

Signed: Katrina C. Pierce

Katrina C. Pierce, Chief, Division of Environmental Analysis
California Department of Transportation

Date: 10 August 2015

Figure 1
Resource Agency Results[1,2]

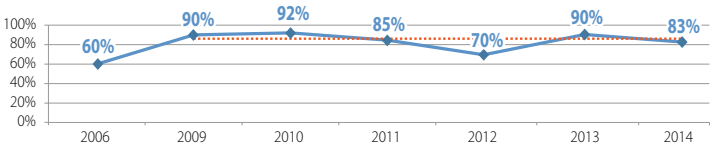
Legend

Average by year

2014 Monitoring Review cumulative average

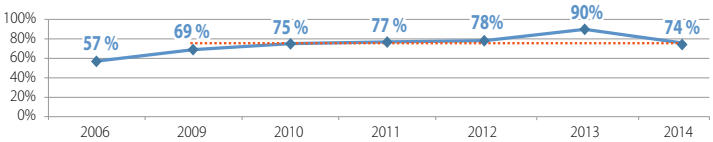
Cumulative average percentage for all questions for 4th Self Assessment - 2014 Monitoring Review (2009-2014): 55%
Cumulative average percentage for all questions for 2014 Monitoring Review: 50%

2a. How capable do you believe Caltrans has been in assuming the NEPA responsibilities of FHWA?
5=VERY CAPABLE; 4=SOMEWHAT CAPABLE



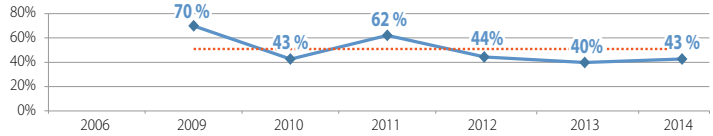
85 %

2b. Caltrans is responsive to the concerns expressed by your agency.
5=STRONGLY AGREE; 4=SOMEWHAT AGREE



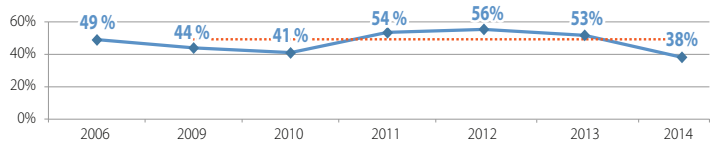
77 %

2c. Caltrans may not listen as well to resource agencies as did FHWA.
1=STRONGLY DISAGREE; 2=SOMEWHAT DISAGREE



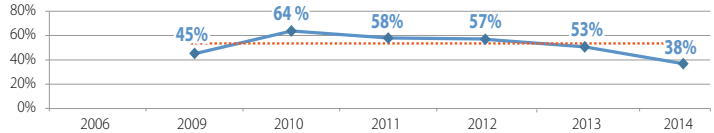
50 %

2d. The NEPA and consultation processes are more efficient under Caltrans than they were under FHWA.
5=STRONGLY AGREE; 4=SOMEWHAT AGREE



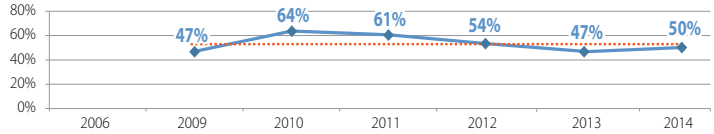
48 %

2e. Quality has suffered without FHWA oversight.
1=STRONGLY DISAGREE; 2=SOMEWHAT DISAGREE



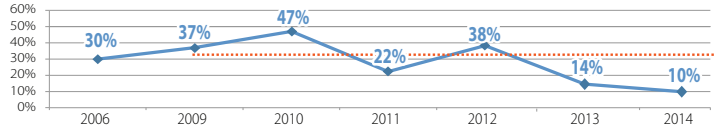
52 %

2f. Caltrans has not been as conscientious in adhering to Federal laws, rules, and regulations as FHWA.
1=STRONGLY DISAGREE; 2=SOMEWHAT DISAGREE



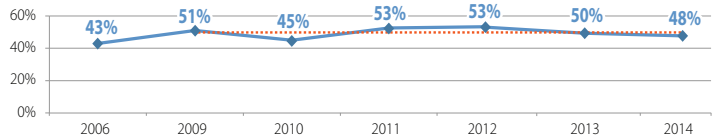
54 %

2g. Caltrans has been more cooperative with agencies on existing programmatic agreements and memoranda of understanding as FHWA.
5=STRONGLY AGREE; 4=SOMEWHAT AGREE



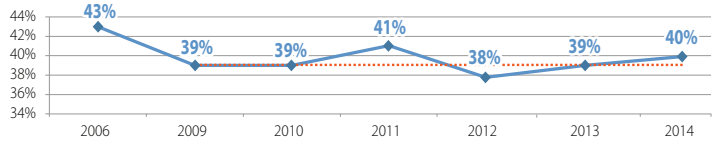
28%

2h. Currently, how would you rate how well interagency coordination is working between Caltrans and your agency with respect to consultation and coordination responsibilities on Pilot Program projects under NEPA and other federal environmental laws?
5=EXCELLENT; 4=VERY GOOD



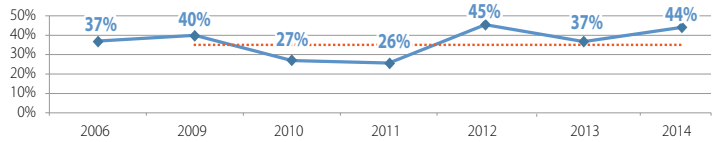
50 %

2i. Currently, how would you rate how well your agency's mission is being considered and met with respect to Caltrans' consultation and coordination responsibilities on Pilot Program projects under NEPA and other federal environmental laws?
5=EXCELLENT; 4=VERY GOOD



39%

2j. Currently, how would you rate the timeliness in which project resolutions are being reached with respect to Caltrans' consultation and coordination responsibilities on Pilot Program projects under NEPA and other federal environmental laws?
5=EXCELLENT; 4=VERY GOOD



36 %

[1] Sample sizes: 2006-unknown; 2009-49 completed surveys; 2010-54 completed surveys; 2011-46 complete surveys; 2012-46 completed surveys for questions 2a, 2b, 2h, 2i, and 2j, and 28 completed surveys for questions 2c through 2g; 2013-30 completed surveys for questions 2a, 2b, 2h, 2i and 2j; and 15 completed surveys for questions 2c through 2g; 2014-43 completed surveys for questions 2a, 2b, 2h, 2i and 2j, and 25 completed surveys for questions 2c through 2g.

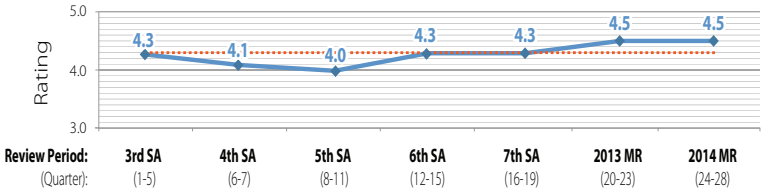
[2] Negative responses to questions 2c, 2e, and 2f are comparable to positive responses to the other seven questions. This is because questions 2c, 2e, and 2f are phrased as negative statements; so a response of "strongly disagree" or "somewhat disagree" are positive responses to Caltrans performance.

Figure 2
Review of Public Meetings Documentation
2014 Monitoring: NEPA Assignment [1]

Legend
Average by year
2014 Monitoring Review cumulative average

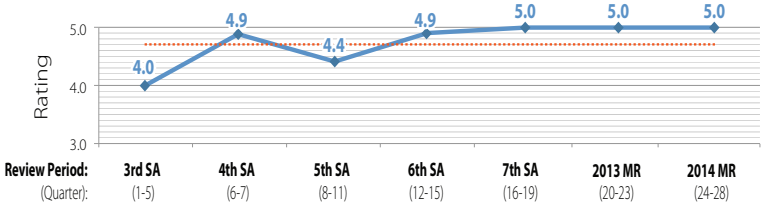
Cumulative average rating for all questions for 3rd Self Assessment - 2014 Monitoring Review : 4.5
Cumulative average rating for all questions for 2014 Monitoring Review: 4.6

To what extent did the public meeting notice or notice of opportunity for the project environmental document meet SER requirements?



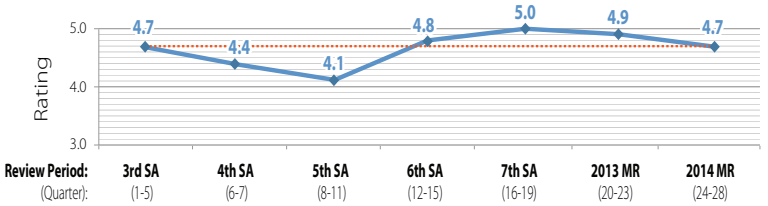
4.3

To what extent do you agree or disagree that the public meeting provided adequate opportunity for the public to register written and oral comments?



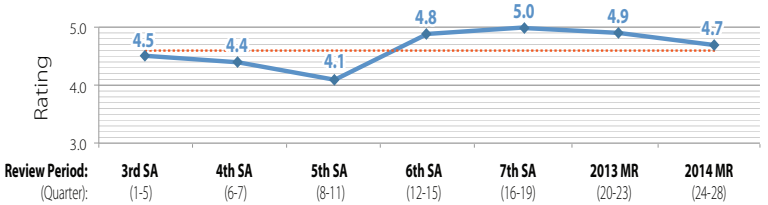
4.7

To what extent were appropriate Caltrans specialty staff available to discuss the project, its purpose and need, and alternatives with the public?



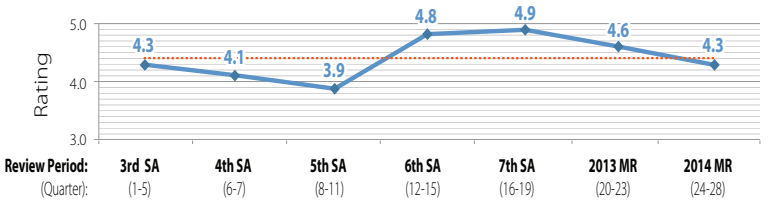
4.7

To what extent were appropriate Caltrans specialty staff available to discuss the project impacts with the public?



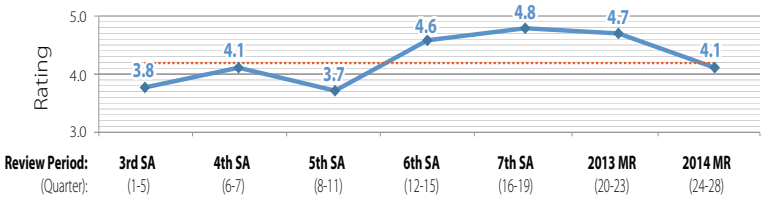
4.6

To what extent do you agree or disagree that displays depicting the project and its alternatives were easily understandable to the lay public?



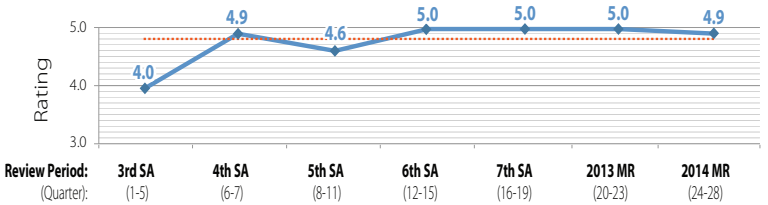
4.4

To what extent do you agree or disagree that displays depicting the project impacts were easily understandable to the lay public?



4.2

Based on review of the public meeting material and input from the project generalist, to what extent do you agree that the project meeting was accessible to the public?



4.8

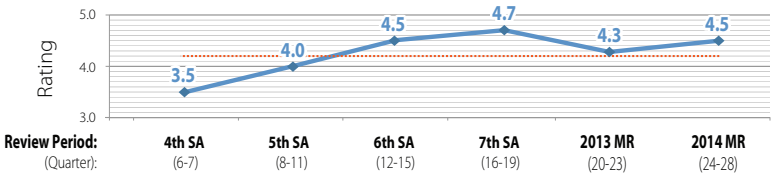
[1] Sample sizes: 3rd Self-Assessment - 27 projects; 4th Self-Assessment - 8 projects; 5th Self-Assessment - 22 projects; 6th Self-Assessment - 19 projects; 7th Self-Assessment - 16 projects; 2013 Monitoring Review - 17 projects; 2014 Monitoring Review - 15 projects.

Figure 3
Anonymous Review of Public Meetings
2014 Monitoring: NEPA Assignment [1]

Legend
Average by year
2014 Monitoring Review cumulative average

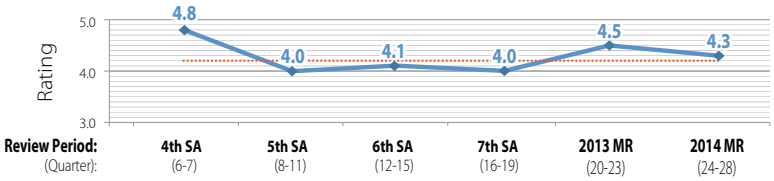
Cumulative average rating for all questions for 4th Self Assessment - 1st Monitoring Review: 4.5
Cumulative average rating for all questions for 2014 Monitoring Review: 4.6

The handouts provided clear information and were understandable to the public.



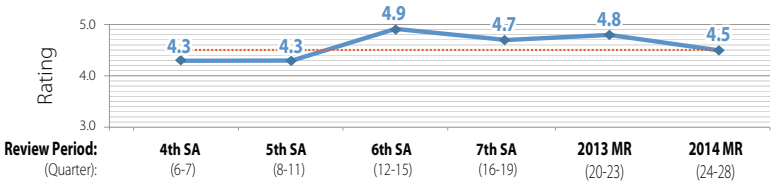
4.2

The visual aids (e.g., posters, figures, Power Point presentations, photographs, and maps) were beneficial in helping me and other members of the public understand the project and its environmental impacts.



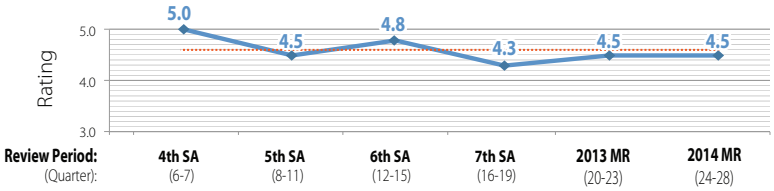
4.2

Overall, information I needed to understand the project was provided.



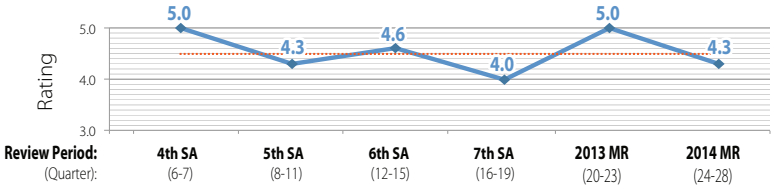
4.5

Project staff conveyed their knowledge effectively.



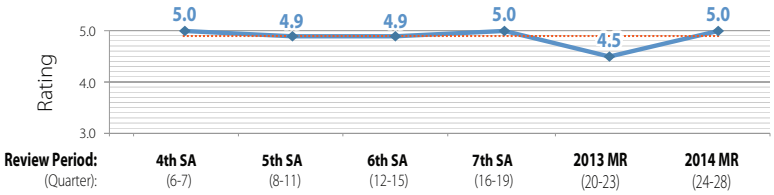
4.6

Project staff responded to questions effectively.



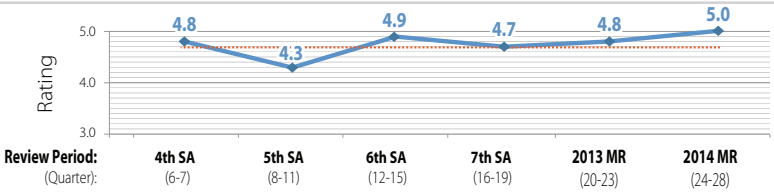
4.5

Project staff treated participants with courtesy and respect.



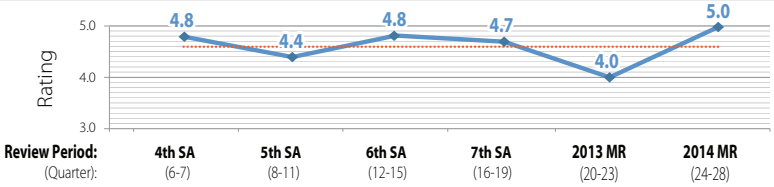
4.9

Overall, the meeting was valuable.



4.7

Overall, the meeting provided a positive experience.



4.6

[1] Sample sizes: 4th Self-Assessment - 4 projects; 5th Self-Assessment - 8 projects; 6th Self-Assessment - 8 projects; 7th Self-Assessment - 3 projects; 2013 Monitoring Review - 4 projects; 2014 Monitoring Review - 4 projects.