ATTENTION! There are a number of items in this appendix that need to be updated—especially in the areas of funding/programming, risks, and FHWA coordination. Until this appendix is updated, please see Appendix K for the discussion of topics in the Microsoft Office Word template associated with this appendix and discuss any issues with the Headquarters SHOPP program manager or advisor.

APPENDIX A – Preparation Guidelines for Project Study Report-Project Report

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APPENDIX A – Preparation Guidelines for Project Study Report-Project Report

ARTICLE 1 Overview

Use of Project Study Report-Project Report

A project must meet the criteria specified in Chapter 9, Article 9 of the Project Development Procedures Manual (PDPM) to use a combined Project Study-Project Report (PSR-PR). The combined PSR-PR satisfies the requirements for both the project initiation document (PID) and the project report (PR) and, as such, must meet the requirements in Chapter 9 and Chapter 10 of the PDPM.

Both Headquarters and the district use the combined PSR-PR as the primary project reference document and, as such, the need for accurate and complete project information is essential.

Guidance for Preparing a Project Study Report-Project Report

Article 2 of this appendix presents the template that can be used for the combined PSR-PR. Use Appendix L – Preparation Guidelines for Project Study Report and Appendix K – Preparation Guidelines for Project Report for guidance in preparing the combined PSR-PR. Use checklists found in Appendix L to properly scope the project.

The template is created for broad application and, as such, portions of the template may not strictly apply to all transportation projects. The template should be modified to include or exclude sections so that pertinent project deficiencies, issues or coordination are clearly presented. The preparer of the report should evaluate the number of the alternatives and the complexity of the issues to determine whether to organize the information by alternatives or issues. The space for filling in various sections of the template is condensed for practical viewing of the template. As appropriate, each section can be expanded to accommodate necessary information.
For a detailed sequence of the PID activities see the Project Development Workflow Tasks.

**PSP-PR Approval**

The District Director (or Deputy District Director if identified in Caltrans Delegation of Authority) is responsible for approval of the PSR-PR.

**PSR-PR Distribution**

Two copies of the approved report shall be sent to:

Division of Design  
Office of Project Development Procedures  
Attention: Design Report Routing  
Mail Station #28

For SHOOP projects:

A copy of the draft PSSR shall be sent to the appropriate Headquarters SHOOP program advisor. The Headquarters SHOOP program manager organizational chart can be found at the following location:  
http://10.56.3.8/pirs/TenYrShopp/HQ_SHOOP_Org_Chart.xls

One copy of the approved report shall be sent to the appropriate Headquarters SHOOP program advisor.

Five copies of the approved report shall be sent to:

HQ Division of Engineering Services  
Program/Project & Resource Management  
MS 9-5/11g
ARTICLE 2   Template for Project Study Report-Project Report

This article is a template for the project study report-project report. When using the template, delete any italicized text within the body of the document. The italicized text provides instructions for template users and does not provide any value to the final document. If applicable and approved by the Headquarters SHOPP program manager, the preparer may modify an existing PSSR form to use as a combined document.

The template is available at:

http://www.dot.ca.gov/hq/oppd/pdpm/templates/apdx-a-template.docx
APPENDIX B - Preparation Guidelines for Expenditure Authorization Project Report

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APPENDIX B - Preparation Guidelines for Expenditure Authorization Project Report

Use of Expenditure Authorization Project Report

The Expenditure Authorization Project Report (EA PR) is used for maintenance projects in the HM Program and for "Minor B" projects. These projects are not programmed in a programming document. However the EA-PR serves as the project initiation document and also the project approval document. Neither a Project Study Report (PSR) or a Project Report (PR) is required.

Report Format

The EA-PR is prepared using the standard Expenditure Authorization (EA) Form FA47 with the statement "This EA will serve as a Project Report" typed in the area for comments. An environmental statement should also be included, such as "This project is Categorically Exempt under Class 1 of the State CEQA Guidelines." An example is attached. This type of Project Report should be used for small or simple projects in the identified categories that are simple enough that the data required for the EA form will supply sufficient information to identify the limits, proposed work, cost, and fiscal year. Project approval is accomplished by the normal EA approval process.
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Project Development Initiation and Approval Reports

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**Expenditure Authorization**

1994/95 Major Maintenance Program (NM1A)

This E.A. will serve as a Project Report. The proposed work will...

**Environmental**

This project is Categorically Exempt under Class 1 of the State CEQA guidelines.

**Recommended:***

<table>
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**Approved:***

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<td>Chief Project Control Officer</td>
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Last Update: Nov. 9, 1998

7/1/99 Project Development Procedures Manual
ATTENTION! There are a number of items in this appendix that need to be updated—especially in the areas of funding/programming, risks, and FHWA coordination. Until this appendix is updated, please see Appendix K for the discussion of topics in the Microsoft Office Word template associated with this appendix and discuss any issues with the Headquarters SHOPP program manager or advisor.

APPENDIX C – Preparation Guidelines for Facility Project Study Report (Lands and Buildings)

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APPENDIX C – Preparation Guidelines for Facility Project Study Report (Lands and Buildings)

ARTICLE 1 Overview

Use of Facility Project Study Report

An approved facility project study report (FPSR) must be completed prior to programming a State Highway Operation and Protection Program (SHOPP) Facilities Category project. These guidelines provide information for the preparation of the FPSR. Use this guidance in conjunction with the policies and procedures described in Chapter 9 and 32 of the Project Development Procedures Manual (PDPM). The standards for maintenance facilities are described in the Maintenance Facility Design Manual.

The SHOPP Facility Category includes the following programs:

- 20.20.201.351 Equipment Facilities Program (351).
- 20.20.201.352 Maintenance Facilities Program (352).
- 20.20.201.353 Office Buildings Program (353).
- 20.20.201.354 Materials Labs (354).

The following guidance is tailored to projects that provide facilities that support transportation activities. The FPSR shown in Article 3 of this appendix should be modified to include or exclude any applicable deficiencies or issues. Appendix L – Preparation Guidelines for Project Study Report and Appendix K – Preparation Guidelines for Project Report for fundamental guidance and tools on the preparation of PID and project approval documents.
Facility PSR Preparation

Scoping Team

The scoping team evaluates the project purpose and need, and makes recommendations on the proposed scope and alternatives. The scoping team shall include:

- Appropriate district SHOPP program coordinator.
- Appropriate Headquarters SHOPP program advisor.
- Caltrans Office of Transportation Architecture representative.
  - The project architect will serve as the project LEED coordinator
- As appropriate, for the specific SHOPP program, a representative from:
  - District equipment.
  - District maintenance.
  - District office building administration.
  - District material laboratory.
- District underground tank coordinator or hazardous materials coordinator.
- District environmental representative.
- District right of way representative.
- District asset management representative.

Field Reviews

The scoping team shall meet on the proposed site to review the scope, including the potential Leadership in Energy and Environmental Design (LEED) credits, and evaluate the draft FPSR.

Prior to final approval of the FPSR, stakeholders in the district, Headquarters, and external agencies should review the draft FPSR to resolve conflicts and omissions before any firm commitments are made.

For more detailed information on the process for maintenance facilities, see the Maintenance Facility Design Manual developed by Division of Maintenance.

Reliable Project Scope and Cost Estimate

To minimize future cost increases, a thorough scoping of the project and a reliable project cost estimate is needed. Reliable project cost estimates are extremely important at every stage in the project development process. Inaccurate estimates
result in problems in Caltrans’ programming and budgeting. The final scope and cost of each project must be established as early as possible. With the exception of office buildings, Caltrans Office of Transportation Architecture should develop the cost estimate for the structural portion of the project and review the estimating assumptions for all site development work.

**Facility PSR Approval**

The District Director (or Deputy District Director per Caltrans delegation authority) is responsible for approval of the FPSR.

**Facility PSR Distribution**

A copy of the draft PSSR shall be sent to the appropriate Headquarters SHOPP program advisor. The Headquarters SHOPP program manager organizational chart can be found at the following location:

http://10.56.3.8/pirs/TenYrShopp/HQ_SHOPP_Org_Chart.xls

Two copies of the approved report shall be sent to:

Division of Design  
Office of Project Development Procedures  
Attention: Design Report Routing  
Mail Station #28

One copy of the approved report shall be sent to:

Appropriate Headquarters SHOPP program advisor.

Five copies of the approved report shall be sent to:

HQ Division of Engineering Services  
Program/Project & Resource Management  
MS 9-5/11g
ARTICLE 2  Guidelines for Completing Facility Project Study Report Template

General

The following template is a guideline for the Facility Project Study Report (FPSR). The actual report should be similar in organization and may contain similar headings and subheadings, but will vary based on type of facility, complexity, and project-specific issues. A template for the FPSR is found in Article 3 of this appendix. The space for filling in various sections of the template has been condensed for practical viewing of the template. As appropriate, each section can be expanded to accommodate necessary information. The template should be modified to include or exclude any pertinent project information.

The FPSR for all maintenance facility project candidates should be based on the Building Site Data Submittal form and the FPSR preparation guidelines included in the Caltrans Maintenance Facility Design Manual published by Division of Maintenance.

A similar level of detail is appropriate for the 351 and 354 State Highway Operation and Protection Program (SHOPP) Facilities Category candidates.

Cover Sheet

The FPSR should have a standard cover sheet to provide project identification information and signatures. Information to be provided includes the following:

- Title
  
  Indicate “Facility Project Study Report”

- File Reference

  District-County-Route-Post Mile (Dist-Co-L-Facility Number)

- Responsible Unit (RU)

  The unit source code of the registered civil engineer in charge of the technical features of the project.

- Program Code
Appendix C – Preparation Guidelines for Facility Project Scope Summary Report (Lands and Buildings)

Article 2 – Guidelines for Completing Facility Project Study Report Template

Expenditure Authorization (EA)

Month Year

Provide the preparation month and year of the report.

- Clearly state the reason for the Facility PSR on the title sheet.
  “Request Programming in the 200X SHOPP”

- Recommended Approval

  A recommendation for approval must be signed by the project manager as an indication that all appropriate studies have been included and as an indication that the proposal is in accord with Caltrans’ policies.

- Approval

  The FPSR is signed and dated by the District Director (or Deputy District Director per Caltrans delegation of authority).

Vicinity Map Sheet (Separate Sheet)

Provides brief description of the project location. Show commonly known physical features on the ground that can be identified on available mapping.

Registered Civil Engineer’s Stamp and Statement (Separate Sheet)

The FPSR shall have a separate sheet with the required stamp or seal and signature of a registered civil engineer who is the person in responsible charge. The sheet must include a statement indicating that the registered civil engineer attests to the technical information contained herein and the data upon which recommendations, conclusions, and decisions are based. Approval of the FPSR is a management decision and is separate from this technical signature of the person in responsible charge.

Table of Contents (Separate Sheet)

1. INTRODUCTION

- Summary of proposal.
- Location of project.
- Estimated cost.
• Proposed SHOPP Program year.
• District priority index number.
• For equipment and maintenance facilities, include the State-wide Project Priority Rating as described in the *Maintenance Facility Design Manual* and the priorities from the 10-Year Facility Master Plan.

2. PURPOSE AND NEED

The following website has further guidance on the development of purpose and need statements. [http://www.dot.ca.gov/hq/env/emo/purpose_need.htm](http://www.dot.ca.gov/hq/env/emo/purpose_need.htm)

3. EXISTING CONDITION AND PROJECTED GROWTH

Description of Existing Facility

Fill in the table to provide information regarding the description of the existing facility.

History

Fill in the table to provide information regarding the history of the existing facility.

Joint Use Opportunities

Discuss compatible public facilities. Identify local or State plans to renovate, relocate or construct new facilities in area.

Projected Inventory Growth and Workload

As appropriate, discuss maintenance location model results or other justification for projections.

4. DEFICIENCIES

Fill in table. If topic is not applicable, fill in “not applicable.”

Operational Needs

• If applicable, discuss the results of the maintenance facility location model.
• Discuss the operational needs at this location with respect to:
  - Space needs for additional crews or employees.
  - Deficiencies in the building spaces.
  - Changes in the employee or crew type.
Consolidation of facilities.
Temporary facility.

Service Needs

Discuss service needs with respect to:

- Deficiencies in response time.
- Work load based on Person Year (PY) and highway inventory.
- Identify if there is a life line route in the service area.

Safety, Site and Facility Needs

- Discuss any safety deficiencies. For example, are there any violations of the Building code in effect at time of original construction?
- Discuss site size, condition, security access or other deficiencies. Identify deficiencies that affect State, personal property, and staff safety.
- Discuss health and Occupational Safety and Health Administration (OSHA) compliance.

Site Requirements

- Ingress and egress issues.
- Pavement condition.
- Flooding and fire hazards.
- Local issues.
  - Composition of surrounding neighborhood and community pressure.
  - Growth patterns and zoning in community master plan.
- Major building repair due to age, damage, or deterioration.

Environmental Compliance

- Storm water compliance mandated by lawsuits, court orders, or citations. (Storm water issues are addressed in a different Program: 335).
- Other compliance requirements, e.g., hazardous material contamination.

Synopsis of deficiencies

5. ALTERNATIVES
Alternatives

Discuss the viable alternatives that address the identified deficiencies, environmental compliance, and American Disability Act compliance.

Viable alternatives can include:

- Renovation.
- Addition.
- Joint use.
- Relocation.
- Consolidation.

Include a summary of the issues and risk analysis for each viable alternative.

Staging

- Identification of staging areas for contractors work.
- Identification of portions of existing facility that can be closed during construction.

Competitive Cost of Each Alternative

Discuss the competitive cost of each alternative. The cost analysis should include:

- Construction costs:
  - Building costs developed by Caltrans Office of Transportation Architecture.
  - Site development costs – access, utilities, environmental, etc.
  - Identify specific LEED costs.
- Phase/Development costs:
  - Temporary leasing, moving costs, etc.
- Land costs:
  - New R/W for expansion or relocation.
  - If Caltrans-owned property is being considered as a new site, include value of property.
  - Potential for exchange.
- Revenue potential from vacated (excess) Caltrans property (if any).
- Joint use or consolidation costs/savings (if applicable).
- Operational costs (maintenance facility location model).
Alternative Analysis

No-Project Transportation Cost

Discuss the monetary impacts of not having a project.

Rejected Alternatives

Discuss alternatives that were considered but rejected. Include an explanation of why the alternative was rejected.

6. PROPOSAL

- Detailed description of alternative used to program project costs.
- Discuss the alternative that was used to program project costs.
  - How will proposal correct deficiencies?
  - How were characteristics like size and extent of modifications determined?
  - Result of alternative cost comparison. Discuss why the selected alternative is the most efficient.
- Discuss LEED scope to be included in the preferred alternative:
  - Target Rating Level.
  - Target number of credits to be achieved.
    - Discuss use of extra target credits to insure desired rating is achieved.
  - Specific target credits included in the design.
    - Reference to LEED Credit Checklist to be attached.
- Preliminary plan drawing of proposal.
- Preliminary estimate.
- Results of review by appropriate district environmental units to determine extent, if any, of asbestos, hazardous waste, lead and other possible environmental problems.
- Identify the major risks associated with this proposal.

7. FUNDING/SCHEDULING

Complete tables.

8. REVIEWS

The template includes a list of suggested reviews. Each district should modify the template to reflect reviews established by district procedures.
Include reviewer’s signature and review completion date, or N/A if not applicable.

9. ATTACHMENTS

- SHOPP Output Table – Contact the appropriate Headquarters SHOPP program manager for the “SHOPP Project Output” form and guidance on how to complete the form.
- Proposed project schedule.
- Detailed cost estimate sheet for selected alternative.
- Environmental determination/document.
- R/W data sheet.
- Project development team roster.
- LEED Credit Checklist for preferred alternative.
- Contact the Office of Transportation Architecture for a copy of the LEED Credit Checklist and the LEED Roles and Responsibilities for Caltrans Groups/Disciplines.

ARTICLE 3  Template for Facility Project Study Report

This article is a template for the facility project study report. When using the template, delete any italicized text within the body of the document. The italicized text provides instructions for template users and does not provide any value to the final document.

The template is available at:

http://www.dot.ca.gov/hq/oppd/pdpm/templates/apdx-c-template.docx
APPENDIX D – Preparation Guidelines for Project Report (New Highway Planting or Roadside Rehabilitation)

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APPENDIX D – Preparation Guidelines for Project Report (New Highway Planting or Roadside Rehabilitation)

ARTICLE 1  Overview

Use of Project Report (New Highway Planting or Roadside Rehabilitation)

The project report (new highway planting) is the project approval document for Minor roadside preservation State Highway Operation and Protection Program (SHOPP) projects in the 20.XX.201.220 – New Highway Planting Program.

The project report (new highway planting) is also the project approval document for State Transportation Improvement Program (STIP) projects in the 20.XX.025.700 – Interregional Improvement Program Highway Projects and 20.XX.075.600 – Regional Improvement Program Highway Projects.

The project report (roadside rehabilitation) is the project approval document for roadside preservation SHOPP projects in the 20.XX.201.210 – Roadside Rehabilitation Program.

Preparation of Project Report (New Highway Planting or Roadside Rehabilitation)

These guidelines provide information to be used with the requirements described in Chapter 10 – Formal Project Studies, Chapter 12 – Project Approvals and Changes to Approved Projects, and Chapter 29 – Landscape Architecture.

The following guidance is tailored to highway planting projects. See Appendix K – Preparation Guidelines for Project Report for fundamental guidance on the preparation of project approval documents.

The project report (new highway planting or roadside rehabilitation) should be prepared using the report template associated with this appendix, see Article 3. The report should be similar in organization, but can vary based on features, complexity and issues specific to each project. Modify the report format to include information
that is pertinent to the scope, cost and schedule of project. If a section is not applicable to the project, fill in as “Not applicable.”

**ARTICLE 2  Outline**

**General**

The project report (PR) outline found in Appendix K was adapted to meet the documentation needs of the New Highway Planting Program and Roadside Rehabilitation Program. Some sections of the standard PR were modified to facilitate the presentation of project information.

Consult with the district program advisor and the Headquarters SHOPP program manager to determine how project specific issues should be presented.

Not every outline topic is discussed, only information that is different from that found in Appendix K is included.

**Outline**

**Cover Sheet**

Modify the type of report to “Draft Project Report” as needed. Modify the purpose of report as needed. Typical entries for the purpose include:

- For Project Approval
- To Request Programming in the 20XX SHOPP and For Project Approval

**Licensed Landscape Architect Stamp**

The licensed landscape architect stamp or seal and number with signature shall be placed on a separate sheet, which shall be part of the report. Also included on this sheet shall be a statement indicating that the licensed landscape architect is attesting to the technical information contained therein and the data upon which recommendations, conclusions, and decisions are based. This seal does not constitute approval of the report. Approval of the report is a management decision and is separate from this technical signature of the person in responsible charge.
Main Body of Report

1. INTRODUCTION

Include the types of proposed work, gross length and area of the work, and the net length and area for each type of work. The SHOPP performance measure associated with the New Highway Planting Program and Roadside Rehabilitation Program is “Acres.” As appropriate, in the table, enter the number of acres for the SHOPP Project Output.

2. RECOMMENDATION

3. BACKGROUND

Project History

Discuss how the project need was identified and any efforts already expended, including previous relevant work and discussion of deficiencies not corrected by previous projects, etc.

Community Interaction

Existing Facility

Describe pertinent existing facilities within the proposed project limits and those in the adjacent sections of highway. Include the dates of highway construction and previous planting work.

Discuss vegetation, irrigation facilities, and other roadside features, including median and roadside widths, road edge treatments, slopes, drainage facilities, erosive conditions, available utilities—particularly potable water, recycled/nonpotable water, electrical utilities, water line crossovers, and conduits in structures or under the pavement along with their age and condition.

Project Study Report Data Sheet Consistency

Describe deviations from the project study report (PSR) data sheet.

Issues and Commitments

Describe stakeholder interaction, including support or opposition to the proposed project. Discuss any commitments this project makes or fulfills.
4. PURPOSE AND NEED

See the following website for guidance on the development of purpose and need statements: http://www.dot.ca.gov/hq/env/emo/purpose_need.htm.

5. ALTERNATIVES

5A. VIABLE ALTERNATIVES

Identify the alternative recommended for programming purposes.

Proposed Highway Planting Features

Provide a detailed description of proposed planting or planting rehabilitation work, including how it solves deficiencies identified in the purpose and need. Be site specific in the discussion of the proposal. Discuss overall design issues to be addressed, including:

- Plant types and the functional purpose of the planting; discuss how planting is used to improve the maintainability, safety, and aesthetics of the area, identify the length of plant establishment period.
- Proposed methods of irrigation.
- Refer to the preliminary plans that should delineate and describe the following:
  - Form and function of the plant material (i.e., broad deciduous trees, mulch, groundcover, shrub screen, grasses, etcetera).
  - Irrigation mainline routing, bridge supply lines, irrigation crossovers, points of connection, water meter, water and power source, remote control valve cluster locations, irrigation controller locations, etcetera.
  - Gates, access roads, staircases, and maintenance vehicle pullouts locations.
  - Additional paving for narrow areas and areas beyond the gore, slope paving, and use of inert materials (i.e. rock blanket, mulch, etcetera).

Traveler and Worker Safety

Describe proposed traveler and worker safety considerations including, but not limited to, the following:

- Relocating roadside facilities to protected areas or adjacent to the right-of-way fence.
• Removal or replacement of deteriorating trees or other plant material, and
removal of plant material that encroaches upon required sight distances.
• Planting of vines on noise barriers and retaining walls to deter graffiti.
• Automation of manual irrigation systems, including controllers, valves and
control and neutral conductors.
• Providing maintenance access roads and access gates for workers on foot or in
vehicles, staircases, and maintenance vehicle pullouts.
• Placing mulch or installing inert materials to reduce weeds, water use and
ongoing maintenance.
• Providing vegetation control underneath guardrails and signs.
• Providing paving for narrow areas.
• Paving of slopes under bridge structures.
• Providing additional paving beyond the gore.
• Replacing spot locations of frequently damaged guardrail with concrete
barrier.
• Removing signs that are redundant.
• Removing or relocating signs outside of gore areas.

Water Conservation

Discuss current and future water consumption. Reference the updated calculations
from the water budget calculator found on the California Department of Water
Resources, Water Efficient Landscape Ordinance webpage at:
http://www.water.ca.gov/wateruseefficiency/landscapeordinance/

Include the calculations as an attachment.

Discuss any local or regional requirements for water conservation and how the
proposed design will ensure compliance. Include water capacity fee.

Discuss how the proposed planting design and irrigation design will reduce or
minimize water consumption. Discuss if a temporary irrigation system is feasible.

Provide a comprehensive analysis of the feasibility of using recycled/nonpotable
water for irrigation including: water source, quality, cost justification (as an
attachment), suitability for proposed planting, availability, reliability, quantity,
unusual health or environmental considerations, future implications or operational
problems, impact on adjacent or nearby planting projects, cooperation with other
potential users, and any other appropriate considerations.
When smart irrigation technology is proposed, discuss the water management features to be utilized and how this work will be resourced by district maintenance. If district maintenance will require training to operate the new system, describe how this will be accomplished. Describe the communication protocol and indicate the communication carrier used by the district.

**Maintenance**

Discuss current and expected future maintenance costs, maintenance needs and potential savings, if any, to be derived from the proposed project.

Discuss how the proposed design concept conforms to Caltrans’ chemical reduction goals.

**Paybacks**

For rehabilitation projects the payback must be 12 years or less. It is calculated by subtracting the following items from the total project cost: traveler and worker safety items, water assessment fees, recycled/non-potable water transmission/supply lines, smart irrigation technology/remote irrigation control systems (RICS), resident engineer’s field office, hazardous materials, traffic control, and storm water pollution prevention.

**Nonstandard Design Features**

Describe any features that do not comply with planting policies described in Chapter 29 – Landscape Architecture.

**Cost Estimate**

Provide a project cost estimate as of January 1st of the current fiscal year, including a 15% contingency factor. Refer to the sample cost estimate in Article 4 for items to consider.

**Use of Wildflowers**

California native wildflowers must be included with all projects with federal funding that include planting work. Highway planting to provide traffic safety improvements, re vegetation, erosion control, and irrigation-only projects are exempt from this requirement.
The project report should discuss any proposed use of wildflowers and compliance with federal wildflower requirements. If wildflowers are not incorporated, the project report must describe the specific reasons why use of native wildflowers is not appropriate and an estimate of the dollar value of the required wildflower element.

5B. REJECTED ALTERNATIVES

6. CONSIDERATIONS REQUIRING DISCUSSION

Summarize all major issues, reviews, and coordination efforts within Caltrans and with other interested agencies. The template has a list of common issues. Address each item as appropriate or put “Not applicable.” The template should be edited to include project issues that are not on the template. If appropriate, include a discussion of the risks to scope, cost, and schedule.

6A. HAZARDOUS WASTE

6B. VALUE ANALYSIS

Typically this section is not applicable. These projects usually do not reach the project cost threshold that requires a value analysis study, however; the principles of value engineering may be applied to ensure cost effectiveness of the project.

6C. RESOURCE CONSERVATION

6D. RIGHT-OF-WAY ISSUES

6E. ENVIRONMENTAL ISSUES

6F. AIR QUALITY CONFORMITY

Consult with the district environmental unit for assistance with air quality conformity determination. Additional information can be found at:

http://env.dot.ca.gov/air_quality/conformity_basics/conformity-index.shtml

6G. TITLE VI CONSIDERATIONS

Typically this section is not applicable. These projects usually do not require public presentations, meetings, participation or other involvement where Title VI of the Civil Rights Act of 1964 could be an issue. Please see Caltrans’ Non-discrimination Policy Statement.
6H. NOISE ABATEMENT DECISION REPORT

Typically this section is not applicable. These projects usually do not require a draft project report to authorize public release of a draft environmental document.

6I. TRANSPORTATION MANAGEMENT PLAN

See Appendix K topic “Transportation Management Plan for Use During Construction” in outline item “7. Other Considerations As Appropriate.”

6J. STORM WATER COMPLIANCE

An approved storm water data report (SWDR) as described in Storm Water Quality Handbooks: Project Planning and Design Guide must be completed during the project approval phase. Discuss any issues that affect the project.

7. OTHER CONSIDERATIONS AS APPROPRIATE

Only include appropriate topics.

8. FUNDING/PROGRAMMING

Support Estimate:

The cost of any specialty contracts or other atypical direct project costs that may be required for the project should also be estimated by the proposed fiscal year.

9. SCHEDULE

10. RISKS

11. FHWA COORDINATION

12. PROJECT REVIEWS

The template includes a list of possible reviews. Modify the list to reflect district review procedures. The scoping team field review is only required if the project report purpose is to “Request Programming and for Project Approval.”

Include reviewer’s name and review completion date, or “Not applicable.”

13. PROJECT PERSONNEL
14. ATTACHMENTS (Number of Pages)

List each attachment with the corresponding number of pages in parentheses. In addition to the attachments discussed in Appendix K, include the following:

- Design Concept
- Water Use Calculations
- Cost Justification for Recycled/Nonpotable Water Use
- PSR Data Sheet
- Risk Register

ARTICLE 3 Template

This article is a template for the project report (roadside safety improvements). When using the template, delete any italicized text within the body of the document. The italicized text provides instructions for template users and does not provide any value to the final document.

The template is available at:

http://www.dot.ca.gov/hq/oppd/pdpm/templates/apdx-d-template.docx

ARTICLE 4 Sample Cost Estimate

<table>
<thead>
<tr>
<th>Item Description</th>
<th>Unit</th>
<th>Quantity</th>
<th>Unit Price</th>
<th>Estimated Construction Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Planting, Irrigation and Year(s) Plant Establishment Costs by Functional Planting Categories Identified in the Proposal</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Roadside Clearing</td>
<td>ACRE</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Linear Screen Planting</td>
<td>MILE</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tree and Shrub Planting</td>
<td>ACRE</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Groundcover Planting</td>
<td>ACRE</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Vines on Wall or Fence</td>
<td>MILE</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Plant Establishment</td>
<td>LS</td>
<td>Lump Sum</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Irrigation System (e.g. supply line, sprinklers, CNC, RCVs)</td>
<td>LS</td>
<td>Lump Sum</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Project Development Procedures Manual</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>---------------------------------------</td>
<td></td>
<td></td>
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</tr>
<tr>
<td><strong>Appendices</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Project Development Initiation and Approval Reports</strong></td>
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<td></td>
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</table>

<table>
<thead>
<tr>
<th>Project Description</th>
<th>Quantity</th>
</tr>
</thead>
<tbody>
<tr>
<td>Irrigation Crossover</td>
<td>LF</td>
</tr>
<tr>
<td>Hang Ductile Iron Pipe on Bridge</td>
<td>LF</td>
</tr>
<tr>
<td>Extend Water Supply Line to Caltrans Right-of-way</td>
<td>LS</td>
</tr>
<tr>
<td>Jacked or Directional Bored Crossovers</td>
<td>LF</td>
</tr>
<tr>
<td>Water Meter</td>
<td>EA</td>
</tr>
<tr>
<td>Water Assessment Fee</td>
<td>LS</td>
</tr>
<tr>
<td>Water Cost</td>
<td>LS</td>
</tr>
<tr>
<td>Convert Potable Water to Recycled/Nonpotable Water</td>
<td>LS</td>
</tr>
<tr>
<td>Backflow Preventer</td>
<td>EA</td>
</tr>
<tr>
<td>Irrigation Controller Enclosure</td>
<td>EA</td>
</tr>
<tr>
<td>Booster Pump</td>
<td>EA</td>
</tr>
<tr>
<td>Electrical Service (Irrigation)</td>
<td>LS</td>
</tr>
<tr>
<td>Upgrade Existing Irrigation System</td>
<td>ACRE</td>
</tr>
<tr>
<td>Water Supply</td>
<td>LS</td>
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</tbody>
</table>

**Worker Safety**

<table>
<thead>
<tr>
<th>Project Description</th>
<th>Quantity</th>
</tr>
</thead>
<tbody>
<tr>
<td>Relocate Irrigation Controllers</td>
<td>EA</td>
</tr>
<tr>
<td>Relocate Backflow Preventer Assemblies</td>
<td>EA</td>
</tr>
<tr>
<td>Relocate Mainlines</td>
<td>LS</td>
</tr>
<tr>
<td>Relocate Valves</td>
<td>EA</td>
</tr>
<tr>
<td>Relocate Laterals and Sprinklers</td>
<td>LS</td>
</tr>
<tr>
<td>Remove Hazardous Trees or Vegetation</td>
<td>LS</td>
</tr>
<tr>
<td>Plant Vines for Graffiti Control</td>
<td>EA</td>
</tr>
<tr>
<td>Maintenance Access Roads</td>
<td>SQYD</td>
</tr>
<tr>
<td>Maintenance Access Gates (Walk)</td>
<td>EA</td>
</tr>
<tr>
<td>Maintenance Access Gates (Drive)</td>
<td>EA</td>
</tr>
<tr>
<td>Maintenance Vehicle Pullouts</td>
<td>EA</td>
</tr>
<tr>
<td>Mulch</td>
<td>SQYD</td>
</tr>
<tr>
<td>Rock Cover/Rock Blanket</td>
<td>SQYD</td>
</tr>
<tr>
<td>Vegetation Control Under Guardrails and Signs</td>
<td>SQYD</td>
</tr>
<tr>
<td>Slope Paving</td>
<td>SQYD</td>
</tr>
</tbody>
</table>
### Appendix D – Preparation Guidelines for Project Report (New Highway Planting or Roadside Rehabilitation)

#### Article 4 – Sample Cost Estimate

<table>
<thead>
<tr>
<th>Description</th>
<th>Unit</th>
<th>Type</th>
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</thead>
<tbody>
<tr>
<td>Contrasting Surface Treatment Beyond the Gore Pavement</td>
<td>SQYD</td>
<td></td>
</tr>
<tr>
<td>Pave Narrow Areas</td>
<td>SQYD</td>
<td></td>
</tr>
<tr>
<td>Remove or Replace Signs</td>
<td>LS</td>
<td>Lump Sum</td>
</tr>
<tr>
<td>Remove or Relocate Pull Boxes</td>
<td>LS</td>
<td>Lump Sum</td>
</tr>
</tbody>
</table>

#### Other Items

<table>
<thead>
<tr>
<th>Description</th>
<th>Unit</th>
<th>Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>Supplemental Work</td>
<td>LS</td>
<td>Lump Sum</td>
</tr>
<tr>
<td>Resident Engineer’s Office</td>
<td>LS</td>
<td>Lump Sum</td>
</tr>
<tr>
<td>Storm Water Pollution Prevention</td>
<td>LS</td>
<td>Lump Sum</td>
</tr>
<tr>
<td>Hazardous Materials</td>
<td>LS</td>
<td>Lump Sum</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Description</th>
<th>Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>SUBTOTAL</td>
<td></td>
</tr>
<tr>
<td>15% CONTINGENCY</td>
<td></td>
</tr>
<tr>
<td>GRAND TOTAL</td>
<td></td>
</tr>
<tr>
<td>CALL (Round to nearest $1000)</td>
<td></td>
</tr>
</tbody>
</table>
ATTENTION! There are a number of items in this appendix that need to be updated—especially in the areas of funding/programming, risks, and FHWA coordination. Until this appendix is updated, please see Appendix K for the discussion of topics in the Microsoft Office Word template associated with this appendix and discuss any issues with the Headquarters SHOPP program manager or advisor.

APPENDIX E – Preparation Guidelines for Project Study Report Data Sheet (New Highway Planting and Highway Planting Restoration)

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APPENDIX E – Preparation Guidelines for Project Study Report Data Sheet (New Highway Planting and Highway Planting Restoration)

SECTION 1 – Overview

A project initiation document is required for the programming of all Major candidate projects. A Project Study Report (PSR) Data Sheet satisfies this requirement for both Highway Planting Restoration and New Highway Planting projects.

This Appendix provides instructions for preparing PSR Data Sheets for both Highway Planting Restoration and New Highway Planting projects. STIP Candidate projects for New Highway Planting (20.20.075.600 or 20.20.025.700) should use the PSR Data Sheet “New Highway Planting (PSR Data Sheet-HP)”. Candidate projects in the SHOPP Roadside Rehabilitation, Highway Planting Restoration (20.20.201.210) program should use the PSR Data Sheet “Highway Planting Restoration (PSR Data Sheet-HPR)”. Detailed information regarding Project Identification Documents is provided in Chapter 9, Article 7, and Chapter 29 of this manual.

The instructions below are provided for completing the electronic version of PSR Data Sheet, available from the Landscape Architecture Program (LAP). Filling out the electronic version of this form automatically fills in fields in both the PSR Data Sheet and the Priority Rating Sheet. The electronic version also automatically calculates quantities and converts English to Metric units of measurement. A copy of these forms is provided in this Appendix, for illustration purposes. The form may be submitted to LAP in either electronic or paper format.

Discuss any exceptions to mandatory and advisory design standards. Proposed exceptions must be approved following the procedures in Chapter 21 – Exceptions to Design Standards.

Priority Rating Sheets must be submitted along with the PSR Data Sheet for all New Highway Planting and Highway Planting Restoration Projects to be placed on the candidate project list. Refer to Section 3 of this Appendix for guidance on determining priority ratings as well as filling out the Priority Rating Sheet.
SECTION 2 – Item-by-Item
Preparation Guidelines

Use of Project Study Report Data Sheet

Prepare the PSR Data Sheet-New Highway Planting and the PSR Data Sheet-Highway Planting Restoration using the appropriate electronic form available from your LAP District Coordinator. Each topic heading below provides instructions for the corresponding section in the electronic PSR Data Sheet form. Each of the topics discussed below are to be addressed in the PSR Data Sheet.

Cover Sheet

Cover sheets are required for PSR Data Sheet-New Highway Planting and the PSR Data Sheet-Highway Planting Restoration submittals. The cover sheet provides project identification information and signatures. A sample Cover Sheet is provided in this Appendix. Cover sheets must include the following information:

- Title
  
  Use “Project Study Report Data Sheet (PSR) –New Highway Planting” or “Project Study Report Data Sheet (PSR) Highway Planting Restoration” as appropriate.

- District–County–Route, Post Mile [Dist–Co–Rte, PM]
  
  The Post Mile provided should be accurate to the nearest 0.1 mile. If the project is 0.2 mile or more in length, state both the beginning and ending Post Mile.

- Responsible Unit (RU)
  
  The unit source code of the licensed landscape architect in responsible charge of the technical features of the project.

- Expenditure Authorization (EA)
  
  The multiphase EA, using the “K” phase for the project.

- Program Code
  
  The program code as provided in the programming document or project scheduling plan that indicates the type of work involved. Use program code 40.50.075.600 (regional) or 40.50.025.700 (interregional) for preparation of PSRs (K Phase) for New Highway Planting projects. Use program code 40.50.201.210 for the preparation of PSRs for Highway Planting Restoration projects. Refer to Chapter 4 for further information on program codes.
Appendix E – Preparation Guidelines for Project Study Report Data Sheet
(New Highway Planting and Highway Planting Restoration)
Section 2 – Item-by-Item Preparation Guidelines

- Vicinity Map

A small map that illustrates the project location limits, and description, Post Miles, including a north arrow. Sufficient detail should be provided in the map that a person unfamiliar with the project could locate it at a glance. The map should display site features used to identify the project limits such as roads, streams, junctions or railroads, the nearest town (unless too distant), together with a note that indicates the direction and name the nearest towns in the project vicinity.

- Project Description (Limits)

A brief written description of the project limits consistent with the Post Miles that ties the limits to site features easily identified by available mapping. See the “Plans Preparation Manual”, Chapter 2 for examples of standard project description language.

- Approval Recommended

The recommendation for approval signed by the Project Manager, District Landscape Architect, District Maintenance Engineer, and District Vegetation Management Committee Chairperson indicating concurrence with the project as defined.

- Approved

Approval of the PSR Data Sheet-New Highway Planting and the PSR Data Sheet-Highway Planting Restoration by the District Director (or by a Deputy District Director to whom that authority has been delegated). Approval of the PSR Data Sheet authorizes programming of a candidate project.

Licensed Landscape Architect’s Stamp and Statement

The stamp and signature of the licensed landscape architect in responsible charge is required for the approval of both the PSR Data Sheet-New Highway Planting and the PSR Data Sheet-Highway Planting Restoration. The landscape architect must provide a statement that attests to the technical information and data upon which the recommendations, conclusions, and decisions in the PSR Data Sheet are based. Approval of a PSR Data Sheet is a management decision, separate from this signature of the landscape architect in responsible charge for technical project content. A sample licensed landscape architect’s Stamp and Statement is provided in this Appendix.

Item-By-Item Guideline for PSR Data Sheet

Date

Required for both the PSR Data Sheet-New Highway Planting and the PSR Data Sheet-Highway Planting Restoration. Include the date the project is circulated for review.
Prepared By

Required for both the PSR Data Sheet-New Highway Planting and the PSR Data Sheet-Highway Planting Restoration. Include the name of person preparing document.

Calnet

Required for both the PSR Data Sheet-New Highway Planting and the PSR Data Sheet-Highway Planting Restoration. Include the State phone system number of the person preparing the document.


Required for both the PSR Data Sheet-New Highway Planting and the PSR Data Sheet-Highway Planting Restoration. Include the landscape architect responsible for the PSR.

Priority Index No.

Required for both the PSR Data Sheet-New Highway Planting and the PSR Data Sheet-Highway Planting Restoration. The Total Project Priority Rating Index Number from the Priority Rating Sheet final calculation. This field is filled in automatically by the form.

CTC Project Category No.

Required for both the PSR Data Sheet-New Highway Planting and the PSR Data Sheet-Highway Planting Restoration. Enter the CTC Project Category Number for the candidate project from the CTC Project Category List. See Figure E-2 in this Appendix.

STIP/SHOPP Proj. No. (PPNo)

Required for both the PSR Data Sheet-New Highway Planting and the PSR Data Sheet-Highway Planting Restoration. Indicate if the project is in the STIP or SHOPP. Upon request, District programming units will provide the PPNo.

Program Code

Required for both the PSR Data Sheet-New Highway Planting and the PSR Data Sheet-Highway Planting Restoration. Use the Program Code from the PSR Data Sheet Cover Sheet.

Total Estimated Project Cost

Required for both the PSR Data Sheet-New Highway Planting and the PSR Data Sheet-Highway Planting Restoration. Filled in automatically to match the value entered in the field titled “Call”.

Base Estimate Date

Required for both the PSR Data Sheet-New Highway Planting and the PSR Data Sheet-Highway Planting Restoration. Use January of the current fiscal year.
Appendix E – Preparation Guidelines for Project Study Report Data Sheet
(New Highway Planting and Highway Planting Restoration)
Section 2 – Item-by-Item Preparation Guidelines

<table>
<thead>
<tr>
<th>Project Size in Hectares (ha) (Acres) (ac)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Required for both the PSR Data Sheet-New Highway Planting and the PSR Data Sheet-Highway Planting Restoration. List the number of acres in the project area.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Cost Per Hectare (Acre) to State</th>
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</thead>
<tbody>
<tr>
<td>Required for both the PSR Data Sheet-New Highway Planting and the PSR Data Sheet-Highway Planting Restoration. Calculated automatically by dividing the value listed in “Total Estimated Project Cost” by “Project Size in Acres”.</td>
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</table>

<table>
<thead>
<tr>
<th>Adjusted Cost Per Acre (ac)</th>
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<tr>
<td>Required for both the PSR Data Sheet-New Highway Planting and the PSR Data Sheet-Highway Planting Restoration. Calculated by subtracting the items marked with an asterisk (including a 25% contingency for these items) from “Total Estimated Project Cost” and dividing by “Project Size in Acres”. The value for “Adjusted Cost Per Acre” must be equal to, or less than, the “Maximum Cost per Acre” as established by LAP for the project “Base Estimate Date”.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Acres of Existing Planting</th>
</tr>
</thead>
<tbody>
<tr>
<td>Required for the PSR Data Sheet-New Highway Planting only. Enter the number of acres of existing planting.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Estimated Payback Period</th>
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</thead>
<tbody>
<tr>
<td>Required for the PSR Data Sheet-Highway Planting Restoration only. Restoration is justified when capital costs can be recovered through maintenance savings in 12 years or less. Payback will be calculated by subtracting from “Total Estimated Project Cost” the total sum derived from traveler and worker safety items, water assessment fees, nonpotable water transmission/supply lines, remote irrigation control systems, storm water pollution prevention, resident engineer office, traffic control, and hazardous materials when applicable. Applicable payback items are those that do not relate to hazard reduction, safety, etc. The payback will not be used in calculating the Priority Index No. Preliminary investigation is required for CTC Category 7 and 11 projects to determine if an acceptable (qualifying) payback period can be realized. If the project doesn’t meet the payback criteria the project is not considered a valid project.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Dist., Co., and Rte</th>
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</thead>
<tbody>
<tr>
<td>Required for both the PSR Data Sheet-New Highway Planting and the PSR Data Sheet-Highway Planting Restoration. Indicate the District, county(s) and route(s) in which the project is located. Abbreviate the county or counties as indicated in the “Plans Preparation Manual”, Chapter 2-1, Table 2-1.2.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
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<tbody>
<tr>
<td>Required for both the PSR Data Sheet-New Highway Planting and the PSR Data Sheet-Highway Planting Restoration. The Post Mile should be given to the nearest 0.1 mile; if the project is 0.2 mile or more in length, give both the beginning and ending Post Mile.</td>
</tr>
</tbody>
</table>
PM

Required for both the PSR Data Sheet-New Highway Planting and the PSR Data Sheet-Highway Planting Restoration.

EA

Required for both PSR Data Sheet-New Highway Planting and the PSR Data Sheet-Highway Planting Restoration. The multiphase EA, using the “K” phase for the project.

Proposed FY

Required for both the PSR Data Sheet-New Highway Planting and the PSR Data Sheet-Highway Planting Restoration. Enter the program fiscal year (FY) for SHOPP or STIP funding.

Stage

Required for the PSR Data Sheet-New Highway Planting only. Mark “first stage” with an “X” if there is no existing planting within the project limits. If existing planting is located within the project limits, mark “second stage”. Mark “portions” if planting only a portion of the project.

Plant Establishment Period

Required for the PSR Data Sheet-Highway Planting Restoration only. Enter the number of years proposed for the Plant Establishment Period.

Project Description (Limits)

Required for both the PSR Data Sheet-New Highway Planting and the PSR Data Sheet-Highway Planting Restoration. Use the Project Description from the PSR Data Sheet Cover Sheet.

Deficiencies

Required for both the PSR Data Sheet-New Highway Planting and the PSR Data Sheet-Highway Planting Restoration. State the deficiencies and provide justification for the proposed improvements. Provide sufficient detail to adequately describe the deficiencies.

Proposed Improvement (Scope)

PSR Data Sheet-New Highway Planting Projects

Provide a description of the scope of the proposed improvements. Discuss relevant New Highway Planting issues including vegetation placed for aesthetics, erosion control, mitigation purposes, wildflower planting, and irrigation systems. Provide a complete description of the scope of work with sufficient detail to describe the proposed work and how it relates to the purpose and need.

Describe proposed traveler and worker safety considerations including, but not limited to, the following:
• Removal or replacement of deteriorating trees or other plant material, and removal of plant material that encroaches upon required sight distances.

• Planting of vines or the use of textures on noise barriers and retaining walls to deter graffiti.

• Providing maintenance vehicle pullouts, maintenance access roads, and access gates for workers on foot or in vehicles.

• Placing mulch or installing rock blanket areas.

Describe proposed design for roadside management considerations including, but not limited to, the following:

• Providing paving beneath guardrails and signs.

• Providing paving for narrow areas.

• Paving of slopes beneath bridge structures.

• Providing additional gore paving.

The potential use of nonpotable water must be addressed for each project, including availability, proposed use, staff training, and additional facilities that may be required such as transmission lines, booster pumps, and additional waterline crossovers.

**PSR Data Sheet—Highway Planting Restoration Projects**

Provide a detailed description of the scope of the proposed improvements. Indicate the predominant type of work from one of the following categories: Highway Planting Restoration, Highway Planting Revegetation, Replacement Highway Planting, Required Mitigation Planting, Freeze Damage Replacement Planting, Erosion Control, Upgrade Irrigation, Upgrade Irrigation Remote Irrigation Control System, Upgrade Irrigation-Non-Potable Water, or Upgrade Backflow Preventers. Be specific and describe the work involved.

Provide a description of the scope of the proposed improvements. Discuss relevant Highway Planting issues including vegetation placed for aesthetics, erosion control, mitigation purposes, replacement planting, revegetation, wildflower planting, and irrigation systems. Provide a complete description of the scope of work with sufficient detail to describe the proposed work and how it relates to the purpose and need.

Describe proposed traveler and worker safety considerations including, but not limited to, the following:

• Relocating irrigation controllers, backflow preventers, mainline, remote control valves, laterals, and sprinklers to protected areas or adjacent to the right-of-way fence.
• Removal or replacement of deteriorating trees or other plant material, and removal of plant material that encroaches upon required sight distances.

• Planting of vines or the use of textures on noise barriers and retaining walls to deter graffiti.

• Automation of manual irrigation systems, including controllers, valves and CNC.

• Providing maintenance vehicle pullouts, maintenance access roads, and access gates for workers on foot or in vehicles.

• Placing mulch or installing rock blanket areas.

Describe proposed design for roadside management considerations including, but not limited to, the following:

• Providing paving beneath guardrails and signs.

• Providing paving for narrow areas.

• Paving of slopes beneath bridge structures.

• Providing additional gore paving.

• Updating or removal of aging highway facilities. This work may include:
  o Replacing guardrail with concrete barrier.
  o Removing signs that are redundant.
  o Replacing signs that are nonstandard.
  o Removing or relocating pull boxes located in the shoulder or near the pavement edge.

The potential use of nonpotable water must be addressed for each project, including availability, proposed use, and additional facilities that may be required such as transmission lines, booster pumps, and additional waterline crossovers.

**Project Cost Estimate**

**PSR Data Sheet-New Highway Planting Projects**

For each type of planting proposed, provide the number of acres and cost per acre.

• Highway Planting

  Highway planting that is warranted. Exceptions to the “Maximum Cost per Acre” policy will not be granted by the LAP for this work.
• Linear Planting

A single row of warranted planting in areas of narrow right of way. Exceptions to the “Maximum Cost per Acre” policy may be granted by the LAP for linear planting.

• Legally Required Planting

Planting provided to satisfy written agreements, Memoranda of Understanding, environmental documents, or court orders. Exceptions to the “Maximum Cost per Acre” policy may be granted by the LAP for legally required planting.

PSR Data Sheet-Highway Planting Restoration Projects

If the majority of work is planting, select a planting item. If the majority of work is irrigation, select an irrigation item. Do not combine items for the project cost estimate.

• Replacement of Planting due to Roadway Construction

Replacement of planting and irrigation removed by roadway construction. Exceptions to the “Maximum Cost per Acre” policy may be granted by the LAP for this work. These projects are typically funded and programmed by the parent project.

• Rehabilitation of Planting

The rehabilitation (upgrading) of existing planting. The cost must meet the 12-year payback requirement.

• Mitigation Planting

Replacement Highway Planting projects with or without irrigation. The “Maximum Cost per Acre” limit may be exceeded if required by the environmental document. These projects are typically funded and programmed from the parent project.

• Replacement of Irrigation due to Roadway Construction

Irrigation to replace that removed by roadway construction. These projects are typically funded and programmed by the parent project.

• Renovation of Irrigation

The rehabilitation of existing irrigation systems. The cost must meet the 12-year payback requirement.
• Irrigation For Retrofit

Installing an irrigation system for existing planting that does not have irrigation, including the estimated cost for water meter installation and any serving utility costs or fees. The cost must meet the 12-year payback requirement.

Additional Items:
The additional items listed below are required for both the PSR Data Sheet-New Highway Planting and the PSR Data Sheet-Highway Planting Restoration.

• Water Meter
• Water Cost

Estimate the cost for water used during the life of the contract. Consider the water required to establish new planting.

• Design for Traveler and Worker Safety

Costs to do work associated with safety improvements for maintenance workers and motorists, as listed on Page 3 of the PSR Data Sheet form. These costs are not considered as included in the maximum cost per acre.

• Design for Roadside Management

Costs associated with improvements for roadside management as listed on Page 3 of the PSR Data Sheet form. These costs will not be included in the maximum cost per acre.

• Water Assessment Fee

Enter the total water assessment fee/capacity charge. The water assessment fee is a one time fee water agencies may charge customers for connecting to their water supply. It is typically based upon the acreage to be watered or project size. Calculate the acreage to be watered based upon the total plant basin area for individual basin watering and total project acreage covered by overhead irrigation.

Where the water assessment fee exceeds the maximum water assessment cost per acre, a project of five acres or more will only be considered if others pay for the additional cost. Fees for projects less than five acres in size must be negotiated to receive the lowest rate. These charges will not count against the maximum highway planting cost per acre.

• Nonpotable Water

Nonpotable water is water suitable for irrigation purposes but not for drinking. Nonpotable water includes untreated sources such as streams, rivers, underground water sources, as well as reclaimed sources. Costs for using nonpotable water must not exceed 125% of all costs associated with
using potable water. Costs in excess of the 125% amount are to be justified on the basis of demonstrated cost savings over a 20-year life cycle. These additional costs will not be included in the maximum cost per acre. Use the “Cost Justification for Nonpotable Water Use” worksheet in this Appendix.

- **Other Costs Associated with Potable to Nonpotable Water Conversion**

  Costs for this item include the cost of transmission lines/supply lines such as the upgrade and or relocation of master valves, upgrade of remote control valves, relocation, removal or installation of booster pumps, signing and tagging of irrigation equipment, as calculated from sheet 4 of 4.

- **Remote Irrigation Control System (RICS)**

  Costs for this item that exceed the costs of a standard automatic irrigation system, and that will be excluded from the maximum cost per acre.

- **Resident Engineer’s Field Office**

  Costs for this item will be excluded from the maximum cost per acre.

- **Hazardous Materials**

  The cost required to avoid or mitigate hazardous materials within the project site. For example, the cost to remove or encapsulate soil contaminated by aerially deposited lead found within 15 feet of travel-way.

- **Storm Water Pollution Prevention**

  Enter the value of temporary and permanent storm water pollution prevention practices. Use the sum total of the values provided in the project Storm Water Data Report for “Construction Site Best Management Practices” and “Permanent Erosion Control Best Management Practices”. This cost may be excluded from the maximum cost per acre.

- **Electrical Service**

  Enter the costs for electrical service installation (serving utility costs and fees). This cost should not be excluded from the allowable cost per acre.

- **Other**

  Add any other additional major items to be included in the project cost estimate.

**Subtotal**

Automatically filled in.

**25% Contingency**

Automatically filled in.
Total Estimated Project Cost

Less Local Contribution

Required for both PSR Data Sheet-New Highway Planting and the PSR Data Sheet-Highway Planting Restoration. Enter local contribution only if there is a commitment of funds in the form of a resolution or a Draft Cooperative Agreement. If there is a commitment to funding at a later date, the Priority Rating Sheet can be adjusted to take credit for it at that time.

Total Estimated State Cost

Field automatically calculated.

Call

Round “Total Estimated State Cost” to the nearest $1000.

Cost Breakdown for Estimate

Required for both the PSR Data Sheet-New Highway Planting and the PSR Data Sheet-Highway Planting Restoration. List and itemize the costs of Design for Safety, Design for Roadside Management, and any other costs associated with conversion from potable to nonpotable water.

Project Support

Required for both the PSR Data Sheet-New Highway Planting and the PSR Data Sheet-Highway Planting Restoration. Include estimated Person Year (PY) effort and other support costs of project development and construction from the time the project is initially programmed through the final stages of construction. The proposed schedule should be based upon when the District realistically expects that the project would be programmed, typically in the last two years of the program.

The cost of any specialty contracts or other atypical direct project costs that may be required for the project should also be estimated by the proposed fiscal year. Do not include costs for PY estimates. The Division of Project Management will establish average dollar costs per PY for various functions, including salary, benefits, CADD usage, travel and other direct costs. Once a project is about to be programmed, these rates will be applied to the estimated PY effort by the Division of Project Management to establish the project’s support budget.

Comments

Required for both the PSR Data Sheet-New Highway Planting and the PSR Data Sheet-Highway Planting Restoration. This area is for items requiring further explanation, including:

- Factors not discussed under “Proposed Improvement” such as exceptions, legal requirements;
- Cooperative Agreement features;
- Construction window and timeline requirements;
• Mitigation requirements.

Attachments

Required for both the PSR Data Sheet-New Highway Planting and the PSR Data Sheet-Highway Planting Restoration. All attachments should be legible, clearly labeled, and folded with the binding on the left. The following attachments must be included with the PSR Data Sheet-HP or the PSR Data Sheet-HPR:

• Design Concept

• Design Intent Statement (New Highway Planting or Highway Planting Restoration)

• “Fact Sheet Exception to Separate Contract Policy for Highway Planting” if applicable

• Priority Rating Sheet

• Storm Water Data Report

• “Cost Justification for Nonpotable Water Use” worksheet from Appendix EE, if applicable.
SECTION 3 – Priority Rating Sheets for New Highway Planting and Highway Planting Restoration

Priority Rating Sheets are required to be submitted together with PSR Data Sheets in order for a candidate project to be programmed. Districts are required to maintain a list of prioritized candidate projects, updating this list at every program cycle, adding qualified candidate projects. An electronic version of the form for the Priority Rating Sheet is available from LAP. A hard copy printout of this form is provided in this Appendix as an illustration.

Prepare the Priority Rating Sheet using the electronic form available from LAP. Each topic heading below provides instructions for the corresponding section in the electronic Priority Rating Sheet form. Each of the topics discussed below are to be addressed in the Priority Rating Sheet.

Subsection 1: New Highway Planting Projects

Priority rating sheets are required for candidate New Highway Planting Projects over $117,000. A copy of each completed rating form must be sent to the LAP.

ITEM A. PROJECT DATA:

1. For each functional problem type, enter its percentage of the total project length.

2. Enter the predominant adjacent land use classification.

3. Provide the ADT count (from attached Figure 1), provide the date the ADT was performed, available on the Internet from the Division of Traffic Operations at http://www.dot.ca.gov/hq/traffops/saferesr/traffdata/2002all.html

ITEM B. ADJACENT LAND USE, DISTANCE AND DEGREE OF SCREENING RATING:

Enter percentage of total project length for each adjacent land use type, calculate rating points, enter points for distance, highway elevation and ADT. Predominant land use is measured using one side of the right-of-way (e.g., it is not necessary to have residential development on opposite sides of the right-of-way to measure total length).

ITEM C. UNPLANTED YEARS RATING:

Enter the rating for the number of years the highway has remained unplanted. Calculate from the highway completion date to present date.
ITEM D. FUNCTIONAL PROBLEM REDUCTION RATING:

For each functional planting type, enter its percentage of the total project length.

ITEM E. SUM OF RATING:

Calculate and enter the sum of B9, C1 and D4.

ITEM F. COST EFFECTIVENESS INDEX NUMBER CALCULATION:

The formula for calculating the cost-effectiveness index number is shown under Item F of the rating sheet. It is important to note the P1 and P2 modifiers in the numerator of the formula. These modifiers are to be determined by the District LA according to the guidelines noted below in order to attain consistency statewide.

The P1 modifier is the percentage of the total adjacent land use directly impacted by the candidate project. A percentage other than 100 should be used only when portions of the project limits (section 200 feet or more in length, measured along the centerline) will not be planted for any reason (e.g., linear breaks for bridges or viaducts, areas that were previously planted, or natural features such as rivers, forested land and/or open space where there is no need for planting). This percentage is determined by calculating lengths of all such areas on each side of the freeway and comparing their sum to double the total length of the project. If the total length of such unplanted areas is less than 10%, disregard the difference and use 100%.

The P2 modifier is an estimate of the percentage of needs being satisfied by the proposed project. This applies to the right of way areas where planting will be located. As the majority of project cost estimates are made prior to detailed planning studies, for consistency, the following percentages should be used:

1. Proposed project satisfies all current needs where there is not existing planting.
   100%
2. Proposed project requires additional planting to be installed later
   75%
3. Proposed project completes planting where existing (previous stage) is inadequate.
   50%

To determine P2, select the proposed project type that most closely fits the planting requirements and use the corresponding percentage.

The cost factor is determined by using the adjusted cost per acre to the State divided by 10,000.
**ITEM G. PROJECTS USING NONPOTABLE WATER:**

Add 20 points for a candidate planting project that proposes to use non-potable water.

**ITEM H. TOTAL PROJECT PRIORITY RATING INDEX NUMBER:**

In addition to the cost-effectiveness index calculations, candidate projects that meet various project categories may be eligible for credit that increases priority ratings. Only a single category should be selected. Select the most appropriate category for the project as listed on the CTC Project Category List.

**ITEM I. ADDITIONAL CONSIDERATIONS:**

Use this item to describe participation by others, etc., or to support the project. Also, indicate the dollar value of a contribution for construction, its percentage of the total cost of construction and the value of the contribution for a designated period of maintenance. Projects will be evaluated by the LAP District Coordinator for priority adjustment on an individual basis.

### Subsection 2: Highway Planting Restoration Projects

Priority rating sheets are required for candidate Highway Planting Restoration projects over $117,000. It is not necessary to fill in items A through C for Category 6, 11, 13, 14 and 15 projects, with the exception that Item A must be filled in for Category 13 and 14 projects. A single copy of each completed rating form must be sent to the LAP.

The following types of projects should be prioritized within the Highway Planting Restoration program:

1. **Mandated Projects** – CTC Category 1.
2. **Rehabilitation** – CTC Category 7 (irrigation and/or planting).
   - Non-committed - irrigation upgrade and/or replacement planting of diseased, damaged or deteriorated planting with a payback period of 12 years or less.
3. **Replacement Planting** – CTC Categories 2-3-4-5-8-9-10.
   - Committed - planting installed by others that has been removed by roadway construction projects.
   - Committed - planting installed by the Department that has been removed by roadway construction projects.
4. **Revegetation** – No category unless applicable under CTC Categories 2-3-8-9.
   - Committed - replacement of native vegetation damaged or removed during roadway construction projects.
Appendix E – Preparation Guidelines for Project Study Report Data Sheet
(New Highway Planting and Highway Planting Restoration)

Section 3 – Priority Rating Sheets for New Highway Planting and Highway Planting Restoration

5. Mitigation – No category unless applicable under CTC Categories 2-3-9.
   - Committed – planting and other work necessary to mitigate environmental impacts due to roadway construction projects.

   - Convert irrigation system from potable to nonpotable water.
   - Install transmission supply lines for nonpotable water.

   - Planting required to stabilize slopes or prevent storm water pollution.


11. Projects solely to reduce exposure of highway maintenance workers and to increase motorist safety in existing highway planting areas.

Definitions:

Committed – Work required to be done to comply with permits, agreements, laws, codes, regulations or policies.

Non-committed – Work to rehabilitate existing facilities not required by laws, codes, regulations or policies.

ITEM A. REHABILITATION (Irrigation and/or Planting)

The “Effectiveness Ratio” is the sum of the ratings that considers existing irrigation and planting deficiencies, reduction of hazards and safety improvements; and the age of the existing planting.

The deficiency rating under the “Present Condition” relates the type of deficiency to the project cost. The deficiency is the existing irrigation or planting that will be improved by this project.

The “Hazard Reduction & Safety” section gives additional points for eliminating items that are perceived as hazards. Use this section only when actual hazards will be eliminated. For example, consider only those valves, sprinklers, nozzle lines and quick coupling valves that will be removed or relocated from the clear recovery zone. Do not include the above items that are located within an interchange. Risk of human concealment, water on the traveled way, obscured sight distance and fire hazard should also be included in the “Vegetation hazardous to traffic and adjacent property” section. Rehabilitation or replacement work that will eliminate or greatly reduce the number of lane closures for routine landscape maintenance should be
included in “Work to eliminate lane closures” section. Also include applicable traveler and worker safety items.

Under the “Years Since Previous Planting”, multiply the number of years since the planting or irrigation to be rehabilitated or replaced was installed times the relative variable factor of 0.05.

**ITEM B. COST EFFECTIVENESS RATIO**

The “Cost Effectiveness Ratio” is the sum of the ratings for Present Condition, Hazard Reduction and Safety Improvements, and Age of Previous Planting, times a multiplier of 1,000, times the ADT (Average Daily Traffic) rating score, divided by the project cost per acre. The ADT rating score is obtained from Figure 1. Average daily traffic volumes can be obtained from the most current “Current Year Traffic Volumes on the California State Highway System” publication produced by Traffic Operations.

**ITEM C. CREDIT FOR NONPOTABLE WATER**

This is credit given for projects that meet the policy for using nonpotable water as stated in Section 2.

**ITEM D. PROJECT CATEGORY POINTS**

The project category points are selected from the CTC Project Category List and recorded in the space provided. This number will be added to give the TOTAL PROJECT PRIORITY INDEX NUMBER.

**ITEM E. TOTAL PROJECT PRIORITY INDEX NUMBER**

This is the sum of the ratings in items B, C, and D. For projects in categories 6, 11, 13, and 14, insert only the points selected from D, “Project Category.” This will result in projects in these categories appearing in groups for easy identification.
### FIGURE E-2: CTC Project Category List

<table>
<thead>
<tr>
<th>Category Number</th>
<th>Description</th>
<th>MAXIMUM POINTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Planting Projects contained in the 1980 STIP, and as such, are mandated per Streets and Highway Code, Section 188.8.</td>
<td>10 10</td>
</tr>
<tr>
<td>2</td>
<td>Planting projects called for in written agreements or memoranda of understanding between State and another government agency.</td>
<td>10 10</td>
</tr>
<tr>
<td>3</td>
<td>Mitigation planting projects required in environmental documents, or in the case of the Century Freeway, by court order to be included in the highway construction project or immediately thereafter. Mitigation projects that are not time specific are included in Category 9</td>
<td>10 10</td>
</tr>
<tr>
<td>4</td>
<td>Planting projects using Interstate Completion funds, other than those included in Categories #2 and #3 above. These funds are only for use on remaining Interstate Completion projects -- projects would become ineligible for interstate completion funding at a later date.</td>
<td>10 10</td>
</tr>
<tr>
<td>5</td>
<td>Replacement planting projects needed to retain “landscaped freeway” status -- replacing planting removed by freeway construction. Pursuant to California Outdoor Advertising Act, lack of landscaping within 2-1/2 years of construction causes loss of “landscaped freeway” status, allowing new billboards that are presently precluded per local communities intent.</td>
<td>9 N/A</td>
</tr>
<tr>
<td>6</td>
<td>Upgrading existing backflow preventers to protect public water supplies from contamination by highway irrigation systems.</td>
<td>11 N/A</td>
</tr>
<tr>
<td>7</td>
<td>Rehabilitation projects to modify existing planting and irrigation systems for efficiency and safety -- drought-tolerant, low-maintenance planting. Estimated payback period is 12 years; savings would be in state cash. Life cycle of improvements estimated at 20 years.</td>
<td>9 N/A</td>
</tr>
<tr>
<td>8</td>
<td>Standard Highway Planting projects that are for aesthetic and/or functional purposes, and revegetation projects, not contained in other categories.</td>
<td>5 5</td>
</tr>
<tr>
<td>9</td>
<td>Mitigation planting projects required per environmental documents, not necessarily immediately following construction, and replacement planting not included in above categories.</td>
<td>9 9</td>
</tr>
<tr>
<td>10</td>
<td>Projects where financial participation by others is involved.</td>
<td>12 12</td>
</tr>
<tr>
<td>11</td>
<td>Projects to convert irrigation systems from potable water to nonpotable water.</td>
<td>15 N/A</td>
</tr>
<tr>
<td>12</td>
<td>Planting projects to control erosion.</td>
<td>10 N/A</td>
</tr>
<tr>
<td>13</td>
<td>Remote Irrigation Control System (RICS).</td>
<td>13 13</td>
</tr>
<tr>
<td>14</td>
<td>Freeze Damaged Replacement Projects.</td>
<td>14 14</td>
</tr>
<tr>
<td>15</td>
<td>Projects solely to reduce exposure of highway maintenance workers and increase motorist safety in existing highway planting areas. Projects in this category should only be on non-urban freeways (AADT less than 175,000 vehicles) and not have any other highway planting restoration work included as part of the project. No payback calculations required. These projects are coded 20.20.201.230.</td>
<td>20 N/A</td>
</tr>
</tbody>
</table>

**NOTE**: Items 1 through 10 of this list were initiated through Resolution by the California Transportation Commission (CTC) in October 9, 1985 to assist in establishing project funding priorities. Today this list is primarily used by Caltrans Districts for placing values on projects in order to prioritize them for programming.
FIGURE 3 Average Daily Traffic (ADT)

ADT RATING SCORE = LOG(ADT/100)/3.39794

ADT Rating Score

0.1 0.2 0.3 0.4 0.5 0.6 0.7 0.8 0.9 1.0
SECTION 4 – Guidance for Cost Justification for Nonpotable Water Use Form

General

All cells, except those meant to accept entries, are shaded and protected.

All calculations are performed automatically and rounded.

Read Worksheet Instructions below before filling in this form.

Project Description

Fill in all appropriate information as required.

For “Description” start entry in cell “C-46” and do not extend beyond cell “J-46”. If second line is required skip down to cell “C-47” to finish description.

Summary

The only entry made in this section is for the item: “B. Estimated Project Cost Using Nonpotable Water”. Then skip down to worksheet.

Worksheet Instructions

Row 1 - Enter the total estimated project cost for potable water. This value is automatically inserted as item “A” in the Summary. Include all planting and potable water irrigation items.

Row 2 - Enter estimated acres in cell “I-63”.

Row 3 - Enter the estimated acft/ac value in cell “I-64”.

Row 4 - Value will be calculated automatically.

Row 5 - Enter the $/acft potable water value in cell “I-66”.

Row 6 - Value will be calculated automatically.

Row 7 - Enter $/acft nonpotable water value in cell “I-68”.

Rows 8 - Value will be calculated automatically.

Rows 9 & 11 – Value will be calculated automatically using a 3.5% annual inflation rate. This will yield a water cost in the 20th year that is 1.99 times first year cost.

Row 13 - Life cycle savings will be calculated automatically based on a 20-year projection.
Row 14 - Enter the potable irrigation system cost in cell “G-77”. Use current cost/ac allowance, available from your LAP Coordinator or the LAP website at: http://www.dot.ca.gov/hq/LandArch/policy-manuals-guidance.htm

Row 15 - Enter the value of the existing irrigation system in cell “G-79”. Estimate should include that portion of irrigation system to remain operational. (If existing irrigation is to remain operational in its entirety, use current cost/ac allowance x 0.6 x project ac.)

Rows 16 & 17 - Values will be calculated automatically.

Row 18 - Value is calculated automatically and inserted as item “C” in the Summary.
**FIGURE E-4: Cost Justification for Nonpotable Water Use – English Units**

**Project Description**

<table>
<thead>
<tr>
<th>Dist:</th>
<th>Co:</th>
<th>Date:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rte(s):</td>
<td>PM:</td>
<td>EA:</td>
</tr>
</tbody>
</table>

Description:

---

**Summary**

<p>| | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>A.</td>
<td>Estimated Project Cost Using Potable Water (Row 1)</td>
<td>$0</td>
</tr>
<tr>
<td>B.</td>
<td>Estimated Project Cost Using Nonpotable Water</td>
<td>$0</td>
</tr>
<tr>
<td>C.</td>
<td>Maximum Allowable Project Cost Using Nonpotable Water (Row 18)</td>
<td>$0</td>
</tr>
</tbody>
</table>

- If “B” is less than or equal to “C” then nonpotable water costs are justified.

**Worksheet – NEW HIGHWAY PLANTING AND HIGHWAY PLANTING RESTORATION PROJECTS**

<p>| | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Estimated Project Cost Using Potable Water (include 25% contingencies)</td>
<td>$0</td>
</tr>
<tr>
<td>2</td>
<td>Project Size</td>
<td>__ac</td>
</tr>
<tr>
<td>3</td>
<td>Annual Irrigation Rate</td>
<td>__acft/ac</td>
</tr>
<tr>
<td>4</td>
<td>Annual Water Usage (Row 2 x Row 3)</td>
<td>__acft</td>
</tr>
<tr>
<td>5</td>
<td>Cost of Potable Water per acft</td>
<td>$__/acft</td>
</tr>
<tr>
<td>6</td>
<td>Cost of Potable Water per Year (Row 4 x Row 5)</td>
<td>$__/yr</td>
</tr>
<tr>
<td>7</td>
<td>Cost of Nonpotable Water per acft</td>
<td>$__/acft</td>
</tr>
<tr>
<td>8</td>
<td>Cost of Nonpotable Water per Year (Row 4 x Row 7)</td>
<td>$__/yr</td>
</tr>
<tr>
<td>9</td>
<td>20th Year Potable Water Costs (Row 6 x 1.99)</td>
<td>$0</td>
</tr>
<tr>
<td>10</td>
<td>Average Annual Potable Water Cost Over 20 Years ((Row 6 + Row 9) / 2)</td>
<td>$0</td>
</tr>
<tr>
<td>11</td>
<td>20th Year Nonpotable Water Costs (Row 8 x 1.99)</td>
<td>$0</td>
</tr>
<tr>
<td>12</td>
<td>Average Annual Nonpotable Water Cost Over 20 Years ((Row 8 + Row 11) / 2)</td>
<td>$0</td>
</tr>
<tr>
<td>13</td>
<td>Life Cycle Savings ((Row 10 - Row 12) x 20)</td>
<td>$0</td>
</tr>
<tr>
<td>14</td>
<td>Estimated Cost of Potable Irrigation System (include 20% cont.)</td>
<td>$0</td>
</tr>
<tr>
<td>(all irrigation items including water meters, assessment fees, etc.)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>15</td>
<td>Estimated Value of Existing Irrigation System (Highway Planting Restoration Projects Only)</td>
<td>$0</td>
</tr>
<tr>
<td>16</td>
<td>Total Cost/Value of Potable Irrigation System (Row 14 + Row 15)</td>
<td>$0</td>
</tr>
<tr>
<td>17</td>
<td>Additional 25% Permissible for Using Nonpotable Water (Row 16 x 25%)</td>
<td>$0</td>
</tr>
<tr>
<td>18</td>
<td>Maximum Allowable Project Cost Using Nonpotable Water (Row 1 + Row 13 + Row 17)</td>
<td>$0</td>
</tr>
</tbody>
</table>
FIGURE E-4: Cost Justification for Nonpotable Water Use – Metric Units

Project Description

<table>
<thead>
<tr>
<th>Dist:</th>
<th>Co:</th>
<th>Date:</th>
<th>Rte(s):</th>
<th>KM:</th>
<th>EA:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Description:

- If “B” is less than or equal to “C” then nonpotable water costs are justified.

Worksheet – NEW HIGHWAY PLANTING AND HIGHWAY PLANTING RESTORATION PROJECTS

<p>| | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Estimated Project Cost Using Potable Water (include 25% contingencies)</td>
<td>$0</td>
</tr>
<tr>
<td>2</td>
<td>Project Size (ha) (ac x 0.40469)</td>
<td>___ha</td>
</tr>
<tr>
<td>3</td>
<td>Annual Irrigation Rate (acft/ac x 3,047.99)</td>
<td>___cm/ha</td>
</tr>
<tr>
<td>4</td>
<td>Annual Water Usage (Row 2 x Row 3)</td>
<td>___cm</td>
</tr>
<tr>
<td>5</td>
<td>Cost of Potable Water per cubic meter ($/acft/1,233.49)</td>
<td>$__/cm/ha</td>
</tr>
<tr>
<td>6</td>
<td>Cost of Potable Water per Year (Row 4 x Row 5)</td>
<td>$__/yr</td>
</tr>
<tr>
<td>7</td>
<td>Cost of Nonpotable Water ($/acft/1,233.49)</td>
<td>$__/acft</td>
</tr>
<tr>
<td>8</td>
<td>Cost of Nonpotable Water per Year (Row 4 x Row 7)</td>
<td>$__/yr</td>
</tr>
<tr>
<td>9</td>
<td>20th Year Potable Water Costs (Row 6 x 1.99)</td>
<td>$0</td>
</tr>
<tr>
<td>10</td>
<td>Average Annual Potable Water Cost Over 20 Years ((Row 6 + Row 9) / 2)</td>
<td>$0</td>
</tr>
<tr>
<td>11</td>
<td>20th Year Nonpotable Water Costs (Row 8 x 1.99)</td>
<td>$0</td>
</tr>
<tr>
<td>12</td>
<td>Average Annual Nonpotable Water Cost Over 20 Years ((Row 8 + Row 11) / 2)</td>
<td>$0</td>
</tr>
<tr>
<td>13</td>
<td>Life Cycle Savings ((Row 10 - Row 12) x 20)</td>
<td>$0</td>
</tr>
<tr>
<td>14</td>
<td>Estimated Cost of Potable Irrigation System (include 20% cont.) (all irrigation items including water meters, assessment fees, etc.)</td>
<td>$0</td>
</tr>
<tr>
<td>15</td>
<td>Estimated Value of Existing Irrigation System (Highway Planting Restoration Projects Only)</td>
<td>$0</td>
</tr>
<tr>
<td>16</td>
<td>Total Cost/Value of Potable Irrigation System (Row 14 + Row 15)</td>
<td>$0</td>
</tr>
<tr>
<td>17</td>
<td>Additional 25% Permissible for Using Nonpotable Water (Row 16 x 25%)</td>
<td>$0</td>
</tr>
<tr>
<td>18</td>
<td>Maximum Allowable Project Cost Using Nonpotable Water (Row 1 + Row 13 + Row 17)</td>
<td>$0</td>
</tr>
</tbody>
</table>
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APPENDIX G – Preparation Guidelines for Project Scope Summary Report (Roadway Rehabilitation)

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APPENDIX G – Preparation Guidelines for Project Scope Summary Report (Roadway Rehabilitation)

ARTICLE 1  Overview

Use of Project Scope Summary Report (Roadway Rehabilitation)

These guidelines provide information to be used with the policies and procedures described in Chapters 9, 10, 11, and 12 of the Project Development Procedures Manual, *Highway Design Manual* (HDM), and design information bulletin *DIB 79-03*. Roadway rehabilitation projects are funded from the 20.20.201.120 Roadway Rehabilitation Program (120 Program). The Project Scope Summary Report (PSSR) outline for a 120 Program project satisfies the requirements for both the project initiation document (PID) and the Project Report (PR) for projects in the 120 Program. The majority of 120 Program projects have a well-defined scope and follow a process that combines the project initiation and project approval phase. The project development team (PDT) should review project factors and determine whether the PSSR will signify completion of the project initiation phase or if a combined project initiation and approval process is appropriate. Article 5, *Chapter 9* of this manual describes subsequent approval procedures related to the project development milestone reached with the signing of the PSSR.

The following guidance is tailored to projects with a primary project scope of roadway rehabilitation. The PSSR (Roadway Rehabilitation) template shown in Article 3 of this appendix should be modified to include or exclude any applicable deficiencies or issues. See *Appendix L* – Preparation Guidelines for Project Study Report and *Appendix K* – Preparation Guidelines for Project Report for fundamental guidance and tools on the preparation of PID and project approval documents.

For a detailed sequence of the actions to complete a PSSR see the *Project Development Workflow Tasks* (PDWT).
Appendices
Project Development Initiation and Approval Reports

**PSSR Preparation**

**Scoping Team**

A scoping team is staffed at the discretion of the district to scope pavement rehabilitation projects. Scoping provides a forum to identify and make decisions on significant issues.

**Project Scoping**

A scoping team field review is required for all resurfacing, restoration, and rehabilitation (RRR) projects. See Article 5, Chapter 9 of this manual for a discussion this requirement.

RRR work is designed to preserve and extend the roadway service life for at least ten years as well as upgrade safety where reasonable. RRR differs from new construction or reconstruction in that the scope does not include capacity improvements, major realignments or major upgrading of roadway features or standards. The designer must always emphasize implementation of cost-effective safety improvements where practical. DIB 79-03 provides the guidelines and criteria to identify appropriate safety upgrades on RRR projects.

The roadway deficiencies may be so severe that the overall highway improvements must be substantial in order to facilitate the necessary improvements. A point may be reached, however, where even with substantial deficiencies, the economic and environmental constraints preclude making the improvements. These cases will require justification and approval in the PSSR and in the design exception fact sheets.

Current deflection study requirements can be found Index 635.1 of the HDM. Accordingly, the HDM deflection studies are an important component for the development of a rehabilitation strategy and should be done no more that 18 months prior to the start of construction. Because PSSRs must often be developed more than 18 months prior to the start of construction and resources are not always available to complete two deflection studies, the guide *Alternative Procedures to Estimating Flexible Pavement Rehabilitation Requirements for Project Scoping* has been developed to provide a preliminary flexible pavement depth for scoping purposes.

The use of the Design Scoping Index found in Appendix L can assist the project team in properly scoping a project. The Design Scoping Index can be used to identify facility deficiencies and the concerns of stakeholders. The Design Scoping Index ties
together the Planning Scoping Checklist, the Design Checklist, the Traffic Scoping Checklist, the Preliminary Environmental Analysis Report (PEAR), the Division of Engineering Services (DES) Scoping Checklist, and the Right of way Data Sheet. The Project Development Team (PDT) should evaluate which deficiencies can be addressed given the purpose and need, program definition, and funding constraints.

Field-Reviews & Documentation

All projects shall be field reviewed as discussed in Section 2 of Appendix L and the PDWT Manual.

District Planning, Environmental and Right of Way Involvement

The scope of the roadway improvements proposed for a rehabilitation project is often influenced by potential impacts on the surrounding land and development. This is especially true for non-freeway rehabilitation projects. Social, environmental, and economic impacts may influence the scope of a rehabilitation project. This is particularly true where existing right of way is narrow and adjacent development is extensive. The district Transportation Planning Branch should be involved to provide background about city, county, and regional actions that have taken place within the project corridor that may have a bearing on the scope of the project. Some projects may require extensive involvement of the district right of way branch and environmental unit. The functional units should become involved as early as possible in the project development process to determine the appropriate level of involvement. Developing a plan for their involvement should help to avoid potential delays in project delivery and minimize potential changes in project scope that may result in project cost increases.

Safety Considerations

A safety analysis is performed early for all rehabilitation projects. These projects preserve and extend the service life of existing highways and also enhance safety. Therefore, rehabilitation projects may include such items as placement of additional surface material and/or other work necessary to return an existing roadway, including shoulders, bridges, roadside, and appurtenances to a condition of structural and functional adequacy. Rehabilitation projects may also include reworking or strengthening of base materials and upgrading of geometric features and appurtenances for safety purposes. See Chapter 8 of the PDPM and the HDM Section 110.8 for specific information regarding safety reviews.
Project revisions that occur as a result of safety reviews and recommendations may require additional environmental studies or right of way requirements. Notify the appropriate district unit of the revisions and determine the follow-up actions required.

**Traffic Data**

Traffic data is needed in the design of all highway projects, including rehabilitation projects. The data is used to determine the appropriate level of improvement and to evaluate the various roadway elements. For rehabilitation, the need for a formal forecast of future traffic is needed to establish the extent of loading the pavement during its pavement design life. This is quantified as Equivalent Single Axle Loads (ESALS) and pavement design life and Traffic Index (TI). Rehabilitation projects should normally be designed on the basis of current Average Daily Traffic (ADT) and current peak period Design Hourly Volume (DHV) to extend the structural section service life for at least 10 to 20 years. See *HDM Topic 613* for further information.

**Reliable Project Scope and Cost Estimates**

To minimize future cost increases, a thorough scoping of projects and reliable project cost estimates are needed. Reliable project cost estimates are extremely important at every stage in the project development process. Inaccurate estimates result in problems in Caltrans’ programming and budgeting. The final concept, scope, and cost of each project must be established as early as possible. Initial estimates made for rehabilitation projects should be based on the results of field-reviews and include all anticipated work (e.g., safety, restoration, hardware modification, etc.).

**PSSR Approval**

The District Director (or Deputy District Director per Caltrans Delegation of Authority) is responsible for approval of the PSSR (Roadway Rehabilitation).

**PSSR Distribution**

A copy of the draft PSSR shall be sent to the appropriate Headquarters SHOPP program advisor. The Headquarters SHOPP program manager organizational chart can be found at the following location:

[http://10.56.3.8/pirs/TenYrShopp/HQ_SHOPP_Org_Chart.xls](http://10.56.3.8/pirs/TenYrShopp/HQ_SHOPP_Org_Chart.xls)
Two copies of the approved report shall be sent to:

Division of Design
Office of Project Development Procedures
Attention: Design Report Routing
Mail Station #28

One copy of the approved report shall be sent to:

Appropriate Headquarters SHOFP program advisor.

Five copies of the approved report shall be sent to:

HQ Division of Engineering Services
Program/Project & Resource Management
MS 9-5/11g

**ARTICLE 2   Guidelines for Completing PSSR (Roadway Rehabilitation) Template**

**General**

The standard PSR outline found in Appendix L was adapted to meet the documentation needs of roadway rehabilitation projects. Sections of the standard PSR were combined and fill-in-the-blank features were included to facilitate the presentation of project information. The following template is a guideline. The actual report should be similar in organization and may contain similar headings and subheadings, but will vary based on features, complexity, and issues. A template for the PSSR is found in Article 3 of this appendix. The space for filling in various sections of the template has been condensed for practical viewing of the template. As appropriate, each section can be expanded to accommodate necessary information. The template should be modified to include or exclude any pertinent project information. “Not applicable” should be placed in the blanks for topics that do not apply to a specific roadway rehabilitation project.

**Cover Sheet**

All PSSRs should have a standard cover sheet to provide project identification information and signatures. Information to be provided includes the following:
Appendices
Project Development Initiation and Approval Reports

- **Title**

  Indicate “Project Scope Summary Report (Roadway Rehabilitation)”

- **File Reference**

  **District-County-Route-Post Mile (Dist-Co-Rte-PM)**

  The post mile should be given to the nearest 0.1 mile; if the project is 0.2 mile or more in length, give both the beginning and ending post mile.

  **Responsible Unit (RU)**

  The unit source code of the registered civil engineer in charge of the technical features of the project.

  **Expenditure Authorization (EA)**

  The multiphase EA, using the “0” phase for the project.

  **Month Year**

  Provide the preparation month and year of the report.

- **Clearly state the reason for the PID on the title sheet. Where the PSSR is a PID and project report, include the following statements:**

  - “Request Programming in the 200X SHOPP”
  - “Provide Project Approval”

  Project approval requires that an approved environmental determination/document be attached to the report.

  Where the PSSR does not document project approval, delete the phrase “And Provide Project Approval” from the cover sheet.

- **On Route _____ From _____ To _____**

  Provide a brief description of the project limits that corresponds to the post mile given above and ties the limits to commonly known physical features on the ground that can be identified on available mapping.

- **Right of way Endorsement**

  The statement shown in the template must be used and signed by the District Division Chief for Right of Way. The signature indicates that the right of way
information in the PSSR and the right of way data sheet are complete, current, and accurate.

- **Recommended Approval**

  A recommendation for approval must be signed by the project manager as an indication that all appropriate studies have been included and as an indication that the proposal is in accord with Caltrans policies.

- **Approval**

  The PSSR is approved once the report is signed and dated by the District Director (or Deputy District Director per Caltrans Delegation of Authority). The date of signing becomes the official project approval date.

**Vicinity Map Sheet (Separate Sheet)**

- **Vicinity Map**

  Refer to the discussion on Strip Map under the discussion of Attachments.

- **On Route _____ From _____ To _____**

  Provides brief description of the project limits that corresponds to the post miles given above and ties the limits to commonly known physical features on the ground that can be identified on available mapping.

**Registered Civil Engineer’s Stamp and Statement (Separate Sheet)**

The second page of the PSSR (Roadway Rehabilitation) contains the required stamp or seal and signature of a registered civil engineer who is the person in responsible charge. The sheet must include a statement indicating that the registered civil engineer attests to the technical information contained herein and the data upon which recommendations, conclusions, and decisions are based. Approval of the PSSR is a management decision and is separate from this technical signature of the person in responsible charge.

**Table of Contents (Separate Sheet)**

1. **INTRODUCTION AND BACKGROUND**

   Provide a one or two sentence description of the project. Fill in the table.
2. RECOMMENDATION

See Article 2, Appendix K for a discussion of this section of the report.

3. PURPOSE AND NEED

The following website has further guidance on the development of purpose and need statements. http://www.dot.ca.gov/hq/env/emo/purpose_need.htm

Purpose:

Need:

An example of a purpose statement for a rehabilitation project is: “The purpose of this project is to extend/provide X years of additional service life with minimal maintenance expenditures.”

4. EXISTING FACILITY, DEFICIENCIES AND TRAFFIC DATA

4A. ROADWAY GEOMETRIC INFORMATION

Provide the information requested in the table. If lane widths are not uniform, note the width of each lane.

For a bicycle lane not within the shoulder (e.g., left of a right turn only lane), use “Other Bicycle Lane” column. If the roadway is a bicycle route, but does not have designated bicycle lanes, answer, “yes” in the “Bike Route” column.

Identify and provide the dimensions of transportation facilities that are not described in columns 2, 3, 4, 5, or 6. For example, if there is a pedestrian walkway adjacent to the roadway, identify the type of facility and the width of the facility. Edit the legend for the table as appropriate.

See Article 1, Project Scoping, of this Appendix G for a detailed discussion of project scoping.

In the “Remarks” area, if RRR Standards are not being met, explain why, and provide exception approval date.
Appendix G – Preparation Guidelines for Project Scope Summary Report (Roadway Rehabilitation)

Article 2 – Guidelines for Completing PSSR (Roadway Rehabilitation) Template

4B. CONDITION OF EXISTING FACILITY

Provide the latest information available for each homogeneous segment. Information about the traveled way is obtained from the most recent Pavement Management System (PMS) - Pavement Condition Survey Data.

Describe the nonstandard design features for pedestrian features in the pedestrian facilities data table. See DIB 82-04 for accessibility requirements. Edit the heading to show the appropriate location reference point.

If the facility is adjacent to the roadbed and is provided for the exclusive use of bicycles and pedestrians, complete the table for bicycle path data. See HDM Chapter 1000 for bikeway condition guidance. Edit the heading to show the appropriate location reference point.

4C. STRUCTURES INFORMATION

Provide the information requested.

See HDM Index 307.3 and DIB 79-03 for details on bridge (lane and shoulder) width criteria.

As appropriate, discuss evaluation of the bridge rail type with respect to pedestrian and bicycle use in the remarks sections.

In the remarks section, if RRR Standards are not being met, briefly explain why, and provide exception approval date.

4D. TRAFFIC DATA

Traffic Volumes and Characteristics

Vehicle, bicycle, and pedestrian traffic data is needed for all rehabilitation projects to determine if the facility is at or approaching capacity, or if other improvements are needed. It is an important consideration both in the determination of the appropriate level of improvement (i.e., reconstruction vs. rehabilitation) and in the selection of values for various geometric elements. Discuss the current traffic data with respect to traffic demand in the construction year and how these factors affected the decisions regarding the timing of a major improvement such as additional lanes. Summarize information provided by the district transportation planning on bicycle and pedestrian traffic. The pavement design life is chosen per the requirement in HDM 612.4.
Provide the information requested.

**Safety Improvements**

All rehabilitation projects are to include a safety analysis (see Chapter 9, Article 5). The analysis is to be documented in a separate report. The report is not to be attached to the PSSR.

In addition, a safety review is required in order to properly scope cost-effective improvements for safety and operational purposes. The PDT should evaluate the recommendations of the District Safety Review Committee to ensure that customer and stakeholder needs can be addressed and the Department’s safety goal is upheld. See Chapter 8, Section 7 of the PDPM and Topic 110.8 of the Highway Design Manual (HDM) for further discussion of the safety review.

Special emphasis should be placed on implementing cost-effective solutions for safety improvements. When safety or operational improvements become a major factor in project scope, cost or impacts, the project becomes “reconstruction” (the fourth R). Reconstruction design criteria are covered by new constructions standards show in the HDM.

**Accident Data**

Evaluation of vehicle, bicycle, and pedestrian accident data often reveals situations that require attention. In addition, relative accident rates can be an important factor in establishing the scope of a rehabilitation project. A review of accident records is an integral part of the rehabilitation project development process. The individual accident records shall be not included in the PSSR. The analysis of the accident data shall be summarized as part of the project safety analysis. A summary of the recommendations shall be included in the PSSR.

**4E. MATERIALS**

Provide a summary of the information provided in the district materials report. See HDM Topic 114 for guidance on Materials Reports.

**5. CORRIDOR AND SYSTEM COORDINATION**

It is important to provide a broad view of what is happening in the corridor. Information from district planning can be obtained by requesting a Planning Scoping Checklist. This section should discuss:
• Pavement preservation strategies within the corridor.
• The long-term transportation plan for the corridor and how the strategy relates to the rehabilitation strategy. For example, identification of segments of roadway that may be relinquished can have an important impact of project decisions.
• Discussion of other planned projects in the corridor. Project management branches can provide information about other ongoing or anticipated projects in the vicinity of this project. District planning branches can provide information about ongoing local projects in the area.
• Should also discuss long-term maintenance or pavement strategy if available.

6. ALTERNATIVES

Discuss the roadway rehabilitation strategies. Identify the recommended alternative, and if appropriate, clearly identify the preferred alternative. Based on project complexities, the writer has discretion on how individual alternatives are presented. Issues for each alternative may be itemized under that alternatives or summarized for several alternatives. Discuss any exceptions to mandatory and advisory design standards. Proposed exceptions must be approved following the procedures in Chapter 21 – Exceptions to Design Standards.

Other Considerations:

Summarize all major issues, reviews, and coordination efforts within Caltrans and with other interested agencies. The template has a list of common issues. Address each item as appropriate or put “not applicable.” The template should be altered to include project specific issues. The report should include a summary of the risk management plan. Based on the complexities of the project, the risk management plan can be integrated into appropriate high-risk topic(s) or compiled into a separate summary.

7. TRANSPORTATION MANAGEMENT

7A. TRANSPORTATION MANAGEMENT PLANS

Transportation Management Plans (TMPs) will be required if significant construction delays are anticipated. TMPs develop construction traffic handling practices such as lane closures, detours, mass transit service enhancements, and work-hour restrictions to minimize delays. As appropriate, address how bicycle and pedestrian traffic will be accommodated during construction. Costs associated with TMPs should be included in the cost estimate.
7B. VEHICLE DETECTION SYSTEMS

If appropriate, discuss the recommendations of the district traffic unit as it applies to maintaining the operation of the existing vehicle detection system. The vehicle detection is critical to traffic management and traveler information applications. Costs associated with staging or installation of any temporary detection system should be included in the cost estimate.

8. ENVIRONMENTAL DETERMINATION/DOCUMENT

If the proposed project is categorically exempt and/or categorically excluded (CE/CE), the PSSR should so indicate and document the approval date. Before approving a PSSR containing a CE/CE statement, the individual having authority to approve the project will have in hand the CE/CE determination form signed by the environmental unit chief and the functional unit division chief. The individual approving the project will then review the project to be certain that there have been no changes that affect the exemption determination and check that the project descriptions on the CE/CE determination form and in the PSSR correspond to each other. If there is any question, the environmental unit chief must be consulted. The CE/CE determination form, when required, must be attached to the PSSR.

9. FUNDING/SCHEDULING

9A. COST ESTIMATE

This template covers major items for pavement rehabilitation projects. The table should be expanded to add cost items that are not listed on the template, but are specific to the project.

Rehabilitation projects may include such items as placement of additional surface material and/or other work necessary to return an existing roadway, including shoulders, pedestrian walkways, bridges, roadside, and appurtenances to a condition of structural and functional adequacy. Rehabilitation projects may also include reworking or strengthening of base materials; upgrading of geometric features and appurtenances for safety purposes; and enhancement of the safety and mobility features for bicyclists and pedestrians. Include a cost breakdown for each of the major elements of the project by providing the information requested.
Districts should, in coordination with the DES, base their cost estimates on experience with similar projects and available historical data. See Chapter 20 and Appendix AA for further details on estimating project costs.

9B. PROJECT SUPPORT

Include estimated PY effort and other support costs of project development and construction from the time the project is initially programmed through the final stages of construction. The proposed schedule should be based upon an evaluation of the worst case and the optimal scenario. This information is not required for Minor projects.

The cost of any specialty contracts or other atypical direct project costs that may be required for the project should also be estimated by the proposed fiscal year.

9C. PROJECT SCHEDULE

Provide the project milestone dates in the table in the template.

10. FHWA COORDINATION

Discuss coordination with Federal Highway Administration (FHWA).

If either federal action or the use of federal funds is anticipated, include the following language:

This Report has been reviewed by (Name and title of the FHWA Liaison Engineer) reviewing on (date). Per (latest Federal Transportation Act), this project is eligible for federal-aid funding and is considered to be STATE-AUTHORIZED under current FHWA-Caltrans Stewardship Agreements.

If either no federal-aid funding will be used or no FHWA approval required, delete the above statement and replace with the statement: “No federal-aid funding anticipated or no FHWA action required for this project.”

11. REVIEWS

The template includes a list of suggested reviews. Each district should modify the template to reflect reviews established by district procedures.

Include reviewer’s signature and review completion date, or N/A if not applicable. Indicate type of federal involvement.
12. ATTACHMENTS

See Appendix L for further information regarding what should be attached to a PID and what type of documents are more appropriate for project files.

Include the items listed on the boilerplate.

- Strip map (may be eliminated if the Vicinity Map contains the information discussed below)
  A small map showing the project limits consistent with the brief description, post miles, and a north arrow. The map should be sufficient to locate the project at a glance for a person unfamiliar with the project. It should show the features used to identify the project limits such as roads, streams, junctions or railroads, and the nearest community that can be reasonably shown on the map, and a note indicating the direction to and name of the next community in each direction. It is necessary to understand the proposed work, as such pertinent project features are shown on the strip map. The vicinity map is not to be cluttered with project features.

- A GIS map of the project vicinity and counties containing the project limits
  Color-coding via a color key or legend for the map should indicate:
  a) The total number of distressed lane miles in the district from the last pavement condition survey (including the date);
  b) The location of distressed lane miles which the project will retire; and
  c) The number of distressed lane miles that are being retired in the current SHOPP (or midcycle SHOPP) document for the District.

  The statistic for item b should be presented beside the largest colorized portion of the project. The key or legend for the color-coding should be superimposed in the corner of the map so as to not obscure the project limits, north arrow, or other markers.

- SHOPP Output Table
  Contact the Headquarters Roadway Preservation SHOPP Manager for the SHOPP Project Output form and guidance on how to complete the form.

- Typical Section(s)
- PMS Inventory Data
- Material Report
- Environmental Determination/Document
  If PSSR is for project approval, the environmental determination/document must be attached
ARTICLE 3 Template for Project Scope Summary Report (Roadway Rehabilitation)

This article is a template for the project scope summary report. When using the template, delete any italicized text within the body of the document. The italicized text provides instructions for template users and does not provide any value to the final document.

The template is available at:

http://www.dot.ca.gov/hq/oppd/pdpm/templates/apdx-g-template.docx
ATTENTION! There are a number of items in this appendix that need to be updated—especially in the areas of funding/programming, risks, and FHWA coordination. Until this appendix is updated, please see Appendix K for the discussion of topics in the Microsoft Office Word template associated with this appendix and discuss any issues with the Headquarters SHOPP program manager or advisor.

APPENDIX H – Preparation Guidelines for Capital Preventive Maintenance Project Report

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APPENDIX H – Capital Preventive Maintenance Project Report

ARTICLE 1  Overview

Reference Information

Some of the references found in this appendix have hyperlinks that connect to Caltrans intranet pages which are not displayable to the general public. Until such time that the specific reference becomes available on the internet, the user will have to contact their district liaison, Caltrans project manager, or the appropriate Headquarters division to inquire about the availability of the reference.

Use of Capital Preventive Maintenance Project Report

These guidelines provide information to be used with the policies and procedures described in Chapters 9, 10 and 12 of the Project Development Procedures Manual, Highway Design Manual (HDM) and Design Information Bulletin 81-01 – Capital Preventive Maintenance Guidelines. Capital Preventive Maintenance (CAPM) projects are funded from the 20.XX.201.121, Pavement Rehabilitation Program (121 Program).

The Capital Preventive Maintenance Project Report (CAPM-PR) outline for a 121 Program project satisfies the requirements for both the project initiation document (PID) and the Project Report (PR) for projects in the 121 Program. 121 Program projects have a well-defined scope and follow a process that combines the project initiation and project approval phase.

Because the CAPM-PR is the primary project reference document by both Headquarters and the districts; the need for accurate and complete project information is essential.

The following guidance is tailored to projects with a scope that is consistent with the criteria described in Design Information Bulletin 81-01 – Capital Preventive Maintenance Guidelines. The CAPM-PR template shown in Article 3 of this appendix should be modified to include or exclude any applicable deficiencies or

For a detailed sequence of the actions to complete a CAPM-PR see the Project Development Workflow Tasks Manual.

**CAPM-PR Preparation**

**Project Scoping**

The primary purpose of the CAPM program is to repair pavement exhibiting minor surface distress or triggered ride. Repair strategies selected should be readily constructible in order to minimize traffic disruption and should provide relief from intensive maintenance activity. The intent of the CAPM program is to extend the service life of pavement with minor distress by a minimum of five-years.

A scoping team field review is required for all CAPM projects and provides a forum to identify and make decisions on significant issues. The composition of the scoping team should be consistent with the guidance in Design Information Bulletin 81-01 – Capital Preventive Maintenance Guidelines. See Article 5, Chapter 9 of this manual and Design Information Bulletin 81-01 – Capital Preventive Maintenance Guidelines for a discussion of the timing and requirements of scoping team field review.

The use of the Design Scoping Index found in Appendix L can assist the project team in properly scoping a project. The Design Scoping Index can be used to identify facility deficiencies and the concerns of stakeholders. The Design Scoping Index should be modified to address only CAPM program issues.

**Field-Reviews & Documentation**

All projects shall have informal project team field-reviews as necessary as discussed in Section 2 of Appendix L and the Project Development Workflow Tasks Manual. The purpose of these field reviews is to gather information to develop a quality project. By contrast, the purpose of the scoping team field review discussed above is to establish consensus on the project scope.

**Deflection Studies**

Deflection studies are neither required nor resourced for CAPM projects.
**Enhancements**

The district traffic operations unit will perform a Traffic Operational Review for all CAPM projects. A Traffic Operational Review is an evaluation of specific easily implemented enhancements that should be included in CAPM projects as discussed in the Design Information Bulletin 81-01 – Capital Preventive Maintenance Guidelines.

Recommended enhancements will be incorporated into the project if including the enhancement does not change the target construction season. The PDT guides the project development on this issue. The enhancements must not significantly increase the project cost.

When recommended enhancements are not incorporated into the project, document the decision to exclude recommended enhancements. Include the explanation and documentation of the district’s traffic operation unit concurrence in the project files.

**District Planning, Environmental and Right of Way Involvement**

Functional units should become involved as early as possible in the project development process to determine the appropriate level of involvement. Developing a plan for their involvement should help to avoid potential delays in project delivery and minimize potential changes in project scope that may result in project cost increases.

**CAPM-PR Approval**

The District Director (or Deputy District Director per Caltrans Delegation of Authority) is responsible for approval of the CAPM-PR.

**CAPM-PR Distribution**

One copy of the draft and final CAPM-PR and shall be sent to:

Chief, Office of Roadway Rehabilitation  
Division of Maintenance  
Mail Station #31

The draft CAPM-PR should be sent soon after the scoping team field review and reflect the decisions made on that review.

The final CAPM-PR shall be distributed to the following Headquarter units:
Two copies of the report shall be sent to:
Division of Design  
Office of Project Development Procedures  
Attention: Design Report Routing  
Mail Station #28

Five copies of the report shall be sent to:
HQ Division of Engineering Services  
Program/Project & Resource Management  
MS 9-5/11g

ARTICLE 2 Guidelines for Completing Capital Preventive Maintenance Project Report Template

General

The standard PSR outline found in Appendix L was adapted to meet the documentation needs of CAPM projects. Sections of the standard PSR were combined and fill-in-the-blank features were included to facilitate the presentation of project information. The following template is a guideline. The actual report should be similar in organization and may contain similar headings and subheadings, but may vary based on features, complexity, and issues. A template for the CAPM-PR is found in Article 3 of this appendix. The space for filling in various sections of the template has been condensed for practical viewing of the template. As appropriate, each section can be expanded to accommodate necessary information. The template should be modified to include or exclude any pertinent project information. “Not applicable” should be placed in the blanks for topics that do not apply to a specific CAPM project.

Cover Sheet

All CAPM-PRs should have a standard cover sheet to provide project identification information and signatures. Information to be provided includes the following:

- **Title**
  
  Indicate “Capital Preventive Maintenance Project Report”

- **File Reference**
  
  District-County-Route-Post Mile (Dist-Co-Rte-PM)
Appendix H – Preparation Guidelines for Capital Preventive Maintenance Project Report

Article 2 – Guidelines for Completing Capital Preventive Maintenance Project Report Template

The post mile should be given to the nearest 0.1 mile.

Responsible Unit (RU)

The unit source code of the registered civil engineer in charge of the technical features of the project.

Expenditure Authorization (EA)

Use the “K” phase for development of the CAPM-PR.

Month Year

Provide the preparation month and year of the report.

• Clearly state the reason for the CAPM-PR on the title sheet.
  ➢ “Request Programming in the 20XX SHOPP”
  ➢ “Provide Project Approval”

• On Route _____ From _____ To _____

Provide a brief description of the project limits that corresponds to the post mile given above and ties the limits to commonly known physical features on the ground that can be identified on available mapping.

• Right of Way Endorsement

The statement shown in the template must be used and signed by the District Division Chief for Right of Way. The signature indicates that the right of way information in the CAPM-PR and the right of way data sheet are complete, current, and accurate.

• Recommended Approval

A recommendation for approval must be signed by the project manager as an indication that all appropriate studies have been included and as an indication that the proposal is in accord with Caltrans policies.

• Approval

The CAPM-PR is approved once the report is signed and dated by the District Director (or Deputy District Director per Caltrans Delegation of Authority). The date of signing becomes the official project approval date.
Project approval requires that the approved categorically exempt and/or categorically excluded (CE/CE) be attached to the report.

**Vicinity Map Sheet (Separate Sheet)**

- Vicinity Map

  Refer to the discussion on Strip Map under the discussion of Attachments.

- On Route _____ From _____ To _____

  Provides brief description of the project limits that corresponds to the post miles given above and ties the limits to commonly known physical features on the ground that can be identified on available mapping.

**Registered Civil Engineer’s Stamp and Statement (Separate Sheet)**

The second page of the CAPM-PR contains the required stamp or seal and signature of a registered civil engineer who is the person in responsible charge. The sheet must include a statement indicating that the registered civil engineer attests to the technical information contained herein and the data upon which recommendations, conclusions, and decisions are based. Approval of the CAPM-PR is a management decision and is separate from this technical signature of the person in responsible charge.

**Table of Contents (Separate Sheet)**

1. **INTRODUCTION AND BACKGROUND**

   Provide a one or two sentence description of the project. Fill in the table.

2. **RECOMMENDATION**

3. **PURPOSE AND NEED**

   **Purpose:**

   The project purpose is the objective(s) that will be met to address the project need. An example of a CAPM purpose statement is: “The purpose of this project is to improve the ride and extend the life of the existing pavement.”
Need:

The project need is an identified underlying transportation deficiency or problem that needs correction. An example of a CAPM need statement is: “The pavement within the project limits is exhibiting minor distress and unacceptable ride quality, which if left uncorrected, will deteriorate to a major roadway rehabilitation need.”

4. EXISTING FACILITY, DEFICIENCIES AND TRAFFIC DATA

4A. ROADWAY GEOMETRIC INFORMATION

Provide the information requested in the table. If lane widths are not uniform, note the width of each lane.

Bike paths that are separated from the roadway should be evaluated to determine if their surface is in need of treatment. Also, such facilities may be useful in addressing bicyclist and pedestrian needs during construction.

Provide information regarding discussion with the Headquarters Project Delivery Coordinator about project design features. In the rare occurrence that design exceptions are required, include discussion here. See Chapter 21 and Appendix BB for information on design exceptions.

4B. CONDITION OF EXISTING FACILITY

Provide the latest information available for each homogeneous segment. Information about the traveled way is obtained from the most recent Pavement Management System (PMS) - Pavement Condition Survey Data.

4C. STRUCTURES INFORMATION

The intent is to evaluate vertical clearance at underpasses, separations and overcrossings where an overlay may reduce the existing vertical clearance. Provide the requested information as necessary.

4D. TRAFFIC DATA

Traffic Volumes and Characteristics

Provide the information requested.
Safety Reviews

A safety review is required for all major projects as well as any project with a Traffic Control Plan. The PDT must evaluate the recommendations of the District Safety Review Committee to ensure the Department’s safety goal is upheld. See Chapter 8, Section 7 of the PDPM and HDM Index 110.8 – Safety Reviews for further discussion of the safety review.

5. CORRIDOR AND SYSTEM COORDINATION

It is important to provide a broad view of what is happening in the corridor so that the proposed project will be compatible with other projects in the area as well as long term corridor planning. Information from district planning can be obtained by requesting a Planning Scoping Checklist in Appendix L. This section should discuss:

- Pavement preservation strategies within the corridor.
- Discussion of other planned projects in the corridor. Project management branches can provide information about other ongoing or anticipated projects in the vicinity of this project. District planning branches can provide information about ongoing local projects in the area.

6. ALTERNATIVES

Discuss the proposed CAPM strategies. Clearly identify the recommended alternative. Based on project complexities, the writer has discretion on how individual alternatives are presented. Provide the flexible pavement overlay thickness. The proposed overlay thickness should be consistent with Design Information Bulletin 81-01 – Capital Preventive Maintenance Guidelines.

Discuss a comparison of different pavement products or strategies.

Under “Enhancements”, summarize the discussion of the Traffic Operation Review Report on proposed enhancements. If a recommended enhancement is excluded from the project, state the reason for the exclusion. Enhancements shall be consistent with guidance in Design Information Bulletin 81-01 – Capital Preventive Maintenance Guidelines.

Use the remaining subsections to summarize all major issues, reviews, and coordination efforts within Caltrans and with other interested agencies. The template has a list of common issues. Address each item as appropriate or put “not applicable.” The template should be altered to include project specific issues.
7. TRANSPORTATION MANAGEMENT

7A. TRANSPORTATION MANAGEMENT PLANS

A Transportation Management Plan (TMP) will be required if significant construction delays are anticipated. TMPs develop construction traffic handling practices such as lane closures, detours, mass transit service enhancements, and work-hour restrictions to minimize delays. TMPs also discuss how bicycle and pedestrian traffic will be accommodated through the job site. Summarize the key elements of the TMP. Costs associated with TMPs should be included in the cost estimate.

7B. VEHICLE DETECTION SYSTEMS

If appropriate, discuss the recommendations of the district traffic unit as they apply to maintaining the operation of the existing vehicle detection system. The vehicle detection system is critical to traffic management and traveler information applications. Costs associated with staging or installation of any temporary detection system should be included in the cost estimate.

8. FUNDING/SCHEDULING

8A. COST ESTIMATE

Include a cost breakdown for each of the major elements of the project by providing the information requested. CAPM projects may include such items as placement of additional surface material, grinding pavement surfaces and/or other work necessary to preserve the existing pavement structural section.

To minimize future cost increases, a thorough scope and a reliable cost estimate needs to be prepared. Unreliable cost estimates result in severe problems in Caltrans’ programming and budgeting, and in local and regional planning. Realistic evaluations as to the final concept, scope, and cost of each project are to be established as early as possible and should be based on the best information available. All anticipated work (i.e., digouts, grinding, crack sealing, asphalt overlay, shoulder backing, etc.) should be included. The project cost estimate should be prepared using the methodology presented in the outline.

Districts should base their cost estimates on experience with similar projects and available historical data. See Chapter 20 and Appendix AA for further details on estimating project costs.
Unless the particulars of a specific case justify use of a different factor, a 20 percent contingency factor should be used.

8B. PROJECT SUPPORT

Include estimated PY effort and other support costs of project development and construction from the time the project is initially programmed through the final stages of construction. The proposed schedule should be based upon an evaluation of the worst case and the optimal scenario. This information is not required for Minor projects.

The cost of any specialty contracts or other atypical direct project costs that may be required for the project should also be estimated by the proposed fiscal year.

8C. PROJECT SCHEDULE

Provide the project milestone dates in the table in the template.

9. SCOPING TEAM FIELD REVIEW ATTENDANCE ROSTER

10. REVIEWS

The template includes a list of suggested reviews. Each district should modify the template to reflect reviews established by district procedures.

Include reviewer’s signature and review completion date, or N/A if not applicable. Indicate type of federal involvement.

11. ATTACHMENTS

Include the items listed on the boilerplate.

- Strip map (may be eliminated if the Vicinity Map contains the information discussed below).
  
  A small map showing the project limits consistent with the brief description, post miles, and a north arrow. The map should be sufficient to locate the project at a glance for a person unfamiliar with the project. It should show the features used to identify the project limits such as roads, streams, junctions or railroads, and the nearest community that can be reasonably shown on the map, and a note indicating the direction to and name of the next community in each direction. It is necessary to understand the proposed work, as such
pertinent project features are shown on the strip map. The vicinity map is not to be cluttered with project features.

- A GIS map of the project vicinity and counties containing the project limits. Color-coding via a color key or legend for the map should indicate:
  a) The total number of distressed lane miles in the district from the last pavement condition survey (including the date);
  b) The location of distressed lane miles which the project will retire; and
  c) The number of distressed lane miles that are being retired in the current SHOPP (or midcycle SHOPP) document for the District.

The statistic for item b should be presented beside the largest colorized portion of the project. The key or legend for the color-coding should be superimposed in the corner of the map so as to not obscure the project limits, north arrow, or other markers.

- SHOPP Output Table
  Contact the Headquarters CAPM SHOPP Manager for the SHOPP Project Output form and guidance on how to complete the form.

- Typical Section(s)
- PMS Inventory Data
- Environmental Determination/Document
- Right of Way Data Sheet
- Scoping Team Field-Review Attendance Roster
- Note: Add additional attachments as necessary

ARTICLE 3   Template for Capital Preventive Maintenance Project Report (CAPM-PR)

This article is a template for the capital preventive maintenance project report. When using the template, delete any italicized text within the body of the document. The italicized text provides instructions for template users and does not provide any value to the final document.

The template is available at:

http://www.dot.ca.gov/hq/oppd/pdpm/templates/apdx-h-template.docx
ATTENTION! There are a number of items in this appendix that need to be updated—especially in the areas of funding/programming, risks, and FHWA coordination. Until this appendix is updated, please see Appendix K for the discussion of topics in the Microsoft Office Word template associated with this appendix and discuss any issues with the Headquarters SHOPP program manager or advisor.

APPENDIX I – Preparation Guidelines for Permit Engineering Evaluation Report

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APPENDIX I – Preparation Guidelines for Permit Engineering Evaluation Report

ARTICLE 1 – Overview

The Encroachment Permit Application Review Form

Refer to Chapter 9, Article 8, for the Encroachment Permit process. The Encroachment Permit Application Review form is used by the district permits unit for transmitting encroachment permit proposals that cost up to $1,000,000 within state right of way to other Caltrans units for review. The reviewing units must fully detail their comments about the proposal and their number of review hours. The responsible unit as determined by the District Permits Engineer is designated on this form. The responsible unit must determine whether a Permit Engineering Evaluation Report (PEER) is required for encroachment permit projects, and if so, attach it or indicate the estimated completion date. If the unit determines that there will be no adverse impact on highway operations, maintenance, and tort liability, it will indicate so in the appropriate box shown on the Encroachment Permit Application Review form with the signature by at least a senior level person. The unit will then do its usual permit review, fill out the rest of the form, and return it to the District Permit Engineer. If there will be impacts, a PEER is required and the unit will be responsible for the preparation and review and securing the approval of the PEER. If the project does not meet the eligibility requirements for processing via a Combined PSR/PR (see Chapter 9, Article 9), it is not be eligible for processing as a PEER.

The PEER process is intended to streamline the processing of projects-funded-by-others by reducing the steps in the project development process. This is not intended to relieve the project sponsor from meeting all other Department policies, standards and practices. Caltrans may increase the level of documentation and processing for those projects that are deemed complex.

The Permit Engineering Evaluation Report

A Project Report (PR) or a PEER is required for every action that has a permanent traffic impact and for work that affects the operating capability of a state highway facility. These reports, and their preparation, are the responsibility of either Project Development or Traffic Operations. However, the District Permit Unit must verify that responsible and reviewing units have considered the need for the appropriate report and have correctly completed the Encroachment Permit Application Review form.
Projects-funded-by-others if Cost is Over $1,000,000

The District Permit Engineer determines the magnitude of the work. An encroachment or public transit project that costs more than $1,000,000 and is located within state right of way is considered a project-funded-by-others and will require PEER if it costs less than $3 million, a Combined PSR/PR if it qualifies, or a PSR and a PR if it does not. The Combined PSR/PR process is described in Chapter 9, Article 9, and in Appendix A.

Projects Not Requiring a PEER

Projects not requiring a PEER usually are for commercial filming, miscellaneous activities, special events, surveys, and utilities.

Purpose of a PEER

A PEER is prepared to document the engineering analysis of proposed work. The analysis includes review of the proposed improvements to determine drainage, maintenance, operation, and environmental impact on the state highway system. Proposed improvements must conform to Caltrans’ current design standards and practices or be justified by an approved design exception. Additional information may be requested from the applicant if it is needed to perform the reviews. A permit may be denied based upon conclusions of the reviews.

Report Format

The PEER should be prepared and submitted using the form shown in the following pages (form number TR-0112). The following article provides guidelines for specific items on the form.

ARTICLE 2 – Guidelines for Completing the PEER Form

Hours for Preparing

For Permit Projects: Give the total hours used in investigating and preparing the PEER by all parties. PEER preparation is considered part of the permit review process. The time needed to evaluate and finalize the PEER will depend on the scope and complexity of the work. When it can be done within the review deadline, the PEER should be attached to the review form and returned to the Permit Engineer. When more time is needed, the review form should be returned immediately to the Permit Engineer, notifying of the estimated date of PEER completion and whether nor not additional information is needed.

For projects-funded-by-others: These projects require a workplan for the Independent Quality Assurance efforts. Project sponsors are required to prepare the PEER and the hours required to prepare the PEER are not required.
Appendix I – Preparation Guidelines for Permit Engineering Evaluation Report

Article 2 – Guidelines for Completing the PEER Form

Guidelines written by Caltrans DLP; Form Administered by Caltrans Division of Traffic Operations

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**Permit Number**

Permit number assigned to permit application by District Permit Office (if appropriate)

**Date**

Date of completion of the PEER

**District / County / Route/ Post Mile [Dist-Co-Rte-PM]**

The Post Mile should be given to the nearest 0.1 mile; if the project is 0.2 mile or more in length, give both the beginning and ending Post Mile.

**EA Used**

The Expenditure Authorization (EA) used to charge costs for the permit review process as spelled out in Chapter 2 of the *Encroachment Permits Manual* or the project EA for projects-funded-by-others.

**Applicant**

Name of individual, agency or organization submitting permit proposal.

1. **Describe Proposal, What It Serves, Approximate Cost**

   Provide a brief narrative containing statements that are concise but include the information needed to describe the proposed work.

2. **Describe Existing Highway - Brief Analysis of Impact on Highway Operation and Maintenance**

   Evaluate the impacts of the proposal upon the State highway.

3. **Analysis of Proposal for Geometric and Functional Adequacy**

   Summarize the findings of the determination of the geometric and functional adequacy of the proposal. All statements should be concise and contain the information needed to justify (or reject) the proposed work.

3a. **Non-Standard Design Features**

   Check “Yes” or “No” indicating whether nonstandard design features are involved and if they are, provide the rationale for approval of an exception. If yes, give name of approval authority and date of approval. If FHWA approval of the Fact Sheet is needed, obtain this on a separate sheet and attach it.
4. Revision in Access Control or Transfer of R/W to Permittee Involved

Check Yes or No.

4a. If Yes, Date of District Director Approval

If the proposal involves a reduction in access control or the transfer of Caltrans right of way to the permittee, a request must first be made to the District Director (DD) for authorization to decertify and dispose of the property rights involved. See Chapter 26 “Disposal of Rights of Way” for processing instructions. Indicate the date the DD approved the revision.

4b. If Interstate, Date of FHWA Approval

If FHWA concurrence is needed for a change in access on the Interstate system, give the date of approval.

5. Signalization Involved

Check YES or NO. If the answer is “yes”, answer the next four questions by checking YES, NO or NOT APPLICABLE.

If the answer to any of the four questions is “no”, provide an explanation and any comments on an attached sheet.

Proposal Recommended

Check either “Yes, as submitted”, “Yes, with conditions described above”, or “No, as described above”. List conditions in Item 3. Indicate reasons for “No, as described above” in Item 3.

Prepared by Title

- Name of individual who prepared this report and who should be contacted regarding the proposal.
- Title of individual preparing the PEER.
- For projects-funded-by-others enter the name and title of the individual responsible for reviewing the PEER.

Registered Engineer Stamp

The PEER must be prepared by a California registered civil engineer. The stamp or seal and signature and date must be placed on the report, in the space provided for the engineer in responsible charge of the evaluation.
Appendix I – Preparation Guidelines for Permit Engineering Evaluation Report
Article 2 – Guidelines for Completing the PEER Form

Guidelines written by Caltrans DLP; Form Administered by Caltrans Division of Traffic Operations

Unit

The unit source code of the registered engineer in responsible charge of the evaluation of the proposal.

<table>
<thead>
<tr>
<th>Approved by</th>
<th>Title</th>
<th>Date Approved</th>
</tr>
</thead>
</table>

- Signature of the District Director or the Deputy District Director to whom approval authority has been delegated.

- Title of individual approving the PEER.

- Date approved.
APPENDIX K – Preparation Guidelines for Project Report

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APPENDIX K – Preparation Guidelines for Project Report

ARTICLE 1 Overview

Important Distinctions

The project report (PR) recommends approval of a project. The draft project report (DPR) must be prepared for projects with an environmental document (ED). The DPR approves the release of the draft environmental document (DED) to the public. Throughout this manual, this distinction is maintained.

Projects with Environmental Documents

If the project requires an environmental document, a DPR must be prepared prior to the PR (see Chapter 11 – Public Hearing); unless there is already a satisfactory approved environmental document by Caltrans or others. The draft environmental document must be attached to the DPR.

Following public circulation of a draft environmental document, consideration of public comments, and the selection of a preferred alternative, the DPR is revised accordingly and becomes the PR. The final environmental document (FED) must be attached to the PR.

Projects without Environmental Documents

Only a PR is required for projects that are statutorily exempt or categorically exempt/categorically excluded (CE/CE). A signed categorical exemption/categorical exclusion determination form is a mandatory attachment to the PR for these projects. See the Standard Environmental Reference (SER) for details.

Projects Initiated with a Project Study Report-Project Development Support

When a project study report-project development support (PSR-PDS) is used to initiate the project, a PR is used to program the remaining capital outlay support and the capital outlay project right-of-way and construction estimates.
The purpose of the PSR-PDS is to gain approval for the project studies to move into the Project Approval and Environmental Document (PA&ED) phase with minimal time and effort—utilizing existing data and studies. The PSR-PDS is used to estimate and program the capital outlay support budget necessary to complete the studies and work needed during PA&ED only. The level of engineering detail and effort for developing a PSR-PDS is reduced as compared to a project study report (PSR). Since the required information for a PSR-PDS is reduced, much of the engineering detail, analyses and possible additional studies, fact sheet for exceptions to design standards, and other approvals may need to be completed during the PA&ED phase.

**Additional Studies**

Depending upon the level of detail included in a PSR-PDS, several studies may have to be initiated and completed during the PA&ED phase that would typically be performed in the Project Initiation Document (PID) phase if the initiation document was a PSR.

**Exceptions to Design Standards**

Fact sheets for nonstandard design features are not required for a PSR-PDS as typically there is not enough information available to prepare the fact sheet. They should be prepared during the PA&ED phase.

**Approvals**

Some project approvals may need to be obtained during the PA&ED phase that would normally have been performed during the PID phase, as the PSR-PDS may not include enough detail to make a decision. For example, if the project proposes new or revised Interstate access points, the process to request Federal Highway Administration (FHWA) approval is deferred to the PA&ED phase. When a PSR-PDS is the PID, the DPR or a supplemental PSR serves as the report to request FHWA “Engineering and Operational Acceptability Determination” for new or revised Interstate access. See [Chapter 27 – New Public Road Connections](#) for more information.

**Recommendation**

Both DPRs and PRs should contain a recommendation to document what is being approved. A PR should recommend approval of the project. A DPR, when required, should recommend proceeding to a public hearing; if there is no federal involvement,
it should recommend circulation of the draft environmental document. For further
details, see Article 2, outline item 2, “Recommendation.”

ARTICLE 2  Outline

General

The purpose of this outline is to identify the key elements to document in a DPR and
PR. All headings presented in the template shall be included in the report. Topics
listed under outline item 7, “Other Considerations as Appropriate” may not apply to
some projects, so these should only be discussed if appropriate.

Subject matter that is thoroughly discussed in a draft environmental document or final
environmental document should not be repeated in its entirety in a draft project report
or project report. Instead, the environmental information should be summarized and
then cross referenced to the appropriate part of the environmental document.

Outline

Cover Sheet

The cover sheet provides the project identifiers, in the header, such as the district,
county, route, and post mile range, as well as the expenditure authorization (EA),
project number, planning program number (PPNO), program code, and month and
year of report approval.

The beginning and ending post miles should be rounded to the nearest 0.1 mile that
encompasses all of the proposed construction. The project location should be listed
as a spot location to the nearest 0.1 mile if the project is less than 0.2 mile in length.
If alternatives in a draft project report have varying limits, use the post miles
encompassing all alternatives. The project report limits should use the limits of the
preferred alternative.

The project number is the 10 digit number used for reporting labor charges.

Enter the program code(s). If the capital support and capital projects are funded from
the same program, place “XX” in the capital support/capital projects shared use
location, such as 20.XX.201.010.

Modify the type of report to “Draft Project Report” as needed. Modify the purpose of
report as needed. Typical entries for the purpose include:
Appendices
Project Development Initiation and Approval Reports

- For Project Approval
- To Request Programming in the 20XX STIP and For Project Approval
- To Authorize Public Release of the Draft Environmental Document

See the *Plans Preparation Manual*, Section 2-2.2 for guidance in developing the project description.

The cover sheet must include a statement signed by the district division chief right-of-way indicating review of the right-of-way information contained in the project report or draft project report and the right-of-way data sheet attached to it.

The cover sheet must include endorsement of the project manager.

The District Director or Deputy District Director to whom that authority has been officially delegated approves the recommendations of the project report or draft project report. The draft project report is used to authorize proceeding to a public hearing and must include this recommendation. The signature date on the project report becomes the official date of State project approval and approval of initiation of plans, specifications and estimates. Edit the signature block as appropriate.

**Vicinity Map**

The vicinity map is a district, county, or city map showing all State highways and major local roads when pertinent. It should be placed on a separate page and should include the study limits, major topographic limits listed in the report, and a north arrow.

**Registered Professional Stamp**

The registered professional stamp or seal and number with signature shall be placed on a separate sheet, which shall be part of the report. Also included on this sheet shall be a statement indicating that the registered professional is attesting to the technical information contained therein and the engineering data upon which recommendations, conclusions, and decisions are based. This seal does not constitute approval of the report. Approval of the report is a management decision and is separate from this technical signature of the person in responsible charge.

**Table of Contents**

On a separate sheet, place a table of contents that includes all the elements of the report.
Main Body of Report

1. INTRODUCTION

Describe the proposed project and fill out the table with the project limits, number of alternatives, current capital outlay support estimate, current capital outlay construction estimate, current capital outlay right-of-way estimate, funding source, funding year, type of facility, number of structures, State Highway Operation and Protection Program (SHOPP) project output (if appropriate), environmental determination or document, legal description, and project development category.

For a Draft Project Report

Describe the viable alternatives.

For a Project Report

Describe the preferred alternative if appropriate.

2. RECOMMENDATION

Give a recommendation for approval. If cooperative features are described, recommend that the cooperative features be approved and a cooperative agreement be negotiated.

For a Draft Project Report

If this is a DPR with an attached draft environmental document, recommend approval to publicly circulate the draft environmental document and to schedule a public hearing—or recommend that an opportunity for a hearing be offered if appropriate, based on the viable alternatives developed.

For a Project Report

If this is a PR, recommend that the project be approved using the preferred alternative (if applicable), and that the project proceed to the next phase.

For projects with a final environmental document, a statement must accompany the recommendation that attests that (1) the affected local agencies have been consulted with respect to the recommended plan, that (2) their views have been considered, and (3) that the local agencies are in general accord with the plan as presented. Requests for project approval without this assurance shall not be made except under
extenuating circumstances, in which case the request shall contain the reasons for not having local agency concurrence.

If necessary, make recommendations for programming changes to cost amounts, fiscal year scheduling, or stage construction.

3. BACKGROUND

Project History

Discuss the history of the project to-date. Discuss how it got to where it is in the project development process.

Answer these questions: Was the project previously approved and is it now being rescoped? How much project development effort has already been expended? Has any right-of-way been acquired? Have any issues been identified? As appropriate, give approval dates of the PSR, etc. How does the current proposal differ, if any, from the approved PSR?

Community Interaction

Summarize community interaction and contacts (what was expressed and Caltrans’ response). Were meetings held with legislators or local politicians, etc.? Were any commitments made? Have any issues developed? Is there support or opposition? Has there been contact with any special interest groups, including contacts with minorities, elderly, physically challenged, non-drivers (transit-dependent), pedestrians, bicyclists, and the economically disadvantaged? Discuss their needs and what can be done to accommodate these needs.

Existing Facility

Describe the existing facility within the proposed project limits, as well as contiguous with each end of the proposal. Note right-of-way widths, access control, capacity adequacy, geometrics, structural section condition, drainage, and any other appropriate information. The level of detail to be given should relate to the proposed alternative project features and existing deficiencies and substandard features and should not give a lot of detail unless it is needed to explain the proposed alternatives.
4. PURPOSE AND NEED

4A. PROBLEM, DEFICIENCIES, JUSTIFICATION

Provide a concise discussion on the purpose and need of the project proposal and alternatives, supplemented by attached maps, charts, tables, letters, etc. Project “need” should be stated in a factual and professional manner. Adjectives that promote an unsubstantiated opinion such as “dangerous”, “hazardous”, or phrases such as “this curve caused six accidents” should not be used.

Answer these questions: What is the problem? Does the discussion set the stage to conclude that the project is needed? Be as specific as possible: How much congestion? How many fatalities? How much flooding? How much maintenance effort is needed?

The data from the PSR or other project initiation document should now be updated to reflect new environmental and additional engineering studies. The discussion should make a convincing case that a solution to a problem is needed and that the purpose of the proposed project is to provide a solution that best solves the transportation problem.

4B. REGIONAL AND SYSTEM PLANNING

Identify Systems

Identify the federal and State systems the proposed project is on, including the Interstate System, the National Highway System, the Freeway & Expressway System, the Scenic Highway System, the Interregional Road System, and Extralegal Load Network (ELLN). Identify any master plan relating to the proposal.

State Planning

Discuss how the alternatives relate to the State planning documents. Discuss the route concept and concept facility as proposed in the route concept report. Describe its placement in the transportation system development plan and the district system management plan. Discuss any other pertinent State plan, such as the California Recreational Trails Plan or the State Implementation Plan (SIP) for air quality.
Regional Planning

Discuss how the project alternatives are treated in regional planning documents. Are the proposals consistent with the regional transportation plan (RTP)? If not, what steps are being taken to assure consistency? Where required, state that the regional transportation plan was derived from a congestion management plan that included the project (specify which alternatives or indicate “all” alternatives). Refer to outline item 6F, “Air Quality Conformity” for a statement regarding the regional transportation plan’s conformity to the State Implementation Plan for air quality.

Local Planning

Discuss how the project alternatives are treated in local planning documents. Discuss any pertinent local planning documents. Examples: (1) specific area and subdivision plans and their relationship to ultimate development, (2) the nonmotorized master plan: outlining the potential impacts on non-motorized transportation and pedestrians. Discuss any other planning documents that are pertinent, such as the Coastal Zone Plan, the Air Quality Control Plan, etc. Explain any inconsistencies.

For a Project Report with a Final Environmental Document

Discuss the compatibility of the preferred alternative with local and regional plans.

Transit Operator Planning

When appropriate, discuss coordination with transit operators and their planning in the corridor. Discuss opportunities to enhance transit service, as well as the impacts of project proposals on existing and future transit service (bus stops, ramp metering, by-pass lanes, transit ways, high-occupancy vehicle [HOV] lanes and drop ramps, etc.).

4C. TRAFFIC

Current and Forecasted Traffic

Give current and forecasted design year values for annual average daily traffic (AADT), peak month average daily traffic (ADT) where significant, peak hour and peak hour directional split—including percentage of trucks, if appropriate. Refer to
the *Highway Design Manual* Index 103.2 and 603.2 for a discussion of design periods. Briefly state the growth assumptions that provided the basis for the forecast.

**Collision Analysis**

Provide a summary of the collision analysis. The analysis should include, but not be limited to, the primary factors or causes of the collision and the type of collision that can be addressed with the proposed project.

### 5. ALTERNATIVES

#### 5A. VIABLE ALTERNATIVES

**For a Draft Project Report**

Discuss project alternatives that have not yet been rejected—including variations that will satisfy project goals, be cost effective, and that will avoid or minimize environmental and right-of-way impacts. The No Build alternative shall be discussed for project development categories 1 through 4A.

Provide the same detail of discussion for all viable alternatives. Include appropriate attachments for each viable alternative (DPR cost estimate, right-of-way data sheet, etc.).

If a proposal or a preferred or recommended alternative is to be identified in the DPR, indicate that approval of the DPR does not constitute approval of the proposal or the preferred or recommended alternative, but that approval will occur after a public hearing.

**For a Project Report with a Final Environmental Document**

For a PR with a final environmental document, if appropriate identify the preferred alternative and describe any changes resulting from the comments received from circulation of the environmental document and the public hearing process, including proposed changes in the project design or any mitigating features. Describe the engineering, environmental, and planning rationale for selection of the preferred alternative. For each of the other viable alternatives, retain the detailed description of each, adding an explanation for why each alternative was not selected. If an alternative that was formerly considered viable was determined to be not viable it should be removed and described under outline item 5B, “Rejected Alternatives.”
For Both a Draft Project Report and a Project Report

Where appropriate, discuss the following for each viable alternative: proposed engineering features – nonstandard design features – interim features – high-occupancy vehicle lanes – ramp metering – California Highway Patrol (CHP) enforcement activities – park and ride facilities – utility involvement – railroad involvement – highway planting – erosion control – noise barriers – nonmotorized and pedestrian features – needed roadway rehabilitation and upgrading – needed structure rehabilitation and upgrading – current construction and right-of-way cost estimates – effect of special-funded proposal on operation – and other subjects, as needed. The following are descriptions of the information to include in each discussion item:

Proposed Engineering Features

Give a brief description of the engineering features of the alternative. This should include the proposed typical section – horizontal and vertical alignment summary – right-of-way widths – access control requirements – general geometrics of interchanges and intersections – structural section requirements – drainage structures, and any other appropriate information. Give the anticipated hourly and daily capacity and the projected level of service of the proposal for the design year. If at capacity at the design year, also give the year that capacity is projected to occur.

Nonstandard Mandatory and Advisory Design Features

For Both a Draft Project Report and a Project Report

When alternatives propose new nonstandard design features or perpetuate existing nonstandard design features, provide the following: a brief description of the nonstandard features; discussion of issues related to each nonstandard feature; and a reference to all approved fact sheets that includes the approval authority and date. Do not repeat all of the background and justification contained in the fact sheet for the exception to design standards. For alternatives meeting all standards, a statement of this fact should be included in the report. See Chapter 21 – Exceptions to Design Standards, for the conditions and procedures for obtaining approval of exceptions to design standards and the Highway Design Manual Topic 82, for a discussion of design standards.
For a Draft Project Report

For projects with only one Build alternative, fact sheets must be approved before approval of the draft project report.

For projects with multiple Build alternatives, the alternatives with proposed nonstandard design features must go through a design standards risk assessment to indicate the level of risk associated with the probability of approval for each potential exception to a design standard. Based on the associated risks and consideration of any previously approved fact sheets, the District Director can then decide if approval of fact sheets should be pursued for specific alternatives to level the engineering risk prior to approval of the draft project report.

For information on the design standards risk assessment, see Chapter 21 – Exceptions to Design Standards, and see the template in Article 3 for the format of the design standards risk assessment.

For a Project Report

Fact sheets must be approved before approval of the project report.

Interim Features

If improvements to an existing conventional highway are requested by a local agency for the period between the adoption of a freeway route on new alignment and the completion of freeway construction, identify these improvements as interim improvements and discuss whether they are subject to California Transportation Commission (CTC) policies. Provide justification for exceptions requiring CTC approval, including justification for extra width at State expense. It is expected that a local agency’s request for an exception will normally be in the form of a resolution, which should be an attachment. See Chapter 8 – Overview of Project Development, for a discussion of interim project policy.
High-Occupancy Vehicle (Bus and Carpool) Lanes

Summarize the features proposed for bus and carpool lanes, including: typical cross section – buffer type and width – ingress and egress provisions – directions of operation or contra flow operation – operating times – and occupancy requirements. When projects propose high-occupancy vehicle lanes, discuss the effects of the high-occupancy vehicle facility on safety, congestion, and capacity as required by California Vehicle Code, Section 21655.5 and by California Streets and Highways Code, Section 149. See the Traffic Operations Program’s High-Occupancy Vehicle Guidelines.

Ramp Metering

Ramp metering is discussed for any proposals for freeway interchange construction or modification if the freeway segment is included in the ramp metering development plan element of the district’s long range operations plan. If capacity is being added to a freeway segment and metering will improve or maintain effective operations on the freeway and parallel arterials, then ramp metering should be included in the project at any urban freeway entrance ramps. Any exceptions must be justified and may be approved as part of a PR approval. The discussion should also include the positions of the involved local agencies and their willingness to commit to ramp metering. Ramp metering policy is outlined in the Traffic Operations Program’s Ramp Meter Design Manual.

California Highway Patrol Enforcement Areas

Where enforcement activities of the CHP are affected or needed, summarize any additional facilities to be incorporated to assist in such enforcement (e.g., high-occupancy vehicle lane enforcement areas, ramp-meter enforcement areas, turnouts, special signing, traffic control systems, paving brake check areas, etc.).

Park and Ride Facilities

Describe any proposed park and ride facilities. Consideration of park and ride facilities is required and should be described on all major transportation construction projects that include, but are not limited to, new freeways, interchange modifications, lane additions, transit facilities, and high-occupancy vehicle lanes. If park and ride facilities are not proposed, discuss why. The results of the consultation with the district park and ride coordinator should be documented and full justification should
be given for proposals that are contrary to the park and ride coordinator’s recommendations.

Utility and Other Owner Involvement

Discuss known utilities and whether or not relocation may be required. Refer to the right-of-way data sheet. This is an attachment. Give results of any investigation of ownership, prior rights, permit obligations, etc., performed to date. Discuss possible impact on project delivery.

Discuss the estimated “Determination of Liability” required for publicly owned and privately owned public utilities that will be constructed as a part of the highway project.

Discuss the estimated “Determination of Liability” required for non utility-owned facilities. This determination is prepared by the district project development unit after appropriate consultation with affected units such as right-of-way and permits to assist in arriving at a conclusion on cost sharing.

Reference should be made to any approvals the Division of Design (DOD) Chief has granted for exceptions to Caltrans’ policy on encroachments. For more information on this subject, see Chapter 17 – Encroachments in Caltrans’ Right of Way.

Railroad Involvement

Discuss any railroad involvement and the district railroad liaison agent’s determination of what documents or agreements are required to clear the project. Refer to the right-of-way data sheet (an attachment).

Highway Planting

Describe provisions made for replacement planting when existing highway planting must be removed. Describe provisions for revegetation when native plant growth must be removed, particularly through publicly owned parks, U.S. National Forests or State forests, and California Fish and Game or U.S. Fish and Wildlife lands.

Separate planting projects resulting from these proposals should be described and justification for the planting discussed. Highway planting (revegetation, replacement and new planting) is normally accomplished by a separate project after the highway construction is completed—unless it is legally required to be included as part of the
highway construction project (e.g., by cooperative agreement, environmental
document, permit or court order). The PR for the highway project should state (as
determined by the legal document) whether the planting is installed as part of the
highway construction contract or if it follows highway construction as a separate
contract.

Note: If the landscape coordinator determines that the discussion of planting is
not adequate, a supplemental planting PR may be required.

Highway planting and planting restoration projects that are not derived from a
highway project are developed using the “Highway Planting and Restoration” format
of the PR. See Chapter 29 – Landscape Architecture and Appendix D – Preparation
Guidelines for Project Report (New Highway Planting and Highway Planting
Restoration) for more information.

Erosion Control

Erosion control provided on new construction, reconstruction, or where required to
protect the transportation facility and to meet water quality discharge requirements, is
summarized separately here and included as part of the total project cost estimate.

Noise Barriers

Provisions for noise barriers, berms, and other noise reduction features should be

Nonmotorized and Pedestrian Features

Discuss features provided for nonmotorized transportation and pedestrians as well as
provisions that are intended to preserve and enhance the opportunity for safe and
convenient bicycle travel.

For most projects proposing nonmotorized facilities, a finding or findings must be
made. This should be done in the PR. See Chapter 31 – Nonmotorized
Transportation Facilities, Article 2, for required findings.

Needed Roadway Rehabilitation and Upgrading

Roadway rehabilitation needs within the alternative limits should be addressed. All
projects dealing with widening of existing pavements should include a discussion of
the condition of the existing pavements. Discuss the results of a review of the current
Pavement Management System Inventory and the field review of the widening project and state if rehabilitation is needed in conjunction with the widening. Include a discussion of deflection study results for asphalt concrete (AC) pavements exhibiting alligator “B” cracking, confirming the rehabilitation need and the rehabilitation strategy thickness.

Projects addressing roadway rehabilitation only are to follow the project scope summary report (PSSR) approach outlined in Chapter 9 – Project Initiation, no separate PR is needed. Rehabilitation work on existing facilities proposed for relinquishment after construction of the proposed facility should be described in accordance with the guidelines in Chapter 25 – Relinquishments. If the need for rehabilitation work is identified but it is determined that it would need to be programmed as part of another project or as a separately funded project, include that recommendation under outline item 2, “Recommendation”.

Needed Structure Rehabilitation and Upgrading

For bridge replacement proposals, an analysis of the rehabilitation option must be included.

Projects addressing structure rehabilitation only are to follow the PSSR approach outlined in Chapter 9 – Project Initiation. No separate PR is needed unless a bridge replacement on new alignment is proposed.

Cost Estimates

The roadway and structure construction costs and right-of-way costs for the alternative are to be reported. See Chapter 20 – Project Development Cost Estimates, Section 2, and Appendix AA – Cost Estimates for instructions on preparing cost estimates. Indicate any types of costs that are not included, such as capital outlay support costs. A PR cost estimate (or a DPR cost estimate if appropriate) is to be included as an attachment.

Right-of-Way Data

Right-of-way cost estimates (including utilities relocation costs) are reported on the right-of-way data sheet, see the Right of Way Manual for more information. The right-of-way data sheet must be included as an attachment to the PR (this should be an update of the right-of-way data sheet attached to the PSR). The form used by the right-of-way branch for preparation of the right-of-way data sheet.
Effect of Projects-Funded-by-Others on State Highway

If the project is funded-by-others, discuss the potential effects the proposal will have on the capacity and operating characteristics of the State highway, as well as what mitigation is required to alleviate adverse impacts. During the PSR phase, a thorough analysis should have been made of the proposal. Include an updated discussion of existing and forecasted traffic and of the capacity of the mainline to absorb additional traffic.

5B. REJECTED ALTERNATIVES

Very briefly describe all project alternatives that were considered and rejected, explaining the reasons for the rejection. In order to document all alternatives considered, include any alternatives rejected during the system planning and PID stages. Refer to the environmental document for more detail.

6. CONSIDERATIONS REQUIRING DISCUSSION

6A. HAZARDOUS WASTE

If no hazardous waste sites were identified in the initial site assessment (which was initially prepared during the PSR phase for projects having potential hazardous waste involvement) a statement to that effect should be included.

For those projects with identified hazardous waste sites, site investigations should have been performed and the results should be included. Describe the type of material and limits, along with the estimate of costs for cleaning and monitoring the site.

Describe a feasible alternative that will avoid any hazardous waste sites.

For more information on hazardous waste, see Chapter 18 – Environmental Contamination.

6B. VALUE ANALYSIS

Recommendations from value analysis (VA) studies should be discussed in all PRs. If the recommendations are not implemented, an explanation should be provided. If a value analysis study was not conducted, a statement must be included that explains why such a study was not conducted.
If one of the project alternatives is the result of the value analysis study, describe it in outline item 5, “Alternatives”, and describe it as a value analysis recommendation.

For additional information on value analysis procedures, see Chapter 19 – Value Analysis.

6C. RESOURCE CONSERVATION

Discuss measures taken to conserve energy and nonrenewable resources. These measures should be aimed at reducing wasteful, inefficient, and unnecessary consumption of energy and nonrenewable resources in construction, operations and maintenance. At a minimum, the discussion should address the following items:

- Features affecting energy requirements and energy use efficiencies for the various stages of construction, operation, and maintenance, if applicable, including: incorporation of existing structural section into new work – alignment and grades – high-occupancy vehicle lanes – truck climbing lanes – materials selection – construction techniques – signals and signing to move traffic efficiently – and others.

- Measures proposed to minimize the consumption, destruction and disposal of nonrenewable resources, including: recycling pavement or use of tires in the pavement structural section materials – maximizing the use of in-place facilities on existing highways, through design innovation, reconstruction and relocation of the facilities – preserving existing materials and facilities, through salvaging and/or incorporating previously salvaged materials or facilities – reducing the use of nonrenewable materials, through material selection and substitution – upgrading of local materials – and use of alternative energy technologies.

Address the recycling of existing AC pavement materials. For projects where existing AC is to be removed, it is to be recycled or stockpiled on State property for future use. If an economical and logistic advantage can be demonstrated, it may be conveyed to the contractor as part of the contract. Full justification must be provided if existing AC is not to be recycled or salvaged for future use. Projects should specify the use of State-owned salvaged AC materials where economically available.
6D. **RIGHT-OF-WAY ISSUES**

**Right-of-Way Required**

Describe in general the right-of-way requirements and refer to the right-of-way data sheet, which should be an attachment to the PR. Describe any right-of-way issues that influence the design of the project.

**For a Draft Project Report**

Include a discussion and a right-of-way data sheet for each viable project alternative.

**For a Project Report (if appropriate)**

Identify the portion of the discussion pertaining to the preferred alternative. Indicate which right-of-way data sheet is for the preferred alternative.

**Relocation Impact Studies**

Relocation Impact documents, prepared in accordance with the procedures outlined in Chapter 10 of the *Right of Way Manual*, are required on all projects that displace any person or business, and are often complex and time-consuming, particularly if “Last Resort Housing” or “replacement of affordable housing” are involved.

**For a Draft Project Report**

Briefly summarize the draft relocation impact study/statement (DRIS).

**For a Project Report**

A final relocation impact study/statement (FRIS) will be completed for the preferred alternative and must be summarized with a reference to the full discussion in the final environmental document.

**Airspace Lease Areas**

Describe the project development team’s determination as to whether or not the proposed project is in an area of high land values having potential for future airspace leases. Discuss how the geometric plan can accommodate or was modified to accommodate airspace leases, and the results of the district airspace committee review of the appropriateness of incorporating such provisions into the project.
Discuss compatibility of airspace lease areas with local land-use plans, as well as the involved local agency’s willingness to make a financial commitment for any added costs that may be required. Unless airspace lease provisions are required to mitigate project impacts, any added costs must be borne by others (either public or private sources).

6E. ENVIRONMENTAL ISSUES

For a Draft Project Report

Draft Environmental Impact Report/Draft Environmental Impact Statement Projects: The draft environmental impact report/environmental impact statement (EIR/EIS) is a required attachment, and the following statement must be included:

“The Draft Environmental Impact Report/Statement has been prepared in accordance with Caltrans’ environmental procedures, as well as State and federal environmental regulations. The attached Draft Environmental Impact Report/Statement is the appropriate document for the proposal.”

Negative Declaration/Finding of No Significant Impact Projects: The unsigned negative declaration (ND) with the initial study/environmental assessment (IS/EA) is a required attachment, and the following statement must be included:

“The Negative Declaration has been prepared in accordance with Caltrans’ environmental procedures, as well as State and federal environmental regulations. The attached Negative Declaration is the appropriate document for the proposal.”

For a Project Report

Environmental Impact Report/Environmental Impact Statement Projects: The final environmental impact report/environmental impact statement is a required attachment. No statement is included in the PR. Instead, a separate “Certification” sheet is attached to the front of the final environmental impact report/environmental impact statement.

Negative Declaration/Finding of No Significant Impact Projects: The negative declaration with the initial study/environmental assessment is a required attachment, and the following statement must be included:
“The Negative Declaration has been prepared in accordance with Caltrans’ environmental procedures, as well as State and federal environmental regulations. The attached Negative Declaration is the appropriate document for the proposal.”

Statutory Exemption Projects: For projects statutorily exempt from the California Environmental Quality Act (CEQA), the following statement must be included:

“The project is Statutorily Exempt from the California Environmental Quality Act (CEQA).”

Categorical Exemption Projects: For projects categorically exempt from CEQA, the following statement must be included:

“The project is Categorically Exempt under Class (insert class) of the State CEQA Guidelines.”

Categorical Exclusion Projects: When appropriate, the following statement should be included:

“The project is Categorically Excluded under the National Environmental Policy Act (NEPA).”

Before approving a PR containing a categorical exemption/categorical exclusion statement, the individual having authority to approve the project must have the signed categorical exemption/categorical exclusion determination form in-hand (signed by the environmental unit branch chief and the project manager), and must review the project to be certain that the project being approved is the same as the one for which the categorical exemption/categorical exclusion determination is made. If there is any question, the environmental unit branch chief must be consulted. The categorical exemption/categorical exclusion determination form must be attached to the PR. The Standard Environmental Reference identifies the types of projects qualifying for a categorical exemption/categorical exclusion.

Wetlands and Flood Plains

Identify and discuss any impacts on wetlands or encroachment on base flood plains. Describe all efforts taken to avoid these impacts. For further guidelines, consult the Standard Environmental Reference and the Highway Design Manual. Topic 804.
Other Environmental Issues

Briefly describe any other environmental issues that influence the project design or cost and refer to a fuller discussion in the attached environmental document.

6F. AIR QUALITY CONFORMITY

Under federal law and regulations, Congestion Mitigation and Air Quality (CMAQ) Program recipients must analyze their Federal Transportation Improvement Program (FTIP) to determine if it conforms to approved federal air quality plans, known as the State Implementation Plan. Air quality conformity is a method to ensure federal funding and approval is applied to those transportation activities that are consistent with air quality goals. Conformity applies to transportation plans, transportation improvement programs, and projects funded or approved by the FHWA or Federal Transit Administration (FTA) in areas that do not meet or previously have not met air quality standards.

The project scope of work and design concept must be consistent with projects programmed in the Federal Transportation Improvement Program and the current regional transportation plan (RTP). Include one of the following statements:

“Each project alternative is fully compatible with the design concept and scope described in the current regional transportation plan.”

Or

“Air quality conformity is not required.”

If either of these statements cannot be made, discuss the consequences. For Congestion Mitigation and Air Quality Program eligibility, see outline item 8, “Funding/Programming.”

6G. TITLE VI CONSIDERATIONS

For a Project Report with a Final Environmental Document

If not specifically identified in the environmental document, describe the provisions made for low mobility and minority groups. Cite specific considerations given to, and provisions made for, low mobility groups such as the young, aged, handicapped, economically disadvantaged, and minority groups. Specific mention shall be made regarding the effect of alternative route proposals on local street traffic within
adjacent minority communities as well as regarding the impacts on minority communities that are being bypassed. In addition, provision of and access to transportation facilities should be discussed with regard to the equality of facilities for minority groups as compared to facilities provided for other community groups similarly located. Such facilities include:

- Locations and accessibility of public transit stops
- Ramped curbs at intersections
- Pedestrian and nonmotorized trails and separations
- Continuation of access to shopping, schools, hospitals
- Recreation areas, etc., that were served by an access-controlled highway

6H. NOISE ABATEMENT DECISION REPORT

For a Draft Project Report Only

General

This outline item fulfills the function of a noise abatement decision report (NADR), as defined in Chapter 30 – Highway Traffic Noise Abatement and the Traffic Noise Analysis Protocol. The noise abatement decision report section presents the noise abatement recommendation based on acoustical and nonacoustical feasibility factors and the relationship between noise abatement allowances and the engineer’s cost estimate.

You may elect to use a separate document for the noise abatement decision report; however, the DPR must contain the tables that pertain to the recommended alternative and a summary of the noise abatement recommendation. A separate document is advised if a project has several alternatives and detailing the noise analysis of each alternative in the DPR is not practical. A separate noise abatement decision report includes all elements in this section, signature and seal of a registered engineer, and signature of design senior which show that quality control and assurance were performed.

Suggested boilerplate language (include the following three paragraphs):

This section represents the Noise Abatement Decision Report (NADR) which:

- Is an evaluation of the reasonableness and feasibility of incorporating noise abatement measures into this project;
• Constitutes the preliminary decision on noise abatement measures to be incorporated into the Draft Environmental Document (DED) (if applicable); and  
• Is required for Caltrans to meet the conditions of Title 23 Code of Federal Regulations, Part 772 in accordance with the Federal Highway Administration noise standards.

The noise abatement decision report does not present the final decision regarding noise abatement; rather, it presents key information on abatement to be considered throughout the environmental review process, based on the best available information at the time the draft environmental document is published. If a project is subject to federal review, but does not have a circulated environmental document, the noise abatement decision report section documents the final noise abatement decision.

The noise abatement decision report does not address noise barriers or other noise-reducing treatments required as mitigation for significant adverse environmental effects identified under CEQA.

Results of the Noise Study Report

Provide information to identify the noise study report (NSR) for the project. For example:

“The Noise Study Report for this project was prepared by ___[author]____ on ___[date]____ and approved by ____ [Office Chief]_______ on ____[date]____.”

Provide a summary of key information presented in the noise study report for all locations with proposed noise abatement. This should include:

• Identification of locations where noise impacts are predicted to occur; 
• Identification of locations for which noise abatement was evaluated; 
• A description of evaluated noise abatement, including the type (wall or berm), location, and length of barriers; and 
• A table summarizing acoustical feasibility (i.e., noise reduction of at least 5 decibel [5 dB]), number of benefited receivers (receiving 5 dB benefit), and reasonable allowances (see Figure K-1 for example).

Figure K-1 is an example of a table that can be used to summarize information from the noise study report.
Figure K-1  Example of a “Summary of Barrier Evaluation from Noise Study Report”

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<th>Location</th>
<th>Station</th>
<th>Height (feet)</th>
<th>Acoustically Feasible?</th>
<th>Number of Benefited Residences</th>
<th>Reasonable Allowance per Residence</th>
<th>Total Reasonable Allowance</th>
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<td></td>
<td></td>
<td>Yes</td>
<td>8*</td>
<td>$58,000</td>
<td>$464,000</td>
</tr>
</tbody>
</table>

ROW = right-of-way line
EP = edge of pavement
* Barrier at park based on 800 feet of highway frontage

Factors in the Noise Abatement Decision Report

Provide a summary of key information to be used in making the preliminary noise abatement decision. If information varies, provide information for each alternative to be studied. This information should include:

- An indication of acoustical feasibility;
- Number of benefited residences;
- The total reasonableness allowance and engineer’s cost estimate for the abatement;
- The total reasonableness allowance and engineer’s cost estimate for each barrier and barrier height evaluated (if a barrier is evaluated);
- Comparison of cost versus allowance; and
• If known, preliminary information on secondary effects of abatement such as impacts on cultural resources, scenic views, local biology or hazardous material.

A summary table may be used, see Figure K-1 for example.

The engineer’s cost estimate should include costs required to construct the abatement. For noise barriers, include the cost of the wall or berm, footings, traffic control, drainage, modified or additional plantings, miscellaneous items, and a 10% contingency. Any items required to construct the wall should be included. For example, if a retaining wall is required to construct the wall, but not for the project itself, the cost of the retaining wall should be included; if a wall is constructed on a bridge, the cost of modifying the bridge structure to accommodate the wall should be included. Costs to bring roadways to current design standards, such as shoulder widening should not be included.

Costs associated with the mitigation of secondary effects of the abatement should not be included in the abatement construction cost estimate. Examples include costs for mitigation, such as:

• Mitigation of visual effects, such as planting of vines or use of see-through wall materials;
• Mitigation of effects related to hazardous materials (i.e., removal of materials);
• Mitigation of effects on cultural resources (i.e., removal of buried artifacts); and
• Mitigation of effects on biological resources (i.e., replacement of endangered plant species or wildlife habitat).

Wall construction cost should be based on masonry construction, in accordance with Caltrans’ standard specifications. If the construction cost is higher than the allowance, alternative construction methods should be evaluated and discussed.
### Figure K-2  Example for a “Summary of Abatement Key Information”

<table>
<thead>
<tr>
<th>Barrier</th>
<th>Height (feet)</th>
<th>Acoustically Feasible?</th>
<th>Number of Benefited Residences</th>
<th>Total Reasonable Allowance</th>
<th>Estimated Construction Cost</th>
<th>Cost Less than Allowance?</th>
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</thead>
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<td>$560,000</td>
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</tbody>
</table>

* Barrier at park based on 800 feet of highway frontage.

**Nonacoustical Factors Relating to Feasibility**

Present the engineer’s evaluation of nonacoustical factors relating to the feasibility of noise abatement. These factors could include:

- Geometric standards, such as minimum sight distances;
- Safety;
- Maintenance;
- Security;
- Geotechnical considerations; and
- Utility relocations.

**Preliminary Noise Abatement Decision**

There may be situations where several forms of abatement are feasible and have costs that are less than the allowance. For example, in the case of a barrier, different barrier heights could be feasible and have costs that are less than the allowance. In these cases, a recommendation must be made and, in the case of a barrier, a barrier height must be selected. This decision should be made by the project development team. In the case of a barrier, several factors can be considered in making this recommendation:
• Line-of-sight break between a receiver and an 11.5-foot-high truck stack (per Chapter 1100 of the *Highway Design Manual*).

• Absolute noise level. Note that 5 decibel (5 dB) is a minimum, not a design goal, but a barrier that reduces the absolute noise level to below the severe impact level of 75 dBA (A-weighted decibel)-Leq[h] (1-hour equivalent sound level) could be favored over one that does not.

• Number of benefited receivers.

• Cost per benefited receiver.

• Degree of noise reduction (a barrier that provides only 1 dB of improved noise reduction over a lower barrier and costs substantially more may not be favored over the lower barrier).

Provide a summary discussion of each barrier and identify the recommended barrier and barrier heights for each alternative. Explain why the barrier height was selected. This is the preliminary noise abatement decision.

Explain that this decision is the preliminary noise abatement decision and is subject to change. Use the following text for this explanation.

“The preliminary noise abatement decision presented in this report is based on preliminary project alignments and profiles, which may be subject to change. As such, the physical characteristics of noise abatement described herein also may be subject to change. If pertinent parameters change substantially during the final project design, the preliminary noise abatement decision may be changed or eliminated from the final project design. A final decision to construct noise abatement will be made upon completion of the project design.”

“The preliminary noise abatement decision presented here will be included in the draft environmental document, which will be circulated for public review.”

**Secondary Effects of Abatement**

The noise abatement recommended in the preliminary noise abatement decision may have the potential to result in secondary effects on cultural resources, scenic views, hazardous materials, biology, or other resources. Present a brief discussion of the potential secondary effects associated with the recommended abatement. Base this discussion on the best information available from technical specialists at the time the DPR is prepared.
7. OTHER CONSIDERATIONS AS APPROPRIATE

Public Hearing Process

For a Draft Project Report

Make a recommendation regarding requirements for the public hearing process. For example, recommend that a public hearing be scheduled presenting the developed viable alternatives for public comment—or—recommend that an opportunity for a public hearing be offered, since little public interest has surfaced. For further guidelines, see Chapter 12 – Project Approvals and Changes to Approved Projects, and Chapter 22 – Community Involvement.

For a Project Report with a Final Environmental Document

Give the date of the public hearing, if held, and the general tenor of comments. State the positions of local agencies. Refer to outline item 5A, “Viable Alternatives” for a discussion of any changes in the project design or mitigating features resulting from the environmental document circulation and the public hearing process. If an opportunity for a hearing was offered in lieu of scheduling a hearing directly, include copies of all correspondence received in response to the notice and of any replies. If requests were received and subsequently withdrawn, summarize the events that resulted in the withdrawal. If the requests were not withdrawn, state as factually as possible what useful purpose the hearing may have served or not, as the case may be.

Route Matters

Freeway Agreements & New Connections: Discuss freeway agreements, when involved (See Chapter 24 – Freeway Agreements). Discuss any new-connection approvals required. Discuss denomination as an access controlled highway; if appropriate (See Chapter 23 – Route Adoptions). New public road connections and new access to freeways and controlled access highways are discussed in detail in Chapter 27 – New Public Road Connections.

Route Adoptions: Discuss route adoption requirements or support the determination that adoption is not required where there is deviation from the adopted alignment for engineering reasons. (See Chapter 23 – Route Adoptions). For any deviations, obtain review and concurrence from the Design Coordinator and document here.
Relinquishments: If existing facility will be superseded, discuss whether it will be relinquished, vacated, abandoned or retained. Give estimated costs of proposed action. See Chapter 25 – Relinquishments.

Permits

Discuss any permits, licenses, or approvals that are required that may be of special significance or may be a problem to obtain. If special procedures or actions are required, make appropriate recommendations. Discuss any coordination that has taken place with State and federal agencies. See Chapter 13 – Project Related Permits, Licenses, Agreements, Certifications (PLAC), and Approvals.

Work by others within the access denial lines of an access controlled highway, as well as retention of subsurface utilities within the right-of-way, may require approval of the chief of the Division of Design. See Chapter 17 – Encroachments in Caltrans’ Right of Way, for more information. Details concerning encroachment permits are discussed in the Encroachment Permits Manual issued by the Traffic Operations Program.

Cooperative Agreements

Cooperative features, such as funding responsibilities on any project with proposed transfer of funds, or staffing responsibilities for special funded projects for subsequent design, right-of-way acquisition, or construction, should be clearly outlined in the DPR. Where an environmental impact report/environmental impact statement is involved and approval is not expected for some period of time, these recommendations may be deferred to the PR. The discussion should also include the execution dates of other associated cooperative agreements or memoranda of understanding, along with a brief summary of provisions. Approval of a DPR or PR that recommends approval of cooperative features constitutes authority to finalize negotiations and to prepare a draft cooperative agreement. For more information, see Chapter 16 – Cooperative Agreements and Chapter 2 – Roles and Responsibilities.

Proposed cooperative agreements involving new construction projects must be covered by a PR. Proposed cooperative agreements that come about as part of the design of a previously approved major construction project, such as a cooperative drainage project on a new freeway, are to be covered by a cooperative agreement report. Either a PR or a cooperative agreement report should be prepared, whichever is appropriate.
Other Agreements

Features of other needed agreements, such as interagency agreements or maintenance agreements should be outlined.

Report on Feasibility of Providing Access to Navigable Rivers

This section constitutes the report on the feasibility of providing a means of public access for recreational purposes to any navigable river over which a new bridge is being constructed as required by California Streets and Highways Code, Section 84.5. The explanation of this policy is found in Chapter 8 – Overview of Project Development, Article 6 Public Access to Waterways. Justify and document the position taken on public access to the watercourse. All environmental and engineering aspects must be fully considered, as well as the intent of the Legislature to maximize such public access. Items to consider include, but are not limited to:

- Extent of public use of the waterway for recreational purposes.
- Existing and/or alternative access.
- Access control of the highway facility.
- Environmental impacts of providing public access.
- Right-of-way impacts and costs.
- Construction and support costs.
- Pedestrian accessibility.

Public Boat Ramps

The explanation of this policy is found in Chapter 8 – Overview of Project Development, Article 6 Public Access to Waterways. Use the design scoping index in Appendix L – Preparation Guidelines for Project Study Report, to document all decisions pertaining to public access. See design information bulletin DIB 71 for details to be considered.

Transportation Management Plan for Use During Construction

Delivery Directive DD-60-R1 requires transportation management plans (TMPs), for all projects on the State Highway System, to minimize disruption to the traveling public. Review the Transportation Management Plan Guidelines for specific guidance and strategies. Describe the anticipated transportation management plan requirements for the project.
Describe any proposed prolonged temporary ramp closures (more than 10 consecutive days) and summarize the results of the economic impact study prepared by the district environmental planning unit. Closures of less than 10 days may require discussion, depending upon circumstances.

Describe detours, including transit route rerouting and nonmotorized rerouting, and other traffic handling features required during construction.

**Stage Construction**

If multiple construction units or stage construction is proposed, describe them and the reasons for them.

**Accommodation of Oversize Loads**

A discussion should be included relevant to the policy that State freeways be designed to provide passage for vehicles of unrestricted height while moving in and out of an area; to or from airports, harbors, and testing sites; and to or from ultimate destination for use or assembly. Discuss exceptions to this policy when an existing city or county facility allows for bypass of the State-restricted facility. Refer to Chapter 8 – Overview of Project Development.

If it is impractical to follow this policy due to engineering controls, excessive costs, or community values considerations, discuss contacts with the impacted industries and describe the mutually satisfactory solution agreed to. A full discussion of the solution must be presented.

**Graffiti Control**

Include this section if the project will be in an identified graffiti-prone area. The urban areas of the following counties are considered graffiti-prone: San Diego, Orange, Los Angeles, San Bernardino, Riverside, Ventura, Santa Barbara, Fresno, Santa Cruz, Santa Clara, Alameda, San Mateo, San Francisco, Contra Costa, Marin, Napa, Sonoma, Solano, San Joaquin, and Sacramento. Discuss any special attention given to the design in these areas and describe design features proposed, such as details to prevent vandals from accessing bridges, signs, and walls.

**Other Appropriate Topics**

Discuss any other appropriate topic that has a bearing on the approval of the project.
8. FUNDING/PROGRAMMING

Funding

Special Funding: If a project has special funding, identify the source of funding, the dollar amount, when funding will be available, etc.

Congestion Mitigation and Air Quality Program Funding: If a project is identified as eligible for Congestion Mitigation and Air Quality Program funding in the PSR, an emission reduction analysis must be completed and attached. California Air Resources Board and Caltrans’ approved methodologies for completing the emission reduction analysis can be obtained from the Headquarters Transportation Programming website at:


State-Only Funding: The PR proposing State-only funding should fully explain the need for the exception and should discuss previous efforts to qualify the project for federal participation.

Determine if the project is eligible for federal-aid funding and include one of the following statements:

“It has been determined that this project is eligible for federal-aid funding.”

Or

“It has been determined that this project is not eligible for federal-aid funding.”

Programming

Proposal Funding Data: Include data from the appropriate, latest, official programming document: Statewide Transportation Improvement Program (STIP) or State Highway Operation and Protection Program (SHOPP).

State the current capital outlay project right-of-way and construction estimates and compare to the programming figures in the current STIP or SHOPP.
If the project was initiated with a PSR-PDS, discuss programming the remaining capital outlay support and the capital outlay project right-of-way and construction estimates.

**Combining Projects:** There are certain occasions where it is cost effective to combine projects from different programs or elements for the purposes of design or construction. This usually occurs where the projects are in proximity to each other. For the project proposed for combining, describe each program or element of the project that is described as a separate line or entry in the programming document.

**Multiple Counties:** Where work is proposed in multiple counties, an entry is required for each of the counties, so that county minimums can be accurately determined.

**Support Estimate:** Enter the escalated capital outlay support estimates, in thousands of dollars, for Project Approval & Environmental Document (PA&ED), Plans Specifications & Estimate (PS&E), Right-of-way, and Construction components in the appropriate fiscal funding year column. Consult with the project manager to determine the fiscal funding year, the escalated support estimates and the escalation rates used.

**Project Estimate:** Enter the escalated capital outlay project estimates, in thousands of dollars, for Construction and Right-of-way components in the appropriate fiscal funding year column. Consult with the project manager to determine the fiscal funding year, the escalated project estimates and the escalation rates used.

**Support Cost Ratio:** State the support cost ratio. The support cost ratio is the sum of the capital outlay support component estimates (PA&ED, PS&E, Right-of-way, and Construction) divided by the sum of the capital outlay project component estimates (Right-of-way and Construction).

## 9. SCHEDULE

The project schedule should be based on functional unit input, available resources, and funding constraints. Consult with the project manager to determine the project schedule. The milestones shown in the table are mandatory except as follows: M030 and M035 are only required if the environmental document is an environmental impact report/environmental impact statement; M120 is only required if there is a
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draft environmental document that will be released to the public; and M378 is only required if there are structures involved, delete rows as needed.

10. RISKS

*Project Delivery Directive PD-09* requires that risk management be applied to all capital outlay projects and major maintenance projects delivered by Caltrans. Refer to the *Project Risk Management Handbook: A Scalable Approach* for the requirements and procedures. Discuss the risks and include the risk register as an attachment.

11. FHWA COORDINATION

Review the latest *Federal Highway Administration (FHWA) and Department of Transportation (Caltrans) Joint Stewardship and Oversight Agreement* and “Record of FHWA Involvement” form at: [http://www.dot.ca.gov/hq/oppd/stewardship/index.htm](http://www.dot.ca.gov/hq/oppd/stewardship/index.htm)

Determine if the project is an Assigned Project or High Profile Project (HPP). Consult with the FHWA Transportation Engineer and the project manager and complete the Record of FHWA Involvement form as needed. Discuss any coordination with FHWA and include the appropriate statement in the report:

“This project is considered to be an Assigned Project in accordance with the current Federal Highway Administration (FHWA) and Department of Transportation (Caltrans) Joint Stewardship and Oversight Agreement.”

Or

“This project is considered to be a High Profile Project (HPP) in accordance with the current Federal Highway Administration (FHWA) and Department of Transportation (Caltrans) Joint Stewardship and Oversight Agreement.”

If the project proposes new or revised Interstate access and the “Engineering and Operational Acceptability Determination” was deferred from the PID stage, include a discussion of any issues and the date of the determination. See Chapter 27 – New Public Road Connections, for more information.

12. PROJECT REVIEWS

Document appropriate project reviews. Enter name of individual and date as needed. Cover all major reviews and dates of reviews, particularly from the FHWA.
transportation engineer, Traffic Operations liaison engineer, Design Reviewer, and Design Coordinator. Identify the reviewer and describe the results of the review, including the resolution of any disagreements.

If FHWA review was not obtained, cite reasons for not doing so. If appropriate, include a statement indicating that the FHWA transportation engineer was involved with and reviewed the draft environmental document in the district.

13. PROJECT PERSONNEL

To facilitate contacts with team members, include their names and telephone numbers in the following general format:

- Project Manager phone #
- Project Development Team Leader phone #
- Project Development Unit Supervisor (Senior or Supervisor or both) phone #
- Project Development Unit Project Engineer phone #
- Environmental Unit Supervisor phone #
- Right-of-Way Branch Reviewer phone #

14. ATTACHMENTS

All attachments shall be clearly labeled and referenced in the text to assist the reader in following the report’s content. Sheets wider than 8.5 inches are to be folded to open to the right, with identification shown at the right edge.

Mandatory Requirements: At a minimum, all DPRs and PRs should have the following attachments:

- A draft environmental document for a DPR; a final environmental document or a signed categorical exemption/categorical exclusion determination form for a PR; see Standard Environmental Reference for guidelines
- Location map
- Appropriate project detail maps to show existing conditions and proposed improvements
- Typical sections
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Project Development Initiation and Approval Reports

- DPR Cost Estimate approved by the project manager for each viable alternative for the DPR. Indicate preferred alternative in attachment to the PR, if appropriate and include the PR Cost Estimate.
- Right-of-way data sheet (updated version if already in PSR) for each viable alternative for the DPR. Indicate preferred alternative in attachment to PR, if appropriate.

Additional Attachments: The following additional attachments should be included, when appropriate:

- Pavement Management System printouts
- Photographs
- Mosaics
- Traffic flow diagrams
- Investigation and signal or median barrier warrant sheets
- Other pertinent items such as resolutions, correspondence
- Site investigation

ARTICLE 3   Template for Project Report

This article is a template for the project report. When using the template, delete any italicized text within the body of the document. The italicized text provides instructions for template users and does not provide any value to the final document.

The template is available at:

http://www.dot.ca.gov/hq/oppd/pdpm/templates/apdx-k-template.docx
ATTENTION! There are a number of items in this appendix that need to be updated—especially in the areas of funding/programming, risks, and FHWA coordination. Until this appendix is updated, please see Appendix K for the discussion of topics in the Microsoft Office Word template associated with this appendix and discuss any issues with the Headquarters SHOPP program manager or advisor.

APPENDIX L – Preparation Guidelines for Project Study Report

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APPENDIX L – Preparation Guidelines for Project Study Report

SECTION 1 Introduction

Reference Information

Some of the references found in this appendix have hyperlinks that connect to Caltrans intranet pages which are not displayable to the general public. Until such time that the specific reference becomes available on the internet, the user will have to contact their district liaison, Caltrans project manager, or the appropriate Headquarters division to inquire about the availability of the reference.

Project Initiation Documents

This appendix provides concepts and best practices for the preparation of all project initiation documents (PIDs). This appendix and Chapter 9 of this manual provide the foundational knowledge and understanding to prepare any PID and should be reviewed before the preparation of any PID.

Presented in this appendix is an overview of the preparation of PIDs, a description of the information that should be contained in a PID, scoping forms to collect and organize information during the project initiation phase and the template for a Project Study Report (PSR). The PSR template presented in this appendix is the foundation template for all PIDs. All other PID documents are a variation of the PSR.

PIDs expressed through these guidelines should be as simple, timely, and workable as practical, given that a PID must be prepared at the front end of the project development process, before environmental evaluation and detailed design are completed. All templates can be modified to meet this goal. As an engineering document, the PID is written to provide stakeholders, decisions-makers, and “next-phase” project team members with a broad understanding of the transportation deficiency and the proposed project. The PID informs the reader of the key issues and assumptions regarding the commitments on the scope, schedule, and estimated
cost of the project. The PID must provide a sound basis for commitment of future state funding.

**Project Study Report**

This appendix contains specific guidance for one type of PID, the Project Study Report (PSR). The preparation of Project Study Report-Project Development Support (PSR-PDS), another type of PID used for projects funded through the State Transportation Improvement Program (STIP), projects-funded-by-others, or Long Lead State Highway Operations and Protection Program (SHOPP) projects, can be found in Appendix S.

**Project Scope Summary Report**

Project Scope Summary Report (PSSR) templates have been developed for specific programs of the State Highway Operations Protection Program (SHOPP). These templates have a fill-in-the-blank format. The templates should be modified as necessary for each SHOPP project. See Figure 9-3 in Chapter 9 of this manual for a list of the appropriate templates to use for SHOPP projects.

**Applicability**

These guidelines generally apply to all major State and specially funded projects on the State Highway System (SHS) and any segment of a transit project within the State highway right-of-way. The guidelines are not intended for use on transit projects unrelated to the SHS or on State Transportation Improvement Program (STIP) projects off the State highway system.
SECTION 2 PID Preparation Procedures

This section describes the sequence of key activities and best practices that take place during the project initiation phase. For project teams, the PDWT provides a comprehensive flow of project delivery tasks and can be used as a structured step-by-step guide for project development tasks performed by project engineers. Although the PDWT primarily describes design activities performed by the project engineer, it also provides the framework for the flow of tasks by all the functional units.

The PDWT can be found on Division of Design’s website:
http://www.caltrans.ca.gov/hq/oppd/pdwt/revised/pdwt.htm

Guidance on the content of the PSR is discussed in Section 3 of this appendix.

For an overview of where the project initiation phase fits into the project development process, see Chapter 8 of this manual.

A graphic overview of the project development process can be found at Division of Design’s website: http://www.caltrans.ca.gov/hq/oppd/pdwt/revised/fd1.pdf

1. Pre-PID Meeting

Regardless of who prepares the PID, a meeting with Caltrans and the appropriate local entity (or entities) shall be held. Input from all parties is required at the earliest possible stage and continues throughout the process. The project manager should take the lead in coordination activities.

The purpose of the pre-PID meeting is to communicate a shared view of the project and to establish an understanding of the procedures, roles, and responsibilities before the project initiation process begins:

- Review the PID development process.
- Set the framework for getting consensus of purpose-and-need.
- Set the framework for agreeing on the design concept and scope. Ideally, the design concept and scope will evolve from the transportation system or regional planning process. The engineering specifics of the design scope should be discussed. These include the major features of work such as the number of lanes (current and future), right-of-way requirements, and interchange type and location.
- Agree on the basic design standards. When the project is on an existing facility, consideration must be given to improving existing features to current standards. Where justified, there may be cases where exceptions to other design standards may be considered.
• Identify known design deficiencies. The Design Scoping Index found in Section 5 of this appendix can be used to document known deficiencies and highlight areas requiring further investigation. Examples of deficiencies to consider are: structures with nonstandard vertical or horizontal clearances; inadequate bridge railing; pavement in need of rehabilitation; deteriorated or inadequate drainage systems; narrow or deteriorating shoulders; lack of continuity or the deficiencies of bicycle or pedestrian facilities; replacement landscaping; ramp metering; nonstandard guardrail; maintenance worker safety; and seismic retrofit requirements.

• Identify the funding sources, and if appropriate identify the cooperative features of the project.

2. **Authorization for PID Preparation**

   The project initiation phase begins with the opening of an expenditure authorization. The project manager obtains an expenditure authorization to initiate the project initiation process.

   See Task **PO1 of the PDWT**.

3. **Form the Project Development Team**

   The Caltrans District Director concurs on the members of a Project Development Team (PDT) for each project, regardless of who is preparing the PID.

   The PDT is comprised of the PM, a representative of the regional transportation planning agency (if involved), and representatives from district design, environmental, traffic, safety, surveys, construction, and maintenance units, and the right-of-way branch. Representatives from other functional units, local and regional entities are added as needed. See **Chapter 8** of this manual.

   If the PID is to be prepared by a local entity, the local entity shall furnish Caltrans a list of appropriate PDT members.

   See **Task P06 PDWT** for further guidance on forming a PDT.

4. **Develop Consensus on the Project Purpose and Need**

   It is crucial for the PDT to build PIDs on the project purpose-and-need statement early in the project development process. The PDT must identify the transportation deficiencies and describe underlying transportation need. The PDT must agree on the primary objectives that will be fulfilled by constructing the project and define those objectives as the project purpose.

   The project sponsor must concur on the purpose-and-need. Primary stakeholders must have consensus on the project purpose-and-need. Value
analysis tools may be helpful in developing consensus on purpose-and-need statements for complex projects.


5. Review of the Project Site in the Field

It is important that the project team make an initial review of the project in the field. This should be an ongoing activity as needed. Field reviews often identify project features that may otherwise not be noticed. The reviews should focus on factors that could affect the project.

In addition, it is important to consider bicycle and pedestrian travel. Bicycles and pedestrians are permitted on all state highways, except for some freeways (see Chapter 31 of this manual); therefore roadway shoulder and sidewalk geometrics and conditions are a part of the scoping process. The preferred way to assess conditions for bicycling and walking is by conducting a field review while bicycling and walking. See Highway Design Manual (HDM) Chapter 1000 – Bicycle Transportation Design, for bicycle geometric and surface quality guidance.

If pedestrian facilities do not exist, consideration should be given to them if land conditions are such that pedestrians could be expected to regularly move along the highway. If the existing paved shoulders are narrow, worn paths can be an indicator of where pedestrian travel is occurring. If pedestrian facilities exist, they need to be upgraded to comply with Design Information Bulletin 82 – Pedestrian Accessibility Guidelines for Highway Projects. See Tasks P25, and P26 of the PDWT for further guidance on field reviews.

6. Obtain and review existing reports, studies, mapping or other information

To adequately prepare a PID, it is essential to obtain appropriate mapping. Ideally, aerial contour mapping (3-D MicroStation design files) should be used. This mapping will be used for the development of preliminary alternatives, horizontal and vertical alignment, and other studies. If aerial contour maps cannot be provided at this stage, other mapping such as Digital Highway Inventory Photography Program (DHIPP) images, aerial photography mosaics or as-built plans may be appropriate. If proposed structures cannot be accurately plotted or located on the aerial contour maps, more accurate maps (or larger scale drawings) should be used to show the location and limits of the proposed structures.

The Transportation Concept Report or Route Concept Report, District System Management Plan, Regional Transportation Plan, Congestion Management...
Program, 10-Year SHOPP, the State Implementation Plan, and local and regional pedestrian and bicycle plans should be reviewed. Appropriate information from these reports can serve to document the need and scope of the project. Further discussion on these documents can be found in Chapter 1 – Introduction, and Chapter 4 – Programming, of this manual.

Important background information can often be obtained in previous related or adjacent studies. A search and review of project history files and previously studied but suspended projects can give a historical perspective to the current proposal.

See Tasks PDWT – P8-P26 for further guidance on additional data and input.

7. **Identify additional data requirements for project scoping**

Refer to the tools in Section 5 to identify data needs and issues that should be considered or studied to properly scope the project. The use of the Design Scoping Index found in this Appendix L can assist the project team in properly scoping a project. The Design Scoping Index can be used to identify facility deficiencies and the concerns of stakeholders. The Design Scoping Index ties together the Planning Scoping Checklist, the Design Checklist, the Traffic Scoping Checklist, the PEAR, the DES Scoping Checklist, and the Right of Way Data Sheet. The PDT should evaluate which deficiencies can be addressed given the purpose-and-need, program definition, and funding constraints.

The PDT should use risk management processes to establish assumptions that are made until the data is available.

See the PDWT Flow Chart P01-P31 and Flow Chart P32-P62 for further guidance on identifying data requirements.

8. **Perform the Initial Engineering Studies**

**Perform the Initial Engineering Studies – PSR-PDS and Long Lead SHOPP Projects**

For PSR-PDS and long lead SHOPP projects, the alternatives may not be well defined. The initial engineering studies may be limited to evaluating the physical characteristics of the project area, major engineering features, and standards. The primary focus of the initial engineering studies for PSR-PDS and long lead SHOPP projects is to establish a reasonable study area for alternative development.

**Perform the Initial Engineering Studies – All Other PIDs**

The initial studies should focus on the physical characteristics of the project area, engineering features, and standards required to develop a project.
• Floodplain mapping – include an analysis of the potential flood plain impact due to the proposed improvements.

• Traffic Data – existing and forecasted traffic based on up-to-date studies, the level of service, operation analysis based on the up-to-date studies.

• Hazardous material information – analysis needs to be based on well-defined alternatives and preliminary investigations for high-risk alternatives.

• Preliminary material (geotechnical information) – analysis needs to be based on well-defined alternatives and detailed investigations for high-risk alternatives.

See PDWT Flow Chart P01-P31 and Flow Chart P32-P62 for further guidance on engineering studies.

9. Develop Alternatives

Alternatives – General

For alternative development, the perimeter of a study area must be delineated, as well as identifying the major work elements of the alternative.

Develop alternatives that will satisfy the project purpose-and-need, are cost effective, and will avoid or minimize environmental and right-of-way impacts. Involve the community early and use context-sensitive-solution principles to develop project alternatives.

In the development of alternatives in PIDs, several key areas must be analyzed: environmental compliance, structures, materials, landscaping, permits, local and regional input, right-of-way, mandatory and advisory design standards, traffic operations, and alternative transportation modes already in place (i.e., mass transit, rail, bicycle and pedestrian facilities).

If developing alternatives for freeway projects, see Chapter 31 of this manual for Streets and Highways Code requirements regarding impacts on pedestrian and bicycle transportation routes.

The environmental unit prepares a preliminary environmental analysis report (PEAR) for each alternative. The PEAR includes:

• A discussion of environmental resources and a description of the potential project issues or impacts, which could delay the project or affect the viability of any project alternative.

• Description of studies that are needed to complete an environmental evaluation (noting as necessary any seasonal constraints for these studies).
• A recommended environmental determination/documentation and a tentative schedule for its completion. If an environmental document is required, specify the lead agency for its preparation.

• An initial site assessment for hazardous waste, if the project includes the purchase of new right-of-way, excavation, and/or structure demolition or modification.

• Permits or approvals.

Refer to the *Standard Environmental Reference* (SER) for further guidance on the PEAR. The SER includes information that environmental units need to develop the PEAR.

See *PDWT Flow Chart P32 -P62* for further guidance on developing alternatives.

**Alternatives – All PIDs except PSR-PDS’**

A. Identify Alternatives

Value analysis can be used to develop well-defined alternatives. Value analysis is the systematic application of recognized analytical techniques to identify a project’s function, identify alternatives, and analyze the alternatives to identify the one that fully meets the project’s function at the lowest overall cost. Other methods for developing alternatives can be found on the *Standard Environmental Reference*.

B. Design Standards

During development of projects, various constraints often require deviation from design standards. Identify and document known mandatory and advisory design exceptions as discussed in Chapter 21 of this manual.

Design standards are applied equally to all projects on the SHS regardless of the sponsoring agency or the type of funding involved.

See Task P67 of the PDWT for further guidance on Design Standards.

C. Structures

As soon as conceptual geometrics have been generated, develop Advance Planning Studies (APS) and cost estimates for the various structure alternatives. The APS must show sufficient detail to allow environmental, permit and traffic management costs to be estimated.

The method of providing these preliminary studies shall be discussed with the DES liaison engineer assigned to the district. The liaison engineer will provide recommendations on preparation of the preliminary studies. The
Appendix L – Preparation Guidelines for Project Study Report  
Section 2 – PID Preparation Procedures

studies will be prepared by DES, or if prepared by others, will be reviewed by DES during the district review process.

See Task P48 of the PDWT for further guidance on Advance Planning Studies.

D. Environmental Compliance

Many agencies require permits before a project can be approved for construction. It is essential to identify potential permit requirements at the earliest stage and to include the cost of these requirements in the cost estimate.

E. Materials

Existing materials information (from old projects, etc.) should be obtained from Caltrans or other sources. If critical areas, such as slides, erosion, poor foundations, etc., are noted during field reviews, a preliminary materials investigation should be conducted.

F. Highway Planting and Irrigation

Some projects require significant amounts of highway planting and irrigation work. At the PID stage, efforts should be made to identify any new or replacement planting. Planting and irrigation provisions must be in compliance with Caltrans current planting and water conservation policies.

G. Roadside Design and Management

Conditions and deficiencies of the roadside should be reviewed and documented, and a cost estimate should be developed at this time for design solutions. This should involve roadside items such as miscellaneous paving, maintenance vehicle pull-outs, etc., requirements at the earliest stage and to include the cost of mitigation in the cost estimate. Identify roadside management issues and permanent vegetation control treatments at this stage. Solutions for vegetation control requirements are available at the Landscape Architecture Program (LAP) toolbox website: http://www.dot.ca.gov/hq/LandArch/roadside/index.htm. These techniques when properly incorporated will improve highway safety for maintenance units, minimize reoccurring maintenance activities, reduce life cycle cost, and improve aesthetics.

H. Traffic

District traffic provides information related to traffic. See traffic scoping list in Section 5. Transportation Management Plans (TMP) will be required if significant construction delays are anticipated. TMPs develop construction traffic handling practices such as lane closures, detours, and mass transit
enhancements, and work-hour restrictions to minimize delays. As appropriate, address how bicycle and pedestrian traffic will be accommodated during construction. Costs associated with TMPs should be included in the PID Estimate.

Identify existing vehicle detection systems (VDS) within the project limits. Additional staging plans to maintain the VDS will be required if the duration for outages is in the order of a few hours for traffic signals and spacing between traffic monitoring stations is more than one mile on the mainline. Costs associated with maintenance of operations of existing VDS should be included in the PID estimate.

I. Right-of-way

The right-of-way estimate should be prepared using aerial mapping, mosaics, or as-built plans. The mapping for the right-of-way estimate shall show improvements, property ownership, parcel information, proposed right-of-way lines, access control, easements, utilities, and railroad facilities.

Refer to Tasks P63 - P66 of the PDWT for further information on right-of-way.

J. Local and Regional Input

Local and regional agencies must be given an opportunity to provide input during the preparation of a PID. Local planning (land use) can have a significant effect on the local and regional planning transportation system, which affects the identification of alternatives and project specific features.

If agreement cannot be reached between Caltrans and the local entity on the programmable project alternative, the PID needs to include a cost estimate and supporting information for all alternates.

Alternatives – PSR-PDS and Long Lead SHOPP Projects

For information regarding developing alternatives for PSR-PDS or long lead SHOPP projects, see Appendix S.

10. Develop Cost Estimates

Cost estimates are developed for:

- The resources needed by Caltrans to either implement or provide independent quality assurance for the remaining project phases, and
- The capital costs needed to acquire right-of-way and construct the project.
Develop a cost estimate for each alternative. Estimates for programming, although preliminary, should be as accurate as possible.

Resource estimates will be developed per the Workplan Standards Guide, Release 11.0 For Capital Outlay Projects found on the Headquarters Division of Project Management website.

If federal-aid funds are used on any portion of the project and local agency support costs are used as a “soft” match, then the PID or PR must include local agency support costs.

The PDT and project sponsors should identify funding sources for completing the project. If the project is to be programmed into the STIP or use federal funds, the project sponsor is expected to have reasonable plan for fully funding the project before federal programming can occur. If a project is funded-by-others (as defined in Chapter 9 of this manual), Caltrans must be presented with a reasonable plan for fully funding the project in order to justify expending state resources for independent quality assurance on the project.

Capital costs are to be developed in accordance with Section 4 of this appendix and Chapter 20 – Project Development Cost Estimates of this manual.

See Task P72 of the PDWT for further information on the development of cost estimates.

11. Develop Schedules
A work plan for the proposed programmed activities shall be developed. To increase confidence in the cost estimate and schedule, perform a risk analysis and develop a risk management plan. The work plan must include a resource cost estimate and schedule for delivery of major components of the project.

12. Complete PID
After developing alternatives and analyzing impacts, prepare the PID in accordance with the outline in Section 3 of this appendix.
SECTION 3 Outline for Project Study Report

General

The purpose of this outline is to identify the key elements to document in the PSR. As decision-making documents; PIDs must identify the key issues of the transportation deficiency, any major elements that should be investigated, and the effort and resources needed to complete the studies and implement the project. The outline is designed so that important information can be easily obtained from the document text. The attachments should contain detailed information that is needed to support or clarify information in the body of the report. Summarize information from detailed studies in the PID. Actual studies with raw data (e.g., traffic volumes) and detailed analyses are part of the project files.

Section 6 this appendix has templates that present a guideline for preparation of the PSR. The report should be similar in organization and may contain similar headings and subheadings, but vary based on project factors.

Outline

Cover Documents

Cover Sheet

The cover sheet provides “at a glance” project identifiers, the primary reason for writing the report, and dated approval signatures.

Project identifiers are the district, county, route, and post miles; as well as the official project description. See the Plans Preparation Manual Section 2-2.2 for examples of project identifiers.

Clearly state the reason for the PID on the title sheet. It may be one or a combination of the following bullets. Use “AND” to separate multiple requirements.

- Request for Programming in the (year) STIP for Capital Support of the Project Approval and Environmental Document.
- Request for Programming in the (year) STIP for Capital Support for:
  - Project Approval and Environmental Document.
  - Plans, Specifications, and Estimate.
  - Right of Way Acquisition.
➢ Construction Management.
  - Request for Programming in the (year) STIP for Right of Way and Construction Capital.
  - Request for Programming in the (year) SHOPP.
  - Request approval to proceed with the formal studies for a SHOPP project.
  - Authorize a cooperative agreement.
  - Conceptual approval for a project-funded-by-others (as defined in Chapter 9 of this manual).

The following figure shows an example of describing the reason for the PID on the title sheet.

**Figure L-1 Title Sheet Description**

PSRs are to include the endorsement of the PM and “APPROVED BY” District Director (or Deputy District Director if identified in Caltrans Delegation of Authority). Edit the signature block as appropriate.

**Vicinity Map (Separate Sheet)**

The vicinity map is a district, county, or city map showing all State highways and major local roads when pertinent. It should be placed on a separate page and should
include the study limits, major topographic limits listed in the report, and a north arrow.

Registered Professional Stamp (Separate Sheet)

The Registered Professional stamp or seal and number with signature shall be placed on a separate sheet, which shall be part of the report. Also included on this sheet shall be a statement indicated that the registered profession is attesting to the technical information contained therein and the engineering data upon which recommendations, conclusions, and decisions are based. This seal does not constitute approval of the project study report.

Table of Contents (Separate Sheet)

On a separate sheet, place a table of contents that includes all the elements of the PID.

Main Body of PID

1. INTRODUCTION

The introduction is a summary of the information presented in the report. The introduction should be no more than two paragraphs or a brief opening sentence with the information summarized in tables. The template includes an optional table that can be expanded or condensed to fit the individual project.

In the introduction, identify:

- The proposal.
- The range of alternatives and costs.
- The Caltrans resources needed to complete the proposed components (e.g., project approval and the environmental document phase).
- The schedule for completion of proposed activities.
- The proposed funding sources.
- The initial project category.
- Type of facility as designated on a current or proposed route adoption map.
- Any known project approvals anticipated for each alternative (See Chapter 12 of this manual).
2. **BACKGROUND**

The background should briefly describe why this project should go forward at this time.

Information in this section includes:

- A description of the facility.
- Project sponsors and project proponents.
- A discussion on local and regional agency involvement in the development of purpose-and-need.
- A discussion of any actions or commitments that have taken place to date regarding the proposed project.

3. **PURPOSE AND NEED**

These statements together should succinctly answer the question: why this project and why now? The PDT, in conjunction with the project sponsors and key stakeholders, must develop the purpose and the need statement. Additional information on the development of purpose-and-need statements can be found at [http://www.dot.ca.gov/ser/downloads/general/PN_Report.pdf](http://www.dot.ca.gov/ser/downloads/general/PN_Report.pdf)

**Purpose**

The project purpose is the set of project objectives that will be met, which addresses the transportation deficiency (i.e., the project need). It is important to identify the primary and secondary objectives that are met by this project. While the secondary objectives may be a factor in the scoping of the project (e.g., minimizing impacts to the environment, meeting ADA requirements, etc.), the purpose statement should focus on the primary objectives of the project.

**Need**

The project need is an identified underlying transportation deficiency that needs correction. While there may be several associated deficiencies identified in the project area, it is important for the PDT to agree on the primary deficiency or deficiencies that create the need for the project. A need is supported by data that indicates, but is not limited to, a safety issue, reduced mobility, limited capacity for the transportation demand, the lack of reliability, gaps in or between transportation systems, or limited life of the facility. The details of this data are discussed in the following section on “Deficiencies.”
4. DEFICIENCIES

This section provides a concise discussion of the data that supports the purpose-and-need of the project as well as identifying data that is important to the scoping of the project.

This section should refer to attached maps, charts, tables, letters, etc. When appropriate, discuss existing and forecasted traffic, level of service, capacity adequacy, and safety data.

This section may have two subsections. A subsection on the primary deficiencies would discuss deficiencies that relate directly to the purpose-and-need statements. A subsection on the secondary deficiencies would identify the deficiencies that should be addressed when scoping the project (this subsection would include, but is not limited to: a review of existing roadside area conditions to identify deficiencies and develop a preliminary cost for each improvement, maintenance vehicle pull-outs, access roads, topsoil reapplication, erosion control, slope rounding, non-standard features, architectural features, landscaping features, maintenance items, etc.), but are not related directly to the stated purpose-and-need for the project.

5. CORRIDOR AND SYSTEM COORDINATION

This section should address the coordination and consistency of the proposed purpose-and-need with statewide, regional, and local planning efforts such as:

- District System Management Plan (DSMP).
- Transportation Concept Reports/Route Concept Reports.
- Regional Transportation Plans (RTP).
- Congestion Management Program (CMP).
- State Implementation Plan (SIP).
- Bicycle and pedestrian master plans.

If applicable, identify regional and program objectives, and the project consistency with fulfilling those objectives.

Provide a summary of the information from the Planning Scoping Checklist obtained from the district transportation planning unit to address other State Highway improvements, local improvements or any development projects within the immediate project vicinity.
Identify the date that the route was adopted, the CTC designation of the route or route denominations, and identify any applicable freeway or controlled access agreements, potential freeway or controlled access agreements, and potential relinquishments.

A project that requires a new public road connection must provide a description of the land-use development to be served by the new connection, describe the relationship to the local agency’s general plan or other specific area plans, and justification per Chapter 27 of this manual that existing interchanges or local road systems cannot be improved to handle the deficiencies.

6. ALTERNATIVES

Alternatives – General

Alternatives that should always be considered, as described in Chapter 9 of this manual, are:

- The “No Build” Alternative.
- The alternative that meets current mandatory and advisory design standards.
- The “Minimum Build Alternative” – this alternative must meet the purpose-and-need for the project. This alternative provides a way of addressing the transportation deficiency if there is a shortage of funding.

The exclusion of any of the above alternatives must be explained. If the alternative that meets current mandatory and advisory design standards is rejected, approval of exceptions to mandatory and advisory design standards must be obtained and referenced. Rejected alternatives and justification for rejection must be discussed.

Summarize information provided in the PEAR. Refer to the Standard Environmental Reference for further guidance on the PEAR or equivalent environmental analysis for each alternative.

Discuss any constructability issues. Summarize the results of the constructability review.

Alternative discussions can refer to attachments including: schematic maps of the study area and typical cross-sections, as appropriate.
Alternatives – All PIDs except PSR-PDS’

Alternatives for other PIDs are developed and refined to a higher degree than the alternatives for the PSR-PDS and long-lead SHOPP projects. See Appendix S for information on PSR-PDS and long-lead SHOPP projects. The alternative section for all other PIDs must include a discussion of the design scope, describe the boundary of the study area, and define the key activities for PA&ED, PS&E, and construction for each alternative. Discuss capital construction and right-of-way costs for each alternative.

As appropriate, consider the following topics for each alternative:

- Discuss alternatives in terms of the design scope that will satisfy the project purpose-and-need.
- Describe the boundary of the study area for the alternatives. During PA&ED functional units will use this information to determine potential impacts in the area. The boundary should not be limited to just the final right-of-way required for each alternative, but should also include a high level estimate of areas that may be required for construction of the alternative (e.g., haul roads, temporary bicycle or pedestrian facilities, detours, material storage, and cut and fill areas).
- The boundary of the study area must be established to include reasonable modification to the alternative. Improper identification of the project study area can result in unanticipated studies and project delays.
- If applicable, discuss whether some or all of the alternatives were developed through the application of the value analysis process and how this process improved the alternative.
- Discuss the type of information needed to evaluate and estimate the scope, cost, and schedule for each alternative. Identify the resources needed to complete the PA&ED, PS&E, Right of Way and Construction. Specific information on right-of-way and environmental issues should be discussed in the section on Environmental Compliance and Right of Way.
- Discuss whether the alternative will require approval of one or more design exceptions. Deviations from mandatory and advisory design standards (see HDM Index 82.2 – Approvals for Nonstandard Design) shall be discussed and any exceptions shall be approved by the appropriate individuals prior to PID approval. Separate documentation and approval(s) will be required as per Chapter 21 of this manual.
- Discuss which studies and actions are required for approval of each alternative (e.g., FHWA, CTC, route matters, etc.)? For further guidance see Chapter 12 and 13 of this manual.
- A summary of the traffic analysis for each alternative is required.
Appendix L – Preparation Guidelines for Project Study Report
Section 3 – Outline for Project Study Report

• A Transportation Management Plan (TMP), as described in Chapter 8 of this manual must be considered during the project initiation phase. A TMP provides strategies and actions for minimizing activity-related traffic delays and accidents. It is important to allow for proper cost, scope and scheduling of TMP activities at this early stage of development, therefore prior to PID approval the TMP Manager must sign-off on the TMP DATA sheet. If a TMP is required, identify the TMP elements that would mitigate these traffic impacts and their associated costs. Discuss the need for a TMP for the programmable project alternative. Summarize the TMP in the PSR. For further discussion on TMP’s see Transportation Management Plan Guidelines.

• Discuss the need for staging plans to maintain VDS during construction for the programmable project alternative. Identify the temporary VDS elements (generally microwave video detection) that would be required to maintain the VDS and the associated costs.

• A storm water data report (SWDR) shall be prepared for every project. The storm water data report is prepared by the project engineer to document storm water decisions for any given project. The storm water data report is also used to help identify potential stormwater quality issues for the project. The Storm Water Quality Handbooks: Project Planning and Design Guide provides guidance on the appropriate forms to use to develop the storm water data report. The design district or regional stormwater coordinator shall confirm the appropriate storm water data report format to use. The PID shall include a summary of key stormwater elements identified in the storm water data report. The signed cover sheet shall be circulated with the PID for district review and attached to the final PID.

• Discuss any constructability issues. Summarize the results of the constructability review.

• Establish a sequence for data needs to manage risks to scope costs and schedule.

• Summarize the right-of-way impacts for each alternative. At a minimum include the number of parcels for acquisition, the number of relocations and the number of easements. Be sure to include any possible commitment and construction right-of-way requirements.

Identify exiting utilities and potential points of conflict, and any potholing and relocation activities that are anticipated.

Identify rail lines in the vicinity of the project and indicate needs for any track relocations, service contracts, or construction and maintenance (C&M) agreements.

• Discuss high-risk issues that can affect an alternative (e.g., local opposition, environmental compliance) or could affect the estimated resources and PA&ED delivery milestone dates.
For complex projects, there may be limited information at the PID phase. In these cases, it is very important to complete a risk assessment in order to establish the boundary of the study area. If the risks to the delivery commitment are high, it may be prudent to complete some studies during the PID development to increase the confidence in programmed construction estimates. A summary discussing risk management should be discussed in this section.

- For SHOOP Projects, include a listing of the SHOOP Project Output. Contact the appropriate Headquarters SHOOP Manager for the SHOOP Project Output form and guidance on how to complete the form.

7. COMMUNITY INVOLVEMENT

Discuss the types of public involvement activities that were used to develop the purpose-and-need statement, and to identify the alternatives to be studied. Discuss community concerns and objectives that were identified during the PID phase.

Discuss the CSS approach that will be used to obtain community involvement in the identification and evaluation of alternatives.

8. ENVIRONMENTAL DETERMINATION/DOCUMENT

For the programmable project alternative, describe the type of environmental determination to be obtained for the California Environmental Quality Act (CEQA) and identify who should be the lead agency. Describe the type of environmental determination/document for compliance with the National Environmental Protection Act (NEPA) when involved. If the highway work is to be part of a larger overall local agency development Environmental Impact Report (EIR), discuss the steps that are needed for any required FHWA approvals.

If a local agency EIR or Negative Declaration has been completed, reference should be made to both the environmental document and the Notice of Determination that was filed with the Governor's Office of Planning and Research.

9. FUNDING

Capital Estimate – General

Identify potential or proposed sources of funding and project funding eligibility (e.g., “Federal aid eligible”) to fully fund the project. Examples of funding sources are a
specific local entity, STIP program, or “future county shares.” If necessary, expand the table to allow for multiple funding sources.

Cooperative features should be summarized in this section. Refer to Chapter 16 – Cooperative Agreements, of this manual for policies on cooperative agreements.

Fill out the funding tables based on the programmable project alternative. Discuss the assumptions and the risk factors for the programmable project alternative cost.

Refer to Chapter 20 – Project Development Cost Estimates for more information on the PSR cost estimating methodologies.

**Capital Support Estimate**

Estimate the Caltrans resources that will be needed to complete future support components.

If federal dollars are used on any portion of the project and local agency support costs are considered a “soft” match for federal reimbursement, identify and discuss the local agency support cost.

Fill out the Capital Support Table for the remaining project components. For projects-funded-by-others (as defined in Chapter 9 of this manual); identify resource needs for Caltrans personnel to perform independent quality assurance or reimbursed work.

**10. SCHEDULE**

Provide a delivery schedule for significant milestones. For practical purposes this schedule shows the amount of time needed to complete the project. At a minimum, provide a tentative delivery schedule for milestones that are designated as Headquarters mandatory milestones in Workplan Standards Guide, Release 11.0 For Capital Outlay Projects. Additional milestones, described as optional, may be listed for any significant deliverables. Identify if the schedule is based on an optimistic or worst-case scenario start date.

Discuss all schedule constraints and assumptions for programmed milestones. A tentative schedule is not complete without documentation of the assumptions and constraints. The assumptions and constraints provide decision-makers with the rationale used to develop the schedule and the factors that could have significant...
impact on the schedule. The assumptions and constraints provide stakeholders with an understanding of critical delivery areas. For example, the schedule may be based on starting the environmental studies in March of 20XX. Funding may not become available until July of 20XX. Due to the seasonal constraints for completing a study, beginning environmental studies after funding is secured in July 20XX, may result in a year delay of the project as the environmental studies would not be able to begin until March 20XX+1. Such a constraint should be clearly identified in the PID.

The schedule, the resource needs, and estimate must be consistent with the work plan that is submitted to HQ Program Project Management.

Fill in the month, year, and day for proposed program delivery milestones.

11. FHWA COORDINATION

Discuss coordination with FHWA.

If either federal action or the use of federal funds is anticipated, include the following language:

This Report has been reviewed by (Name and title of the FHWA Liaison Engineer) reviewing on (date). Per (latest federal Transportation Act), this project is eligible for federal-aid funding and is considered to be (STATE-AUTHORIZED or FULL-OVERSIGHT) under current FHWA-Caltrans Stewardship Agreements. (If either no federal-aid funding will be used or no FHWA approval required, delete the above statement and replace with the statement: “No federal-aid funding anticipated or no FHWA action required for this project.”).

Discuss whether or not the project is eligible for funding from the federal Congestion Mitigation and Air Quality (CMAQ) Improvement Program. To determine if a project specific emission analysis needs to be made to qualify for CMAQ funding, consult FHWA CMAQ guidance that can be found at:

http://www.fhwa.dot.gov/environment/air_quality/cmaq/

If Interstate access is being added or modified, discuss the process for obtaining FHWA approval.

- For a PSR, a FHWA “Determination of Engineering and Operational Acceptability” must be obtained prior to approval of the PSR. Give the date that the unsigned draft PSR was transmitted to FHWA and the date of the FHWA “Determination of Engineering and Operational Acceptability.”
12. DISTRICT CONTACT

Give name and phone number of district representative to be contacted concerning questions on the PSR submittal.

13. PROJECT REVIEWS

Include the completion date of major reviews such as the constructability review and the district safety review. Include the signature of the reviewer and, if applicable, attach a list of the attendees.

The templates include a list of suggested reviews. Each district should modify the template to reflect the district’s review procedures.

14. ATTACHMENTS

The following table provides examples of the appropriate attachments and files. Each project should be evaluated as to the appropriate inclusion of specific reports and information. Do not include raw data that is used in the analysis in the report or as an attachment. This information should be part of the project file and kept to support engineering recommendations.
### Required Attachments

- Location and/or vicinity map.
- Schematic maps of the Study Area or Alternatives.
- Other appropriate maps.
- Approved estimate using the appropriate format.
- Project Support Cost Estimate.
- PEAR or equivalent report.
- Right of Way Data Sheet or equivalent document.
- If applicable, an executable cooperative agreement.
- Advance Planning Study.
- For STIP projects, include a Project Programming Request as an attachment. The instructions and template are at: [http://www.dot.ca.gov/hq/transprog/ocip/2012stip.htm](http://www.dot.ca.gov/hq/transprog/ocip/2012stip.htm)
- Typical X-sections, if appropriate.
- SHOPP Performance Outputs (Only required for SHOPP Projects).
- Storm Water Data Report-signed cover sheet.

### Optional Attachments

- Environmental Study Check List or Equivalent Document.
- Division of Engineering Scoping Checklist.
- Caltrans or County/City Bicycle and Pedestrian Maps.
- Level of Service Calculations
- SI Calculation
- Complete Traffic Study
- Initial Site Assessment (Hazardous Waste)
- Technical Studies
- Detailed Mapping
- Storm Water Data Report
- Transportation Management Plan

### Project Files and Supplemental Documents

(Note: key issues should be summarized in the PID)

- Design Scoping Index or Equivalent Document.
- Planning Scoping Checklist
- Previous Environmental Determinations/Documents
- Biotic Assessment
- Traffic Data, Table B
- Complete Traffic Study
- Appraisal Report
- Rosters of personnel participating in major reviews such as the District Safety Review and the Constructability Review.

Functional scoping checklists are worksheets for collecting pertinent information from specified functional units. Scoping checklists also document reviews by Headquarters’ liaisons.
SECTION 4 PSR Estimates

ARTICLE 1 PSR Capital Estimate Components

General
The PSR Capital Estimate must be as realistic and accurate as possible. The degree of effort and detail in each study is expected to vary depending upon complexity and sensitivity of the issues.

Additional Information
Additional information that must be obtained includes existing and forecasted traffic, existing and planned bicycle or pedestrian facilities, materials information (particularly where foundation and slope stability problems can be anticipated), advance structure estimates for widening existing structures as well as new facilities, hazardous waste assessment, potential issues related to environmental compliance, right-of-way and utilities, and traffic handling, etc.

Because the PSR Estimate is used to make Programming decisions for the STIP, the importance of an accurate estimate cannot be overemphasized.

Contingencies should be 25 percent at this stage; however, a higher or lower percentage may be used if justified. The contingency is expected to cover unanticipated items of work or cost increases.

ARTICLE 2 Project Cost Estimate

The cost estimate should be prepared using the instructions and procedures found in Chapter 20 – Project Development Cost Estimates. This will identify items that need to be considered and included in the project. It is very important that all known items of work be identified and estimated. It is recognized that not all projects will have each and every item listed in the estimate template. In some instances, not all of the items can be identified at this stage and an appropriate contingency factor should therefore be applied to reflect other possible items. It is also necessary to periodically review and update cost estimates as the project proceeds through the project development process. Any substantial increase in cost should be discussed, as appropriate, with the funding sponsor and RTPA.
SECTION 5 Scoping Tools

ARTICLE 1 General

This section contains some of the tools used by various functional areas to aid the project team in scoping the project. The tools not contained in this section can be obtained from the appropriate functional unit.

Upon receiving a request for project information, each functional unit completes the appropriate scoping tool and transmits the information to the unit responsible for developing the PID.

The Design Scoping Index can either capture or reference project information from various functional units.

The tools not contained in this section list can be obtained from the appropriate functional unit.

ARTICLE 2 Design Scoping Index

The index can serve as discussion document to help the design units analyze the highway system and identify design issues and strategies that should be addressed during the project initiation phase.

The index can serve to facilitate discussions with other functional units to identify project issues and stakeholder input needed to properly scope the project.

The Design Scoping Index is used in conjunction with the scoping checklists from other functional units. When filling out the index, use some type of notation to indicate if information on the index is based on assumptions. Project information is dynamic and the information in this index should be revised and dated throughout the project initiation process. As the project progresses, information should be verified, updated, and possibly addressed in a risk analysis.

To aid in engineering decision regarding the development of geometric plans, refer to the HDM and Design Information Bulletin 78 – Design Checklist.

The current Design Scoping Index is available at:
http://www.dot.ca.gov/hq/oppd/pdpm/templates/design-scoping-index-template.docx
ARTICLE 3  Transportation Planning Scoping Information Sheet

The majority of the data requested for the transportation planning scoping information sheet is compiled at two separate time periods. The initial information is collected by the Transportation Planning PDT representative at the start of Project Initiation Document (PID) development to ensure appropriate stakeholders are included in the process and all pre-planning efforts and commitments are reviewed before any project decisions are made. Explanations of how the requirements were met will need to be finalized by the end of the PID. Initial information required for each section of the planning information sheet is identified as INITIAL PID INFORMATION and the concluding information is identified as FINAL PID INFORMATION.

Guidance to assist the transportation planner in completing this information sheet is located at: http://www.dot.ca.gov/hq/tpp/offices/opsc/pdpm_scoping_tools.html
# Transportation Planning Scoping Information Sheet

## PROJECT INFORMATION

<table>
<thead>
<tr>
<th>District</th>
<th>County</th>
<th>Route</th>
<th>Post Miles</th>
<th>Expenditure Authorization No.</th>
<th>Project ID No/</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<td></td>
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</tbody>
</table>

**Project Name and Description:**

**Prepared by:**

<table>
<thead>
<tr>
<th>District Information Sheet Point of Contact*</th>
<th>Name:</th>
<th>Functional Unit:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
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</tbody>
</table>

* The District Information Sheet Point of Contact is responsible for completing Project Information, PDT Team and Stakeholder Information, and coordinating the completion of project-related information with the Transportation Planning Stakeholders. Upon completion, provides the Transportation Planning PDT Representative and Project Manager with a copy of the Information Sheet.

## Project Development Team (PDT) Information

<table>
<thead>
<tr>
<th>Title</th>
<th>Name</th>
<th>Phone Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Manager</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Project Engineer</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Transportation Planning PDT Representative**</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

## Transportation Planning Stakeholder Information

<table>
<thead>
<tr>
<th>Title</th>
<th>Name</th>
<th>Phone Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Regional Planner</td>
<td></td>
<td></td>
</tr>
<tr>
<td>System Planner</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Local Development-Intergovernmental Review (LD-IGR) Planner</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Community Planner</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Goods Movement Planner</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Transit Planner</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bicycle and Pedestrian Coordinator</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Park and Ride Coordinator</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Native American Liaison</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other Coordinators:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
**Project Purpose and Need**

The Transportation Planning PDT Representative is responsible for providing the PDT with the system-wide and corridor level deficiencies identified by Transportation Planning. The PDT uses the information provided by Transportation Planning to develop the purpose and need with contributions from other Caltrans functional units and external stakeholders at the initiation of the PID and is refined throughout the PID process. As the project moves past the project initiation stage and more data becomes available, the purpose and need is refined. For additional information on purpose and need see: [www.dot.ca.gov/hq/env/emo/purpose_need.htm](http://www.dot.ca.gov/hq/env/emo/purpose_need.htm)

### 1. Project Funding:

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
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</thead>
<tbody>
<tr>
<td>a</td>
<td>List all known and potential funding sources and percent splits: (ie. State Transportation Improvement Program (STIP)/State Highway Operations and Protection Program (SHOPP)/Transportation Enhancement (TE)/Environmental Enhancement and Mitigation (EEM)/Safe Routes to School (SR2S)/etc.).</td>
</tr>
<tr>
<td>b</td>
<td>Is this a measure project? Yes_/No_. If yes, name and describe the measure.</td>
</tr>
</tbody>
</table>

### 2. Regional Planning:

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>a</td>
<td>Name of and contact information for Metropolitan Planning Organization (MPO) or Regional Transportation Planning Agency (RTPA).</td>
</tr>
<tr>
<td>b</td>
<td>Name of and contact information for local jurisdiction (City or County)</td>
</tr>
<tr>
<td>c</td>
<td>Provide the page number and project description as identified in the Regional Transportation Plan (RTP) and the date of adoption, or provide an explanation if not in RTP.</td>
</tr>
<tr>
<td>d</td>
<td>Provide nexus between the RTP objectives and the project to establish the basis for the project purpose and need.</td>
</tr>
<tr>
<td>e</td>
<td>Is the project located in an area susceptible to sea-level rise?</td>
</tr>
<tr>
<td>f</td>
<td>Name of Air Quality Management District (AQMD)</td>
</tr>
</tbody>
</table>
| g | If the project is located in a federal non-attainment or attainment-maintenance area is the project:  
  - Regionally Significant? (per 40 (Code of Federal Regulations (CFR) 93.101) Y_/N_  
  - Exempt from conformity? (per 40 CFR 93.126 and 93.128) Y_/N_  
  - Exempt from regional analysis? (per 40 CFR 93.127) Y_/N_  
  - Not exempt from conformity (must meet all requirements)? Y_/N_ |

### 3. Native American Consultation and Coordination:

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
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</thead>
<tbody>
<tr>
<td>a</td>
<td>If project is within or near an Indian Reservation or Rancheria? If so, provide the name of Tribe.</td>
</tr>
</tbody>
</table>
### Appendices

#### Project Development Initiation and Approval Reports

<table>
<thead>
<tr>
<th>Question</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Has/have the Tribal Government(s) been consulted? Y__/N__? If no, why not?</td>
<td></td>
</tr>
<tr>
<td>If the project requires Caltrans to use right-of-way on trust or allotted lands, this information needs to be included as soon as possible as a key topic in the consultation with the Tribe(s). Has the Tribe been consulted on this topic? Y__/N__. If no, why not?</td>
<td></td>
</tr>
<tr>
<td>Has the Bureau of Indian Affairs (BIA) been notified? Y__/N__?</td>
<td></td>
</tr>
<tr>
<td>Have all applicable Tribal laws, ordinances and regulations [Tribal Employment Rights Ordinances (TERO), etc.] been reviewed for required contract language and coordination?</td>
<td></td>
</tr>
<tr>
<td>If the Tribe has a TERO, is there a related Memorandum of Understanding between the District and the Tribe?</td>
<td></td>
</tr>
<tr>
<td>Has the area surrounding the project been checked for prehistoric, archeological, cultural, spiritual, or ceremonial sites, or areas of potentially high sensitivity? If such areas exist, has the Tribe, Native American Heritage Commission or other applicable persons or entities been consulted?</td>
<td></td>
</tr>
<tr>
<td>If a Native American monitor is required for this project, will this cost be reflected in cost estimates?</td>
<td></td>
</tr>
<tr>
<td>In the event of project redesign, will the changes impact a Native American community as described above in d, e, or h?</td>
<td></td>
</tr>
</tbody>
</table>

4. **System Planning:**

<table>
<thead>
<tr>
<th>Question</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Is the project consistent with the DSMP? Y__/N__? If yes document approval date. If no, explain.</td>
<td></td>
</tr>
<tr>
<td>Is the project identified in the TSDP? Y__/N__? If yes, document approval date_. If no, explain.</td>
<td></td>
</tr>
<tr>
<td>Is the project identified in the TCR/RCR or CSMP? Y__/N__? If yes, document approval date_. If no, explain. Is the project consistent with the future route concept? Y__/N__. If no, explain.</td>
<td></td>
</tr>
<tr>
<td>Provide the Concept Level of Service (LOS) through project area.</td>
<td></td>
</tr>
<tr>
<td>Provide the Concept Facility – include the number of lanes. Does the Concept Facility include High Occupancy Vehicle lanes? Y__/N__</td>
<td></td>
</tr>
<tr>
<td>Provide the Ultimate Transportation Corridor (UTC) – include the number of lanes.</td>
<td></td>
</tr>
</tbody>
</table>
Appendix L – Preparation Guidelines for Project Study Report  
Section 5 – Scoping Tools

<table>
<thead>
<tr>
<th>Does the UTC include High Occupancy Vehicle Lanes?</th>
<th>Y__/N__</th>
</tr>
</thead>
<tbody>
<tr>
<td>Describe the physical characteristics of the corridor through the project area (i.e. flat, rolling or mountainous terrain...).</td>
<td></td>
</tr>
<tr>
<td>Is the highway in an urban or rural area? Urban__/Rural__. Provide Functional Classification.</td>
<td></td>
</tr>
<tr>
<td>Is facility a freeway, expressway or conventional highway?</td>
<td></td>
</tr>
<tr>
<td>Provide Route Designations: (i.e. Interregional Transportation Strategic Plan (ITSP) High Emphasis or Focus Route, Surface Transportation Assistance Act (STAA) Route, Scenic Route…).</td>
<td></td>
</tr>
<tr>
<td>Describe the land uses adjacent to project limits (i.e. agricultural, industrial…).</td>
<td></td>
</tr>
<tr>
<td>Describe any park and ride facility needs identified in the TCR/CSMP, local plans, and RTP.</td>
<td></td>
</tr>
<tr>
<td>Describe the Forecasted 10 and 20-year Vehicle Miles Traveled (VMT), Annual Average Daily Traffic (AADT), and Peak Hour truck data in the TCR. Include the source and year of Forecast, and names and types of traffic and travel demand analysis tools used.</td>
<td></td>
</tr>
<tr>
<td>Has analysis on Daily Vehicle Hours of Delay (DVHD) from the Highway Congestion Monitoring Program (HICOMP) been completed and included? Y__/N__.</td>
<td></td>
</tr>
</tbody>
</table>

5. **Local Development – Intergovernmental Review (LD-IGR):**

List LD-IGR projects that may directly or indirectly impact the proposed Caltrans project or that the proposed Caltrans project may impact. (Attach additional project information if needed.)

<table>
<thead>
<tr>
<th>LD-IGR Project Information</th>
<th>Project</th>
</tr>
</thead>
<tbody>
<tr>
<td>a</td>
<td>County-Route-Postmile &amp; Distance to Development.</td>
</tr>
<tr>
<td>b</td>
<td>Development name, type, and size.</td>
</tr>
<tr>
<td>c</td>
<td>Local agency and/or private sponsor, and contact information.</td>
</tr>
<tr>
<td>d</td>
<td>California Environmental Quality Act (CEQA) status and Implementation Date.</td>
</tr>
<tr>
<td>e</td>
<td>If project includes federal funding, National Environmental Policy Act (NEPA) status.</td>
</tr>
<tr>
<td>f</td>
<td>All vehicular and non-vehicular unmitigated impacts and planned</td>
</tr>
<tr>
<td></td>
<td>mitigation measures including Transportation Demand Management (TDM) and Transportation System Management (TSM) that would affect Caltrans facilities.</td>
</tr>
<tr>
<td>---</td>
<td>------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td><strong>g</strong></td>
<td>Approved mitigation measures and implementing party.</td>
</tr>
<tr>
<td><strong>h</strong></td>
<td>Value of constructed mitigation and/or amount of funds provided.</td>
</tr>
<tr>
<td><strong>i</strong></td>
<td>Encroachment Permit, Transportation Permit, Traffic Management Plan, or California Transportation Commission (CTC) Access approvals needed.</td>
</tr>
<tr>
<td><strong>j</strong></td>
<td>Describe relationship to Regional Blueprint, General Plans, or County Congestion Management Plans.</td>
</tr>
<tr>
<td><strong>k</strong></td>
<td>Inclusion in a Regional Transportation Plan Sustainable Community Strategy or Alternative Planning Strategy?</td>
</tr>
<tr>
<td><strong>l</strong></td>
<td>Regional or local mitigation fee program in place?</td>
</tr>
</tbody>
</table>

**6. Community Planning:**

### INITIAL PID INFORMATION

| **a** | Has lead agency staff worked with any neighborhood/community groups in the area of the proposed improvements? Y__/N__. If yes, summarize the process and its results including any commitments made to the community. If no, why not? |
| **b** | Are any active/completed/proposed Environmental Justice (EJ) or Community-Based Transportation (CBTP) Planning Grants in the project area? Y__/N__. If yes, summarize the project, its location, and whether/how it may interact with the proposed project. |
| **c** | Describe any community participation plans for this PID including how recommendations will be incorporated and/or addressed. Has a context sensitive solutions (CSS) approach been applied? Y__/N___ |

### FINAL PID INFORMATION

| **d** | How will the proposed transportation improvements impact the local community? Is the project likely to create or exacerbate existing environmental or other issues, including public health and safety, air quality, water quality, noise, environmental justice or social equity? Y__/N__. Describe issues, concerns, and recommendations (from sources including neighborhood/community groups) and what measures will be taken to reduce existing or potential negative effects. |
| **e** | Does this highway serve as a main street? Y__/N___. If yes, what main street functions and features need to be protected or preserved? |
### 7. Freight Planning:

<table>
<thead>
<tr>
<th>INITIAL PID INFORMATION</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>a</td>
<td>Identify all modal and intermodal facilities that may affect or be affected by the project.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>FINAL PID INFORMATION</th>
<th></th>
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</thead>
<tbody>
<tr>
<td>b</td>
<td>Describe how the design of this project could facilitate or impede Goods Movement and relieve choke points both locally and statewide through grade separations, lane separations, or other measures (e.g., special features to accommodate truck traffic and at-grade railroad crossings).</td>
</tr>
</tbody>
</table>

<p>| | |</p>
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<tbody>
<tr>
<td>c</td>
<td>Describe how the project integrates and interconnects with other modes (rail, maritime, air, etc.). Do possibilities exist for an intermodal facility or other features to improve long-distance hauling, farm-to-market transportation and/or accessibility between warehouses, storage facilities, and terminals?</td>
</tr>
</tbody>
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<p>| | |</p>
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<tbody>
<tr>
<td>d</td>
<td>Is the project located in a high priority goods movement area, included in the Goods Movement Action Plan (GMAP) or on a Global Gateways Development Program (GGDP) route? Y__/N__. If yes, describe.</td>
</tr>
</tbody>
</table>

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<tbody>
<tr>
<td>e</td>
<td>Is the project on a current and/or projected high truck volume route [e.g., Average Annual Daily Truck Traffic (AADTT) of 5 axle trucks is greater than 3000]? Yes__/N__. If yes, describe how the project addresses this demand.</td>
</tr>
</tbody>
</table>

<p>| | |</p>
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<thead>
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<tbody>
<tr>
<td>f</td>
<td>If the project is located near an airport, seaport, or railroad depot, describe how circulation (including truck parking) needs are addressed.</td>
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</tbody>
</table>

<p>| | |</p>
<table>
<thead>
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<tbody>
<tr>
<td>g</td>
<td>Describe any other freight issues.</td>
</tr>
</tbody>
</table>

### 8. Transit (bus, light rail, commuter rail, intercity rail, high speed rail):

<table>
<thead>
<tr>
<th>INITIAL PID INFORMATION</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>a</td>
<td>List all local transit providers that operate within the corridor.</td>
</tr>
</tbody>
</table>

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
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</thead>
<tbody>
<tr>
<td>b</td>
<td>Have transit agencies been contacted for possible project coordination? Y__/N__. If no, why not?</td>
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</tbody>
</table>

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
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</thead>
<tbody>
<tr>
<td>c</td>
<td>Describe existing transit services and transit features (bus stops, train crossings, and transit lines) within the corridor.</td>
</tr>
</tbody>
</table>

<p>| | |</p>
<table>
<thead>
<tr>
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</thead>
<tbody>
<tr>
<td>d</td>
<td>Describe transit facility needs identified in short- and long-range transit plans and RTP. Describe how these future plans affect the corridor.</td>
</tr>
</tbody>
</table>
### 9. Bicycle:

<table>
<thead>
<tr>
<th>INITIAL PID INFORMATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>a</td>
</tr>
<tr>
<td>b</td>
</tr>
<tr>
<td>c</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>FINAL PID INFORMATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>d</td>
</tr>
<tr>
<td>e</td>
</tr>
<tr>
<td>f</td>
</tr>
</tbody>
</table>

### 10. Pedestrian including Americans with Disabilities Act (ADA):

<table>
<thead>
<tr>
<th>INITIAL PID INFORMATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>a</td>
</tr>
<tr>
<td>b</td>
</tr>
<tr>
<td>c</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>FINAL PID INFORMATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>d</td>
</tr>
</tbody>
</table>
### Appendix L – Preparation Guidelines for Project Study Report

#### Section 5 – Scoping Tools

<table>
<thead>
<tr>
<th></th>
<th>How will this project affect local agency plans for pedestrian safety and mobility improvements?</th>
</tr>
</thead>
<tbody>
<tr>
<td>f</td>
<td>If the project is the construction of a new freeway or modification to an existing freeway, will it sever or destroy existing provisions for pedestrian travel? If yes, describe how pedestrian travel provisions will be included in this project.</td>
</tr>
<tr>
<td>g</td>
<td>Are there any external pedestrian advocacy groups and advisory committees that should be included in the project stakeholder list? If so, provide contact information.</td>
</tr>
<tr>
<td>h</td>
<td>Have ADA barriers as noted in the District’s ADA Transition Plan been identified within the project limits? If not included in the project, provide justification and indicate whether District Design coordinator approval was obtained.</td>
</tr>
</tbody>
</table>

11. **Equestrian:**

**INITIAL PID INFORMATION**

| a | If this corridor accommodates equestrian traffic, describe any project features that are being considered to improve safety for equestrian and vehicular traffic? |

**FINAL PID INFORMATION**

| b | Have features that accommodate equestrian traffic been identified? If so, are they included a part of this project? Describe. If no, why not? |

12. **Intelligent Transportation Systems (ITS):**

**INITIAL PID INFORMATION**

| a | Have ITS features such as closed-circuit television cameras, signal timing, multi-jurisdictional or multimodal system coordination been considered in the project? Y_/N_. If yes, describe. If no, explain. |

**FINAL PID INFORMATION**

| b | Have ITS features been identified? If so, are they included a part of this project? Describe. If no, why not? |

---

**ARTICLE 4** **Traffic Forecasting, Analysis and Operations Scoping**
Traffic Forecasting, Analysis and Operations Scoping Checklist

Project Information

District ______ County ______ Route ______ Post Mile _______ EA _________

Description (include how project was identified: system planning, safety investigation, highway and freeway surveillance, etc.)

_____________________________________________________________________
_____________________________________________________________________
_____________________________________________________________________

Project Manager _______________________________________
Phone #___________________

Project Engineer _______________________________________
Phone #___________________

Traffic Forecasting Functional Manager _____________________
Phone #___________________

Traffic Operations Functional Manager _____________________
Phone #___________________

Traffic Forecasting, Traffic Analysis Scoping

Describe and identify in the following sections a general description of the existing traffic and forecasted traffic (using existing data and transportation concept reports). Analyze traffic data and determine what traffic operational conditions are anticipated. Identify any additional studies needed to accurately forecast and fully analyze the traffic operations as part of the preparation of the environmental determination/document. Consult with the District Local Development-Intergovernmental Review Planner for applicable local agency studies of land development proposals.

Under traffic modeling assumptions, traffic models should be validated and calibrated. The general plan buildout should be used to incorporate potential land use changes that are probable in the future. An interim year may be selected to incorporate a significant land use change or development.

At the PSR stage, the traffic forecasting and analysis tasks are intended to utilize readily available information and traffic models. At this stage of the project development process, it is not intended that extensive effort be devoted to the generation of traffic data and to the significant updating of traffic models. If necessary, these tasks will occur at later stages of the process. However, exceptions may be necessary in cases where the traffic data or models are highly suspect.
Traffic Operations Scoping

Based on the traffic analysis, describe and identify in the following sections a general description of the traffic operational improvements required (auxiliary lanes, signalized intersections, etc.) to address the traffic operational conditions and applicable warrants. The traffic operation improvements should be discussed in sufficient detail to identify the project’s major geometric features and operations issues. Also discuss in detail traffic management system improvements (ramp metering, CMS, HOV lanes, etc.) to be incorporated. Discuss any components of the traffic management system that may be controversial during development of the environmental determination/document.

Project Screening

1. Project Features: New R/W? _____ Excavation or fill? _____

2. Project Setting

   __________________________________________________________________________________
   Rural or Urban

   __________________________________________________________________________________
   Current land uses

   __________________________________________________________________________________
   Adjacent land uses
   (industrial, light industry, commercial, agricultural, residential, etc.)

Existing Traffic Operational Conditions and Warrants Supporting the Need for the Improvement

   __________________________________________________________________________________
   Mainline highway

   __________________________________________________________________________________
   Ramp intersection

   __________________________________________________________________________________
   Merge / diverge

   __________________________________________________________________________________
   Street intersection
Weaving / merging (spacing)

Describe facilities for pedestrians and bicycles (e.g., marked non-intersection pedestrian crosswalks, intersections with bicycle paths, etc.)

Traffic Study and Analysis Anticipated

Traffic Modeling Assumptions

- Use Local Model
  - Update New Model
  - New Model
- Existing Traffic Counts
  - New Traffic Counts
  - Historical Growth
- General Plan (GP) Buildout
  - Pro-Rate GP Growth

- Existing Year ( )
  - Design Year ( )
  - Interim Year ( )

Other

Traffic Analysis

- Mainline LOS
  - Merge/Diverge LOS
    - Ramp Int. LOS
- Adjacent IC LOS
  - Ramp Metering (open)
    - Ramp Metering (later)
- Left/Right Turn Storage
  - Accident / Safety Analysis
    - Intersection Queues
- Construction Staging
  - Project Staging
  - TMP Staging
  - VDS Staging (temporary microwave monitoring stations)

Other
Appendix L – Preparation Guidelines for Project Study Report

Section 5 – Scoping Tools


**Traffic Operations Scoping**

**Traffic Operational Improvements**

Attach the project location map to this checklist to show location of all traffic operations improvements anticipated.

- Auxiliary Lanes
  - Intersection Improvements
  - Truck Climbing Lane
- New Signals
  - Modify Signals
  - Merging Improvements
- Weaving Improvements
  - Deceleration / Acceleration Lanes
- Other

**Traffic Management Systems**

Attach the project location map to this checklist to show location of all traffic management systems identified.

- Ramp Meters
  - HOV Ramp Bypass
  - Mainline HOV Lanes
- Detector Systems
  - Detector Loops
  - Detector Lead-in-cables
  - VDS Staging (temporary microwave monitoring stations)
- Communication Networks (fiber optics, telephones, etc.)
- Closed Circuit Television
  - Changeable Message Sign
  - Highway Advisory Radio
- Other
Discuss strategies (technical analysis, public outreach, etc.) to secure local agency and public support to implement HOV lanes and ramp metering:

_____________________________________________________

Preliminary Traffic Forecasting Evaluation provided by:
Traffic Forecasting _________________________________ Date ________

Preliminary Traffic Operations Evaluation provided by:
Traffic Operation Engineer __________________________ Date ________
Traffic Electrical Engineer __________________________ Date ________

Download a copy in Microsoft Word (Word 97) format Traffick.doc
SECTION 6  Template for Project Study Report

This section is a template for the project study report. When using the template, delete any italicized text within the body of the document. The italicized text provides instructions for template users and does not provide any value to the final document.

The template is available at:

http://www.dot.ca.gov/hq/oppd/pdpm/templates/apdx-l-template.docx
ATTENTION! There are a number of items in this appendix that need to be updated—especially in the areas of funding/programming, risks, and FHWA coordination. Until this appendix is updated, please see Appendix K for the discussion of topics in the Microsoft Office Word template associated with this appendix and discuss any issues with the Headquarters SHOPP program manager or advisor.

APPENDIX M – Preparation Guidelines for Project Report (Safety Roadside Rest Area)

Safety Roadside Rest Area Rehabilitation
New Safety Roadside Rest Area
Auxiliary Parking Facility
Safety Roadside Rest Area Closure

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APPENDIX M – Preparation Guidelines for Project Report (Safety Roadside Rest Area)

ARTICLE 1 – Overview

Use of Project Report

These guidelines provide an outline to be used with the procedures described in Chapter 29 of the Project Development Procedures Manual (PDPM) for "Safety Roadside Rest Area" projects. All Safety Roadside Rest Area (SRRA) projects funded from the 20.XX.201.250 (SRRA Restoration,) program or 20.XX.201.260 (New SRRA) program require a Project Report (PR).

The PR-SRRA is used as the primary project reference document by both Headquarters and the District. The need for accurate and complete project information is essential. The District is responsible for the development and presentation of all data required for the PR-SRRA.

ARTICLE 2 - Item-by-Item Guidelines for PR-SRRA Outline

Report Format

The PR-SRRA is prepared and submitted following the Outline at the end of this Appendix. The data required is to be provided under the following headings, and arranged and numbered in the sequence shown in the Outline. The following headings correspond to specific topics that are to be discussed in the submittal.

Cover Sheet

All PR-SRRAs should have a standard cover sheet to provide project identification information and signatures. Information to be provided includes the following:

- Title
  “Project Report - Safety Roadside Rest Area Rehabilitation”,
  “Project Report - New Safety Roadside Rest Area”,
  “Project Report - Auxiliary Parking Facility” or
  “Project Report - Safety Roadside Rest Area Closure”
• File Reference

District-County-Route-Post Mile [Dist-Co-Rte-KP (PM)]
The Post Mile should be given to the nearest 0.1 mile; if the project is 0.2 mile or more in length, give both the beginning and ending.

Responsible Unit (RU)
The unit source code of the licensed landscape architect or engineer in responsible charge of the technical features of the project.

Expenditure Authorization (EA)
The multiphase EA, using the "0" phase for the project.

Program Identification
Program Identification indicates which program will fund this task/phase of the project. Currently, SRRA projects are funded in the SHOPP. The SHOPP code for the development of PRs for SRRA Rehabilitation and SRRA Closure Projects is 20.XX.201.250; and 20.XX.201.260 for New SRRA and Auxiliary Parking Facilities Projects.

• On Route _____ From ________ To ________ (for New SRRA or Auxiliary Parking Facility), or

On Route _____ at the ____________________ Safety Roadside Rest Area (for Rehabilitation or Closure)

Provide a brief written description of the project limits that corresponds to Post Mile given above and ties the limits to commonly known physical features on the ground that can be identified on available mapping.

• Vicinity Map

Provide a small map showing the project limits consistent with the brief description and Post Miles, and a north arrow. The map should be sufficient to locate the project at a glance for a person unfamiliar with the project. It should show the features used to identify the project limits such as roads, streams, junctions or railroads, and the nearest town (unless too distant), and a note indicating the direction to and name of the next town in each direction.

• Right of Way Statement

Provide a statement signed by the Deputy District Director of Right of Way indicating the review of the right of way information contained in the PR-SRRA and the right of way data sheet attached to it, and a finding that the data is complete, current and accurate.
• Approval Recommended
The recommendation for approval signed by the Project Manager (PM), the District Landscape Architect, and District Maintenance indicating concurrence with the project scope and cost.

• Approval
Approval of the PR-SRRA recommendations is indicated when signed and dated by the District Director or by a Deputy District Director to whom that authority has been officially delegated. The date of signature becomes the official date for project approval.

Licensed Landscape Architect’s Stamp and Statement
The second page of the PR-SRRA contains the required seal or stamp and signature of a licensed landscape architect who is the person in responsible charge of the landscape features. The sheet must include a statement indicating that the licensed landscape architect attests to the technical information contained herein and the data upon which recommendations, conclusions, and decisions are based. Approval of the PR-SRRA is a management decision and is separate from this technical signature of the person in responsible charge of the landscape features.

Registered Civil Engineer’s Stamp and Statement
The second page of the PR-SRRA also contains the required seal or stamp and signature of a registered civil engineer who is the person in responsible charge of the engineering features. The sheet must include a statement indicating that the registered civil engineer attests to the technical information contained herein and the engineering data upon which recommendations, conclusions, and decisions are based. Approval of the PR-SRRA is a management decision and is separate from this technical signature of the person in responsible charge of the engineering features.

1. INTRODUCTION

A. Type of Project
Describe the type of project. Provide a description of the complete scope of work. Examples are: new unit; upgrade of existing unit; correct ADA deficiencies; two units (north and southbound); one unit serving both directions, etc.

B. Scope of Work
Provide a brief description of the scope of work. Include the number of hectares (acres) if it’s a New SRRA or Auxiliary Parking Facility.

C. Project Cost Estimate
Provide the current project cost estimate for the complete project. Contact DES Office of Transportation Architecture to obtain cost information for the building.
D. Program Year and Source of Funding
For projects in the State Highway Operation and Protection Program (SHOPP), use 20.XX.201.250 for SRRA Rehabilitation or SRRA Closure Projects; and 20.XX.201.260 for New SRRA or Auxiliary Parking Facilities Projects.

2. RECOMMENDATION
Give a recommendation for approval. If cooperative features are described, recommend that the cooperative features be approved and a cooperative agreement be negotiated.

3. BACKGROUND

Rehabilitation
Update the information provided in the PSR.
- Describe why this project was initiated.
- Indicate the type of highway, access control, climate, seasonal road conditions, and use of rest area by trucks and busses. Describe existing parking capacity for cars and long vehicles as well as geometrics of existing ramps, merge and diverge areas.
- Briefly describe the type, age and condition of the comfort station(s) and other major facilities. Describe the condition of the site and amenities (e.g., utilities, ramps, parking, lighting, architecture, walks, and landscape).
- Provide the date of initial construction and any subsequent improvement projects.
- Describe who maintains the rest area and the annual cost.
- Identify and describe the characteristic architectural style of the surrounding community for the purpose of developing context appropriate design.
- Discuss any commitments made to local officials, private organizations, or other groups or individuals. Discuss any outside support or opposition to the project.
- Discuss existing or planned vending operations at this SRRA.
- Indicate conformance with SRRA Master Plan.

New SRRAs and Auxiliary Parking Facilities
Update the information provided in the PSR.
- Describe why this project was initiated.
- Discuss distances to nearby SRRAs, other stopping opportunities, and conformance with the SRRA Master Plan.
- Indicate the type of highway, access control, climate and seasonal road conditions.
- Discuss site feasibility including the availability and adequacy of potable water, electrical power and waste water treatment; ingress/egress to the site; and scenic value.
- Identify and describe the characteristic architectural style of the surrounding community for the purpose of developing context appropriate design.
- Address the feasibility of development and operational partnerships.
Closure
Update the information provided in the PSR.

- Indicate the type of highway, access control, climate and seasonal road conditions.
- Briefly describe the type, age and condition of the existing rest area facilities including the comfort station(s), utilities, ramps, parking, lighting, walkways and landscape.
- Provide the date of initial construction and any subsequent improvement projects.
- Describe who maintains the rest area and the annual cost.
- Describe any existing vending operation at this SRRA.

4. CAPACITY ANALYSIS/DESIGN GUIDELINES (for all projects)
Consult with the appropriate units to update the Design Data Sheet submitted in the PSR. Although these sheets will give a reasonable estimate of the numbers of required facilities, the requirements should be carefully analyzed and adjusted, if necessary, to meet the needs of the specific site. Include a brief discussion of the guidelines used in determining the number of required facilities. Refer to the *Highway Design Manual, Topic 903.5, "Facilities and Features".*

5. NEED AND PURPOSE

Rehabilitation
Update information from the PSR. Identify the problems, needs and/or deficiencies that necessitate this project. Consult with the Office of Transportation Architecture in DES for building deficiencies. Supplement, as appropriate, with maps, drawings, charts, tables and/or letters. Below is a checklist of potential deficiencies to consider:

- Compliance with legal or regulatory requirements (e.g., Americans With Disabilities Act (ADA), Cal-OSHA, health department, Water Quality Control Board).
- Safety and security (safe walks, lighting, signs, CHP facilities, surveillance cameras). Describe contacts with CHP.
- Maintainability and vandalism.
- Parking capacity as well as geometrics of existing ramps, merge and diverge areas.
- Rest room capacity.
- Accident history for rest area and route segment 15 km (10 miles) in each direction.
- Unauthorized shoulder, roadside, and community parking.
- User amenities including trash bins, picnic tables & shelters, benches, water faucets, restroom fixtures, landscaping, traveler information kiosks, vending and other site amenities.
New SRRAs and Auxiliary Parking Facilities
Update information from the PSR. Identify the problems, needs and/or deficiencies that necessitate this project. Supplement, as appropriate, with maps, drawings, charts, tables and/or letters. Include in your discussion:
- Parking deficiencies at adjacent rest areas.
- Unauthorized parking on shoulders, roadsides or in the adjacent community.
- Accident history for route segment 15 km (10 miles) in each direction from the proposed location.
- Physical or environmental limitations on expanding adjacent rest areas.
- Gap in rest area spacing.

Closure
Update information from the PSR. Identify the problem, need and justification for closure. Consider the following:
- Mainline and ramp traffic volumes, and vehicle types (automobiles, commercial trucks, busses) for the subject SRRA and the adjacent SRRAs.
- Current and 20-year projected rest area usage (vehicles and number of users) for subject and adjacent SRRA.
- Unauthorized parking on shoulders, roadsides or in the adjacent community.
- Accident history for route segment 15 km (10 miles) in each direction from the proposed location.

6. PROPOSED PROJECT

Rehabilitation, New SRRA, Auxiliary Parking Facilities

A. Project Description

1) General
Provide a written description of the schematic plan for the proposed project. Discuss pertinent points of your proposal, including conformance with the SRRA Master Plan.

2) Context Appropriateness
Describe how the proposed architecture relates to the characteristic architectural style of the region. Materials used in a project should reflect the character of the area. Discuss community and stakeholder involvement and recommendations.

3) Utilities
- Water system
  Describe the identified source of potable water and related facilities such as storage tanks or treatment plant, and how they will be utilized.
- Sewer system
  Describe the sewage disposal system, with local agency regulations considered, and consideration of a trailer dump station.
• Electrical system
  Describe the electric power source and how it will be utilized.

• Telephone
  Describe the telephone line source and how it will be utilized.

4) Agreements
   Discuss any agreements with CHP, sheltered workshops, or Department of Rehabilitation for this site.

B. Schematic Site Plan
   A Schematic Site Plan must be prepared for all New SRRA projects and for all SRRA Rehabilitation projects that involve demolition and replacement of existing comfort stations or the placement of new buildings. The schematic site plan must be of a scale sufficient to show the location and arrangement of all buildings, parking areas, walkways, benches, tables, picnic structures, lighting fixtures, public water faucets, trash receptacles, dumpster enclosures, kiosks, trees, lawn areas, and all other site elements that compose the design. Include the following:

• Ramps and Parking
  Ramp, merge and diverge area geometric improvements required by current Department standard. Number of car and truck parking spaces; number of accessible parking spaces for persons with disabilities; area lighting; and signs (vehicular and pedestrian).

• Architectural Building Features
  Include comfort stations, crew room, CHP facility, picnic tables, picnic tables with shelters, trash receptacles, dumpster enclosures, recycle containers, benches, information kiosks, vending machines, signs, and fencing. Include building footprints and elevations for the comfort stations.

• Pedestrian Facilities
  Include walks, curbs, lighting, drinking fountains, faucet assemblies, accessible features for persons with disabilities, and street washer boxes.

• Planting and Irrigation
  Include turf, ground cover, trees, shrubs, erosion control, and plant establishment period.

• Utilities
  - Water system source and any related facilities.
  - Sewer system facilities and trailer dump station.
  - Electrical system source.
  - Telephone line source.
C. **Privatization (New SRRA and Auxiliary Parking Facilities Only)**
Describe what privatization efforts will be undertaken. Identify the corridor for the investigation. Include the dollar amount of private sector participation to be solicited and amount of Caltrans proposed participation. Provide the schedule for the investigation.

D. **Project Cost Estimate**
The PM should, in coordination with the Office of Transportation Architecture in DES, base the project cost estimates on experience with similar projects and available historical data. Unless the particulars of a specific case justify use of a different factor, a 20% contingency factor should be used for project cost estimates at this phase of work.

Include a cost breakdown for each of the major elements of the project. Break costs down as follows:
- Ramps and parking
- Architectural building work. Use a 25% contingency for architectural building work only. Contact DES Office of Transportation Architecture to obtain building estimate information.
- Pedestrian Facilities
- Utilities and utility connection fees.
- Landscaping
- Right of way costs (not included in cost of construction) if applicable
- Other

In addition to the project cost estimate, include a brief analysis and estimate of the annual maintenance costs, including maintenance requirements of permanent storm water pollution prevention treatment BMPs.

E. **Alternatives**
Give a brief discussion of alternatives that were considered but not selected.

**SRRA Closure**
Describe the closure proposal. Update the material provided in the PSR.

Describe the impact on the rest area system and environment including:
- The distance between adjacent rest areas after closure and impact on those rest areas.
- Availability and capacity of alternate safe, free, 24-hour public stopping opportunities for all vehicle types (differentiate between free, for-fee and customer-only opportunities).
- Consistency with current SRRA Master Plan.
- Description of stakeholder input.
- Closure concurrence by FHWA and conditions or requirements, including reimbursement, if any.
Provide a project cost estimate for the closure.

Discuss alternatives considered in lieu of closure including: rehabilitation, replacement, relinquishment to other agencies, operation by others, and obliteration.

7. CONSIDERATIONS REQUIRING DISCUSSION
A brief summary of the results of studies made in developing the proposal should be included.

A. Hazardous Materials
Update information from the PSR regarding whether hazardous materials including Aerially Deposited Lead (ADL), Naturally Occurring Asbestos (NOA) are present within both the project site and existing buildings, and recommended actions for avoidance or mitigation.

B. Traffic Management Plan (TMP) for Rehabilitation Only
Update information provided in the PSR. Discuss whether the rest area and comfort station building will remain open or be closed during construction. Discuss if there will be temporary facilities and how the temporary facilities will be handled. Discuss how closure will be handled and how the public will be notified if closure is the option.

C. NPDES Permit Requirements and Storm Water Pollution Prevention
Update the Storm Water Data Report.

D. Utilities
The availability of utilities must be verified. Describe the source and proposed development of water; commercial electrical power; sewage system; and public telephone.

E. Right of Way
If right of way is required, explain the reasons, cost per hectare (acre), and amount required, and future actions necessary to acquire it. If no new right of way is needed, the report should so indicate.

F. Environmental Compliance
For New Safety Roadside Rest Areas, Auxiliary Parking Facilities, and Closure, provide a description of environmental compliance issues and any mitigation required as a result of new rest area development, auxiliary parking facilities or the removal and reuse of rest area site.

The PR-SRRA should document any key environmental issues, findings, assumptions, and commitments made to stakeholders during the PA&ED phase of work to ensure these key concepts are incorporated in the built project.

Depending on the scope of work involved, Safety Roadside Rest Area projects may be classified as Categorically Exempt (CE) under CEQA and Categorically Excluded (CE) under NEPA, or may require preparation of an environmental
document. The landscape architect should consult the District Environmental unit to determine which environmental document, if any, is required for the project. Safety Roadside Rest Area projects not considered CE under NEPA or CEQA must include preparation of an environmental document to complete the PA&ED phase of project delivery. The following statements must be included in the PR-SRRA where appropriate:

- **ND Projects**
  (Negative Declaration – State Only Funded Projects)

  For projects with a ND the following statement must be included:

  The ND has been prepared in accordance with Caltrans environmental procedures. The attached ND is the appropriate document for the proposal.

  The ND must be attached to the PR-SRRA.

- **ND/FONSI Projects**
  (Negative Declaration/Finding Of No Significant Impact)

  For projects with an ND/FONSI the following statement must be included:

  The ND/FONSI has been prepared in accordance with Caltrans environmental procedures, as well as State and Federal environmental regulations. The attached ND/FONSI is the appropriate document for the proposal.

  The ND/FONSI with the IS/EA must be attached to the PR-SRRA.

- **For projects Statutorily Exempt from CEQA,** the following statement must be included:

  The project is Statutorily Exempt from CEQA.

- **For projects Categorically Exempt (CE) from CEQA,** the following statement must be included:

  The project is Categorically Exempt under Class *(identify class)* of the CEQA guidelines.

- **When appropriate,** the following statement should be included:

  The project is Categorically Excluded under NEPA.

Before approving a PR-HP&R that includes a CE statement, the approving authority must have received the CE form (signed by the Environmental Branch Chief), and must verify:
1) No scope changes have been made that would affect the exemption determination;

2) The project description, included on the CE form, corresponds with the PR.

The Environmental Branch Chief should be consulted with questions regarding this verification.

The Standard Environmental Reference (SER) Volume 1, Chapter 30 describes the criteria a proposed project must meet to be considered Categorically Excluded from NEPA, and the preparation and processing of the Categorical Exclusion (CE) documentation.

The Standard Environmental Reference (SER) Volume 1, Chapters 34, 35 and 36 describe the preparation and processing of CEQA-only Categorical Exemptions, Initial Studies, Negative Declaration and Environmental Impact Reports.

G. Impact to Adjacent Facilities
Discuss the impacts to adjacent rest areas or commercial facilities if the closure, rehabilitation, or construction of new rest areas is not completed.

8. OTHER CONSIDERATIONS AS APPROPRIATE
• Permits and other approvals required.
• Consistency with other planning.
• Railroad involvement.
• Cooperative Agreements - Describe cooperative features, participants and responsibilities.
9. PROJECT SUPPORT

Update project capitol outlay support information provided in PSR. Include estimated PY effort and other support costs of project development and construction from the time the project is initially programmed through the final stages of construction. To ensure DES staff availability and timely project delivery, remember to coordinate the proposed schedule early with DES.

<table>
<thead>
<tr>
<th>Proposed Program</th>
<th>Design FYs</th>
<th>Division of Engineering Service Center PYs</th>
<th>FY Total</th>
<th>Other Costs</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Envir</td>
<td>Design</td>
<td>R/W</td>
<td>Const</td>
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<tr>
<td>Total</td>
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</tbody>
</table>

**Total Estimated Project PYs and Other Support Cost:**

*Note: Dollar value of estimated specialty contracts, etc. to be shown only when applicable

COMMENTS:

______________________________________________________________________

10. PROGRAMMING/FUNDING/SCHEDULING

Identify the source of funding and proposed project milestone dates. Discuss any programming issues. Where appropriate, include time in the project schedule for environmental document and permit review.

11. REVIEWS

Summarize all major reviews and coordination within the Department and with other interested agencies and attach pertinent correspondence to the PR-SRRA.

Indicate type of Federal involvement, i.e., exempt, certification acceptance, or project by project.

12. PROJECT PERSONNEL

List the name and phone numbers (CALNET and public) for the Project Development Team leader, Project Manager, Project Engineer, Architect, Project Landscape Architect, District Landscape Architect, LAP Rest Area Coordinator, LAP District Coordinator, Design Coordinator, Project Development supervisor and senior, Environmental Branch Chief, right of way reviewer, FHWA reviewer, Maintenance representative, etc.
13. **LIST OF ATTACHMENTS**

- Strip map
  
  This map should be of large enough scale to show the highway alignment and other human elements and natural features in the immediate vicinity.

- Schematic Site Plan
- Architectural Schematic Building Plans
- LAP Concurrence Memo
- FHWA Concurrence Letter
- Approval letters
  - Certification from utility companies
  - Geometrics
  - Longitudinal encroachment, if applicable

- Basic Design Data Sheet

- Test data
  - Percolation test
  - Test hole data for well, water analysis

- Aerial Photographs
- Appropriate Correspondence

- Appropriate environmental documentation or determination, as outlined above

- Right Of Way Data Sheet
- Draft Cooperative Agreement (if applicable)
- PR Project Cost Estimate approved by PM

- Storm Water Data Report
PROJECT REPORT
(Safety Roadside Rest Area Rehabilitation) or
(New Safety Roadside Rest Area)
(Auxiliary Parking Facility)
(Safety Roadside Rest Area Closure)

Vicinity Map

Show:

- Project limits
- North Arrow

On Route __________________________
From ______________________________
To _________________________________

I have reviewed the right of way information contained in this Project Report (Safety Roadside Rest Area) and the Right Of Way Data Sheet attached hereto, and find the data to be complete, current, and accurate:

______________________________
DEPUTY DISTRICT DIRECTOR – RIGHT OF WAY

APPROVAL RECOMMENDED:

______________________________
PROJECT MANAGER

______________________________
DISTRICT LANDSCAPE ARCHITECT

______________________________
DISTRICT MAINTENANCE

APPROVED:

______________________________
DISTRICT DIRECTOR

______________________________
DATE
This Project Report (Safety Roadside Rest Area) has been prepared under the direction of the following licensed landscape architect. The licensed landscape architect attests to the technical information contained herein and the data upon which recommendations, conclusions, and decisions are based.

__________________________________________  ________________
LICENSED LANDSCAPE ARCHITECT        DATE

This Project Report (Safety Roadside Rest Area) has been prepared under the direction of the following registered civil engineer. The registered civil engineer attests to the technical information contained herein and the engineering data upon which recommendations, conclusions, and decisions are based.

__________________________________________  ________________
REGISTERED CIVIL ENGINEER        DATE

Project Development Procedures Manual          01/18/05

Appendix M
Project Report (Safety Roadside Rest Area)

Dist - Co - Rte, PM
Outline for
PROJECT REPORT (Safety Roadside Rest Area)

Safety Roadside Rest Area Rehabilitation
New Safety Roadside Rest Area
Auxiliary Parking Facility
Safety Roadside Rest Area Closure

Refer to ARTICLE 2-Item-by-Item Guidelines for PR-SRRA, located within this Appendix, for further explanation of the data to be provided in each topic outlined below.

1. INTRODUCTION
   Type of Project
   Scope of Work
   Project Cost Estimate
   Program year and source of funding

2. RECOMMENDATION

3. BACKGROUND
   SRRA Rehabilitation
   Why project was initiated
   Highway description
   Condition of facilities
   Construction history
   Maintenance
   Context appropriateness
   Commitments
   Vending operations
   Conformance with SRRA Master Plan

   New SRRA & Auxiliary Parking Facility
   Why project was initiated
   Conformance with master plan/spacing
   Highway description
   Site feasibility
   Context appropriateness
   Opportunities for partnerships
Appendix M
Project Report (Safety Roadside Rest Area)

SRRA Closure
Highway description
Condition of facilities
Construction history
Maintenance
Blind vending operations

4. CAPACITY ANALYSIS/DESIGN GUIDELINES (all projects)
Basic Design Data Sheet

5. NEED AND PURPOSE
SRRA Rehabilitation
Problems, needs or deficiencies

New SRRA & Auxiliary Parking Facility
Problems, needs or deficiencies
Parking deficiencies at adjacent rest areas
Unauthorized roadside parking
Accident history
Physical or environmental limitations
Gap in existing system

SRRA Closure
Justification for closure
Traffic volume
Rest area use
Parking deficiencies at adjacent rest areas
Unauthorized roadside parking
Accident history

6. PROPOSED PROJECT
SRRA Rehabilitation, New SRRA & Auxiliary Parking Facility
Project Description
Schematic Site Plan
Privatization Efforts (New SRRA & Aux. Pkg. Only)
Project Cost Estimate
Alternatives Considered

SRRA Closure
Description of closure
Impact of closure
Project Cost estimate
Alternatives considered in lieu of closure
7. CONSIDERATIONS REQUIRING DISCUSSION
   Hazardous Material
   Traffic Management Plan
   NPDES Permit Requirements and Storm Water Pollution Prevention
   Utilities
   Right of Way
   Environmental Impact

8. OTHER CONSIDERATIONS AS APPROPRIATE
   • Permits and other approvals required.
   • Consistency with other planning.
   • Railroad involvement.
   • Cooperative Agreements - Describe cooperative features, participants and responsibilities.

9. PROJECT SUPPORT

10. PROGRAMMING, FUNDING AND SCHEDULING

11. REVIEWS

12. PROJECT PERSONNEL

13. LIST OF ATTACHMENTS
**BASIC DESIGN DATA SHEET (Part 1)**

<table>
<thead>
<tr>
<th>LOCATION</th>
<th>District</th>
<th>County</th>
<th>Route</th>
<th>PM</th>
</tr>
</thead>
<tbody>
<tr>
<td>SRRA NAME</td>
<td>ROUTE DIRECTION</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Design Data</th>
<th>Current Year</th>
<th>Design Year (20 years)</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. AADT for the Route*</td>
<td></td>
<td></td>
</tr>
<tr>
<td>B. Peak Hour ADT for the Route*</td>
<td></td>
<td></td>
</tr>
<tr>
<td>C. Ramp Count for SRRA*</td>
<td></td>
<td></td>
</tr>
<tr>
<td>D. Stopping Percentage (C/A, above)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(If AADT for the route is for both directions and the SRRA serves 1 direction, A must be divided by 2 first.)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>E. Rest Area Design Hourly Volume (B x D, above)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>F. Length of stay in rest area (20 minutes)</td>
<td>0.33 hour</td>
<td>0.33 hour</td>
</tr>
<tr>
<td>G. Total Parking Spaces (E x F, above)**</td>
<td></td>
<td></td>
</tr>
<tr>
<td>H. Long Vehicles Percentage**</td>
<td></td>
<td></td>
</tr>
<tr>
<td>I. Long Vehicle Parking Spaces (G x H, above)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>J. Auto Parking Spaces (G-I, above)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>K. Users per Hour (G x 2.2 people/vehicle)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>L. Adjustment for Bus Routes**</td>
<td></td>
<td></td>
</tr>
<tr>
<td>M. Design Usage per Hour (K + L, above)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

* Traffic and ramp counts are available on Traffic Operations web site at [http://www.dot.ca.gov/hq/traffops/](http://www.dot.ca.gov/hq/traffops/)

** Usually 30%. Adjust as necessary per District traffic recommendation.

*** Up to 10% increase for rest areas on major bus routes.

**** Maximum 120 parking spaces or reasonable carrying capacity of site.
BASIC DESIGN DATA SHEET (Part 2)

Comfort facilities, domestic water supply, irrigation water requirements should be determined by the sections directly involved in that portion of the work. The estimated demands should be indicated.

<table>
<thead>
<tr>
<th>Comfort Facilities (provide name, or example, of section directly involved (as stated in above paragraph) for each requirement &amp; define Ultimate)</th>
<th>Design</th>
<th>Ultimate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Water closets and urinals (men)</td>
<td>________</td>
<td>________</td>
</tr>
<tr>
<td>Lavatories (men)</td>
<td>________</td>
<td>________</td>
</tr>
<tr>
<td>Water closets (women)</td>
<td>________</td>
<td>________</td>
</tr>
<tr>
<td>Lavatories (women)</td>
<td>________</td>
<td>________</td>
</tr>
</tbody>
</table>

Domestic Water Requirements (Initial Development for water is 100% of Ultimate)(define Initial Development)

- Peak demand: ________ gal/min
- Average Daily Demand (storage required): ________ gal
- Peak daily demand: ________ gal

Irrigation Water Requirements (Initial Development is 100% of Ultimate)

- Turf area (2 inches per week) (1.25 gal/SF/week): ________ gal
- Trees and shrubs (15 gal / day): ________ gal
- Ground cover (2 inches per week): ________ gal

Initial Development is 100% of Ultimate

Sewage Disposal Requirements (Initial Development of sewers is 100% of Ultimate)

- Daily Flow: ________ gal
- Size piping: ________ inches
ATTENTION! There are a number of items in this appendix that need to be updated—especially in the areas of funding/programming, risks, and FHWA coordination. Until this appendix is updated, please see Appendix K for the discussion of topics in the Microsoft Office Word template associated with this appendix and discuss any issues with the Headquarters SHOPP program manager or advisor.

APPENDIX P – Preparation Guidelines for Project Scope Summary Report (Structure Rehabilitation)

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APPENDIX P – Preparation Guidelines for Project Scope Summary Report (Structure Rehabilitation)

ARTICLE 1 Overview

Use of Project Scope Summary Report (Structure Rehabilitation)

These guidelines provide information to be used with the procedures described in the Highway Design Manual (HDM), design information bulletin DIB 79-03, Chapter 9, Chapter 10, Chapter 11, and Chapter 12 of the Project Development Procedures Manual (PDPM). These projects are funded from the following programs:

- 20.XX.201.110 – Bridge Rehabilitation
- 20.XX.201.111 – Bridge Scour Mitigation
- 20.XX.201.112 – Bridge Rail Replacement and Upgrade
- 20.XX.201.113 – Bridge Seismic Restoration
- 20.XX.201.322 – Transportation Permit Requirements for Bridges

The project scope summary report (PSSR) outline satisfies the requirements for both the project initiation document (PID) and the project report (PR) if the environmental document criteria is also met.

The majority of 110, 111, 112, 113, and 322 Program projects have a well-defined scope and follow a process that combines the project initiation and project approval phase. However, the scope, cost and schedule of any bridge project can be greatly influenced by constraints placed on a project from environmental control agencies (e.g., California Coastal Commission, Department of Fish and Game) and land owners (e.g., railroads, utility district). Projects that have complex constraints that would typically require more than four years to resolve should be clearly identified so that the appropriate programming mechanism can be utilized. The project development team (PDT) should review project factors and determine whether the PSSR will signify completion of the project initiation phase or if a combined project initiation and approval process is appropriate. Article 5, Chapter 9 of this manual describes
subsequent approval procedures, related to the project development milestone reached with the signing of the PSSR.

The following guidance is tailored to projects with a primary project scope of structure rehabilitation. The PSSR (Structure Rehabilitation) template shown in Article 3 of this appendix should be modified to include or exclude any applicable deficiencies or issues. See Appendix L – Preparation Guidelines for Project Study Report and Appendix K – Preparation Guidelines for Project Report for fundamental guidance and tools on the preparation of PID and project approval documents.

For a detailed sequence of the actions to complete a PSSR see the Project Development Workflow Tasks.

The PSSR is the primary project reference document used by both Headquarters and the District, and as such, the need for accurate and complete project information is essential.

**PSSR Preparation**

**Scoping Team**

A scoping team is staffed at the discretion of the district. The composition of the team will vary in accordance with the complexity of the project. As a minimum, the scoping team will consist of a representative of the Office of Specialty Investigation and Bridge Management, and the district project engineer. Also consider including the district construction representatives, district environmental unit, district right of way unit, district traffic operations representatives and the bridge inspector. The team identifies project issues and makes team recommendations.

**Project Scoping**

A scoping team field review is required for all resurfacing, restoration, and rehabilitation (RRR) projects. See Article 5, Chapter 9 of this manual for a discussion this requirement.

RRR work is designed to preserve and extend the service life for at least ten years as well as upgrade safety where reasonable. RRR differs from new construction or reconstruction in that the scope does not include capacity improvements, major realignments or major upgrading of structure features or standards. The designer must always emphasize implementation of cost-effective safety improvements where
practical. DIB 79-03 provides the guidelines and criteria to identify appropriate safety upgrades on RRR projects.

The use of the Design Scoping Index found in Appendix L can also assist the project team in properly scoping a project. The Design Scoping Index can be used to identify facility deficiencies and the concerns of stakeholders. The Design Scoping Index connects the information from various functional units. Functional units submit information using the Planning Scoping Checklist, the Design Checklist, the Traffic Scoping Checklist, the Preliminary Environmental Analysis Report, the Division of Engineering Services Scoping Checklist/Advanced Planning Study and the Right of Way Data Sheet. The PDT should evaluate which deficiencies can be addressed given the purpose and need, program definition and funding constraints.

Field-reviews & Documentation

All projects shall be reviewed in the field as discussed in Section 2 of Appendix L and the PDWT Manual.

In addition to the Design Scoping Index, the PSSR (Structure Rehabilitation) template will be used as a tool to compile information during the project scoping process. The district should compile existing information into the PSSR (Structure Rehabilitation) template prior to scoping field-review and should furnish the information to each of the participants in advance of the scoping field-review for their review and comment.

District Planning, Environmental and Right of Way Involvement

The scope of the structure improvements proposed for a rehabilitation project is often influenced by potential impacts on the surrounding land and development. This is especially true for non-freeway rehabilitation projects. Social, environmental, and economic impacts may influence the scope of a rehabilitation project. This is particularly true where existing right of way is narrow and adjacent development is extensive. The district transportation planning branch should be involved to provide background about city, county, and regional actions that have taken place within the project corridor that may have a bearing on the scope of the project. Some projects may require extensive involvement of the district right of way branch and environmental unit. The functional units should become involved as early as possible in the project development process to determine the appropriate level of involvement. Developing a plan for their involvement should help to avoid potential delays in
project delivery and minimize potential changes in project scope that may result in project cost increases.

**Safety Considerations**

A safety analysis is performed early for all rehabilitation projects. These projects preserve and extend the service life of existing highways, bridges and appurtenances; and also enhance safety. Therefore rehabilitation projects may also include improving geometric features or appurtenances for safety purposes. See Chapter 9 of this manual for information on the requirements of a safety analysis.

In addition to completing a safety analysis, all projects must be reviewed by the District Safety Review Committee prior to approval of a PID. See Chapter 8 of this manual and the HDM Section 110.8 for specific information regarding safety reviews. Project revisions that occur as a result of safety reviews and recommendations may require additional environmental studies or right of way requirements. Notify the appropriate district unit of revisions and determine the follow-up action required.

**Reliable Project Scope and Cost Estimates**

To minimize future cost increases, a thorough scoping of projects and reliable project cost estimates are needed. Reliable project cost estimates are extremely important at every stage in the project development process. Inaccurate estimates result in problems in Caltrans’ programming and budgeting. The final concept, scope, and cost of each project must be established as early as possible. Initial estimates made for rehabilitation projects should be based on the results of field-reviews and include all anticipated work (e.g., safety, restoration, hardware modification, etc.). See Chapter 20 and Appendix AA of this manual for further guidance on estimating project costs.

**PSSR Approval**

The District Director (or Deputy District Director per Caltrans Delegation of Authority) is responsible for approval of the PSSR (Structure Rehabilitation).
PSSR Distribution

A copy of the draft PSSR shall be sent to the appropriate Headquarters SHOPP program advisor. The Headquarters SHOPP program manager organizational chart can be found at the following location:
http://10.56.3.8/pirs/TenYrShopp/HQ_SHOPP_Org_Chart.xls

Two copies of the approved report shall be sent to:

Division of Design
Office of Project Development Procedures
Attention: Design Report Routing
Mail Station #28

One copy of the approved report shall be sent to:

Appropriate Headquarters SHOPP program advisor.

Five copies of the approved report shall be sent to:

HQ Division of Engineering Services
Program/Project & Resource Management
MS 9-5/11g

ARTICLE 2 Guidelines for Completing PSSR (Structure Rehabilitation) Template

General

The standard PSR outline found in Appendix L was adapted to meet the documentation needs of 110, 111, 112, 113, and 322 Program projects. Sections of the standard PSR were combined and fill-in-the-blank features were included to facilitate the presentation of project information. The following template is a guideline. The actual report should be similar in organization and may contain similar headings and subheadings, but will vary based on features, complexity, and issues. A template for the PSSR is found in Article 3 of this appendix. The space for filling in various sections of the template has been condensed for practical viewing of the template. As appropriate, each section can be expanded to accommodate necessary information. The template should be modified to include or exclude any pertinent project information. “Not applicable” should be placed in the blanks for topics that do not apply to a specific project.
Cover Sheet

All PSSRs should have a standard cover sheet to provide project identification information and signatures. Information to be provided includes the following:

- Title

  Indicate “Project Scope Summary Report (Structure Rehabilitation)”

- File Reference

  District-County-Route-Post Mile (Dist-Co-Rte-PM)

  The post mile should be given to the nearest 0.1 mile; if the project is 0.2 mile or more in length, give both the beginning and ending post mile.

- Responsible Unit (RU)

  The unit source code of the registered civil engineer in charge of the technical features of the project.

- Expenditure Authorization (EA)

  The multiphase EA, using the “0” phase for the project.

- Month Year

  Give the month and the year the report is being prepared.

- Clearly state the reason for the PSSR on the title sheet. Where the PSSR is a PID and project report include the following statements:

  - “Request Programming in the 20XX SHP”
  - “Provide Project Approval”

  Project approval requires that an environmental determination/document be attached to the report.

  Where the PSSR does not document project approval delete the phrase “And Provide Project Approval” from the cover sheet.
• On Route _____ From _____ To _____

Provide a brief description of the project limits that corresponds to the post mile given above and ties the limits to commonly known physical features on the ground that can be identified on available mapping.

• Right of Way Endorsement

The statement shown in the template must be used and signed by the District Division Chief for Right of way. The signature indicates that the right-of-way information in the PSSR and the right-of-way data sheet are complete, current, and accurate.

• Recommended Approval

A recommendation for approval must be signed by the project manager as an indication that all appropriate studies have been included and as an indication that the proposal is in accord with Caltrans policies.

• Approval

The PSSR is approved once the report is signed and dated by the District Director (or Deputy District Director per Caltrans Delegation of Authority). If applicable, the date of signing becomes the official project approval date.

**Vicinity Map Sheet (Separate Sheet)**

• Vicinity Map

Refer to the discussion on strip map under the discussion of Attachments.

• On Route _____ From _____ To _____

Provide a brief written description of the project limits that corresponds to the post miles given above and ties the limits to commonly known physical features on the ground that can be identified on available mapping.

**Registered Civil Engineer’s Stamp and Statement (Separate Sheet)**

The second page of the PSSR (Structure Rehabilitation) contains the required stamp or seal and signature of a registered civil engineer who is the person in responsible charge. The sheet must include a statement indicating that the registered civil engineer attests to the technical information contained herein and the data upon which
recommendations, conclusions, and decisions are based. Approval of the PSSR is a management decision and is separate from this technical signature of the person in responsible charge.

Table of Contents (Separate Sheet)

1. INTRODUCTION AND BACKGROUND

Provide a one or two sentence description of the project. Fill in the table.

2. RECOMMENDATION

See Article 2, Appendix K for a discussion of this section of the report.

3. PURPOSE AND NEED

Purpose:

Need:

4. EXISTING FACILITY, DEFICIENCIES AND TRAFFIC DATA

See Article 1, Project Scoping of this Appendix P for a discussion of project scoping.

4A. ROADWAY GEOMETRIC INFORMATION

Provide the information requested in the table. If lane widths are not uniform, note the width of each lane.

For a bicycle lane not within the shoulder (e.g., left of a right turn only lane), use “Other Bicycle Lane” column. If the roadway is a bicycle route, but does not have designated bicycle lanes, answer “yes” in the “Bike Route” column.

Identify and provide the dimensions of transportation facilities that are not described in columns 2, 3, 4, 5, or 6. For example, if there is a pedestrian walkway adjacent to the roadway, identify the type of facility and the width of the facility. Edit the legend for the table as appropriate.

See Article 1, Project Scoping, of this Appendix P for a detailed discussion of project scoping.

In the “Remarks” area, if RRR Standards are not being met, explain why, and provide exception approval date.
4B. CONDITION OF EXISTING FACILITY

Provide the information requested.

Describe the nonstandard design features for pedestrian features in the pedestrian facilities data table. See *DIB 82-04* for accessibility requirements. Edit the heading to show the appropriate location reference point.

If the facility is adjacent to the roadbed and is provided for the exclusive use of bicycles and pedestrians, complete the table for bicycle path data. See *HDM Chapter 1000* for bikeway condition guidance. Edit the heading to show the appropriate location reference point.

4C. STRUCTURES INFORMATION

Provide the information requested.

See *HDM Index 307.3* and *DIB 79-03* for details on bridge (lane and shoulder) with criteria.

As appropriate, discuss evaluation of the bridge rail type with respect to pedestrian and bicycle use in the remarks sections.

4D. TRAFFIC DATA

Traffic Volumes and Characteristics

Vehicle, bicycle, and pedestrian traffic data is needed for all rehabilitation projects to determine if the facility is at or approaching capacity, or if other improvements are needed. It is an important consideration both in the determination of the appropriate level of improvement (i.e., reconstruction vs. rehabilitation) and in the selection of values for various geometric elements. Discuss the current traffic data with respect to traffic demand in the construction year and how these factors affected the decisions regarding the timing of a major improvement such as additional lanes. Summarize information provided by the district transportation planning on bicycle and pedestrian traffic.

Provide the information requested.
Safety Improvements

All rehabilitation projects are to include a safety analysis (see Chapter 9, Article 5). The analysis is to be documented in a separate report. The report is not to be attached to the PSSR.

In addition, a safety review is required to properly scope cost-effective improvements for safety and operational purposes. The PDT should evaluate the recommendations of the District Safety Review Committee to ensure that customer and stakeholder needs can be addressed and the Department’s safety goal is upheld. See Chapter 8, Section 7 of the PDPM and Topic 110.8 of the Highway Design Manual (HDM) for further discussion of the safety review.

Special emphasis should be placed on implementing cost-effective solutions for safety improvements. When safety or operational improvements become a major factor in project scope, costs or impacts, the project becomes “reconstruction” (the fourth R). Reconstruction design criteria are covered by new construction standards shown in the HDM.

Accident Data

Evaluation of vehicle, bicycle, and pedestrian accident data often reveals situations that require attention. In addition, relative accident rates can be an important factor in establishing the scope of a rehabilitation project. A review of accident records is an integral part of the rehabilitation project development process. The individual accident records shall be not included in the PSSR. The analysis of the accident data shall be summarized as part of the project safety analysis. A summary of the recommendations shall be included in the PSSR.

5. CORRIDOR AND SYSTEM COORDINATION

It is important to provide a broad view of what is happening in the corridor. Information from district planning unit can be obtained by requesting a Planning Scoping Checklist. This section should discuss:

- The long-term transportation plan for the corridor and how the strategy relates to the rehabilitation strategy. For example, identification of segments of roadway that may be relinquished can have an important impact of project decisions.
• Other planned projects in the corridor. Project management branches can provide information about other ongoing or anticipated projects in the vicinity of this project. District planning units can provide information about ongoing local projects in the area.

6. ALTERNATIVES

Discuss the proposal for rehabilitation of the structure in terms of how it will address the project purpose and need. Discuss the improvements that are necessary to bring the facility up to current design standards. Identify the recommended alternative, and if appropriate, clearly identify the preferred alternative. Based on project complexities, the writer has discretion on how individual alternatives are presented. Issues for each alternative may be itemized under that alternatives or summarized for several alternatives. Discuss any exceptions to mandatory and advisory design standards. Proposed exceptions must be approved following the procedures in Chapter 21 – Exceptions to Design Standards.

Other Considerations:

Summarize all major issues, reviews, and coordination efforts within Caltrans and with other interested agencies. The PSSR template has a list of common issues. Address each item as appropriate or put “not applicable.” The template should be altered to include project specific issues. The report should include a summary of the risk management plan. Based on the complexities of the project, the risk management plan can be integrated into appropriate high-risk topic(s) or compiled into a separate summary.

For more information on alternatives to consider, see Chapter 9 – Article 4 of this manual.

7. TRANSPORTATION MANAGEMENT

7A. TRANSPORTATION MANAGEMENT PLANS

Traffic Management Plans (TMPs) will be required if significant construction delays are anticipated. TMPs develop construction traffic handling practices such as lane closures, detours, mass transit service enhancements, and work-hour restrictions to minimize delays. As appropriate, address how bicycle and pedestrian traffic will be accommodated during construction. Costs associated with TMPs should be included in the cost estimate.
7B. VEHICLE DETECTION SYSTEMS

If appropriate, discuss the recommendations of the district traffic unit as it applies to maintaining the operation of the existing vehicle detection system. The vehicle detection is critical to traffic management and traveler information applications. Costs associated with staging or installation of any temporary detection system should be included in the cost estimate.

8. ENVIRONMENTAL DETERMINATION/DOCUMENT

If the proposed project is categorically exempt and/or categorically excluded (CE/CE), the PSSR should so indicate and document the approval date. Before approving a PSSR containing a CE/CE statement, the individual having authority to approve the project will have in hand the CE/CE determination form signed by the environmental unit chief and the functional unit division chief. The individual approving the project will then review the project to be certain that there have been no changes that affect the exemption determination and check that the project descriptions on the CE/CE determination form and in the PSSR correspond to each other. If there is any question, the environmental unit chief must be consulted. The CE/CE determination form, when required, must be attached to the PSSR.

9. FUNDING/SCHEDULING

9A. COST ESTIMATE

This template covers major items for structure rehabilitation projects. The table should be expanded to add cost items that are not listed on the template, but are specific to the project.

Districts should, in coordination with the DES-DOS, base their cost estimates on experience with similar projects and available historical data. See Chapter 20 and Appendix AA for further details on estimating project costs.

9B. PROJECT SUPPORT

Include estimated PY effort and other support costs of project development and construction from the time the project is initially programmed through the final stages of construction. The proposed schedule should be based upon an evaluation of the worst case and the optimal scenario. This information is not required for Minor projects.
The cost of any specialty contracts or other atypical direct project costs that may be required for the project should also be estimated by the proposed fiscal year.

9C. PROJECT SCHEDULE

Provide the project milestone dates in the table in the template.

10. FHWA COORDINATION

Discuss coordination with Federal Highway Administration (FHWA).

If either federal action or the use of federal funds is anticipated, include the following language:

This Report has been reviewed by (Name and title of the FHWA Liaison Engineer) reviewing on (date). Per (latest Federal Transportation Act), this project is eligible for federal-aid funding and is considered to be STATE-AUTHORIZED under current FHWA-Caltrans Stewardship Agreements. *(If either no federal-aid funding will be used or no FHWA approval required, delete the above statement and replace with the statement: “No federal-aid funding anticipated or no FHWA action required for this project.”)*

11. REVIEWS

The template includes a list of suggested reviews. Each district should modify the template to reflect reviews established by district procedures.

Include reviewer’s signature and review completion date, or N/A if not applicable.

12. ATTACHMENTS

See Appendix L for further information regarding what should be attached to a PID and what type of documents are more appropriate for project files.

Include the items listed on the boilerplate.

- Strip map (may be eliminated if the Vicinity Map contains the information discussed below).
  A small map showing the project limits consistent with the brief description, post miles, and a north arrow. The map should be sufficient to locate the project at a glance for a person unfamiliar with the project. It should show the features used to identify the project limits such as roads, streams, junctions or railroads, and the nearest community that can be reasonably shown on the map, and a note indicating the direction to and name of the next community in
each direction. It is necessary to understand the proposed work, as such pertinent project features are shown on the strip map. The vicinity map is not to be cluttered with project features.

- **Advance Planning Study**
  An advance planning study should be attached for each structure on which rehabilitation work is proposed. See Project Development Workflow Tasks for further information on how to request an advance planning study.

- **SHOPP Output Table**
  Contact the Headquarters SHOPP Manager for the SHOPP Project Output form and guidance on how to complete the form.

- **Typical Section(s)**
- **Proposed Project Schedule (PMCS-PYRS screen)**
- **Categorical Exemption/Exclusion Form**
- **Right of Way Data Sheet**
- **Scoping Team Field-review Attendance Roster**
- **STRAIN Data/Supplemental Bridge Report**
- **Structural Section Recommendation (Memo from District Materials Unit for widening, realignment, etc.) - (as appropriate)**

### ARTICLE 3 Template for Project Scope Summary Report (Structure Rehabilitation)

This article is a template for the project scope summary report. When using the template, delete any italicized text within the body of the document. The italicized text provides instructions for template users and does not provide any value to the final document.

The template is available at:

# APPENDIX Q – Preparation Guidelines for Project Report (Roadside Safety Improvements)

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APPENDIX Q – Preparation Guidelines for Project Report (Roadside Safety Improvements)

ARTICLE 1  Overview

Use of Project Report (Roadside Safety Improvements)

The project report (roadside safety improvements) is the project approval document for roadside preservation State Highway Operation and Protection Program (SHOPP) projects in the 20.XX.201.235 – Roadside Safety Improvements Program.

The following guidance is tailored to roadside safety improvements projects where the primary scope is worker safety.

Roadside safety improvements projects improve safety by reducing the frequency and duration of worker exposure to traffic by:

- Eliminating the need for workers on foot adjacent to the traveled way.
- Increasing worker access from locations off of the traveled way.
- Accommodating mechanized maintenance activities.
- Minimizing the need for recurrent damage repair by relocating equipment away from traffic or replacing facilities with more appropriate ones that are not as prone to damage.

Common worker safety improvements are described in the Landscape Architecture Program (LAP) roadside toolbox, available at:
http://www.dot.ca.gov/hq/LandArch/roadside/index.htm

Preparation of Project Report (Roadside Safety Improvements)

These guidelines provide information to be used with the requirements described in Chapter 10 – Formal Project Studies, Chapter 12 – Project Approvals and Changes to Approved Projects, and Chapter 29 – Landscape Architecture.
The following guidance is tailored to projects with the primary purpose of improving safety for maintenance personnel. See Appendix K – Preparation Guidelines for Project Report for fundamental guidance on the preparation of project approval documents.

The project report (roadside safety improvements) should be prepared using the report template associated with this appendix, see Article 3. The report should be similar in organization, but can vary based on features, complexity and issues specific to each project. Modify the report format to include information that is pertinent to the scope, cost and schedule of project. If a section is not applicable to the project, fill in as “Not applicable.”

**ARTICLE 2 Outline**

**General**

The project report (PR) outline found in Appendix K was adapted to meet the documentation needs of the Roadside Safety Improvements Program. Some sections of the standard PR were modified to facilitate the presentation of project information.

Consult with the district program advisor and the Headquarters SHOPP program manager to determine how project specific issues should be presented.

Not every outline topic is discussed, only information that is different from that found in Appendix K is included.

**Outline**

**Cover Sheet**

Modify the type of report to “Draft Project Report” as needed. Modify the purpose of report as needed. Typical entries for the purpose include:

- For Project Approval
- To Request Programming in the 20XX SHOPP and For Project Approval
Licensed Landscape Architect Stamp

The licensed landscape architect stamp or seal and number with signature shall be placed on a separate sheet, which shall be part of the report. Also included on this sheet shall be a statement indicating that the licensed landscape architect is attesting to the technical information contained therein and the data upon which recommendations, conclusions, and decisions are based. This seal does not constitute approval of the report. Approval of the report is a management decision and is separate from this technical signature of the person in responsible charge.

Main Body of Report

1. INTRODUCTION

The SHOPP performance measure associated with the Roadside Safety Improvements Program is “Locations.” In the table, enter the number of locations for the SHOPP Project Output.

2. RECOMMENDATION

3. BACKGROUND

Describe the field maintenance crews in the area, what tasks are performed, and the frequency and duration of tasks performed.

4. PURPOSE AND NEED

See the following website for guidance on the development of purpose and need statements: http://www.dot.ca.gov/hq/env/emo/purpose_need.htm.

5. ALTERNATIVES

5A. VIABLE ALTERNATIVES

Describe the improvements that are necessary to improve worker safety. Describe how the proposed roadside safety improvements address the project purpose and need. Identify the alternative recommended for programming purposes.

5B. REJECTED ALTERNATIVES
6. CONSIDERATIONS REQUIRING DISCUSSION

Summarize all major issues, reviews, and coordination efforts within Caltrans and with other interested agencies. The template has a list of common issues. Address each item as appropriate or put “Not applicable.” The template should be edited to include project issues that are not on the template. If appropriate, include a discussion of the risks to scope, cost, and schedule.

6A. HAZARDOUS WASTE

6B. VALUE ANALYSIS

Typically this section is not applicable. These projects usually do not reach the project cost threshold that requires a value analysis study, however; the principles of value engineering may be applied to ensure cost effectiveness of the project.

6C. RESOURCE CONSERVATION

6D. RIGHT-OF-WAY ISSUES

6E. ENVIRONMENTAL ISSUES

6F. AIR QUALITY CONFORMITY

Consult with the district environmental unit for assistance with air quality conformity determination. Additional information can be found at: http://env.dot.ca.gov/air_quality/conformity_basics/conformity-index.shtml

6G. TITLE VI CONSIDERATIONS

Typically this section is not applicable. These projects usually do not require public presentations, meetings, participation or other involvement where Title VI of the Civil Rights Act of 1964 could be an issue. Please see Caltrans’ Non-discrimination Policy Statement.

6H. NOISE ABATEMENT DECISION REPORT

Typically this section is not applicable. These projects usually do not require a draft project report to authorize public release of a draft environmental document.
6I. TRANSPORTATION MANAGEMENT PLAN

See Appendix K topic “Transportation Management Plan for Use During Construction” in outline item “7. Other Considerations As Appropriate.”

6J. STORM WATER COMPLIANCE

An approved storm water data report (SWDR) as described in Storm Water Quality Handbooks: Project Planning and Design Guide must be completed during the project approval phase. Discuss any issues that affect the project.

6K. HIGHWAY PLANTING AND IRRIGATION

Discuss any modifications or additions to existing highway planting and irrigation.

7. OTHER CONSIDERATIONS AS APPROPRIATE

Only include appropriate topics.

8. FUNDING/PROGRAMMING

Support Estimate:

The cost of any specialty contracts or other atypical direct project costs that may be required for the project should also be estimated by the proposed fiscal year.

9. SCHEDULE

10. RISKS

11. FHWA COORDINATION

12. PROJECT REVIEWS

The template includes a list of possible reviews. Modify the list to reflect district review procedures. The scoping team field review is only required if the project report purpose is to “Request Programming and for Project Approval.”

Include reviewer’s name and review completion date, or “Not applicable.”

13. PROJECT PERSONNEL
14. ATTACHMENTS (Number of Pages)

List each attachment with the corresponding number of pages in parentheses. In addition to the attachments discussed in Appendix K, include the following:

- Risk Register

ARTICLE 3 Template

This article is a template for the project report (roadside safety improvements). When using the template, delete any italicized text within the body of the document. The italicized text provides instructions for template users and does not provide any value to the final document.

The template is available at: http://www.dot.ca.gov/hq/oppd/pdpm/templates/apdx-q-template.docx
# APPENDIX R – Small Capital Value Projects Project Initiation Document

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APPENDIX R – Small Capital Value Projects Project Initiation Document

ARTICLE 1  Overview

Use of Small Capital Value Projects Project Initiation Document

The small capital value projects (SCVP) project initiation document (PID) is the project planning, scoping, and programming document for SHOPP Reservation projects with a total combined capital and support cost of $3,000,000 or less, but more than the Minor B contract limit. See Chapter 9 – Project Initiation for a discussion of SCVP.

The SCVP PID must be accurate and complete because both Headquarters and the district use the SCVP PID as the primary project reference document.

Guidance for Preparing a SCVP PID

Consult with the appropriate SHOPP program manager to ensure that the information needed to secure a programming commitment is included in the SCVP PID.

A cost estimate and the storm water data report-signed cover sheet are the only documents that are attached to the SCVP PID.

ARTICLE 2  Outline

General

The purpose of this outline is to identify the key elements to document in a SCVP PID. All headings presented in the outline shall be included in the PID.

Cover Sheet

The cover sheet for a SCVP PID is the standard signature sheet shown in Article 3 of this appendix. The SCVP PID is an engineering document and shall bear the seal of the registered civil engineer in responsible charge of the work.
Outline

See Appendix L – Preparation Guidelines for Project Study Report for discussion of individual topics and discuss any specific issues with the appropriate Headquarters SHOPP program manager.

ARTICLE 3  Template

This article is a template for the small capital value projects project initiation document. When using the template, delete any italicized text within the body of the document. The italicized text provides instructions for template users and does not provide any value to the final document.

The template is available at:

http://www.dot.ca.gov/hq/oppd/pdpm/templates/apdx-r-template.docx
APPENDIX S – Preparation Guidelines for Project Study Report-Project Development Support Project Initiation Document

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APPENDIX S – Preparation Guidelines for Project Study Report-Project Development Support Project Initiation Document

SECTION 1 Introduction

Project Study Report-Project Development Support Project Initiation Document

The development of a project study report-project development support (PSR-PDS) project initiation document (PID) provides a key opportunity for Caltrans and involved regional and local agencies to achieve consensus on the purpose and need, scope, and schedule of a project.

This appendix provides concepts and best practices for preparing a PSR-PDS for projects funded through the State Transportation Improvement Program (STIP), projects-funded-by-others, and Long Lead State Highway Operations and Protection Program (SHOPP) projects. This appendix also provides a description of the information that should be contained in the PSR-PDS, and scoping tools needed to collect and organize information during the project initiation phase.

To appropriately apply the guidance described in this appendix, review the intent of policies and procedures in Chapter 9 – Project Initiation, along with Appendix L – Preparation Guidelines for Project Study Report. The PSR-PDS is only one type of PID. While this appendix provides guidance on preparing a PSR-PDS, Chapter 9 and Appendix L provide the foundation for the understanding and knowledge necessary to develop any PID.

Purpose for Project Study Report-Project Development Support (PSR-PDS) PID

The purpose for using the PSR-PDS document is to gain approval for the project studies to move into the Project Approval and Environmental Document (PA&ED) phase.
The PSR-PDS is used to estimate and program the capital outlay support cost necessary to complete the studies and work needed during PA&ED. The PSR-PDS does not provide conceptual approval as defined in Chapter 9. If conceptual approval is required, the project sponsor should consider using the project study report (PSR) format as defined in Appendix L instead of the PSR-PDS format. The project development team (PDT) should discuss the appropriate format to achieve project sponsor goals during the pre-PID meeting. If appropriate, a local agency may submit a request to the Caltrans District Director for approval to use the PSR in lieu of the PSR-PDS.

The required information is reduced with much of the detail being completed during PA&ED. Because of the reduction in level of effort, specific work which must be completed is listed in this document (e.g. pre-PID meeting, risk register, and design standards risk assessment).

**Applicability**

These guidelines generally apply to all STIP and projects-funded-by-others (specially funded projects) on the State Highway System (SHS) and any segment of a transit project within the State highway right-of-way. These guidelines also apply to Long Lead SHOPP projects to program capital outlay support cost. These guidelines are not intended for use on transit projects unrelated to the SHS or on STIP projects off the SHS.
SECTION 2  Process

ARTICLE 1  General

Project Development Process

The project development process begins with conceptual studies and continues through to the completion of construction. The project development process is tied to legal requirements and melds engineering requirements, a process for stakeholder and community input, and Caltrans approval steps with the environmental process. The principles of context sensitive solutions (CSS) including a focus on community involvement, is integrated into the project development process.

Timing

A completed project initiation document (PID) is required before a project is included into either the State Transportation Improvement Program (STIP) or State Highway Operations and Protection Program (SHOPP) or prior to getting an approval to move to Project Approval and Environmental Document (PA&ED) for a project-funded-by-others, as defined in Chapter 9 – Project Initiation. Any agency preparing a project study report-project development support (PSR-PDS) is responsible for developing a reasonable schedule that is necessary to produce a PSR-PDS.

Project Management

A Caltrans project manager is assigned for every capital outlay project including locally implemented projects.

Registered Civil Engineer

The PSR-PDS shall be prepared under the direction of a registered civil engineer or depending on the project scope, other appropriate licensed professional such as a landscape architect.

Purpose and Need

A project must satisfy a clearly defined purpose and need. The project sponsors identify the initial transportation deficiency. The project must meet system strategies as defined in State, regional, and local plans, goals, and objectives. The project should reflect values of the community. Caltrans policy is to evaluate alternative
solutions that avoid or reduce environmental impacts and to select the alternative that causes the least overall environmental damage and that satisfies the transportation purpose and need.

**Context Sensitive Solutions**

The PSR-PDS provides an opportunity to consider the implementation of CSS from planning through construction. CSS implementation offers a process that focuses on community involvement and the flexibility to balance transportation needs with community values. The PSR-PDS also provides an opportunity to address the needs of various modes of transportation (e.g., vehicles, mass transit, rail, bicycle, and pedestrian).

**Constructability Reviews and Life Cycle Cost Analyses**

Current policy requires constructability reviews and life cycle cost analyses to be conducted during the development of a PSR-PDS. Project managers should discuss the applicability of these two requirements with their deputy district directors for construction and maintenance respectively.

**ARTICLE 2 Preparation Procedures**

This article describes the sequence of key activities and best practices that take place during the development of a PSR-PDS.

For an overview of where the PSR-PDS fits into the project development process, see Chapter 8 – Overview of Project Development.

A graphic overview of the project development process can be found at Division of Design’s website [http://www.caltrans.ca.gov/hq/oppd/pdwt/revised/fd1.pdf](http://www.caltrans.ca.gov/hq/oppd/pdwt/revised/fd1.pdf)

For the PID phase, the *Project Development Workflow Tasks (PDWT)* manual provides a comprehensive flow of project delivery tasks and can be used by the project teams as a structured step-by-step guide for project development tasks performed by project engineers. Although the PDWT primarily describes work activities performed by the project engineer, it also provides the framework for the flow of tasks by all the functional units.

The PSR-PDS preparation procedures are summarized in the following list. Guidance on the content of the PSR-PDS is discussed in Section 3 of this appendix.
1. **Develop Work Programs for PSR-PDS Development**

   District Deputy Directors (DDDs) for Planning develop PID work programs on an annual basis. The work programs are a listing and schedule of proposed projects requiring resources. There is a work program for the STIP (which includes projects-funded-by-others as defined in Chapter 9) and SHOPP. DDDs submit the work programs to the Division of Transportation Planning, Office of Project Scoping Coordination (OPSC) for approval. OPSC establishes the procedures for opening an expenditure authorization for either the preparation of all PID work to include PSR-PDS PIDs or independent quality assurance (IQA) work. OPSC monitors the resources and the delivery of all PIDs listed in the work program.

The work program for Long Lead SHOPP projects must be consistent with the 10-Year SHOPP Plan and is developed with the concurrence of the SHOPP Program Managers.

The work program for STIP projects are developed in partnership with local and regional transportation agencies. Either Caltrans or a local agency may prepare a PSR-PDS for STIP projects. If requested by a local agency, Section 65086.5 of the Government Code provides that Caltrans shall have 30 days to determine whether it can complete the requested report in a timely fashion (i.e., in time for inclusion in the...
next STIP). If Caltrans determines it cannot prepare the report in a timely fashion, the requesting entity may prepare the report.

The work program for projects-funded-by-others are developed in partnership with local agencies, regional agencies, or developers. Caltrans is responsible for providing IQA on all projects-funded-by-others.

2. Hold Pre-PID Meeting

Regardless of who prepares the PSR-PDS, a meeting with Caltrans and the appropriate local entity (or entities) shall be held. This is a required meeting with all entities to develop the project Charter. Input from all parties is required at the earliest possible stage and continues throughout the process. The project manager should take the lead in coordination activities.

The purpose of the pre-PID meeting is to communicate a shared view of the project and to establish an understanding of the procedures, roles, and responsibilities before the project initiation process begins. The following are sample agenda items to be covered during the pre-PID meeting:

- Prepare and finalize Charter and Cooperative Agreement for reimbursable work.
- Review the PSR-PDS and PID development processes.
- Set the framework for getting consensus of purpose and need.
- Set the framework for agreeing on the design concept and scope. Ideally, the design concept and scope will evolve from the transportation system or regional planning process. The engineering specifics of the design scope should be discussed. These include the major features of work such as the number of lanes (current and future), right-of-way requirements, and interchange type and location.
- Agree on the basic design criteria.
- Identify known deficiencies. The Design Scoping Index found in Appendix L – Preparation Guidelines for Project Study Report, can be used to document known deficiencies and highlight areas requiring further investigation. Examples of deficiencies to consider are: structures with nonstandard vertical or horizontal clearances; inadequate bridge railing; pavement in need of rehabilitation; deteriorated or inadequate drainage systems; narrow or deteriorated shoulders; lack of continuity or the deficiencies of bicycle or pedestrian facilities; replacement landscaping; ramp metering; nonstandard guardrail; maintenance worker safety; and seismic retrofit requirements.
- Lead Agency - Discuss when Caltrans is the National Environmental Policy Act (NEPA) and/or California Environmental Quality Act (CEQA) lead
agency. Pursuant to the current federal transportation act, Caltrans is the NEPA lead agency. Federal Highway Administration (FHWA) assigned, and Caltrans assumed, all of the United States Department of Transportation (USDOT) Secretary’s responsibilities under NEPA, for more information please see: http://www.dot.ca.gov/ser/vol1/sec6/ch38nepa/chap38.htm. NEPA lead cannot be delegated. Caltrans is the CEQA lead agency for improvements projects on the State Highway System. In limited cases, and only when it is in the best interests of the State, the Department may delegate CEQA lead agency status to a local agency, for more information see: http://www.dot.ca.gov/ser/downloads/memos/CEQA_Lead_Agency_24Jun04.pdf

3. Obtain Authorization for PID Preparation

The project initiation phase begins with the opening of an expenditure authorization. The project manager obtains an expenditure authorization to initiate the project initiation process.

See PDWT Task P01.

4. Obtain and Review Existing Reports, Studies, Mapping or Other Information

To adequately prepare a PSR-PDS, it is essential to obtain the best available and most current maps and plans, including right-of-way maps and as-built plans. Ideally, three dimensional (3-D) digital data; e.g., MicroStation design files, Digital Elevation Models (DEMs), Digital Terrain Models (DTMs) should be used. Other resources include Digital Highway Inventory Photography Program (DHIPP) images, aerial photography mosaics, orthophotography, light detection and ranging (LiDAR), and Google EarthTM mapping service. This information serves as the basis for the conceptual design, development of alternatives, quantities and estimates, and exhibits. The use of geographic information system (GIS) and visualization software to collect and view the data is encouraged. Minimal field and office survey activities may be performed to collect new data or transform existing data to the project datum and units. Refer to the Survey Needs Questionnaire discussed in Section 5, Article 8 of this appendix for details on datums.

The transportation concept report or route concept (TCR/RCR), district system management plan (DSMP), regional transportation plan (RTP), congestion management program (CMP), 10-Year SHOOP, the State Implementation Plan (SIP), local plans, other reports and studies, and complete streets concepts should be reviewed. Appropriate information from these reports can serve to document the
need and scope of the project. Further discussion on these documents can be found in the Transportation Planning Scoping Information Sheet, discussed in Section 5, Article 4 of this appendix, and Chapter 1 – Introduction, and Chapter 4 – Programming.

Important background information can often be obtained in previous related or adjacent studies. A search and review of project history files and previously studied but suspended projects can give a historical perspective to the current proposal.

See PDWT Tasks P08-P26 for further guidance on additional data and input.

5. Form the Project Development Team

The Caltrans District Director concurs on the members of a project development team (PDT) for each project, regardless of who is preparing the PSR-PDS.

The PDT is comprised of the assigned Caltrans project manager and representatives from the district project delivery, transportation planning, legal, maintenance and traffic operations units, and a regional transportation planning (RTPA) representative. Representatives from other functional units and local and regional entities are added as needed. See Chapter 8, Section 4.

If the PSR-PDS is to be prepared by a local entity, the local entity shall furnish Caltrans a list of appropriate PDT members.

See PDWT Task P06 for further guidance on forming a PDT.

6. Develop Consensus on the Project Purpose and Need

It is crucial for the PDT to build PIDs on the project purpose and need statement early in the project development process. The PDT must identify the transportation deficiencies and describe underlying transportation need. The PDT must agree on the primary objectives that will be fulfilled by constructing the project and define those objectives as the project purpose.

The project sponsor must concur on the purpose and need. Primary stakeholders must have consensus on the project purpose and need.

Consider using one or more of the value analysis tools to develop consensus on purpose and need for complex projects.
7. Review the Project Site

It is important that the project team make an initial review of the project in the field. This should be an ongoing activity as needed. Field reviews often identify project features that may otherwise not be noticed. The reviews should focus on factors that could affect the project.

In addition, it is important to incorporate complete streets (See Deputy Directive DD-64-R1). Bicycles and pedestrians are permitted on all state highways, except for some freeways (see Chapter 31 – Nonmotorized Transportation Facilities, Section 3); therefore roadway shoulder and sidewalk geometric and conditions are a part of the scoping process. The preferred way to assess conditions for bicycling and walking is by conducting a field review while bicycling and walking. See the Highway Design Manual for geometric and surface quality guidance.

If pedestrian facilities do not exist, consideration should be given to them if land conditions are such that pedestrians could be expected to regularly move along the highway. If the existing paved shoulders are narrow, worn paths can be an indicator of where pedestrian travel is occurring. If pedestrian facilities exist, they need to be upgraded to comply with design information bulletin DIB 82-04.

See PDWT Tasks P25 and P26 for further guidance on field reviews.

8. Identify Additional Data Requirements for Project Scoping

Refer to the tools in Section 5 of this appendix to identify data needs and issues that should be considered or studied to properly scope the project. The use of the Design Scoping Index found in Appendix L can assist the project team in properly scoping a project. The Design Scoping Index can be used to identify facility deficiencies and the concerns of stakeholders. The PDT should evaluate which deficiencies can be addressed given the purpose and need, program definition, and funding constraints.

See PDWT Flow Chart P01-P31 and Flow Chart P32-P62 for further guidance on identifying data requirements.
9. Perform the Initial Engineering Analysis and Develop Alternatives

The primary focus of the initial engineering analysis is to establish a reasonable study area for alternative development utilizing existing data.

The alternative development effort should focus on identifying the project factors that must be studied or resolved. A comprehensive list of these factors is essential in estimating the effort (resources and time) required to complete PA&ED including technical studies, continued development and analysis of alternatives, public outreach, and identifying the preferred alternative.

For alternative development, the perimeter of a study area must be delineated, as well as identifying the major work elements of the alternative.

Develop alternatives that will satisfy the project purpose and need, are cost effective, and will avoid or minimize environmental and right-of-way impacts. Involve stakeholders early and use context sensitive solution principles to develop project alternatives. Using the scoping tools in Section 5 will assist in the development of alternatives that provide for the needs of travelers of all ages and abilities.

In the development of alternatives for the PSR-PDS, several key areas must be considered: environmental compliance, structures, materials, landscaping, permits, local and regional input, right-of-way, compliance with mandatory and advisory design standards, traffic operations, and alternative transportation modes already in place (i.e., mass transit, rail, bicycle and pedestrian facilities).

If developing alternatives for freeway projects, see Chapter 31 for the California Streets and Highways Code requirements regarding impacts on pedestrian and bicycle transportation routes.

A. Environmental

The environmental unit prepares a preliminary environmental analysis report (PEAR). For projects sponsored by others, the implementing agency assigns/contracts with an environmental team to complete the PEAR. The PEAR includes:

- Discussion of potential impacts related to all alternatives capable of functioning adequately per Caltrans policies.
Appendix S – Preparation Guideline for Project Study Report-Project Development Support
Project Initiation Document
Section 2 – Process

• A discussion of environmental resources and a description of the potential project issues or impacts, which could delay the project or affect any project alternative.

• Description of studies that are needed to complete an environmental evaluation (noting as necessary any seasonal constraints for these studies).

• A recommended environmental determination/documentation and a tentative schedule for its completion. If an environmental document is required, specify the lead agency for its preparation.

• An initial site assessment (ISA) for hazardous waste, if the project includes the purchase of new right-of-way, excavation, and/or structure demolition or modification.

• Identification of required or anticipated permits or approvals.

Refer to the Standard Environmental Reference (SER) for further guidance on the PEAR. See Section 5, Article 5, of this appendix for general guidance on the PEAR scoping tool.

See PDWT Flow Chart P32–P62 for further guidance on developing alternatives.

B. Design Standards

Fact sheets for proposed nonstandard design features are not required for a PSR-PDS. However, there must be a discussion whether the alternative proposes nonstandard design features. Alternatives should be discussed with the Design Coordinator early in the project initiation process to identify potential nonstandard design features. Alternatives with proposed nonstandard design features must go through a design standards risk assessment to indicate a level of risk for conceptual acceptability of the alternative. The design standards risk assessment is a list of design standards that will likely not be met for each alternative and the probability of approval for each proposed exception to a design standard. See the templates in Section 6 for the format of the design standards risk assessment. Refer to Index 82.3 of the Caltrans Highway Design Manual and Chapter 21 – Exceptions to Design Standards, for further discussion of design standards.

C. Structures

The method of providing the necessary preliminary studies shall be discussed with the Division of Engineering Services (DES) Technical Liaison Engineer and Project Liaison Engineer assigned to the district. The Technical Liaison Engineer shall use a streamlined estimating process, such as square-footage costs to develop a “Structure
PSR-PDS Cost Estimate” for inclusion into the PSR-PDS document when bridge and/or nonstandard retaining wall work is necessary. The Project Liaison Engineer will provide recommendations on the preparation of the DES Scoping Checklist discussed in Section 5, Article 11 of this appendix. The DES Scoping Checklist is to be prepared by the district and will be reviewed by DES during the district review process.

The level of detail in the DES Scoping Checklist and “Structure PSR-PDS Cost Estimate” is limited to information required to develop accurate work plans for the PA&ED phase.

D. Traffic Engineering Performance Assessment (TEPA)

The TEPA produces technical findings and recommendations that will:

- Help establish the project *purpose and need*.
- Identify major performance deficiencies within and adjacent to the (initial) project limits.
- Determine the scope and magnitude of the traffic analysis study/report that will be performed/produced during the PA&ED phase to:
  - Produce a complete scope of work.
  - Support decision making on the inclusion of critical design features and traffic elements (e.g. approval of nonstandard geometric design features).
  - Verify that the proposed infrastructure investment will satisfy the project *purpose and need*.

The TEPA will be prepared by the Division of Traffic Operations. If the PSR-PDS is prepared by a local or regional agency (or their agent) the TEPA will be prepared after one or more consultations with the Traffic Operations functional managers responsible for:

- Electrical and Intelligent Transportation Systems
- Traffic Control Systems and Devices
- Highway and/or Freeway Operations
- Safety Management
- Traffic Management Systems
- Traffic Safety Systems
- Traffic Management Planning (for the construction phase)
See Section 5, Article 5, of this appendix for general guidance on the traffic engineering performance assessment. Detailed traffic engineering analysis will be performed during the PA&ED phase.

E. Stormwater

Since a primary purpose of the PSR-PDS is to estimate the resources needed to complete PA&ED, the expected level of stormwater information for a PSR-PDS is going to be much less than a regular project study report. The PSR-PDS evaluation will focus on determining if there will be any significant impacts to the project alternatives, right-of-way needs, or project costs due to the need to incorporate treatment best management practices (BMPs) for compliance with stormwater requirements. See Section 5, Article 3 of this appendix for general guidance on the PSR-PDS Stormwater Documentation scoping tool.

F. Right-of-Way

Summarize the anticipated right-of-way, utilities, and railroad impacts for each alternative using the Conceptual Cost Estimate Request - Right-of-Way Component discussed in Section 5, Article 7 of this appendix. Preliminary estimate mapping showing the property boundaries and project limits will help to estimate the number, area, and magnitude of parcels required for acquisition and the likely number of easements needed. The level of study is intended to develop an order of magnitude cost estimate for potential right-of-way needs to identify additional studies that may be needed during PA&ED.

Utilities
Identify existing utilities and potential relocation activities using existing, available information (e.g. permit search, as-built drawings, field review). The level of study is intended to develop an order of magnitude cost estimate and to identify additional studies that may be needed during PA&ED.

Railroad
Identify rail lines in the vicinity of the project and indicate possible impacts.

G. Local and Regional Input

Use of a CSS approach promotes community involvement in development of alternatives. Local and regional input is necessary in development of alternatives and in the delineation of the study area. Local planning (e.g., current and proposed land use) can have a significant effect on the local and regional planning transportation
system, which affects the identification of alternatives and project specific features. District transportation planning units can facilitate an understanding of community objectives. The Transportation Planning Scoping Information Sheet also serves as a tool to gain understanding of community objectives. See Section 5, Article 4 of this appendix for general guidance on Transportation Planning Scoping Information Sheet.

10. Develop Cost Estimates

A. Capital Outlay Project Estimate

For the PSR-PDS capital outlay project estimate, an order of magnitude cost estimate should be used. For a PSR-PDS prepared by others, the local agency may elect to utilize a more detailed capital outlay project estimate. See the PSR-PDS Cost Estimate information in Section 4 of this appendix for guidance.

B. Capital Outlay Support Estimate

Estimate the support costs that will be needed to complete PA&ED. If federal dollars are used on any portion of the project and local agency support cost is considered a “soft” match for federal reimbursement, identify and discuss the local agency support cost.

11. Develop Schedule

Develop a schedule for delivery including major milestones of the PA&ED phase and the anticipated funding year for construction.

12. Identify Risks

Using the PSR-PDS in lieu of a PSR may cause risks to the scope, cost and schedule of the project. Potential risks shall be evaluated and discussed by the PDT, and ownership of the risks shall be identified. A risk register is a risk assessment for the process and potential impacts to the overall project and needs to be completed to identify, classify, and quantify the risk impacts to the various disciplines. For locally implemented projects, the local agency is responsible for creating and maintaining the risk register. This information needs to be summarized within the PSR-PDS. Refer to Section 5, Article 10 of this appendix for general guidance on the risk register.
13. Perform Quality Management

For projects sponsored by others, Caltrans shall provide IQA per Deputy Directive *DD-90*. The Department’s IQA activities can be described as a cross functional review of the supporting documentation which includes: functional reviews of the sub-products (e.g. PEAR), providing advice and consultation during the development of the product, and attendance at PDT and other project meetings as needed.

The project sponsor and/or implementing agency must develop and follow a Quality Management Plan. Refer to Section 5, Article 9 of this appendix for general guidance on the Quality Management Plan.

14. Complete PSR-PDS

After developing alternatives and evaluating impacts, prepare the PSR-PDS in accordance with the guidance in Section 3 of this appendix.

If funds that are not included in a state programming document are used, cooperative features should be summarized in the PSR-PDS. An executable cooperative agreement could be deferred, but it shall be completed at the beginning of the PA&ED phase. Refer to Chapter 16 – Cooperative Agreements, for policies on cooperative agreements.

15. Perform Caltrans District Review and Obtain Approval

Statutes require Caltrans to review, and if appropriate, approve all PIDs, including the PSR-PDS, prepared by a local agency within 60 days of submittal of the PID as long as the review does not jeopardize the delivery of projects listed in the approved STIP.

If the PSR-PDS is not approved, notification by the district will include the reasons the PSR-PDS is unacceptable, including reference to any inconsistencies with Caltrans policies or standards.

Caltrans will review and approve the revised PSR-PDS within 30 days. However, in the event that the document does not meet with Caltrans standards or policies, it may be necessary to return the PSR-PDS to the local entity for further revision. The review and approval cycle will then be repeated.

The Caltrans District Director or Deputy District Director, if delegated, is responsible for approving the PSR-PDS scope, schedule, and cost within these established guidelines and may exercise judgment and flexibility in approving the PSR-PDS.
document. The PSR-PDS must be approved by the District Director, or Deputy District Director, if delegated, after review by the PDT. Project managers are to endorse the decision by signing an “Approval Recommended.”
SECTION 3 Outline

General

The purpose of this outline is to identify the key elements to document in the project study report-project development support (PSR-PDS). As an initial scoping and resourcing document; the PSR-PDS must identify the key issues of the transportation deficiency, any major elements that should be investigated, and the resources needed to complete the Project Approval and Environmental Document (PA&ED) studies. The attachments should contain summary information only needed to support or clarify information in the body of the report. Section 6 of this appendix has templates that present a guideline for preparation of the PSR-PDS.

Outline

Cover Sheet

The cover sheet provides the project identifiers such as the district, county, route, and post mile range, as well as the program code, project number, month and year of approval, primary reason for writing the report, project description, and appropriate signatures.

The beginning and ending post miles should be rounded to the nearest 0.1 mile that encompasses all of the proposed construction. The project location should be listed as a spot location to the nearest 0.1 mile if the project is less than 0.2 mile in length.

When entering the funding code, place XX in the capital support/capital projects shared use location, such as 20.XX.201.010.

Clearly state the reason for the PSR-PDS on the cover sheet. It may be one or a combination of the following bullets. Use “AND” to separate multiple requirements.

- Request for Programming in the (year) STIP for Capital Support of the Project Approval and Environmental Document.
- Request approval of a locally funded project to proceed to PA&ED phase, as defined in Chapter 9 – Project Initiation.
- Request approval to proceed with the formal studies for a Long Lead SHOPP project.
- Request scope approval of projects-funded-by-others, as defined in Chapter 9.
- Authorize a cooperative agreement.
See the *Plans Preparation Manual, Section 2-2.2* for guidance in developing the project description.

The cover sheet must include the endorsement of the Caltrans project manager.

For projects sponsored by others, a signature indicating the acceptance of the risks identified in the risk register must be included on the cover sheet.

The District Director or district division chief, to whom that authority has been officially delegated, approves the recommendations of the report. Edit the signature block as appropriate.

**Vicinity Map**

The vicinity map is a district, county, or city map showing all State highways and major local roads when pertinent. It should be placed on a separate page and should include the study limits, major topographic limits listed in the report, and a north arrow.

**Registered Professional Stamp**

The registered professional stamp or seal and number with signature shall be placed on a separate sheet, which shall be part of the report. Also included on this sheet shall be a statement indicating that the registered professional is attesting to the technical information contained therein and the engineering data upon which recommendations, conclusions, and decisions are based. This seal does not constitute approval of the report. Approval of the report is a management decision and is separate from this technical signature of the person in responsible charge.

**Table of Contents**

On a separate sheet, place a table of contents that includes all the elements of the PSR-PDS.

**Main Body of PSR-PDS**

1. **Introduction**

   The introduction is a summary of the information presented in the report. The introduction should be no more than two paragraphs or a brief opening sentence with the information summarized in tables. The template includes an optional table that can be expanded or condensed to fit the individual project.
In the introduction, identify:

- The problem.
- The range of alternatives and magnitude of capital outlay project estimates.
- The Caltrans resources needed to complete the proposed components (e.g., PA&ED phase and/or independent quality assurance).
- Identify the PA&ED milestone and the anticipated funding year for construction.
- The proposed funding sources.
- The initial project category.
- Type of facility as designated on a current or proposed route adoption map.
- Any known project approvals anticipated for each alternative (See Chapter 12 – Project Approvals and Changes to Approved Projects, for more information.)
- What work will be completed by non-Caltrans staff, if appropriate.

2. **Background**

The background should briefly describe:

- A description of the facility.
- Project sponsors and project proponents.
- A discussion on local and regional agency involvement in the development of purpose and need.
- A discussion of any actions or commitments that have taken place to date regarding the proposed project.
- Context Sensitive Solutions.
- Complete Streets.

3. **Purpose and Need**

These statements together should succinctly answer the question: why this project and why now? The project development team (PDT), in conjunction with the project sponsors and key stakeholders, must develop the purpose and need statement. The purpose and need statement shall remain consistent through the entire project development phase. Additional information on the development of purpose and need statements can be found at: [http://www.dot.ca.gov/hq/env/emo/purpose_need.htm](http://www.dot.ca.gov/hq/env/emo/purpose_need.htm)

**Purpose**

The project purpose is the set of project objectives that will be met, which addresses the transportation deficiency (i.e., the project need). It is important to identify the primary and secondary objectives that are met by
this project. While the secondary objectives may be a factor in the scoping of the project (e.g., minimizing impacts to the environment, meeting American with Disabilities Act [ADA] requirements, Complete Streets, etc.), the purpose statement should focus on the primary objectives of the project.

**Need**

The project need is an identified underlying transportation deficiency that needs correction. While there may be several associated deficiencies identified in the project area, it is important for the PDT to agree on the primary deficiency or deficiencies that create the need for the project. A need is supported by data that indicates, but is not limited to, a safety issue, reduced mobility, limited capacity for the transportation demand, the lack of reliability, gaps in or between transportation systems, or limited life of the facility. The details are discussed in the following section on “Deficiencies.”

4. **Traffic Engineering Performance Assessment**

The purpose of the traffic engineering performance (TEPA) is to produce findings and estimates related to existing performance deficiencies, expected performance benefits and impacts, the scope of work and features needed to meet the project objectives, and the resources needed to produce a complete traffic analysis report that will be necessary during the next phase of the project development process. To meet the purpose of the PSR-PDS, this assessment should rely upon an evaluation and macro-level analysis of readily available information and data.

Summarize key findings, recommendations and the (performance, scope and resource) estimates produced or derived from the traffic engineering performance assessment (see Section 5, Article 5 of this appendix), especially those which:

a) Support the *purpose and need* statements in section of the PSR-PDS  
b) Demonstrate and quantify the items outlined in the “Deficiencies” section of the PSR-PDS  
c) Identify the design features and traffic infrastructure (i.e. traffic control, operational, safety and management systems, elements, devices and strategies) to be included in the preliminary project scope of work  
d) Identify the scope and magnitude of the formal traffic engineering studies (including operational, capacity, safety, warrant, and benefit/cost analysis) that will be necessary during the next phase of the project development process in order to:  
   • Identify/confirm the complete scope of work (i.e. infrastructure and strategies)
• Produce the Environmental Document
• Obtain “Project Approval”

Items c) and d) facilitate the estimation of the project cost, right-of-way requirements, and the traffic engineering resources required to perform the various traffic studies and analysis that may be needed to produce a complete scope of work and support major design decisions (e.g. the safety analysis that can justify design and traffic standard applications).

5. **Deficiencies**
This section provides a concise discussion of the data that supports the *purpose and need* of the project as well as identifying existing available data that is important to the scoping of the project.

This section should refer to attached maps, charts, tables, letters, etc. When appropriate, discuss existing and forecasted traffic, level of service, capacity adequacy, and safety data from existing data.

This section may have two subsections. A subsection on the primary deficiencies would discuss deficiencies that relate directly to the need and purpose statements. A subsection on the secondary deficiencies would identify other deficiencies that should be addressed when scoping the project, but are not related directly to the stated *purpose and need* for the project.

6. **Corridor and System Coordination**
This section should address the coordination and consistency of the proposed *purpose and need* with statewide, regional, and local planning efforts such as:

- District System Management Plan (DSMP).
- Transportation Concept Reports/Route Concept Reports
- Corridor System Management Plan (CSMP)
- Regional Transportation Plans (RTP).
- Congestion Management Program (CMP).
- State Implementation Plan (SIP).
- Bicycle and pedestrian master plans.
- Short and Long Range Transit Plans.
- Local Measure Programs.
- Complete Streets.
- Context Sensitive Solutions.
• General Plan and Circulation Elements.

Provide a summary of the information from the Transportation Planning Scoping Information Sheet which also includes complete streets and context sensitive solutions to address other State Highway improvements, local improvements or any development projects within the immediate project vicinity.

Identify the date that the route was adopted, the California Transportation Commission (CTC) designation of the route or route denominations, and identify any applicable freeway or controlled access agreements, potential freeway or controlled access agreements, and potential relinquishments.

A project that requires a new public road connection must provide a description of the land-use development to be served by the new connection, describe the relationship to the local agency’s general plan or other specific area plans, and justification per Chapter 27 – New Public Road Connections, that existing interchanges or local road systems cannot be improved to handle the deficiencies.

7. Alternatives
All alternatives that address the purpose and need will be carried forward to PA&ED as described in Chapter 9. A No Build alternative should always be considered.

Alternative discussions can refer to attachments which may include: schematic maps of the study area and typical cross-sections, as appropriate.

The alternative section includes a discussion of the design scope, describes the boundary of the study area, and defines the activities for the PA&ED phase for each of the alternatives.

As appropriate, consider the following topics for each alternative:

• Discuss the design scope in terms of how it will satisfy the project purpose and need.
• Describe the boundaries of the study area required for formal investigations during the PA&ED phase. The project study area for each alternative must be established to include reasonable modification to the alternative. Improper identification of the project study area can result in unanticipated studies and project delays.
• Identify the resources needed to complete the engineering, environmental, and right-of-way studies for all alternatives to achieve PA&ED. Summarize the
information for the right-of-way needs and preliminary environmental assessment report.

- Discuss which studies and actions are required for approval of each alternative (e.g., Federal Highway Administration (FHWA), CTC route matters, etc.). For further guidance on approvals and agreements see Chapter 12 – Project Approvals and Changes to Approved Projects, and Chapter 13 – Project Related Permits, Licenses, Agreements, Certifications (PLAC), and Approvals.
- Discuss whether the alternative proposes nonstandard design features. Include the design standards risk assessment as needed.
- Discuss the order of magnitude of the capital outlay project estimate for each alternative. The estimates are for long-range planning. The estimates should be presented as a range and are not to be used for programming.
- Discuss stormwater best management practices (BMPs) that could affect the estimated project costs for each alternative. Also discuss potential water quality impacts that would entail additional resource needs during PA&ED.
- Discuss context sensitive solutions and complete streets issues that could affect the estimated resources and PA&ED delivery milestone dates.
- Briefly discuss any constructability issues or concerns such as the need for full road closure and staged construction (refer to Traffic Engineering Performance Assessment, Section 5, Article 5 of this appendix).

8. **Right-of-Way**
Summarize the anticipated right-of-way, utilities, and railroad impacts for each alternative using the Conceptual Cost Estimate Request – Right-of-Way Component discussed in Section 5, Article 7 of this appendix. Preliminary estimate mapping showing the property boundaries and project limits will help to estimate the number, area, and magnitude of parcels required for acquisition and the likely number of easements needed. The level of study is intended to develop an order of magnitude cost estimate for potential right-of-way needs to identify additional studies that may be needed during PA&ED.

**Utilities**

Identify existing utilities and potential relocation activities using existing, available information (e.g. permit search, as-built plans, field review). The level of study is intended to develop an order of magnitude cost estimate and to identify additional studies that may be needed during PA&ED. Positive location is not performed.
Railroad

Identify all rail lines in the vicinity of the project and thoroughly investigate any possible impacts. Due to potential impacts to project cost and schedule, all possible railroad impacts must be listed in the risk register and summarized in this section.

9. Stakeholder Involvement
Discuss the types of stakeholder involvement activities that were used to develop the purpose and need statement, and to identify the alternatives to be studied. Discuss stakeholder concerns and objectives that were identified during the project initiation document (PID) phase.

Discuss the context sensitive solutions approach that will be used to obtain stakeholder involvement in the identification and evaluation of alternatives.

10. Environmental Determination/Documentation
Summarize information provided in the preliminary environmental analysis report (PEAR). The PEAR includes a section titled “Summary Statement for PSR or PSR-PDS” which can be directly incorporated into the PSR-PDS. Refer to the Standard Environmental Reference (SER) for further guidance on the PEAR. The PEAR is completed and both summarized in the PSR-PDS and attach to the PSR-PDS.

11. Funding
Capital Outlay Project Estimate

Identify potential or proposed sources of funding and project funding eligibility (e.g., “Federal aid eligible”) to fully fund the project. Examples of funding sources are a specific local entity, State Transportation Improvement Program (STIP) program, or “future county shares.” If necessary, expand the table to allow for multiple funding sources.

The capital outlay project estimates are ranges and are not to be used for programming. The order of magnitude estimates are used to estimate future funding needs. The breadth of the estimate range is project specific. The estimate should be based on the worst and best-case scenario for high risk factors. For a PSR-PDS prepared by others, the local agency may desire a more comprehensive capital outlay project estimate. Additional information pertaining to the capital outlay project estimate can be found in Section 4 and Section 6.
Capital Outlay Support Estimate

Estimate the support costs that will be needed to complete PA&ED. Identify sources(s) of funding to fund the PA&ED phase of the project.

If federal dollars are used on any portion of the project and local agency support costs are considered a “soft” match for federal reimbursement, identify and discuss the local agency support cost.

12. Schedule
Provide a delivery schedule for significant PA&ED milestones and major milestones for future project phases. For practical purposes this schedule shows the amount of time needed to complete the project PA&ED.

Discuss all schedule constraints and assumptions for programmed milestones, and include in the risk register. A tentative schedule is not complete without documentation of the assumptions and constraints. The assumptions and constraints provide decision-makers with the rationale used to develop the schedule and the factors that could have significant impact on the schedule. The assumptions and constraints provide stakeholders with an understanding of critical delivery areas. The resource needs, and estimate must be consistent with the workplan that is submitted to Headquarters Program Project Management.

Provide the month and year for proposed program delivery milestones for PA&ED. Any milestones that are not proposed for programming and are outside of the programming cycle should be identified by fiscal year in the “Delivery Date Column” and a notation made that these dates are for “planning purposes only.” For projects-funded-by-others, local agency should provide critical target dates. The schedule shall be tied to a workplan to assist Caltrans in managing resources for these projects.

13. Risks
Provide a summary of the potential risks and their possible impacts to the overall project cost and schedule in the risk register. Also include the ownership and proposed management of these risks.

14. FHWA Coordination
Review the latest Federal Highway Administration (FHWA) and Department of Transportation (Caltrans) Joint Stewardship and Oversight Agreement and Record of FHWA Involvement form at: http://www.dot.ca.gov/hq/oppd/stewardship/
Determine if the project is an Assigned Project or High Profile Project (HPP). Consult with the FHWA Transportation Engineer and the project manager and complete the Record of FHWA Involvement form. Discuss any coordination with FHWA and include the appropriate statement in the report:

This project is considered to be an Assigned Project in accordance with the current Federal Highway Administration (FHWA) and Department of Transportation (Caltrans) Joint Stewardship and Oversight Agreement.

Or

This project is considered to be a High Profile Project (HPP) in accordance with the current Federal Highway Administration (FHWA) and Department of Transportation (Caltrans) Joint Stewardship and Oversight Agreement.

Discuss whether or not the project is eligible for funding from the federal Congestion Mitigation and Air Quality (CMAQ) Improvement Program. To determine if a project specific emission analysis needs to be made to qualify for CMAQ funding, consult FHWA CMAQ guidance that can be found at:

http://www.fhwa.dot.gov/environment/air_quality/cmaq/

If Interstate access is being added or modified, the process to request FHWA approval is deferred to PA&ED.

- FHWA “engineering and operational acceptability” must be obtained early in the PA&ED phase prior to circulation of draft environmental document with an unsigned supplemental project study report (PSR) or an unsigned draft project report. FHWA “approval” will be given after the National Environmental Policy Act (NEPA) process is completed.
- Include a statement that sufficient funding is expected to be reasonably available at the time of the circulation and/or approval of the environmental determination/document to allow for the inclusion of the fully funded preferred alternative in the financially constrained metropolitan planning organization (MPO) or regional transportation planning agency (RTPA), Regional Transportation Plan (RTP) and Federal Transportation Improvement Program (FTIP). State the source of the funding (e.g., future county shares).

Include any proposed new or modified Interstate access in the risk register.

15. District Contacts
Include the name and phone number of district representative to be contacted concerning questions on the PSR-PDS submittal.
16. Project Reviews
Include the completion date of major reviews. The templates include a list of suggested reviews. Each district should modify the template to reflect the district's review procedures.

17. Attachments
The following list provides examples of the appropriate attachments and files. Each project should be evaluated as to the appropriate inclusion of specific reports and information. Do not include raw data that is used in the analysis in the report or as an attachment. This information should be part of the project file and kept to support engineering recommendations.

**Required Attachments**

- Location and/or vicinity map
- Schematic maps of the study area or alternatives
- Capital Outlay Project Estimate
- Typical Cross Sections
- Preliminary Environmental Analysis Report (PEAR)
- Transportation Planning Scoping Information Sheet
- Right-of-Way Conceptual Cost Estimate Component
- Risk Register

**Required Supplemental Documents for Project Files:**
(This information should only be summarized in the PSR-PDS)

- Quality Management Plan For Locally Implemented Projects on the State Highway System
- Stormwater Documentation
- PSR-PDS Survey Needs Questionnaire
- Traffic Engineering Performance Assessment
- Division of Engineering Services PSR-PDS Scoping Checklist
- For STIP projects, include a Project Programming Request (PPR) form. The form and instructions may be found at: [http://www.dot.ca.gov/hq/transprog/ocip/2012stip.htm](http://www.dot.ca.gov/hq/transprog/ocip/2012stip.htm)

- Design Scoping Index or equivalent document
- Rosters of personnel participating in major reviews
- Capital Outlay Support Estimate
SECTION 4  Cost Estimates

ARTICLE 1 Capital Outlay Project Estimate

The level of detail available to develop the right-of-way and construction capital outlay estimate for a project study report-project development support (PSR-PDS) for the State Transportation Improvement Program (STIP), projects-funded-by-others, or a Long Lead State Highway Operations and Protection Program (SHOPP) project is only accurate to within orders of magnitude and is needed for long-range planning purposes only. Examples of ranges than can be considered are “less than $5M”, “$5M-$25M,” $25M-$75M” or “$50M-$60M.” The breadth of range is based on available information and reasonable assumptions. Therefore, the capital outlay project estimates provided in PSR-PDS are not for programming purposes. In addition, there should be a discussion of a financial plan that identifies existing non-STIP funding sources that are being considered to complete the project.

### Capital Outlay Project Estimate

<table>
<thead>
<tr>
<th>Alternative</th>
<th>Range of Estimate</th>
<th>STIP Funds</th>
<th>Other Funds</th>
</tr>
</thead>
<tbody>
<tr>
<td>Alternative 1</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Alternative 2</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Alternative 3</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Alternative 4</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

The level of detail available to develop these capital outlay project estimates is only accurate to within the above ranges and is useful for long-range planning purposes only. The capital outlay project estimates should not be used to program or commit State-programmed funds.

The intent of the table is to provide the following information:

- The capital outlay project estimate range for each alternative,
- A list of the main funding sources for each alternative (i.e., RIP, IIP, TCRP), or SHOPP for Long Lead SHOPP projects,
- Other potential sources of funds (e.g., measure funds, developer funds).

Columns may be added to the table for each non-STIP funding source. A description of any specific funding commitment or constraint should be included in text.
following the table, for example, if a city may be willing to contribute up to a fixed amount for sidewalk improvements. The city’s participation must be discussed. Discuss any cooperative agreements that may be needed for various project components. The PSR-PDS capital outlay project estimate template can be found in Section 6.

**ARTICLE 2  Capital Outlay Support Estimate**

Estimate the support cost that will be needed to complete Project Approval and Environmental Document (PA&ED). The support cost should be based on a resource-loaded workplan in either Expert Project Manager (XPM) or Project Resource and Schedule Management (PRSM).

If federal dollars are used on any portion of the project and local agency support costs are considered a “soft” match for federal reimbursement, identify and discuss the local agency support cost.
SECTION 5 Scoping Tools

ARTICLE 1 General

This section contains some of the tools used by various functional areas to aid the project team in scoping the project. The tools not contained in this section can be obtained from the appropriate functional unit.

Upon receiving a request for project information, each functional unit completes the appropriate scoping tool and transmits the information to the unit responsible for developing the project study report-project development support (PSR-PDS).

ARTICLE 2 Design Scoping Index

General

The Design Scoping Index can serve as a discussion document to help the design units analyze the highway system and identify design issues that should be addressed during the project initiation phase.

The index can serve to facilitate discussions with other functional units to identify project issues and stakeholder input needed to properly scope the project. It can also facilitate discussions with Headquarter liaisons to identify potential issues and nonstandard design features.

The Design Scoping Index is used in conjunction with the scoping checklists from other functional units to determine feasibility of the project alternatives. When filling out the index, indicate if information on the index is based on assumptions. Project information is dynamic and the information in this index should be revised and dated throughout the PSR-PDS process. As the project progresses, information should be verified, updated, and possibly addressed in a risk analysis.

To aid in engineering decisions regarding the development of geometric plans, refer to the Highway Design Manual and design information bulletin DIB 78-02 Design Checklist.

The current Design Scoping Index is available at:

http://www.dot.ca.gov/hq/oppd/pdpm/templates/design-scoping-index-template.docx
ARTICLE 3  Stormwater Documentation

General

The Office of Stormwater Management Design developed the *Project Planning and Design Guide (PPDG)* to provide guidance on the process and procedures for evaluating project scope and site conditions to determine the need for and feasibility of incorporating stormwater best management practices (BMPs) into a project for compliance with the National Pollutant Discharge Elimination System (NPDES) permits. Within the PPDG, the storm water data report (SWDR) is a standardized format to compile pertinent information necessary to evaluate potential stormwater impacts on a project. The SWDR has a narrative, multiple checklists and attachments that are used to document the stormwater decisions being made on a project, as well as compiling the necessary background information needed to make those decisions. A SWDR is required to be completed at each phase of a project. The intent of this process is to document background information and the stormwater decisions made for a project throughout each phase. As a project proceeds, the SWDR from the previous phase will be used as the starting point so that efforts are not duplicated.

The level of detail in a project initiation document (PID) SWDR should be commensurate with the level of detail in the PID document. Since a primary purpose of the PSR-PDS is to estimate the resources needed to complete Project Approval and Environmental Document (PA&ED), the expected level of detail for a PSR-PDS SWDR will be much less than a regular project study report SWDR. The PSR-PDS evaluation will focus on determining if there will be any significant impacts to the project alternatives, right-of-way needs, or project costs due to the need to incorporate treatment BMPs for compliance with stormwater requirements. The Evaluation Documentation Form *(PPDG, Appendix E)* will be used to document the need to incorporate treatment BMPs in a PSR-PDS.

The following topics would be considered to be the minimum information necessary to be able to provide an effective stormwater analysis during the PSR-PDS SWDR documentation process:

- List the regional water quality control board(s) that is within the project limits.
- Determine if a Clean Water Act, Section 401 - Water Quality Certification be required.
- Identify any location specific requirements.
• Determine if there is a potential for the project to create permanent water quality impacts.
• Determine the total estimated disturbed soil area (nearest acre) for each project alternative.
• Determine if the project will need coverage under the Construction General Permit (CGP). If so, and if required, determine the estimated project risk level.
• Determine the estimated net post project impervious area (nearest acre) for each project alternative.
• Determine if the project will require the incorporation of treatment BMPs. Complete the Evaluation Documentation Form.
• If treatment BMPs will be required, describe the considered permanent BMPs and any additional right-of-way needs.
• Determine if steep slopes will be created or disturbed. If so, describe any advanced erosion control needs.
• Determine if the project is going to require a notification of aerial deposited lead (ADL) reuse.
• Include the estimated costs for both permanent and temporary BMPs.

It should be noted that while the SWDR has a number of checklists and attachments, it is understood that much of the information will be gathered and/or determined during PA&ED. To eliminate the potential of expending resources to gather information that may not be required for the PSR-PDS, the project engineer should coordinate with the district/regional design stormwater coordinator during the pre-PID meeting to come to an agreement of the expected level of documentation and to have a better understanding of the potential stormwater impacts within the project area. During this consultation, it will also be determined if additional information other than the topics listed above is warranted.

Pertinent information from the SWDR should be summarized within a stormwater section in the PSR-PDS.

During PA&ED, the normal stormwater documentation process will be followed.

For Statewide consistency, the template for a PSR-PDS SWDR will be similar to a regular PID-level SWDR and is located on the Office of Stormwater Management – Design website at: [http://www.dot.ca.gov/hq/oppd/stormwtr/index.htm](http://www.dot.ca.gov/hq/oppd/stormwtr/index.htm)
ARTICLE 4  Transportation Planning Scoping Information Sheet

General

The project development team (PDT) should use the Transportation Planning Scoping Information Sheet to verify that the project remains consistent with the planning level purpose and need and is consistent with planning concepts, statewide goals, and planning decisions.

The majority of the data requested for the information sheet is compiled at two separate time periods. The initial information is collected by the Transportation Planning PDT representative at the start of PID development to ensure appropriate stakeholders are included in the process and all pre-planning efforts and commitments are reviewed before any project decisions are made. Explanations of how the requirements were met will need to be finalized by the end of the PID.

The current Transportation Planning Scoping Information Sheet is available at:

http://www.dot.ca.gov/hq/tpp/offices/opsc/pdpm_scoping_tools.html

ARTICLE 5  Traffic Engineering Performance Assessment

General

Project related traffic engineering studies produce findings and estimates related to the operational and safety performance of existing and proposed highway infrastructure. The performance related findings and estimates are derived from the:

- Analysis of traffic, collision and performance data and forecasted traffic volumes.
- Evaluation of existing infrastructure to identify deficiencies and/or omissions.
- Evaluation of the proposed infrastructure, including geometric design and traffic features or elements (i.e. traffic control, operational, management and safety devices, systems and features).

Performance-related findings and estimates provide the basis for project scoping and design decisions. Ultimately, formal traffic engineering studies inform and advise the
PDT as to whether the project scope is complete, and whether the scope will meet the project *purpose and need*.

To meet the purpose of the PSR-PDS, the preliminary traffic engineering studies should be limited to an assessment of readily available information and data, and macro-level analysis and evaluation. This effort will produce preliminary traffic engineering findings and estimates to inform and advise the PDT on:

- The potential scope of work and features (especially the traffic “elements” referenced above).
- Potential performance benefits and deficiencies.
- The scope and magnitude of traffic engineering work (traffic forecasting, modeling, analysis and evaluation) to be performed during the Project Approval and Environmental Document phase.

The traffic engineering effort performed during PA&ED will further define the scope of work and produce reliable estimates of the operational and safety impacts (benefits and disbenefits) of the proposed highway infrastructure.

The information, questions, checklists and report template are intended to guide and advise the engineer and/or traffic analyst who is responsible for the performance and documentation of the traffic engineering assessment.

A summary of the assessment and key findings and estimates should be summarized or incorporated into the PSR-PDS document.

The current Traffic Engineering Performance Assessment is available at:

http://www.dot.ca.gov/hq/tpp/offices/opsd/pdpm_scoping_tools.html

**ARTICLE 6  Preliminary Environmental Analysis Report**

**General**

The preliminary environmental analysis report (PEAR) provides the initial environmental evaluation of a project and alternatives before it is programmed. It anticipates the environmental constraints that may affect project design, alternatives, cost, schedule, and delivery. It estimates the scope, schedule, and costs associated with the subsequent environmental compliance process and it documents the
assumptions and risks used to develop those estimates. When a PEAR is required, it becomes an attachment to the project initiation document.

Since the PSR-PDS is used to estimate and program the capital outlay support cost necessary to complete the studies and work needed during PA&ED, the PEAR for a PSR-PDS should only estimate costs through PA&ED. The cost of environmental permits and commitments is programmed as part of the right-of-way and construction costs and therefore should not be included in a PEAR for a PSR-PDS.

The level of detail in a PEAR should be commensurate with the level of detail in the PID document. The PEAR should be a concise (approximately 5 to 15 pages) report used to document the issues that are anticipated to be addressed in the National Environmental Policy Act (NEPA) or California Environmental Quality Act (CEQA) documentation and the assumptions that were used to anticipate those issues. The magnitude and complexity of the proposed project dictates the level of effort expended for the PEAR documentation, nevertheless, the PEAR is not an environmental document; it is not the equivalent of the Tier 1 NEPA document; and it is not a report of environmental analysis.

The PEAR Handbook makes it clear that a PEAR should always include documentation of any assumptions that were made and/or any environmental risks, particular those assumptions and risks that could affect the cost, scope, and schedule of the project.

The PEAR Handbook, PEAR template, and templates for the PEAR attachments can be found at the following page: [http://www.dot.ca.gov/ser/pear.htm](http://www.dot.ca.gov/ser/pear.htm)

**ARTICLE 7 Conceptual Cost Estimate Right-of-Way Component**

**General**

The conceptual cost estimate for the right-of-way component provides an order-of-magnitude estimate that is intended for planning purposes only. The right-of-way component of the project should not be programmed until a right-of-way data sheet has been completed and approved.

The project engineer completes the Conceptual Cost Estimate Request – Right-of-Way Component and submits it to the district right-of-way office. The district right-
of-way office will then complete the Conceptual Cost Estimate – Right-of-Way Component and submit it to the project engineer.

The current Quality Management Plan for Locally Implemented Projects on the State Highway System is available at:

http://www.dot.ca.gov/hq/tpp/offices/opsc/pdpm_scoping_tools.html

**Conceptual Cost Estimate Request – Right-of-Way Component**

The purpose of this request to the district right-of-way office is to provide the necessary project information to complete a detailed work plan for the right-of-way resource needs of the permits and studies component of the project as well as an order of magnitude estimate. Conceptual maps should be attached consisting of schematic plans or aerial photography with the project study area marked. The request should be entirely completed with the best information available. The basis of the estimate will consist of the information on the request and maps.

**Project Information**

Identify the type of project with a description that describes the change between the current right-of-way and the future footprint.

Other pertinent information about the project includes:

- Anticipated project schedule – The milestone dates will provide a time basis for the estimate.
- Project setting – Choose urban or rural and keep land use description simple (i.e. residential, agricultural, commercial).
- Alternatives to be studied – Quantity of alternatives but do not include a No Build alternative.
- Type of environmental document – Such as Categorical Exemption/Categorical Exclusion or Environmental Impact Report/Environmental Impact Study.
- Environmental mitigation – Environmental mitigation parcels or credits only.
- Project permits needed – Total quantity of permits needed, do not include permits for construction.
- Rights of entry required – Quantity of permits to enter required for studies.
- Public meetings – Quantity of public meetings be held with right-of-way participation.
Project is expected to be controversial – Check ‘Yes’ if any opposition to the project is expected and include in the risk register.

**Right-of-Way Requirements**

The right-of-way requirements determine the scope of the right-of-way involvement on the project. The information needed to complete the estimate includes:

- Number of parcels/total additional area – Quantity of required parcels and areas of new property.
- Number of easements/total easement area – Include temporary and permanent easements.
- Access points/control – Any change in access must be identified in sufficient detail to determine the effects on the properties impacted.
- Utilities – Major utilities would include substations, towers, canals, or similarly complex facilities.
- Potholes – Quantity of locations needed to pothole for identifying the placement of the utilities.
- Railroad – Identified all railroad owners in the vicinity of the project and probable involvements.
- Relinquishment/vacations – Any relinquishments or vacations should be identified on existing or proposed facilities.

**Conceptual Cost Estimate – Right-of-Way Component**

The conceptual cost estimate for the right-of-way component provides an order-of-magnitude estimate that is intended for planning purposes only. The right-of-way component of the project should not be programmed until a right-of-way data sheet has been completed and approved. The conceptual cost estimate for the right-of-way component will include:

**Scope of the Right-of-Way**

- Field review – A visit to the field will reveal important location specific characteristics.
- Right-of-way required – Includes any deliverable required for the right-of-way component.
- Number of parcels – Estimated quantity of parcels needed for the project.
- Urban or rural – The setting of the project will be urban or rural as indicated on the request.
- Land area – Total land area for fee and easement requirements.
Relocation assistance program (RAP) displacements – Determine if families or businesses will be displaced by the project.

Demolition and clearance – Determine if structures/improvements will need to be cleared.

Railroad involvement – Determine if railroad interests are involved.

Utility involvement – Determine if utilities are involved.

Cost Estimates

Capital outlay support estimate – The estimate is represented as a range of values based on the scope of the right-of-way in the right-of-way component.

Capital outlay project estimate – The right-of-way portion of the estimate is represented as a range of values based on the estimates related to parcels, utilities, and railroad involvement.

Schedule

The schedule assumes a Right-of-Way Certification #1.

Areas of Concern

The areas of concern identify areas in close proximity to the project that could result in major increases to the cost or schedule of delivering the right-of-way component if impacted.

Assumptions and Limiting Conditions

Provide the assumptions and limiting conditions used in the preparation of this estimate and address in the risk register.

Contact

The preparer will include his or her name and telephone number.

ARTICLE 8 Survey Needs Questionnaire

General

The project datums, vertical and horizontal, need to be established as soon as possible.

The current Survey Needs Questionnaire is available at:

http://www.dot.ca.gov/hq/pp/offices/ops/pdpm_scoping_tools.html
ARTICLE 9  Quality Management Plan for Locally Implemented Projects on the State Highway System

General

The purpose of the Quality Management Plan is to facilitate an effective and efficient process for the development, review and approval of PIDs for State Highway System (SHS) projects sponsored by others. The project sponsor and/or implementing agency must develop and follow a Quality Management Plan that meets the standards of professional practice and satisfies requirements of the project scope and schedule. The project managers from Caltrans and the lead agency shall ensure that all PDT members, including consultants, utilize the Quality Control/Quality Assurance (QC/QA) elements as described in this document during the production and review of PIDs. QC/QA will be performed before deliverables are submitted to Caltrans for review.

Each team member must understand the project objectives, apply sound engineering principles and is expected to produce quality, accurate, and complete documents within the project schedule and budget. Project documents will be prepared in accordance with current Caltrans regulations, policies, procedures, manuals, and standards including compliance with Federal Highway Administration (FHWA) requirements.

The information provided in the Quality Management Plan describes the quality procedures that will be implemented for work performed during all phases of development, review and approval of locally sponsored and/or implemented PIDs.

The Quality Management Plan template is to be modified to fit project needs, reporting relationships, and general circumstances.

The current Quality Management Plan for Locally Implemented Projects on the State Highway System is available at:

http://www.dot.ca.gov/hq/tpp/offices/opsc/pdpm_scoping_tools.html
ARTICLE 10  Risk Register

General

The PSR-PDS PID requires that the project sponsor complete a risk assessment. The reduced amount of data that is required for the PSR-PDS transfers risks to future phases and it is important to identify the risk, define the probability, define the severity, identify who or what the risk will impact, and identify the ownership of the risk. The project manager, project sponsor, and project team members jointly develop a written plan that enables them to identify, assess, quantify, prepare a response to, monitor, and control capital project risks. Refer to the Project Risk Management Handbook: A Scalable Approach and use the risk register template in completing the plan.

The risk register template is located at:

http://onramp/hq/projmgmt/index.jsp?pg=65

ARTICLE 11  Division of Engineering Services Scoping Checklist

General

The Division of Engineering Services (DES) developed the PSR-PDS Scoping Checklist to accurately identify the products and services required from DES functional units for State Transportation Improvement Program (STIP) projects.

- The district is responsible for completing all sections of the checklist.
- The DES project liaison engineer will provide assistance to the district project manager to complete the checklist and provide the project manager a DES workload resource estimate.

Sections of the checklist include general project information, project type, alternative descriptions, project schedule, and estimated cost range. Detailed sections on project scope clarify involvement of the following:

- Structure design,
- Geotechnical services,
- Structure hydraulics,
- Preliminary investigations,
• Transportation architecture,
• Materials and testing services,
• Structures and electrical,
• Mechanical,
• Water,
• Wastewater design.

Technical specialist design for culverts, barriers, sign and overhead sign structures are also included on the checklist.

The workload resource estimate is prepared for the district project manager and provides the estimate in personnel years (PYs), required for DES products and services up to work breakdown structure task 180 for the project. The DES PSR-PDS Scoping Checklist is summarized in the PSR-PDS document.

The current Division of Engineering Services PSR-PDS Scoping Checklist is available at:

http://www.dot.ca.gov/hq/tpp/offices/opsc/pdpm_scoping_tools.html
SECTION 6  Templates

General

This section contains three templates for the project study report-project development support (PSR-PDS):

1. Template for State Transportation Improvement Program (STIP) projects and projects-funded-by-others, and
2. Template for Long Lead State Highway Operations and Protection Program (SHOPP) projects, and
3. Template for capital outlay project estimate.

These templates should be modified to include or exclude any applicable deficiencies or issues.

ARTICLE 1  Template for STIP Projects and Projects-Funded-by-Others

This article is a template for the PSR-PDS for STIP projects and projects-funded-by-others. Guidance for completing this template is located in Section 3 of this appendix.

When using the template, delete any italicized text within the body of the document. The italicized text provides instructions for template users and does not provide any value to the final document.

The template is available at:

http://www.dot.ca.gov/hq/oppd/pdpm/templates/apdx-s-template1.docx
ARTICLE 2  Template for Long Lead SHOPP Projects

This article is a template for the PSR-PDS for Long Lead SHOPP projects. Guidance for completing this template is located in Section 3 of this appendix.

When using the template, delete any italicized text within the body of the document. The italicized text provides instructions for template users and does not provide any value to the final document.

The template is available at:

http://www.dot.ca.gov/hq/oppd/pdpm/templates/apdx-s-template2.docx

ARTICLE 3  Template for Capital Outlay Project Estimate

This article is a template for the PSR-PDS capital outlay project estimate. Guidance for completing this template is located in Section 4 of this appendix.

When using the template, delete any italicized text within the body of the document. The italicized text provides instructions for template users and does not provide any value to the final document.

The template is available at:

APPENDIX T – Preparation Guidelines for Bridge Maintenance Project Scope Summary Report

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APPENDIX T – Preparation Guidelines for Bridge Maintenance Project Scope Summary Report

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APPENDIX T – Preparation Guidelines for Bridge Maintenance Project Scope Summary Report

ARTICLE 1 Overview

Use of Bridge Maintenance Project Scope Summary Report

The following guidance is tailored to bridge projects where the primary scope is maintenance work designed to delay or prevent conditions from progressing into the rehabilitation stage. These bridge maintenance projects address damage caused by traffic accidents, place and maintain protective wearing surfaces and coating systems and perform minor maintenance repairs.

The bridge maintenance project scope summary report (PSSR) is the project planning, scoping, and programming document for preventative maintenance State Highway Operation and Protection Program (SHOPP) projects in the:

- 20.XX.201.119 – Capital Bridge Preventative Maintenance Program.

The bridge maintenance project scope summary report is also used for planning and scoping non-SHOPP projects to be funded from the following Bridge Maintenance Programs:

- 20.80.030.080 – Bridges
- 20.80.030.100 – Other Structures
- 20.80.030.115 – Bridge Preservation

The outline and template provided in this appendix were developed to be used primarily for SHOPP projects. Consult with the Headquarters bridge program advisor for guidance on using the outline and template for non-SHOPP projects. For more detailed information, see the Bridge Preservation Program topic on the Structures Maintenance & Investigations intranet page at: http://smi.dot.ca.gov/
Guidance for Preparing Bridge Maintenance Project Scope Summary Report

Consult with the district program advisor and the Headquarters bridge program advisor to determine if the project will be funded from the Capital Bridge Preventative Maintenance Program or one of the Bridge Maintenance Programs and to ensure that the information needed to secure a programming commitment is included in the PSSR.

The bridge maintenance PSSR should be prepared using the template provided on the following pages. This is a “fill-in the blank” type of format. If a section is not applicable to a specific project, fill in section as “Not Applicable”. Modify the format to include information that is pertinent to the scope, cost and schedule of project.

The project scope summary report (PSSR) format was developed to combine the project initiation and project approval phases and satisfies the requirements for both the project initiation document (PID) and the project report (PR) depending on the environmental approval criteria as follows:

- The PSSR serves as a PID when a preliminary environmental analysis report (PEAR) is attached and subsequently:
  - A supplemental PSSR serves as a PR for project approval when an approved categorical exemption/exclusion (CE/CE) determination form is attached.
  - A supplemental PSSR serves as a draft project report (DPR) to approve circulation of a draft environmental document. Project approval is documented in a second supplemental PSSR.

- The PSSR serves as a PID and a PR when an approved categorical exemption/exclusion (CE/CE) determination form is attached.

- The PSSR serves as a PID and the approving document for circulation of the draft environmental document when a draft environmental document is attached. Project approval is documented in a supplemental PSSR.

See Appendix K – Preparation Guidelines for Project Report, for discussion of the DPR requirements. Supplemental PSSRs shall follow the same requirements described in “Content of Supplemental PR,” in Chapter 12, Section 6.
ARTICLE 2  Outline

General

The purpose of this outline is to identify the key elements to document in a bridge maintenance project scope summary report (PSSR). All headings presented in the template shall be included in the PSSR. See Chapter 9 – Project Initiation, and Chapter 12 – Project Approvals and Changes to Approved Projects, for essential procedures and Appendix L – Preparation Guidelines for Project Study Report, as well as Appendix K – Preparation Guidelines for Project Report, for discussion of individual topics and discuss any specific issues with the Headquarters bridge program advisor. Even though topics such as transportation management plans (TMPs), storm water data reports (SWDRs), and Americans with Disabilities Act (ADA) of 1990 issues are not in the standard outline, they are to be addressed as guidance in other locations may dictate and should be discussed in the report as needed.

Outline

Cover Sheet

The cover sheet provides the project identifiers, in the header, such as the district, county, route, and post mile range, as well as the expenditure authorization (EA), project number, planning program number (PPNO), program code, and month and year of report approval.

The beginning and ending post miles should be rounded to the nearest 0.1 mile that encompasses all of the proposed construction. The project location should be listed as a spot location to the nearest 0.1 mile if the project is less than 0.2 mile in length.

The project number is the 10 digit number used for reporting labor charges.

When entering the program code, place XX in the capital support/capital projects shared use location, such as 20.XX.201.119.

Modify the type of report to “Supplemental Project Scope Summary Report” as needed. Modify the purpose of report as needed and enter the appropriate programming year for State Highway Operation and Protection Program (SHOPP) projects. Typical entries for the purpose include:
Appendices
Project Development Initiation and Approval Reports

- To Request Programming in the 20XX SHOPP And For Project Initiation
- To Request Programming in the 20XX SHOPP And For Project Approval
- To Authorize Public Release of the Draft Environmental Document
- To Request Non-SHOPP Project Approval

See the *Plans Preparation Manual*, Section 2-2.2 for guidance in developing the project description.

If the purpose for the report does not include project approval, delete the phrase: “I have reviewed the right of way information contained in this report and the R/W Data Sheet attached hereto, and find the data to be complete, current and accurate:”, along with the associated signature block.

For SHOPP projects, the cover sheet must include endorsement by the project manager and approval by the District Director.

For non-SHOPP projects, the cover sheet must include endorsement by the project manager and approval by the Maintenance Deputy District Director. Edit the cover sheet as needed.

**Vicinity Map**

The vicinity map is a district, county, or city map showing all State highways and major local roads when pertinent. It should be placed on a separate page and should include the study limits, major topographic limits listed in the report, and a north arrow.

**Registered Professional Stamp**

The registered professional stamp or seal and number with signature shall be placed on a separate sheet, which shall be part of the report. Also included on this sheet shall be a statement indicating that the registered professional is attesting to the technical information contained therein and the engineering data upon which recommendations, conclusions, and decisions are based. This seal does not constitute approval of the report. Approval of the report is a management decision and is separate from this technical signature of the person in responsible charge.
Main Body of PSSR

1. Introduction

Provide a brief description of the work proposed by the project and fill out the table. If appropriate, discuss the risk factors affecting the scope, cost, and schedule. If known, include issues or commitments such as construction windows.

In most cases, bridge maintenance projects should not materially change existing geometric features nor require design exception fact sheets for deviations from mandatory and advisory design standards. Discuss the need for design exceptions with the Headquarters bridge program advisor and the Division of Design, Design Coordinator. Discuss the need for any exceptions to design standards in the report; see section 3.3 of design information bulletin, DIB 79-03, for discussion of applicable standards and Chapter 21 – Exceptions to Design Standards.

Do not list individual bridge locations, but provide general location description and general project scope. The bridge information and work description is entered in the “Structure Location and Cost Estimate” table in section 6.

The SHOPP performance measure for the Capital Bridge Preventative Maintenance Program is the number of bridges that are included in the project and should be entered in the SHOPP program output row of the information table in the introduction section of the template. Delete this row for non-SHOPP projects.

2. Purpose and Need

For assistance on developing the purpose and need, see: http://www.dot.ca.gov/hq/env/emo/purpose_need.htm

3. Right-of-Way

Discuss potential right-of-way issues related to property acquisition, easements, permits to enter, utility conflicts resulting in protection or relocation, railroad coordination and environmental mitigation that involves right-of-way.

4. Environmental Determination/Documentation

Discuss potential environmental issues such as contamination, historic landscapes, endangered species, permits, and mitigation.
Consult with the district environmental unit for a determination on the type of environmental documentation anticipated for the project and check the appropriate box. Attach the preliminary environmental analysis report (PEAR), categorical exemption/exclusion (CE/CE) determination form, or draft environmental document as needed.

5. Other Agency Involvement

Identify potential involvement with outside agencies or for necessary coordination, agreements or permits required for the project. The district environmental division is a resource for determining some of the required permits. The list of agencies and permits in the template is not comprehensive; see Chapter 13 – Project Related Permits, Licenses, Agreements, Certifications (PLAC), and Approvals for more information.

6. Estimate

Include a cost breakdown for each of the major elements of the project by providing the information to complete the tables in the template.

To minimize future cost increases, a thorough scoping of the project needs to be completed during the design field review and a reliable estimate needs to be prepared. Realistic evaluations as to the final concept, scope, and cost of each project are to be established as early as possible and should be based on the results of the field review. All anticipated work should be included. The project cost estimate should be prepared using the methodology presented in this outline. If appropriate, address risks that are not typical for preventative maintenance work that will potentially impact the cost, scope or schedule.

The cost estimate section is divided into three sections. Use a maximum of 10 percent for the contingency factor unless written permission to use a higher percentage is obtained from the SHOPP Bridge Preservation Program manager.

A. Structure Location and Cost Estimate

Fill out the table listing the bridge information, proposed bridge work, and associated cost. Bridge work and costs are directly the result of the Area Bridge Maintenance Engineers work recommendations entered into the Structure Maintenance and Investigations Bridge Database known as SMART. The district must work with the Headquarters bridge program advisor to compile this information. The list of Headquarters bridge program
advisors can be found in the current Bridge Maintenance Program Guidelines under the Bridge Preservation Program topic on the Structures Maintenance & Investigations intranet page at: http://smi.dot.ca.gov/

The district may elect to provide a summary under this section and attach the Bridge Project EA Report that is created during the coordination with the Headquarters bridge program advisor in lieu of recreating the information in the table.

B. District Cost Estimate

The district portion of the cost estimate includes all non-bridge items except supplemental work and state furnished materials and expenses. The district cost estimate includes items such as: construction site management; prepare water pollution control program; construction area signs; traffic control system; various traffic signs, striping, markings and markers; mobilization; and any other additional work that may be required.

Districts should base their cost estimates on experience with similar projects and available historical data. See Chapter 20 – Project Development Cost Estimates and Appendix AA – Cost Estimates for further details on estimating project costs.

C. Supplemental Work and State Furnished Materials and Expenses Cost Estimate

This section includes items that are not paid directly to a contractor or included as part of a bid package. These items include maintain traffic, California Highway Patrol (CHP) enhanced enforcement, and resident engineers office.

7. Funding/Programming

Determine if the project is eligible for federal-aid funding and include one of the following statements:

“It has been determined that this project is eligible for federal-aid funding.”

Or

“It has been determined that this project is not eligible for federal-aid funding.”
Support Estimate

**SHOPP Projects**

Enter the escalated capital outlay support estimates, in thousands of dollars, for Project Approval & Environmental Document (PA&ED), Plans Specifications & Estimate (PS&E), Right-of-way, and Construction components in the appropriate fiscal funding year column. Consult with the project manager to determine the fiscal funding year, the escalated support estimates and the escalation rates used.

State the support cost ratio. The support cost ratio is the sum of the capital outlay support component estimates (PA&ED, PS&E, Right-of-way, and Construction) divided by the sum of the capital outlay project component estimates (Right-of-way and Construction).

**Non-SHOPP Projects**

Enter the support estimate in personnel years (PYs). Bridge Maintenance Program projects are not resourced in the same manner as Capital Bridge Preventative Maintenance Program projects. A reasonable estimate of PYs is all that is required for these projects. The resource estimate will be evaluated by the Headquarters bridge program advisor in an effort to balance the statewide allocation. However, projects funded from 20.80.030.115 are included on the annual Contract for Delivery and; therefore, the schedule must be entered into the authorized Capital project scheduling tool which is currently XPM. A one hour resource may be entered in order to prevent a resource error code.

Project Estimate

**SHOPP Projects**

Enter the escalated capital outlay project estimates, in thousands of dollars, for Construction and Right-of-way components in the appropriate fiscal funding year column. Consult with the project manager to determine the fiscal funding year, the escalated project estimates and the escalation rates used.

**Non-SHOPP Projects**

Enter the project estimates, in thousands of dollars, for Construction and Right-of-way components. Do not include costs from section “C. Supplemental Work and State Furnished Materials and Expenses Cost Estimate” in the determination of the current year project cost estimate. The items found in this section are funded from other Maintenance Program funds.
8. Schedule

The project schedule should be based on functional unit input, available resources, and funding constraints. Consult with the project manager to determine the project schedule. The milestones shown in the table are mandatory for SHOPP projects, except for Milestone M480. Milestone M120 is only required if there is a draft environmental document that will be released to the public; delete row as needed. Milestone M480 is only required for non-SHOPP projects; delete row as needed.

9. Risks

Project Delivery Directive PD-09 requires that risk management be applied to all capital outlay projects and major maintenance projects delivered by Caltrans. Refer to the Project Risk Management Handbook: A Scalable Approach for the requirements and procedures. Contact the Headquarters bridge program advisor for a standardized risk register template.

Discuss the risks and include the risk register as an attachment.

10. FHWA Coordination

Review the latest Federal Highway Administration (FHWA) and Department of Transportation (Caltrans) Joint Stewardship and Oversight Agreement and Record of FHWA Involvement form at: http://www.dot.ca.gov/hq/oppd/stewardship/index.htm

Determine if the project is an Assigned Project or High Profile Project (HPP). Consult with the FHWA Transportation Engineer and the project manager and complete the Record of FHWA Involvement form as needed. Discuss any coordination with FHWA and include the appropriate statement in the report:

“This project is considered to be an Assigned Project in accordance with the current Federal Highway Administration (FHWA) and Department of Transportation (Caltrans) Joint Stewardship and Oversight Agreement.”

Or

“This project is considered to be a High Profile Project (HPP) in accordance with the current Federal Highway Administration (FHWA) and Department of Transportation (Caltrans) Joint Stewardship and Oversight Agreement.”

11. Project Reviews

Document appropriate project reviews. Enter name of individual and date as needed.
12. Attachments

Include attachments that provide greater detail for development of the project. Possible attachments are:

- Location map
- Preliminary environmental analysis report (PEAR) or environmental determination form or draft environmental document
- Right-of-way data sheet
- Bridge Project EA Report
- Risk register

The location map is only needed if the vicinity map does not adequately show the characteristics of the project area. Pertinent project features may be shown on the location map as needed to understand the proposed work.

Bridge Inspection Reports do not need to be attached for distribution to the Headquarters bridge program advisor or SHOPP Bridge Preservation Program manager.

ARTICLE 3  Template

This article is a template for the bridge maintenance project scope summary report. When using the template, delete any italicized text within the body of the document. The italicized text provides instructions for template users and does not provide any value to the final document.

The template is available at:

http://www.dot.ca.gov/hq/oppd/pdpm/templates/apdx-t-template.docx
ATTENTION! There are a number of items in this appendix that need to be updated—especially in the areas of funding/programming, risks, and FHWA coordination. Until this appendix is updated, please see Appendix K for the discussion of topics in the Microsoft Office Word template associated with this appendix and discuss any issues with the Headquarters SHOPP program manager or advisor.

APPENDIX X – Preparation Guidelines for Project Study Report (Safety Roadside Rest Area)

Safety Roadside Rest Area Rehabilitation
New Safety Roadside Rest Area
Auxiliary Parking Facility
Safety Roadside Rest Area Closure

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APPENDIX X – Preparation Guidelines for Project Study Report (Safety Roadside Rest Area)

ARTICLE 1 Overview

Use of Project Study Report

These guidelines are to be used in conjunction with the procedures described in Chapter 29 of the Project Development Procedures Manual for safety roadside rest areas. All major safety roadside rest area (SRRA) projects funded from the 20.XX.201.250 (SRRA Rehabilitation) or 20.XX.201.260 (New SRRA) program require a project study report (PSR).

The purpose of PSR is to document the proposed scope, schedule, and estimated cost of the SRRA project so that it can be programmed in the State Highway Operation and Protection Program (SHOPP).

Discuss any exceptions to mandatory and advisory design standards. Proposed exceptions must be approved following the procedures in Chapter 21 – Exceptions to Design Standards.
ARTICLE 2 Item-by-Item Guidelines for PSR-SRRA Outline

Report Format

The PSR-SRRA is prepared and submitted following the outline provided at the end of this appendix. The data required is to be provided under the following headings and arranged and numbered in the sequence shown in the outline. The following headings correspond to specific topics that are to be discussed in the submittal.

Cover Sheet

All PSR-SRRA submittals should have a standard cover sheet to provide project identification information and signatures. Information to be provided includes the following:

- Title
  “Project Study Report - Safety Roadside Rest Area Rehabilitation”,
  “Project Study Report - New Safety Roadside Rest Area”,
  “Project Study Report - Auxiliary Parking Facility”, or
  “Project Study Report - Safety Roadside Rest Area Closure.”

- District-County-Route, Post Mile (Dist-Co-Rte, PM)
  The post mile should be given to the nearest 0.1 mile.

- Responsible Unit (RU)
  The unit source code of the licensed landscape architect or engineer in responsible charge of the technical features of the project.

- Expenditure Authorization (EA)
  The multiphase EA using the “K” phase for the project.

- Program Identification
  Program identification indicates which program will fund this phase of the project. Currently, SRRA projects are funded in the SHOPP. The SHOPP code for the development of PSRs for SRRA rehabilitation, auxiliary parking facilities and SRRA closure is 40.50.201.250. For new SRRA’s it is 40.50.201.260.

- On Route _____, at the ___________ Safety Roadside Rest Area (for SRRA-Rehabilitation or SRRA Closure), or

- On Route _____, From ________ To ________ for New SRRA’s and Auxiliary Parking Facilities).
  Provide a brief written description of the project location.
Appendix X – Preparation Guidelines for Project Study Report (Safety Roadside Rest Area)

Article 2 – Item-by-Item Guidelines for PSR-SRRA Outline

- Approval Recommended
  The recommendation for approval signed by the project manager (PM), the district landscape architect, and district maintenance indicating concurrence with the proposed project scope and cost.

- Approval
  The approval of the PSR-SRRA by the District Director (or by a District Division Chief to whom that authority has been officially delegated) approves the concept for programming.

- Vicinity Map
  Provide a small map showing the project location consistent with the brief description and post miles, and a north arrow. The map should be sufficient to locate the project at a glance for a person unfamiliar with the project. It should show the features used to identify the project limits such as roads, streams, junctions or railroads, and the nearest town (unless too distant), and a note indicating the direction to and name of the next town in each direction.

Licensed Landscape Architect’s Stamp and Statement

The third page of the PSR-SRRA contains the required seal or stamp and signature of a licensed landscape architect who is the person in responsible charge of the site features. The sheet must include a statement indicating that the licensed landscape architect attests to the technical information contained herein and the data upon which recommendations, conclusions, and decisions are based. Approval of the PSR-SRRA is a management decision and is separate from this technical signature of the person in responsible charge of the site features.

Registered Civil Engineer’s Stamp and Statement

The third page of the PSR-SRRA also contains the required seal or stamp and signature of a registered civil engineer who is the person in responsible charge of the engineering features. The sheet must include a statement indicating that the registered civil engineer attests to the technical information contained herein and the engineering data upon which recommendations, conclusions, and decisions are based. Approval of the PSR-SRRA is a management decision and is separate from this technical signature of the person in responsible charge of the engineering features.

1. INTRODUCTION

Provide a short description of the complete scope of work. Indicate the range of alternatives considered and project cost estimate for the recommended alternative. Include the proposed program year and source of funding.
2. BACKGROUND

2A. BACKGROUND (FOR SRRA REHABILITATION)

Describe why this project was initiated.

- Indicate the type of highway, access control, climate, seasonal road conditions, and use of rest area by trucks and busses. Describe existing parking capacity for cars and long vehicles.
- Briefly describe the type, age and condition of the comfort station(s) and other major facilities. Describe the condition of the site and amenities (e.g., utilities, ramps, parking, lighting, architecture, walks, and landscape).
- Provide the date of initial construction and any subsequent improvement projects.
- Discuss distances to nearby SRRAs, other stopping opportunities and conformance with the SRRA Master Plan.
- Describe who maintains the rest area and the annual cost.
- Identify and describe the characteristic architectural style of the surrounding community for the purpose of developing alternative studies for the proposed design.
- Describe any commitments made to local officials, private organizations, or other groups or individuals. Describe outside support or opposition.
- Discuss existing or planned vending operations at this SRRA.
- Indicate conformance with SRRA Master Plan and program priorities.

2B. BACKGROUND (FOR NEW SRRAS OR AUXILIARY PARKING FACILITIES)

- Describe why this project was initiated.
- Discuss distances to nearby SRRAs, other stopping opportunities, and conformance with the SRRA Master Plan.
- Indicate the type of highway, access control, climate and seasonal road conditions.
- Discuss site feasibility including the availability and adequacy of potable water, electrical power and waste water treatment, ingress/egress to the site, and scenic value.
- Identify and describe the characteristic architectural style of the surrounding community for the purpose of developing alternative studies for the proposed design.
- Address the feasibility of development and operational partnerships.
- Discuss existing or planned vending operations at this SRRA.
- Indicate conformance with SRRA Master Plan and program priorities.

2C. BACKGROUND (FOR SRRA CLOSURE)

- Indicate the type of highway, access control, climate and seasonal road conditions.
- Briefly describe the type, age and condition of the existing rest area facilities including the comfort station(s), utilities, ramps, parking, lighting, walkways and landscape.
Appendix X – Preparation Guidelines for Project Study Report (Safety Roadside Rest Area)
Article 2 – Item-by-Item Guidelines for PSR-SRRA Outline

- Provide the date of initial construction and any subsequent improvement projects.
- Describe who maintains the rest area and the annual cost.
- Discuss existing vending operations at this SRRA.
- Discuss distances to nearby SRRAs, other stopping opportunities and conformance with the SRRA Master Plan.

3. CAPACITY ANALYSIS (FOR SRRA REHABILITATION, NEW SRRAS AND AUXILIARY PARKING FACILITIES)

Complete the basic design data sheet (attached). Part 1 will estimate the current and 20-year usage of the rest area, parking spaces for car and trucks, water, sewage and comfort station fixtures. Part 2 will estimate the comfort station facilities, water, sewage and electrical requirements and should be completed by the Office of Transportation Architecture in Division of Engineering Services (DES). Briefly discuss the requirements.

4. PURPOSE AND NEED

The following website has further guidance on the development of purpose and need statements. http://www.dot.ca.gov/hq/env/emo/purpose_need.htm

4A. PURPOSE AND NEED (FOR SRRA REHABILITATION)

Identify the problems, needs and/or deficiencies that necessitate this project. Consult with the Office of Transportation Architecture in DES for architectural deficiencies. Supplement, as appropriate, with maps, drawings, charts, tables and/or letters.

Below is a checklist of potential deficiencies to consider:

- Compliance with legal or regulatory requirements. Some examples are:
  - Americans With Disabilities Act (ADA).
  - Division of Occupational Safety and Health (Cal/OSHA).
  - Department of Public Health.
  - Water Quality Control Board.
  - Commitments resulting from environmental compliance.
- Safety and security (safe walks, lighting, signs, California Highway Patrol (CHP) facilities, surveillance cameras). Describe contacts with CHP.
- Maintainability and vandalism.
- Parking capacity and geometrics of existing ramps merge and diverge areas.
- Rest room capacity.
- Accident history for rest area and route segment 10 miles in each direction.
- Unauthorized shoulder, roadside, and community parking.
- User amenities including trash bins, picnic tables and shelters, benches, water faucets, restroom fixtures, landscaping, traveler information kiosks, vending and other site amenities.
4B. PURPOSE AND NEED (FOR NEW SRRA AND AUXILIARY PARKING FACILITY)

Identify the problems, needs and/or deficiencies that necessitate this project. Supplement, as appropriate, with maps, drawings, charts, tables and/or letters.

Include in your discussion

- Parking deficiencies at adjacent rest areas.
- Unauthorized parking on shoulders, roadsides or in the adjacent community.
- Accident history for route segment 10 miles in each direction from the proposed location.
- Physical or environmental limitations on expanding adjacent rest areas.
- Gap in rest area spacing.

4C. PURPOSE AND NEED (FOR SRRA CLOSURE)

Identify the problem, need and justification for closure. Consider the following:

- Mainline and ramp traffic volumes, and vehicle types (automobiles, commercial trucks, busses) for the subject SRRA and the adjacent SRRAs.
- Current and 20-year projected rest area usage (vehicles and number of users).
- Unauthorized parking on shoulders, roadsides or in the adjacent community.
- Accident history for route segment 10 miles in each direction from the proposed location.

5. ALTERNATIVES

5A. (FOR SRRA REHABILITATION)

Discuss the project alternatives that will satisfy the purpose and need. Discuss why each alternative is recommended or rejected. If applicable, discuss the reason for rehabilitating the existing comfort station versus demolishing and building a new one. Discuss any agreements with CHP, sheltered workshops, or Department of Rehabilitation for this site. For all alternatives, provide a complete description of the scope of work with sufficient detail to describe the proposed work and how it relates to the purpose and need. Attach maps or schematic drawings as appropriate.

Alternatives for SRRA Rehabilitation projects that may be considered include:

- Correct immediate ADA, Cal/OSHA, health, safety, utility and maintenance needs only.
- Rehabilitate comfort station, core area, maintenance crew room, CHP office (optional) for 20-year need (no parking capacity increase).
- Demolish existing and construct new comfort station, core area, maintenance crew room, CHP office (optional) for 20-year need (no parking capacity increase).
- Rehabilitate entire rest area including geometric improvements for ramps, merge and diverge areas to bring to current Caltrans standards, and parking capacity increases.
Appendix X – Preparation Guidelines for Project Study Report (Safety Roadside Rest Area)

Article 2 – Item-by-Item Guidelines for PSR-SRRA Outline

- Relocate rest area to another site.
- No build.
- Discussions may include need for additional capacity at either auxiliary parking facility or additional new rest area.
- Discuss distances to nearby SRRAs, other stopping opportunities and conformance with the SRRA Master Plan.

Provide a project cost estimate for each alternative. Break costs down as follows:

- Ramps and parking.
- Architectural building features. Contact DES Office of Transportation Architecture to obtain cost information for the building.
- Pedestrian facilities.
- Utilities and utility connection fees.
- Landscaping.
- Right of way costs (not included in cost of construction) if applicable.
- 25% Contingency.
- Other.

5B. ALTERNATIVES (FOR NEW SRRAS AND AUXILIARY PARKING FACILITY)

Discuss the project alternatives for a Caltrans constructed SRRA that will satisfy the purpose and need. Also discuss conformance with the SRRA Master Plan. If several sites are being studied, consider developing a matrix to show pros and cons of each site. For all alternatives, provide a complete description of the scope of work with sufficient detail to describe the proposed work and how it relates to the purpose and need. Attach maps or schematic drawings as appropriate. Also discuss the project if it were to be privatized. Describe what privatization efforts have been done so far and what plans the district has. Discuss the range of possible locations.

Provide a project cost estimate for each Caltrans-constructed alternative and cost range for privatized alternative. Break costs down as follows:

- Ramps and parking.
- Architectural building features (Estimate will be provided by rest area architect).
- Pedestrian facilities.
- Utilities and utility connection fees.
- Landscaping.
- Right of way costs.
- 25% Contingency.
- Other.
5C. ALTERNATIVES (FOR SRR A CLOSURE)
Discuss alternatives considered in lieu of closure including: rehabilitation, replacement, relinquishment to other agencies, operation by others, and obliteration. Discuss why each alternative is rejected. Provide a project cost estimate for each alternative. Discuss how closure would impact nearby SRRAs or other stopping opportunities.

6. RECOMMENDED ALTERNATIVE

6A. RECOMMENDED ALTERNATIVE (FOR SRR A REHABILITATION, NEW SRRAS AND AUXILIARY PARKING FACILITIES)
Provide a statement on which proposal is recommended and why, and describe how it will correct the deficiencies. Include appropriate conceptual plans to depict alternatives.

Describe how this proposal conforms to program priorities and performance objectives.

Provide a conceptual site plan depicting this project and the 20-year master plan. The conceptual site plan should include:

- Highway connections, vehicular circulation, and parking.
- Location, orientation and configuration of buildings (rest rooms, storage buildings, CHP drop-in office, crew room, information kiosks, vending machine locations, picnic table shelters, pump houses and dumpster enclosures).
- Pedestrian circulation and activity areas.
- Extent and type of landscape planting.
- Water and sewage facilities.
- Location of leach field and pet area.
- Right of way limits and fencing.
- Permanent storm water pollution treatment best management practices (BMPs), if applicable.
- Environmentally sensitive area (ESA)/habitat being protected or restored.
- Site lighting improvements.

Discuss how the proposed architecture is context appropriate and relates to the characteristic architectural styles in the region. Materials used in a project should reflect the character of the area. Discuss community and stakeholder involvement and recommendations. Discuss Leadership in Energy and Environmental Design (LEED) rating to be achieved and LEED elements to be incorporated for the recommended alternative presented (water use, energy efficiency, etc.)
6B. RECOMMENDED ALTERNATIVE (FOR SRRA CLOSURE)

Describe the closure proposal.

Describe the impact on the rest area system and environment including:

- Description of resulting distance to, and impact on, adjacent rest areas.
- Availability and capacity of alternate safe, free, 24-hour public stopping opportunities for all vehicle types (differentiate between free, for-fee and customer-only opportunities).
- Consistency with current SRRA Master Plan.
- Description of environmental impacts, mitigation, removal or reuse of rest area site.
- Describe the public hearing and stakeholder comments and Caltrans responses.
- Describe FHWA requirements and concurrence.

7. CONSIDERATIONS REQUIRING DISCUSSION

Hazardous Materials
Discuss whether hazardous materials including aerially deposited lead (ADL), and naturally occurring asbestos (NOA) are present within the project site, including existing buildings, along with any recommended actions for avoidance or mitigation.

Traffic Management Plan (TMP) For SRRA Rehabilitation
Discuss whether the rest area and comfort station building will remain open or be closed during construction. Discuss if there will be temporary facilities and how the temporary facilities will be handled. Discuss how closure will be handled and how the public will be notified if closure is the option.

Storm Water Pollution Prevention
Note that the project will comply with Caltrans Storm Water Quality Handbook Project Planning and Design Guide. A storm water data report will be completed. Determine a preliminary cost for incorporating permanent design features and temporary controls that will minimize the discharge of contaminated storm water from the right of way.

Environmental Issues and Concerns
Briefly describe any environmental issues and concerns. Describe the type of environmental document or determination for CEQA and NEPA.

Water and Sewer
Briefly describe the status of the existing water and sewer system to provide adequate services to meet public health and environmental requirements. Identify if water and sewer permits have been obtained and the status of compliance.
8. OTHER CONSIDERATIONS AS APPROPRIATE

- Permits and other approvals required.
- Utility fees for water, wastewater, electrical and gas.
- Consistency with other planning.
- Railroad involvement.
- Cooperative agreements - Describe cooperative features, participants and responsibilities.

9. PROJECT SUPPORT COSTS

Include estimated personnel year (PY) effort and other capitol outlay support costs for project development and construction from the time the project is initially programmed through the final stages of construction. The proposed schedule should be based upon when the district realistically expects that the project would be programmed, typically in the last two years of the program.

The cost of any specialty contracts or other typical direct project costs, which may be required for the project, should also be estimated by the proposed fiscal year.

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Note: Dollar value of estimated specialty contracts, etc. to be shown only when applicable

10. FUNDING/SCHEDULING

Identify the source of funding and proposed project milestone dates. Where appropriate, include time in the project schedule for environmental document and permit review.

11. PROJECT PERSONNEL

List the name and phone numbers for the project development team leader, PM, project engineer, architect, project landscape architect, district landscape architect, LAP Rest Area Coordinator, LAP district coordinator, design coordinator, project development supervisor and senior, environmental branch chief, right of way reviewer, FHWA reviewer, maintenance representative, DES LEED project reviewer, etc.
12. ATTACHMENTS

- Conceptual site plan.
- Architectural building concept.
- Appropriate maps.
- Capacity analysis/design data sheet.
- Project cost estimate.
- Storm water data report.
- Appropriate correspondence.
- LEED credit checklist.

ARTICLE 3  Template for Project Study Report
(Safety Roadside Rest Area)

This article is a template for PSR (SRRA). Guidance for completing this template is located in Article 2 of this appendix.
PROJECT STUDY REPORT
(Safety Roadside Rest Area Rehabilitation)
(New Safety Roadside Rest Area)
(Auxiliary Parking Facility)
(Safety Roadside Rest Area Closure)

To

Request for ________________

On Route __________________________

Between ____________________________

And ________________________________

APPROVAL RECOMMENDED:

_________________________________  PROJECT MANAGER

_________________________________  DISTRICT LANDSCAPE ARCHITECT

_________________________________  DISTRICT MAINTENANCE

APPROVED:

_________________________________  DISTRICT DIRECTOR  ________________________

DATE
Appendix X – Preparation Guidelines for Project Study Report (Safety Roadside Rest Area)

Article 3 – Template for Project Study Report (Safety Roadside Rest Area)

Dist - Co - Rte - PM
Program Code
EA
Month/Year

Vicinity Map

Show:

- Study limits
- Topographical features listed in report
- North arrow

On Route ________________________________

Between ________________________________

And ________________________________
This Project Study Report (Safety Roadside Rest Area) has been prepared under the direction of the following registered engineer. The registered civil engineer attests to the technical information contained herein and the engineering data upon which recommendations, conclusions, and decisions are based.

_________________________________________  _________________
REGISTERED CIVIL ENGINEER                   DATE

This Project Study Report (Safety Roadside Rest Area) has been prepared under the direction of the following landscape architect. The licensed landscape architect attests to the technical information contained herein and the data upon which recommendations, conclusions, and decisions are based.

_________________________________________  _________________
LICENSED LANDSCAPE ARCHITECT                   DATE
Table of Contents

[When finished editing this document, insert Table of Contents here.
Go to Insert > Index and Tables ...]
1. **Introduction**

   Brief Project Description:
   [Type description here]

   See the Cost estimate for specific work items included in this project.

2. **Background**

   [Type text here]

3. **Capacity Analysis**

   Insert Basic Design Data Sheet

4. **Purpose and Need Statement**

   Need:
   [Type text here]

   Purpose:
   [Type text here]

5. **Alternatives**

6. **Recommended Alternative**

   [Type text here]

7. **Considerations Requiring Discussion**

8. **Other Considerations**

   [Type text here]
9. Project Support Costs

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<th>Right of Way 2 Phase</th>
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10. Funding/Scheduling

11. Project Personnel
# Basic Design Data Sheet (Part 1)

**LOCATION**

<table>
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<tr>
<th></th>
<th>District</th>
<th>County</th>
<th>Route</th>
<th>PM</th>
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**SRRA Name**

<table>
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<tr>
<th>Route Direction</th>
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<table>
<thead>
<tr>
<th>Current Year</th>
<th>Design Year (20 Years)</th>
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<tbody>
<tr>
<td>A. AADT for the Route*</td>
<td></td>
</tr>
<tr>
<td>B. Peak Hour ADT for the Route*</td>
<td></td>
</tr>
<tr>
<td>C. Ramp Count for SRRA*</td>
<td></td>
</tr>
<tr>
<td>D. Stopping Percentage (C/A, above)</td>
<td></td>
</tr>
</tbody>
</table>

If AADT for the route is for both directions and the SRRA serves 1 direction, “A” must be divided by 2 first.

| E. Rest Area Design Hourly Volume (B x D, above) | | |
| F. Length of stay in rest area (20 minutes) | 0.33 hour | 0.33 hour |
| G. Total Parking Spaces (E x F, above)**** | | |
| H. Long Vehicles Percentage** | | |
| I. Long Vehicle Parking Spaces (G x H, above) | | |
| J. Auto Parking Spaces (G-I, above) | | |
| K. Users per Hour (G x 2.2 people/vehicle) | | |
| L. Adjustment for Bus Routes*** | | |
| M. Design Usage per Hour (K + L, above) | | |

* Traffic and ramp counts are available on Traffic Operations web site at http://www.dot.ca.gov/hq/traffops/

** Usually 30%. Adjust as necessary per District traffic recommendation.

*** Up to 10% increase for rest areas on major bus routes.

**** Maximum 120 parking spaces or reasonable carrying capacity of site.
Basic Design Data Sheet (Part 1 Continued)

N. Domestic Water Requirements (Provide existing water use information)

Peak daily demand (Holiday) __________ gpd
Average daily demand __________ gpd
Toilet fixture water use __________ gal/flush

O. Water Quality

Summarize water quality analytical results for all drinking water standards and general mineral analysis.

P. Irrigation Water Requirements (Provide existing water use information)

Average daily demand __________ gpd
Turf area __________ acres
Ground cover __________ acres

Q. Sewage Disposal Requirements (Provide existing use information)

Daily flow __________ gpd
Comfort station septic tank pumping (number of times) __________ /year
RV Dump station septic tank pumping (number of times) __________ /year

Summarize the results of the sewage and RV wastewater quality testing for BOD, total kjeldahl nitrogen, alkalinity, total dissolved solids, pH, formaldehyde (RV only) and chemical oxygen demand. Identify any significant issues.
R. RV Sanitation Dump Station Usage (Provide existing use information)

Peak (Holiday) RV sanitation dump station traffic count

Average Daily RV sanitation dump station traffic count

S. Electrical Usage (Provide existing use information)

Electrical service panel capacity (Voltage, phase, and Ampacity)

Daily demand (average kW hours used)
## Basic Design Data Sheet (Part 2)

Comfort facilities, domestic water supply, irrigation water, sewage and electrical requirements should be determined by the sections directly involved in that portion of the work. The estimated demands should be indicated.

**Comfort Facilities** (provide name, or example, of section directly involved (as stated in above paragraph) for each requirement & define Ultimate)

<table>
<thead>
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<th>Comfort Facility</th>
<th>Design</th>
<th>Ultimate</th>
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<td>Water closets and urinals (men)</td>
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<tr>
<td>Lavatories (men)</td>
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<td>Water closets (women)</td>
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<td></td>
</tr>
<tr>
<td>Water closets (women)</td>
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**Domestic Water Requirements** (Initial Development for water is 100% of Ultimate)

<table>
<thead>
<tr>
<th>Requirement</th>
<th>Design</th>
<th>Ultimate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Peak daily demand (Holiday)</td>
<td></td>
<td>_________ gal/min</td>
</tr>
<tr>
<td>Average Daily Demand (storage required)</td>
<td></td>
<td>_________ gal</td>
</tr>
</tbody>
</table>

**Irrigation Water Requirements** (Initial Development is 100% of Ultimate)

<table>
<thead>
<tr>
<th>Requirement</th>
<th>Design</th>
</tr>
</thead>
<tbody>
<tr>
<td>Turf area (2 inches per week) (1.25 gal/sq ft/wk))</td>
<td>_________ gal/day</td>
</tr>
<tr>
<td>Trees and shrubs (13 gal / day)</td>
<td>_________ gal/day</td>
</tr>
<tr>
<td>Ground cover (2 inches per week)</td>
<td>_________ gal/day</td>
</tr>
</tbody>
</table>

**Sewage Disposal Requirements** (Initial Development of sewers is 100% of Ultimate)

<table>
<thead>
<tr>
<th>Requirement</th>
<th>Design</th>
</tr>
</thead>
<tbody>
<tr>
<td>Daily Flow</td>
<td>_________ gal</td>
</tr>
<tr>
<td>Size piping</td>
<td>_________ inches</td>
</tr>
</tbody>
</table>
### Electrical Requirements

<table>
<thead>
<tr>
<th></th>
<th>Design</th>
<th>Ultimate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Daily Demand</td>
<td>_______</td>
<td>_______ kWh</td>
</tr>
<tr>
<td>Service</td>
<td>_______</td>
<td>_______ volts</td>
</tr>
<tr>
<td>Service</td>
<td>_______</td>
<td>_______ amp</td>
</tr>
<tr>
<td>Service</td>
<td>_______</td>
<td>_______ phase</td>
</tr>
</tbody>
</table>
APPENDIX BB – Fact Sheets for Exceptions to Mandatory Design Standards

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APPENDIX BB – Fact Sheets for Exceptions to Mandatory Design Standards

ARTICLE 1  Introduction

Fact Sheets

This appendix provides concepts and best practices for the preparation of fact sheets for exceptions to mandatory design standards as contained in the Highway Design Manual. Fact sheets are developed to document and justify the reasoning behind the deviation from design standards.

Presented in this appendix is a description of the information that should be contained in a fact sheet and the format used to collect and organize information.

For delegated mandatory design exceptions and advisory design exceptions, use of a fact sheet format similar to the one found in this appendix is recommended.

To appropriately apply the guidance described in this appendix, review the intent of policies and procedures in Chapter 21 – Exceptions to Design Standards.

ARTICLE 2  Outline

General

The purpose of this outline is to identify the key elements to document in the fact sheet. All headings presented in the outline shall be included in the fact sheet.

Cover Sheet

The registered civil engineer in responsible charge of the work (as defined by California Business and Professions Code, Section 6703), or other licensed professional practicing within the scope of their license shall sign and seal the cover sheet.
Outline

1. PROPOSED PROJECT

A. Project Description:

Briefly describe the proposed project. Note the type of project and/or major elements of work to be performed, such as safety or operational improvement, roadway widening, rehabilitation, reconstruction, etcetera. Provide the geographic project limits and length, e.g. “On Route 12 in Sonoma County between Napa Street, PM 37.7 and Napa Road, PM 38.7”. Reference the attached Project Location Map and/or Project Vicinity Map. Project plan title sheets may be insufficient to show the greater vicinity and general surroundings near the proposed project.

B. Existing Highway:

Describe the general highway characteristics, including the classification of the facility (i.e. freeway, expressway, or conventional highway), number of lanes, posted speeds, etcetera. The focus should be on those features relevant to the proposed design exception, such as the widths of lanes, shoulders, median, roadbed, and structures; horizontal and vertical alignment and clearances; design speed, sight distance, grades, cross slope, sidewalks, superelevation, etcetera. If the project is on the Interstate system, is it a part of the Federal Highway Administration (FHWA) Rural and Single Interstate Routing System? See Chapter 21 – Exceptions to Design Standards, Article 3. Identify truck designation and design vehicles as well as bicycle classification of the facility, when appropriate.

If relevant, note structure clear width and the lane and shoulder widths across the structure; does the structure clear width match or exceed the approach roadbed width?

Note bridge-rail type; does it meet current standards for structural adequacy? Request this information from the Division of Engineering Services, Structure Design technical liaison engineer assigned to your district.

Provide a similar, but brief, description of adjacent highway segments, highlighting existing nonstandard features.

C. Safety Improvements:

Describe proposed improvements that would qualify as safety enhancements, such as: median barrier, guardrail upgrade, flattening slopes, adding sidewalks, eliminating roadside obstructions, etcetera.
Briefly discuss if any existing nonstandard features will be brought to standard with the proposed project.

D. Total Project Cost:

Include a concise summary of the estimated project cost segregated by the major elements (Roadway, Structure, and Right-of-way) discussed in Appendix AA – Cost Estimates.

2. FEATURES REQUIRING AN EXCEPTION

A. Design Exception Feature #1

Nonstandard Feature(s):
Describe the proposed nonstandard feature and identify whether it would be created, maintained, improved, or reduced. Reference the attachment(s) that show the location, limits, and nature of the proposed nonstandard feature and clearly label the nonstandard feature on the attachment(s).

Standard for Which Exception Is Requested:
State the specific standard and refer to the applicable Topic, and/or Index reference in the Highway Design Manual. If more than one standard applies to a design feature, such as shoulder width and horizontal clearance, state all that apply.

Reason for Requesting Exception:
Be thorough, but brief. Justification with appropriate backup information must be as complete and compelling as possible. Reasons for which exceptions have been granted in the past include a combination of excessive cost, significant right-of-way, and environmental and/or social economic impacts. Supportive factors have included low collision frequency, local opposition, consistency with adjacent highway segments and applicability to alternative design guidance when provided by the Highway Design Manual if the specific standard is impractical to meet.

Added Cost to Make Standard:
Summarize, by major elements, the added cost above the proposed project cost that would be required to meet the design standard(s) for which the exception is requested. The estimate does not have to be highly developed, but must be realistic.

Also, when the fact sheet covers multiple nonstandard features, provide separate cost summaries for the “standardization” of individual design features. If upgrading a design feature to standard results in the standardization of additional features, note the additional features that will be
automatically upgraded to standard. An example of this would be upgrading shoulders to standard resulting in providing standard horizontal clearance.

B. Design Exception Feature #2
For projects with more than one exception, add additional subsections B, C, D etcetera, with the same format used in subsection A.

3. TRAFFIC DATA

Include both annual average daily traffic (AADT) and design (peak period) hourly volumes. Use current year data for pavement rehabilitation, roadway rehabilitation and safety projects. For all others, use design year traffic, usually 20 years after construction is complete as well as current year traffic volumes. For interim projects that are to be superseded by programmed future construction, provide traffic data for both the ultimate programmed construction year and the ultimate project’s design year.

4. COLLISION ANALYSIS

Traffic safety is of primary importance to both the Division of Design (DOD) and FHWA when considering approval or rejection of design exceptions. To strengthen the justification for design exceptions, the fact sheet must include an analysis of collision data to identify prevalent collision types and causes, plus an evaluation of the effect of the requested design exceptions on collision types and frequencies. This analysis should be completed either by the appropriate district traffic branch or in close coordination with the branch.

Summarize an analysis of how the proposed project will help alleviate identified safety problems. At a minimum, how it will not contribute to any increase in collision rates. The collision analysis will include the Traffic Accident Surveillance and Analysis System (TASAS) Table B statistical data regarding both the number and severity of collision as well as actual versus statewide average collision rates for a similar facility and the collision patterns and causes. For design exceptions related to spot locations (e.g., nonstandard horizontal curve) on existing highways, analyze only the collision data within the vicinity of the proposed nonstandard feature. The analysis should also review the TASAS Table C listing for high collision frequency spot locations, if any are within the proposed project limits.

Provide a summary table of TASAS Table B collision data for latest 3-year period showing actual versus average collision rates; however merely stating actual versus average numbers is insufficient. TASAS data should be supplemented by a review of collision patterns covering the project area in order to enhance the understanding of prevalent collision types and how they relate to existing and proposed highway design features, specifically those that are nonstandard and how they will not contribute to any increase in collisions.
In determining collision causes, keep in mind that although terms like “excessive speed”, “inattention”, “failure to yield right-of-way”, “under the influence”, etcetera, are perfectly valid for the California Highway Patrol (CHP), they have meaning for the highway engineer only as they relate to the underlying highway characteristics. The engineer must instead look for other reasons, such as: tight radius curves with inadequate superelevation, high-volume turning movements without separate turn lanes, a concentration of rear-end/side-swipe collisions in a particular lane, etcetera. In general, the collision concentrations detected in this manner are too small for a TASAS Table C printout, but collectively they are the key to understanding the vehicle-highway interactions that are the basic causes of collisions.

5. INCREMENTAL IMPROVEMENTS

Discuss any practical improvements that are intermediate in scope and cost between the proposed project and an alternative that meets design standards. Discuss why such an incremental improvement is not proposed as part of the project.

6. FUTURE CONSTRUCTION

Describe any planned future projects in the vicinity of the proposed design exception. If a commitment is made to correct the nonstandard design features, it must be concurred by the Design Coordinator and approved by the Deputy District Director for Design. Describe the follow-up project’s funding source (STIP, SHOPP) and schedule as listed in the appropriate programming document. Identify the ultimate concept from the Transportation Concept Report.

7. PROJECT REVIEWS, CONCURRENCE

Note relevant project reviews by the Design Reviewer, Traffic Operations Liaison Engineer, and/or FHWA Transportation Engineer (if appropriate), etcetera. Provide the date of meeting or discussion, and state the individual’s concurrence with the proposed design exception.

8. FEDERAL ACTION

Determine if fact sheet approval is the only federal administration action for a project on the Interstate System or a portion of the National Highway System (NHS) that is not part of the Interstate System. Federal administration actions include FHWA approval of fact sheets for Interstate System projects, the use of federal-aid funding, and changes in access control, and Caltrans approval of fact sheets for NHS projects. Consult with the district environmental unit to determine the appropriate federal environmental determination/document for
the project. Choose the appropriate statement from the five below and edit as needed.

“This project is part of the Interstate System and FHWA fact sheet approval is the only federal administration action on this project. The project meets the conditions of the “blanket” categorical exclusion for approval of design exceptions, signed by Jay Norvell on March 3, 2008.”

Or

“This project is part of the Interstate System and FHWA fact sheet approval is not the only federal administration action on this project. The project will use federal-aid funding and a federal environmental determination/document will be approved specifically for this project.”

Or

“This project is part of the National Highway System and fact sheet approval is the only federal administration action on this project. The project meets the conditions of the “blanket” categorical exclusion for approval of design exceptions, signed by Jay Norvell on March 3, 2008.”

Or

“This project is part of the National Highway System and fact sheet approval is not the only federal administration action on this project. The project will use federal-aid funding and a federal environmental determination/document will be approved specifically for this project.”

Or

“This project is not part of the Interstate System or the National Highway System and there is no federal administration action related to approval of this fact sheet.”

For a copy of the “blanket” categorical exclusion for approval of design exceptions signed by Jay Norvell on March 3, 2008, go to:

9. ATTACHMENTS

All attachments should be black and white (no color copies or color photos) and in standard paper sizes of 8.5” x 11”, 11” x 14”, or 11” x 17” per Caltrans Division of Legal request. Clearly label each attachment page and the nonstandard feature number.
Provide the Location and/or Vicinity Map for the project that was referenced in Section 1A, Project Description. When the fact sheet covers multiple nonstandard features for exception at various locations, a project strip map may be provided to indicate the general location of each nonstandard feature.

Provide cross sections and/or special details to clearly illustrate the proposed condition for each location that does not meet the mandatory standard for horizontal/vertical clearance and lane/shoulder/bridge clear width. For example, an exception for nonstandard vertical and horizontal alignment features must include a layout with existing and proposed horizontal curve data, existing and proposed profile with vertical alignment data, and existing and proposed superelevation diagram. It may not be necessary for these drawings to be developed on Computer Aided Drafting and Design (CADD) or other electronic drafting media. These details can often be clearly illustrated with hand drawings.

Letters, resolutions, traffic study summaries, etcetera should only be attached if requested by the Design Coordinator or Design Reviewer, otherwise these documents should be filed in the project binder. While TASAS data and collision rates may be summarized in the “Collision Analysis” section, TASAS reports, such as Table B and Table C, should never be attached.

Do not attach superfluous materials such as complete project plan sets or engineering reports unless specifically requested by the Design Coordinator or Design Reviewer.

**ARTICLE 3 Template**

This article is a template for the fact sheet. When using the template, delete any italicized text within the body of the document. The italicized text provides instructions for template users and does not provide any value to the final document. The template is available at:

APPENDIX CC – Preparation Guidelines for Freeway Agreement

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APPENDIX CC – Preparation Guidelines for Freeway Agreement

ARTICLE 1 Guidelines

Applicability

Refer to Chapter 24 – Freeway Agreements for a full discussion of freeway agreements.

Freeway Agreement Text

All freeway agreement text should be on 8.5 x 11-inch paper. Part of the text should appear on each signature sheet to conform to standard legal practice. On city agreements, “CITY” is substituted for “COUNTY” and “streets” is substituted for “roads” (except in “frontage roads”). The description on the first page header of the agreement text should agree with the description on the title block of the Exhibit A map. In agreements for expressways that were either adopted as a controlled access highway or were adopted freeways that were subsequently denominated to a controlled access highway, “Controlled Access Highway” is substituted for the word “Freeway”.

The format and content of the freeway agreement is scripted and as such, a template has been created to simplify the development of agreements. See Article 2 “Template” for the following sample formats:

- For “Original” freeway agreement for projects funded/sponsored by Caltrans
- For “Original” freeway agreement for projects funded or partially funded/sponsored by a local agency
- For “Superseding” freeway agreement for projects funded/sponsored by Caltrans or projects funded or partially funded/sponsored by a local agency
- For other clauses (not mandatory)
Appendices
Project Development Forms and Letters plus Policy and Procedures Documents

**Limits of Agreement**

Prior to determining the limits of agreement, remember these points:

- It is preferable to have one freeway agreement per local agency, boundary limit line to boundary limit line. However, there are some instances where this may not be recommended like when there is a large city or county, or when the existing freeway agreement is recent, or when the project is at a specific location such as the modification of one interchange.

- A freeway agreement needs to be executed with each local agency if the project is affecting traffic circulation in both a city and county (such as when the boundary limit line goes right through the new interchange).

- The limits of the freeway agreement must be the same or within the project limits covered by the project’s environmental document for an original freeway agreement (meaning there are no existing freeway agreements to be superseded).

- The limits of the freeway agreement do not need to be same as the project limits or be covered by the project’s environmental document for a superseded freeway agreement. The freeway agreement may be extended to cover larger areas as long as revisions are not made to the traffic circulation outside of the project limits shown in the freeway agreement to be superseded.

The new freeway agreement may supersede more than one existing freeway agreement. It is recommended to supersede old freeway agreements (30 years or older) as they may not reflect existing connections or current developments in the area. Old freeway agreements may show a future freeway to freeway interchange in a symbolic way. If the interchange has already been constructed it should be shown in a geometric form. Similarly, many streets may have been developed since the original freeway agreement and they should also be shown.

**Determining the Limits of Agreement**

1. Obtain and review copies of any existing freeway agreements for the area.
2. Verify where the local agency boundary lines are in relation to the project area and in relation to the existing freeway agreements.
3. If the boundaries of the local agency along the State route are not very far apart, say five or six miles apart, and it covers the project modifications to the traffic circulation, then make the limits of the freeway agreement same as local agency boundaries.
4. If the project is near a boundary line, make the boundary line either the start of or end of the freeway agreement. If the local agency boundaries are far apart, then determine the other end of the freeway agreement based on factors described in the following points numbered 5 through 9.
5. If the project is at a specific location and the existing freeway agreement would be sufficient to cover the project area, use same limits as the existing freeway agreement to be superseded. If one of the limits of the agreement is close to a boundary line, then extend the one limit of the freeway agreement. Sometimes cities annex areas and extend their limits after an existing freeway agreement has been executed.

6. If there are old freeway agreements (30 years or older) adjacent to the freeway agreement to be superseded that covers the project location, try to include the area of the old freeway agreements in the new freeway agreement. In urban areas, it is almost certain that development has occurred and the area has changed since the original freeway agreement. In rural areas this may not be the case.

7. Many times short portions of old freeway agreements have been superseded, try to include the remaining portion of the old freeway agreement in the new freeway agreement and supersede the old freeway agreement in its entirety.

8. Never set the limits of agreement at an interchange unless there is a reason to set the freeway agreement limit to a specific location. Always include the entire interchange and the ramps, within the limits of the freeway agreement.

9. The beginning and ending post miles should be rounded to the nearest 0.1 mile that encompasses all of the proposed area for the limits of the freeway agreement.

**Exhibit Map for Agreement**

In addition to the information provided in Chapter 24 – Freeway Agreements and in the Plans Preparation Manual, these guidelines provide direction when preparing either symbolic or geometric type of freeway agreement exhibits.

**General**

The description on the header of the agreement text should agree with the description on the Exhibit A map title block. The Exhibit A map is usually 11-inch by 4-foot length or less. If a longer exhibit map is needed, additional sheets should be used with labels like “Sheet 1 of 3”, “Sheet 2 of 3”, etc. added below Exhibit A call out. In agreements for expressways that were either adopted as a controlled access highway or were adopted freeways that were subsequently denominated to a controlled access highway, “Controlled Access Highway” is substituted for the word “Freeway”.


Items to include in Exhibit A

Legend for Symbolic Type Exhibit

- Legend. Standard symbols to be shown, see the *Plans Preparation Manual (Metric)* Figures 3-2.4A through C:
  - Freeway and connections. Use double thick lines.
  - Roads to be constructed, reconstructed, or relocated. Use cross-hatching.
  - Interchange. Use arrow with circle and larger circle around interchange.
  - Separation. Use arrow, no circle.
  - Road closure and terminus construction as necessary. Use tilde (curly) line.
  - Pedestrian overcrossing. Use arrow with a “P” inserted.

Legend for Geometric Type Exhibit

- Legend. Standard symbols to be shown, see the *Plans Preparation Manual (Metric)* Figures 3-2.4A through C:
  - Freeway and connections. Use double thick lines.
  - Roads to be constructed, reconstructed, or relocated. Use cross-hatching.
  - Road closure and terminus construction as necessary. Use tilde (curly) line.

Apply to Both Symbolic Type and Geometric Type Exhibit

- Use of only English units of measure.
- Limits of agreement. Include leader line with “Limit of Agreement”, “Route #” and “PM #” in large-bold text at the begin limit and end limit of agreement.
- Title block. Indicate if the freeway agreement is with a city or county. Include a simple location description (see *Plans Preparation Manual*). Do not use only the city limits to specify the limits of the agreement, add a reference street or road. Do not include the expenditure authorization (EA) or dates. The description on the title block of the Exhibit A map should agree with the description on the first page header of the agreement text.
- Do not capitalize any compass direction unless it is part of a name like “East Palo Alto.”
- North arrow with correct orientation near center of exhibit map.
- “Exhibit A” at right top corner of exhibit.
- Border, 3/8-inch from top, bottom, and right side of paper edge and 2 inches from the left side.
Appendix CC – Preparation Guidelines for Freeway Agreement
Article 1 – Guidelines

- Bar scale, use scale 1:1,000 to 1:10,000 depending on how long the freeway agreement is or how much detail needs to be shown. In urban areas use an appropriate scale to be able to show all streets.

- Print size, use 11-inch roll paper. Length will vary, typically 4-foot or less.

- Freeways should be shown as two parallel lines per direction.

- Local streets or roads should be shown as two parallel lines only, truncate at intersections. If a street ends, show either a cul-de-sac or a closed line. No open ended streets should be shown unless they continue past the border of the exhibit. Show at least one main street along both sides of freeway.

- Geometrics of all freeway to freeway interchange connectors need to be shown, even if freeway agreement is symbolic.

- Darken the freeway by using the symbol for freeways and connections within the boundary of the city or county and within the limits of agreement. Do not darken freeway outside of limits of agreement.

- At freeway to freeway interchanges, darken the freeway off-ramp connectors that are part of the agreement from start point at mainline to end at gore area with other route.

- Add “ROUTE #” in large-bold text along freeways in at least one location.

- Add city and county boundary limit lines using the standard line type as depicted in the Plans Preparation Manual. Make sure boundary lines are current, as cities may have annexed property from the county or other cities.

- Add “City Name Limit Line” on the respective side of the city limit line.

- Add names of cities or counties in large-bold text.

- Show all bridges, including pedestrian overcrossings.

- Show bridge railings at interchanges or separations:
  - If structure is an overcrossing, add bridge railings along the local street and stop the freeway darkening at the railings.
  - If structure is an undercrossing, place the bridge railings along the freeway and darken the freeway (use double thick lines).

- Show all local street or road names. In urban areas include all main street names at minimum, especially the names of all streets crossing the freeway, streets affected by the project (closed, relocated, etc.) or connecting to the freeway. There is no need to include the names of small streets.

- Show and add name of railroads, rivers and any major facility like an airport.

- Show road closure symbols where needed. Include any streets or ramps closed due to final project design.
• Cross-hatch all streets or roads to be constructed or reconstructed as part of the project. Any right-of-way acquired by the State for construction of these streets or roads if adopted by the State and not part of the freeway proper will be relinquished to the local agency after construction is complete.

• Verify that the exhibit shows the project’s preferred alternative described in the project report.

• Do not show private driveways, only public roads.

• Add county, route and post miles below border and on right side of exhibit map as reference location, even if freeway agreement is with a city.

• Delete all contour lines, minor drainage areas, overhead utilities, parcel lines, right-of-way lines, buildings, shopping centers, bridge numbers and names, road delineation, and other superfluous information.

• Add traffic direction arrows at each end of the freeway.

• Fold exhibit map into 8 ½ x 11-inch size, with title block showing in front.

Apply Only to Symbolic Type Exhibit

• Extend all city streets through the interchange circles.

• Indicate interchanges by using interchange circle symbol and standard interchange arrow as per legend. This will indicate full connections to the freeway, do not show ramps.

• Elongated circles may be used to indicate an interchange with braided ramps or ramps that do not connect to the same grade separation street but are close enough to the separation to allow interchange of traffic between two or more roadways.

• If the city or county limit line goes through a portion of an interchange, or along the mainline with the ramps ending at a different local agency, the mainline will need to be crosshatched within the interchange symbol (circle) to acknowledge that other agency ramps may be carrying traffic over to their jurisdiction. Use different cross-hatch symbol than the roads to be constructed, reconstructed or relocated symbol.

• If the interchange is a partial interchange, add note to indicate what ramps (on-ramp or off-ramp) and on what direction ramps are provided.

• Indicate separations with standard arrow. Do not add circles at separations.
ARTICLE 2 Template

This article is a template for the freeway agreement. When using the template, delete any italicized text within the body of the document. The italicized text provides instructions for template users and does not provide any value to the final document. The template includes the following sample formats:

- For “Original” freeway agreement for projects funded/sponsored by Caltrans
- For “Original” freeway agreement for projects funded or partially funded/sponsored by a local agency
- For “Superseding” freeway agreement for projects funded/sponsored by Caltrans or projects funded or partially funded/sponsored by a local agency
- For other clauses (not mandatory)

The template is available at: http://www.dot.ca.gov/hq/oppd/pdpm/templates/apdx-cc-template.docx
APPENDIX DD - Hazardous Waste

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Preparation Guidelines for Initial Site Assessment (ISA) Checklist for Hazardous Waste

The ISA Checklist is a guide for district screening and assessment of projects for potential hazardous waste involvement. It is not intended to take a lot of time and effort to complete; however, some assessments may take longer to complete just because of the magnitude and/or location of a proposed project.

**Project Information Section**

Be sure that the Project Manager and Project Engineer have been identified. Do not begin the ISA until the written project description and location maps have been provided (Since hazardous waste could effect project development, it is important to know what type of work is proposed and where it will be located).

**Location Map**

It is suggested that the location map provided by Design be attached to the ISA Checklist to provide a record of the area that has been assessed, as well as the findings. All future project limit changes should cause Design to request further assessment for hazardous waste.

**Project Screening Section**

Items 1 and 2 are risk indicators that could be used to determine the level of effort required to complete the ISA. Generally, a project that requires new right of way, excavation, structure modification or demolition, or utility relocation will have a greater potential for hazardous waste involvement than a project that does not include these features. An urban location would generally present more of a risk than a rural location; industrial land uses would generally be more risky than commercial uses; and so on.

Items 3 through 6 deal with the actual assessment:

- First, check available records to see if a known site is present. This item should not take a lot of effort, but it will require contacting the Regional Water Quality Control Board, the Department of Health Services, and the city/county agencies that deal with leaking underground tanks.

- Next, conduct a field inspection to look for indicators of potential hazardous waste or contamination. Identify businesses that store or use potentially hazardous materials (service stations, auto wrecking yards, paint companies, machine shops, metal platers, electronic manufacturers, dry cleaners, agricultural chemical suppliers,
etc.). Other things to look for include landfills and dumps, surface storage of potentially hazardous materials (sumps, pits, steel drums, etc.), illegal dumping sites (especially on rural projects), and serpentine.

- Based on the field inspection, if there may have been a previous land use that could still present a hazardous waste or contamination risk, it may be necessary to verify the previous land use (e.g., abandoned service stations can usually be identified by the type of structure and location: the underground tank may still be there).

**ISA Determination**

The ISA determination is simply "Yes" or "No."

**NO:** No findings have been made that would indicate a known or potential hazardous waste problem within or near the proposed project.

**YES:** A known or potential site has been identified that could affect the proposed project and will take more time and effort to define and coordinate cleanup options.
Initial Site Assessment (ISA) Checklist

Project Information

District _____ County _____ Route _____ Kilometer Post (Post Mile) ____________ EA _____________

Description


Is the project on the HW Study Minimal-Risk Projects List (HW1)?

Project Manager ___________________________ phone # ________________________

Project Engineer ___________________________ phone # ________________________

Project Screening

Attach the project location map to this checklist to show location of all know and/or potential HW sites identified.

   Structure demolition/modification? ______ Subsurface utility relocation? ______

2. Project Setting
   Rural or Urban
   Current land uses ____________________________
   Adjacent land uses ____________________________
   (industrial, light industry, commercial, agricultural, residential, etc.)

3. Check federal, State, and local environmental and health regulatory agency records as necessary, to see if any known hazardous waste site is in or near the project area. If a known site is identified, show its location on the attached map and attach additional sheets, as needed, to provide pertinent information for the proposed project.

4. Conduct Field Inspection. Date ____________ Use the attached map to locate potential or known HW sites.

STORAGE STRUCTURES / PIPELINES:
Underground tanks ____________________________ Surface tanks ____________________________
Sumps ____________________________ Ponds ____________________________
Drums ____________________________ Basins ____________________________
Transformers ____________________________ Landfill ____________________________
Other ____________________________
Appendixes
Project Development Forms and Letters plus Policy and Procedures Documents

Initial Site Assessment (ISA) Checklist

(continued)

CONTAMINATION: (spills, leaks, illegal dumping, etc.)

Surface staining __________________________ Oil sheen __________________________

Odors __________________________ Vegetation damage __________________________

Other __________________________

HAZARDOUS MATERIALS: (asbestos, lead, etc.)

Buildings __________________________ Spray-on fireproofing __________________________

Pipe wrap __________________________ Friable tile __________________________

Acoustical plaster __________________________ Serpentine __________________________

Paint __________________________ Other __________________________

5. Additional record search, as necessary, of subsequent land uses that could have resulted in a hazardous waste site. Use the attached map to show the location of potential hazardous waste sites.

6. Other comments and/or observations:

________________________________________________________________________

________________________________________________________________________

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________________________________________________________________________

ISA Determination

Does the project have potential hazardous waste involvement? _____ If there is known or potential hazardous waste involvement, is additional ISA work needed before task orders can be prepared for the Investigation? _____ If "YES," explain; then give an estimate of additional time required: __________

________________________________________________________________________

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A brief memo should be prepared to transmit the ISA conclusions to the Project Manager and Project Engineer.

ISA Conducted by __________________________ Date __________
APPENDIX EE - Highway Planting “One Liner” and Design Intent Statement (DIS)

Table of Contents

Sample "One-Liner" for Item 2.5a of the CTC Book .......................................................... 3
Sample “Supporting Fact Sheet” for Department Presentation to the CTC for Item 2.5a Projects .......................................................... 3
Outline Design Intent Statement (DIS) for Highway Planting .................................................. 5
  Purpose of Project ................................................................................................................ 5
  Landscape Concept ............................................................................................................. 5
  Traveler and Worker Safety ............................................................................................... 8
  Maintenance ....................................................................................................................... 8
  Signatures ........................................................................................................................... 9
Sample "One-Liner" for Item 2.5a of the CTC Book

Date: June 22, 2004

04-SM101, KP 28.5/32.3 (PM 17.8/20.2)  [Dist.-Co.-Rte., KP (PM)]
04-135001  (EA)
PPNO: 1234  (Project Program Number)
20.20.201.210  (Program Code)

This project will upgrade 4 hectares (9.8 acres) of existing manual irrigation systems to automatic operation and rehabilitate planting areas.

Performance Measure:

4 HA (9.8 acres) Highway Planting Restoration
14 Locations Freeway Maintenance Access

Sample "Supporting Fact Sheet" for Department Presentation to the CTC for Item 2.5a Projects

Date: June 22, 2004

FACT SHEET
Highway Planting Restoration

04-SM-101
KP 28.5/32.3 (PM 17.8/20.2)
04-135011
PPNO: 1234
20.20.201.210

In San Mateo County in and near Burlingame and Millbrae from 0.3 kilometers (0.2 mile) of Millbrae Avenue Overcrossing to 0.5 kilometers (0.3 mile) South of San Bruno Avenue Overcrossing.

PROPOSAL

This project will correct existing safety deficiencies by providing 4 hectares (9.8 acres) of rehabilitation of highway planting and upgrade the existing manual irrigation system to a remote irrigation control system. Other Design for Safety items will include 4 areas of concrete gore paving, the installation of 4 chain link access gates and six Maintenance Vehicle Pullouts. Permanent highway planting for erosion control with groundcover and mulch will be provided to control weeds, and reduce the use of herbicides, and provide stormwater pollution prevention.

WATER SUPPLY

This project will make use of one existing water meter located at the Millbrae Avenue Overcrossing. Reclaimed water is currently not feasible for this project.
NEED AND PURPOSE

The planting and irrigation restoration is necessary to improve maintenance safety and the safety of the motoring public. Overgrown vegetation impedes sight distance in some areas and must be removed or pruned to maintain traffic safety. Much of the original groundcover has died leaving large areas of bare soil subject to erosion and weed infestation that requires on-going maintenance. The project will also improve the visual quality at a major entry to the City of Millbrae.

COST FOR PROJECT

The estimated cost of this project is $1,225,000. The annual maintenance costs after the plants are established is approximately $7,800 hectare ($3,160 per/acre/yr). A 3-year plant establishment period is included.

SUPPORT FOR THIS PROJECT

The City of Millbrae and the City of Burlingame support this project.

CATEGORY 7, CTC Planting Policy; G-85-9
Outline Design Intent Statement (DIS) for Highway Planting

Purpose of Project

Explain the circumstances that led to the initiation of the project, typically as identified in the Project Study Report (PSR) and Project Report (PR) under project need and purpose. Identify deficiencies addressed by the project, including aesthetics, environmental resources, scenic and visual resources, community goals, and traveler and worker safety.

Landscape Concept

**Planting:**

Briefly discuss the proposed planting concept for achieving the purpose and goals of the project. Discuss the following topics that apply:

Functional Planting Goals (Function of tree, shrub, groundcover planting and seeding):

- Planting to satisfy environmental mitigation requirements and memorandum of understanding.
- Planting to satisfy legal mandates.
- Replacement, restoration and rehabilitation of existing vegetation.
- Wetland habitat conservation and restoration.
- Conservation of agricultural lands.
- Planting to discourage graffiti on noise barriers.
- Erosion control and storm water pollution prevention.

Other Planting Goals:

- Aesthetic integration with the surrounding environment.
- Incorporation of feedback from the local community and stakeholders.
- Compliment significant visual or scenic resources.
- Maintenance of sightline requirements through placement, pruning or removal.
- Herbicide reduction to satisfy Department goals and community values.
- Water conservation through use of drought tolerant plants.
In addition to fulfilling functional and aesthetic goals, a well-planned landscape design incorporates plant material best suited to the unique site conditions. Describe project plant selection with regard to the following topics:

- Climate – potential for freezing, drought, high winds.
- Soils – type, compaction, salinity, pH and water table elevation.
- Steep slopes, aspect, runoff patterns and areas susceptible to erosion.
- Air quality.
- Site propensity for recurrent wildfires.
- Plant tolerance to commonly used herbicides.
- Plant tolerance of local or regional pests and diseases
- Competition from invasive exotic plant material and common weeds.
- Compatibility with adjacent plant communities.
- Community desires regarding plant use.

**Irrigation Systems:**

Describe the irrigation system concept:

- Sprinkler type used for each functional purpose.
- Use of Remote Irrigation Control System (RICS).
- Conversion of quick-coupling valves to permanent fixed-head systems.
- Water source - potable or nonpotable.

**Irrigation Management:**

Sound irrigation management requires an understanding of the interaction between plant water requirements, soils and climate. Water conservation results from irrigation management techniques that put this understanding in action. Water shortages are inevitable during the lifespan of a project so priorities should be established for periods of drought. Describe the following in the discussion on the irrigation system concept: Describe irrigation system design with regard to the following topics:

- California Irrigation Management Information System (CIMIS).
- Impact of climate upon plant material water requirements.
- Use of RICS Irrigation system
- Irrigation scheduling
- Drought tolerance of project plant material.
- Infiltration rate of water into site soils
- Irrigation concept for slope planting
- Water holding capacity of soils
- Water budget
- Moisture, wind and rain sensors
• Use of check valves
• Use of mulches for water conservation
• Selection of irrigation components
• Deep watering tubes

When a nonpotable water source is proposed for irrigation, the DIS should describe the following:

• Source
• Quality
• Quantity
• Reliability
• Availability
• Health/environmental considerations
• Testing of water quality, if required
• Impact on adjacent or nearby planting projects
• Cooperation with other potential users
• Unique irrigation equipment requirements (scrubber valves, etc)
• Identifying signage and markers
• Potential storm water quality issues

When a Remote Irrigation Control System (RICS) or automated irrigation sprinkler system is proposed, discuss the recommended water management practices that will be used to operate the new system utilizing existing maintenance resources. Describe the following:

• How the proposed irrigation system will fit into the District's overall automatic irrigation management plan;
• District expertise and ability to manage and operate the new system;
• Training needs, including who will provide training.
Traveler and Worker Safety

Describe proposed traveler and worker safety techniques including, but not limited to the following:

Relocating facilities which require maintenance work such as irrigation controllers, backflow preventers, remote control valves, and similar facilities, to protected areas or adjacent to the right-of-way fence.

Vegetation management techniques which reduce or eliminate recurrent maintenance activities such as pruning, irrigation work, herbicide application and mowing. Describe how the proposed design concept will help achieve the Department’s chemical reduction goal of a 80% reduction in herbicide use by 2012. Describe as well other vegetation management techniques utilized, including:

- Removal of plant material which encroaches upon sight distances;
- Removal or replacement of aged and deteriorated plants;
- Planting of vines or the use of textures on noise barriers;
- Automation of irrigation systems (RICS);
- Stabilization of eroding slopes;
- Paving beneath guardrails and signs;
- Paving of slopes beneath bridge structures;
- Paving of narrow areas and additional gore paving;
- Placing of rock or other inert mulch materials to reduce herbicide use.

Safe worker access improvements which provide maintenance workers with safe access to roadway and roadside facilities that require regular maintenance:

- Maintenance vehicle pullouts;
- Maintenance access roads;
- Walk or vehicle access gates.

Maintenance

The DIS should describe the project's long term maintenance requirements and goals. These requirements and goals should be identified following discussions with District Maintenance. The DIS should describe the quality of the landscape project expected at the completion of plant establishment and post plant establishment, in terms of a Level of Service (LOS) score agreed upon by District Maintenance. These LOS scores for the initial and long-term maintenance of the project represent Maintenance’s long-term commitment to the success of the project.
Describe the procedures maintenance should follow for the planting and irrigation systems, as well as other landscape improvements. Identify requirements in terms of maintenance activity, criteria, and frequency/schedule for plant establishment, post plant establishment to 5 years, and beyond 5 years.

Describe the following applicable maintenance requirements:

- Graffiti control and removal
- Mowing, weeding and/or burning of grasses
- Pruning for plant health and safety (techniques and timing)
- Replacement and removal of tree stakes and protective cages.
- Control of escaped exotics or "volunteer" plants
- Removal of litter and debris
- Pesticide application
- Application of fertilizer, compost and soil amendments
- Irrigation schedule, water budgeting, RICS system capabilities
- Actions to be taken in the event of drought
- Replacement and removal of dead plants
- Placement or replacement of wood chips, bark mulch or inert materials
- Miscellaneous landscape components and furnishings, if applicable
- Pruning to maintain sight distance requirements.
- Maintenance requirements for any permanent storm water pollution prevention treatment BMPs.

Signatures

---

**PROJECT LANDSCAPE ARCHITECT**
(responsible for project design)

**DISTRICT LANDSCAPE ARCHITECT**
(signature denotes concurrence)

**DISTRICT LANDSCAPE SPECIALIST**
(signature denotes concurrence)

DATE          PHONE #
DATE          PHONE #
DATE          PHONE #
APPENDIX GG - Project Data Checklists

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Appendixes
Project Development Forms and Letters plus Policy and Procedures Documents
Resident Engineer File Checklist

Landscape Architecture

√ LIST

Date Requested ________________ Date of Reply ________________

Co. Rte. PM ________________ EA ________________

Limits ____________________________________________

signature of respondent

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<td>2. Water Company Service Contracts</td>
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<tr>
<td>3. Source of special plants</td>
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<tr>
<td>4. Quantity Calculation Sheet (not a summary)</td>
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<tr>
<td>5. Utility Plans and correspondence</td>
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<td>6. Design Intent Statement</td>
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<td>7. Pressure Calculation Data</td>
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Environmental
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Date Requested ___________  Date of Reply ___________

Co. Rte. PM __________________________  EA _______________________

Limits _____________________________

____________________________________
signature of respondent

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<td>2. Backup reports (Noise, Cultural Resources, etc.)</td>
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<tr>
<td>3. List of mitigation measures (and environmental commitments)</td>
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<td>4. Pertinent correspondence</td>
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Materials

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Date Requested ________________ Date of Reply ________________

Co. Rte. PM ________________ EA ________________

Limits

______________________________

signature of respondent

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<td>2. Other pertinent reports</td>
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* If the Materials Report covers more than one Construction Contract, copies should be forwarded to the Construction Unit with the contract. Construction will re-use these copies for successive jobs.
## Project Development

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(Page 1 of 3)

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<td>2. Preliminary Plans</td>
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<td>3. Cross-sections (include drainage profile)</td>
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<td>4. PS&amp;E submittal</td>
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<tr>
<td>5. Modified Drainage Report (if not included in PS&amp;E submittal)</td>
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<tr>
<td>6. Detailed analysis of contract quantities</td>
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<td>7. Dummy correspondence and dummy review correspondence</td>
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<tr>
<td>8. Correspondence and comments peculiar to the project (if not in PS&amp;E submittal)</td>
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<tr>
<td>9. EDP Data:</td>
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<tr>
<td>a. Grid-Grade Sheet</td>
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<td>b. Terrain notes</td>
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<tr>
<td>c. Roadbed notes</td>
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<tr>
<td>d. Earthwork Quantity Sheet</td>
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<tr>
<td>e. Earthwork Detail Sheet</td>
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* If the Project Report covers more than one Construction Contract, copies should be forwarded to the Construction Unit with the first contract. Construction will re-use these copies for successive jobs.

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Date Requested ________________ Date of Reply ________________

Co. Rte. PM ________________ EA ________________

Limits _______________________

______________________________

signature of respondent
## Project Development

√ LIST

(Page 2 of 3)

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<td>10. Working Drawings (if available to facilitate construction not in plans)</td>
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<tr>
<td>a. Drawing of complete Interchange where stage construction is involved</td>
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<td>b. Contour maps</td>
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<td>c. Edge of Pavement profiles</td>
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<tr>
<td>d. Grids</td>
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<tr>
<td>e. Superelevations</td>
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<tr>
<td>f. Coordinates</td>
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<tr>
<td>11. Approved (Vellum) Striping Diagram (and four prints)</td>
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<tr>
<td>12. Monumentation Data (approved or agreed layout for job monuments)</td>
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<tr>
<td>13. Cost estimate, breakdown of lump-sum items if not included in analysis of quantities (structure quantities)</td>
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<tr>
<td>a. Other - (itemize)</td>
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<tr>
<td>b. Summary of pending items - (itemize)</td>
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<tr>
<td>14. Work on Contract for other agency (city, county, etc.)</td>
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<tr>
<td>a. Description of work to be done for other agency</td>
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<tr>
<td>b. Name &amp; address of other agency involved</td>
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<tr>
<td>c. Person to be notified when work is done</td>
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<tr>
<td>15. Names of individuals to contact in various public agencies</td>
<td></td>
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<tr>
<td>16. Presidents of interested associations, with their address and phone numbers</td>
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# Project Development

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(Page 3 of 3)

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<td>17. Names of other interested individuals — particularly those who have followed the design and may be critical of the State's highway program</td>
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<tr>
<td>18. Public Meeting Reports and/or CTC Hearing Reports</td>
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<tr>
<td>19. Copy of Reduced As-Bults</td>
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Cooperative Agreement
√ LIST

Date Requested _______________ Date of Reply _______________
Co. Rte. PM ____________________ EA ____________________
Limits ____________________________

_______________________________________________
signature of respondent

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<td>1. Cooperative Agreements with other agencies</td>
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**Hydraulics**

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<tr>
<td>1. Drainage Report (if not included in the PS&amp;E submittal furnished by Design Unit)</td>
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Date Requested ________________ Date of Reply ________________

Co. Rte. PM ____________________ EA ______________________

Limits ____________________________________________

signature of respondent
## Maintenance

√ LIST

Date Requested ________________  Date of Reply ________________

Co. Rte. PM ________________  EA ________________

Limits ______________________________________

____________________________

signature of respondent

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<tr>
<td>1. Active Encroachment Permits (excluding those issued in response to a utility Notice to Relocate)</td>
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**Traffic**

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<td>1. Letter — disposition of salvaged equipment</td>
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<tr>
<td>2. Letter — acceptance of work for other agencies</td>
<td></td>
<td></td>
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<tr>
<td>3. Other pertinent information, letters of request, or complaints from cities, counties, or the general public — Caltrans' response — the concurrence of the other entities</td>
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Date Requested _______________       Date of Reply _______________

Co. Rte. PM _______________________  EA _______________________

Limits _______________________________________________________

__________________________
signature of respondent
# Right of Way

## Resident Engineer File Checklist

### Right of Way

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<td>1. R/W Clearance letter</td>
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<tr>
<td>a. Status of land acquisition</td>
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<tr>
<td>b. Building obstructions</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(1) Removal dates (by R/W)</td>
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<tr>
<td>(2) Availability dates (to Hwy. Const.)</td>
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<tr>
<td>c. Certification of R/W</td>
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<td></td>
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<tr>
<td>(1) Advertisement of project and / or</td>
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<tr>
<td>(2) Award of contract</td>
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<tr>
<td>2. Final Certification of R/W for Award of Contract (if required)</td>
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<tr>
<td>3. Complete list of parcels for project (includes status of parcel acquisition and notation as to contractual obligations, if any)</td>
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<tr>
<td>4. Contractual obligations (by parcel)</td>
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<tr>
<td>5. Borrow Agreements</td>
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<tr>
<td>6. Disposal Agreements</td>
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<td>7. Right of Entry</td>
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<tr>
<td>*8. Service Contracts</td>
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<tr>
<td>9. Other - (itemize)</td>
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</table>

* Refers to work performed in R/W during construction contract period by other than highway contractor and/or when Resident Engineer will perform inspection for Right of Way Branch.

Date Requested ________________  Date of Reply ________________

Co. Rte.PM ____________________ EA ____________________

Limits __________________________________________________

_____________________________________________________

signature of respondent
## Right of Way Engineering

√ LIST

Date Requested ______________   Date of Reply ______________

Co. Rte. PM ____________________   EA ______________

Limits ________________________________

______________________________
signature of respondent

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<td>1. Key map to define the hard copy number and Record Map number</td>
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<tr>
<td>2. Print of hard copy</td>
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<tr>
<td>3. Reverse chronoflexes of either:</td>
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<tr>
<td>a. Record maps, with title blocked out (if record maps are prepared from the appraisal maps), or</td>
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<tr>
<td>b. Skeleton of the record maps (if record maps are prepared independently from the appraisal maps)</td>
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Utilities
√ LIST

DateRequested _____________ DateofReply _____________
Co. Rte. PM ________________ EA _________________
Limits ___________________________________________________________________

__________________________________________
signature of respondent

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<td>d. letter of transmittal</td>
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* Copy of Authorizing PUC order in R/W Engineering Files.
APPENDIX HH - Public Involvement

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   Public Hearing, Presiding Officer Letter of Confirmation (sample)....................................................HH-15
SAMPLE LETTER #1
(for project categories 1 and 2A only)
(See Chapter 22, Article 5)

Date
File

To: Boards of Supervisors, City Councils

Arrangements have been made for a meeting to be held on ___date___, at ___time___, in ___room___, ___building___, at ______address_____. The purpose of this meeting is to discuss the need, nature, type, and scope of studies to be undertaken relative to freeway (controlled access highway or conventional) development of State Highway Route ___ID___ between _______________ and _______________.

This meeting is being held prior to formal initiation of studies. Legislators, supervisors, councilmen, and representatives of interested local, State and Federal agencies and civic groups are being invited to attend.

Within 30 days following the meeting, it is requested that you furnish comments or concurrence as to (1) study objectives, (2) organization, (3) the time schedule for the study, (4) the study limits, and (5) whether or not an advisory committee is to be used during the study, as well as any other comments that you may wish to make. It is also requested at this time that you furnish any information on the location of historic properties that may be in the project vicinity and potentially affected by the proposal.

We cordially invite you to attend and participate in this meeting. It is hoped that the early involvement of all interested parties will enhance the effectiveness of cooperative planning. Individuals who need auxiliary aids for communication in order to participate in the meeting are invited to make their needs and preferences known to the Project Manager for this proposed project at (phone number) or TDD phone number (TDD phone number).

Sincerely,

District Director

cc: Division Chief, DOD, Attention: Public Meeting

(cc one typical letter and the mailing list)
SAMPLE LETTER #2
(for ALL project development categories)
(See Chapter 22, Article 5)

Date
File

To: Legislators; Council Members; Supervisors; Representatives of Local, Regional, State,
and Federal Agencies; Civic Groups, etc.

Arrangements have been made for a meeting to be held on ___date___, at ___time___, in
___room___, ___building___, at ___address_____. The purpose of this
meeting is to discuss the need, type, and scope of studies to be undertaken relative to
___description of proposal___ between ____________ and ____________.

This meeting is being held prior to formal initiation of studies. Legislators, supervisors,
council members, and representatives of interested local, State, and Federal agencies and
civic groups are being invited to attend.

Items to be discussed at the meeting will include the need for the projects, the appropriate
time schedule for the study, the most logical limits to be studied, the desirability of
appointing an advisory committee to work with Caltrans in the development of studies, and
the procedures to be followed. Also, we would welcome any suggestions you may have as to
alternatives to be studied and any comments or suggestions on significant social, economic or
environmental factors.

It is requested at this time that you furnish any information on the locations of historic
properties that may be in the project vicinity and potentially affected by the proposal. Please
indicate if you wish to be notified at the completion of historic preservation studies.

We cordially invite you to attend and participate in this meeting. It is hoped that the early
involvement of all interested parties will enhance the effectiveness of cooperative planning.
If you need auxiliary aids for communication in order to participate in the meeting, please
make your needs and preferences known to the Project Manager for this proposed project at
(phone number) or TDD phone number (TDD phone number).

Sincerely,

District Director

cc: Division Chief, DOD, Attention: Public Meeting
(see one typical letter and the mailing list)
SAMPLE LETTER #3
(for ALL project development categories)
(See Chapter 22, Article 10)

Date
File

To: State Senators, Assembly Members, Scenic Highway Advisory Committee, Groups, and Individuals

This is to advise you that studies are being formally initiated relative to _description of proposal_ for the portion of State Highway Route _ID_ in ___________ County between _____________ and _____________. (_Include remarks further amplifying the study proposal._) The attached map shows the general limits of the proposed study.

(A meeting was held in ______ city____ on ___ date___ to discuss factors to be considered in the commencement of studies for this segment of Route __________. The study proposal incorporates the conclusions reached as a result of the meeting.)

The appropriate local governing bodies and agencies are also being notified at this time of the initiation of studies. During the course of these studies, we plan to work closely with these agencies and their staffs to exchange ideas and to assure that all pertinent factors are being considered. We would welcome any comments or suggestions concerning alternatives or social, economic, and environmental factors. (_Also make reference to working with designated advisory committees where appropriate._)

It is requested at this time that you furnish any information on the locations of historic properties that may be in the project vicinity and your views on the effects that this proposal (and alternatives) may have on such properties. Please indicate if you wish to be notified at the completion of historic presentation studies.

_[When sufficient engineering, environmental, and socioeconomic data have been developed, a public hearing will be held (or opportunity afforded) to discuss the project studies. The public hearing will be well publicized and you will be notified well in advance of the hearing time and location._]

We will be pleased to answer any questions you may have in regard to this project.

Sincerely,

District Director

cc: Division Chief, DOD, Attention: Study Initiation
(_cc one typical letter and the mailing list_)

Appendix HH - Public Involvement
Project Studies Community Involvement Invitations (sample letters)
SAMPLE LETTER #4
(for ALL project development categories)
(See Chapter 22, Article 10)

Date
File

To: City Councils, Boards of Supervisors and affected State, Federal, Regional and Municipal Agencies

Caltrans is formally initiating studies for [description of proposal] of the portion of State Highway Route [ID] in [County] County between [limits]. (Include remarks further amplifying the study proposal.) The attached map shows the general limits of the study area.

(A meeting was held in [city] on [date] to discuss factors to be considered in the commencement of studies on this segment of Route [ID]. The study proposal incorporates the conclusions reached as a result of the meeting.)

We would appreciate being advised within 30 days if you have any facilities or plans for development which might be affected by the proposal. If any conflicts become evident, we will work closely with you during the studies in an effort to develop alternatives which might afford a mutually acceptable solution. We would also welcome any other comments or suggestions you may have concerning alternatives to be studied or on significant social, economic and environmental factors. It is requested at this time that you furnish any information on the locations of historic properties that may be in the project vicinity and your agency’s views on the effects that this proposal (and alternatives) may have on such properties.

[Caltrans will be preparing an environmental document for the project. Our preliminary studies indicate you are participating, or plan to participate, in the National Flood Insurance Program administered by the Federal Emergency Management Agency (FEMA). We are prepared to furnish you preliminary plans and technical data relative to any highway encroachments on a floodplain and/or floodway. We wish to establish ongoing coordination with you on this matter to assist you in meeting your responsibilities to FEMA.]

[When sufficient engineering, environmental, and socioeconomic data have been developed, a public hearing will be held (or opportunity afforded) to discuss the project studies. The public hearing will be well publicized and you will be notified well in advance of the hearing time and location.]

We will be pleased to answer any questions you may have in regard to this project.

Sincerely,

District Director

Attachment
cc: Division Chief, DOD, Attention: Study Initiation

(Note: FHWA’s copy of letter should be marked "For Information Only")
Public Notice

public notice

Item 1, 2, 3, 4, or 5

Item 4, 5, or 6

Item 7 MAP

Item 8

Item 9, 10, or 11

Item 12, 13, or 14

Item 15, 16, 17, 18, 19, or 20

Item 21

Item 22

Following pages provide a key by type of notice and text samples for the items on this Public Notice example.

Refer to Chapter 11, Article 2, for a discussion on public notices and publicity for public hearings, and Chapter 22, Article 5, for a discussion of publicity for community involvement.
# PUBLIC NOTICE
(Required Items)

SEE PUBLIC NOTICE EXAMPLE ON PREVIOUS PAGE FOR LOCATION OF THE ITEMS IN THIS TABLE.

## TYPES OF NOTICES

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Following pages provide text samples and explanations for the items on the Public Notice example.

Refer to Chapters 11 and 22 for further discussion.
PUBLIC NOTICE
(Sample Text & Explanations)

SEE PUBLIC NOTICE EXAMPLE FOR LOCATION OF THE ITEMS DESCRIBED BELOW.

Note: Standard wording is typed in regular typeface. Optional wording or guidance is typed in *italics*.

1. Notice of Intent to Adopt a ("Negative Declaration" or "Mitigated Negative Declaration"). Study results available.

2. Draft Environmental Impact ("Report" or "Statement" or "Report/Statement") available for Route ____*(number)*____.

3. Final Environmental Impact ("Report" or "Statement" or "Report/Statement") approved for Route ____*(number)*____.

4. Do you want a public hearing on changes proposed for Route ____*(number)*____?

5. Announcement of Public Hearing.

6. Changes proposed for Route ____*(number)*____.

7. Map (prepare specifically to show major design features and enough detail of surrounding area to identify project location).

8. CALTRANS (California Department of Transportation) is proposing to (project type) Route ____*(number)*____ in (city OR county) between (intersection OR geographical location) and (intersection OR geographical location). (Add other major features.)

**USE THIS PARAGRAPH WHEN APPROPRIATE, BUT NOT ON FEI("R" or "S" or "R/S") NOTICES:**

The proposed work will encroach upon wetlands [and/or a floodplain]. The project is being evaluated to determine if there are any practical alternatives to avoid this encroachment or, if not, to ensure that all practical measures are taken to minimize harm to the wetlands (and/or floodplain).

**USE THIS PARAGRAPH WHEN APPROPRIATE- This is for compliance to CCR 15072(f)(5), the “Cortese List”:**

The proposed work involves a site on a list enumerated under Section 65962.5 of the Government Code pertaining to hazardous wastes.

**USE ONE OF THE FOLLOWING THREE PARAGRAPHS AS APPROPRIATE,BUT NOT ON FEI("R" OR "S" OR "R/S") NOTICES:**

The proposed work may have an effect on historic properties eligible for the National Register of Historic Places. CALTRANS is evaluating alternatives to determine if the project can avoid adversely affecting the property(ies) or, if not, if adequate mitigation measures can be incorporated into the project plans.

OR

The proposed work will have an effect on historic properties eligible for the National Register of Historic Places. CALTRANS has evaluated whether adequate mitigation measures can be incorporated into the project plans.
OR

One or more of the alternatives being evaluated will have an effect on historic properties eligible for the National Register of Historic Places. CALTRANS has evaluated whether adequate mitigation measures can be incorporated into the project plans.

9. CALTRANS has studied the effects this project may have on the environment. Our studies show it (will OR will not) significantly affect the quality of the environment. The report that explains why it is called a (Negative Declaration/"Initial Study" or "Initial Study/Environmental Assessment") OR Environmental Impact ("Report" or "Statement" or "Report/Statement"). This notice is to tell you of the preparation of the (Proposed Negative Declaration and ("Initial Study" or "Initial Study/Environmental Assessment")) OR Draft Environmental Impact ("Report" or "Statement" or "Report/Statement") and of its availability for you to read (and to offer the opportunity for a public hearing).

10. A hearing will be held to give you an opportunity to talk about certain design features of the project with CALTRANS' staff before the final design is selected. The tentative schedule for the purchase of land for right of way and construction will be discussed, and CALTRANS' staff will explain the Department's relocation assistance for residents moved by the project.

11. The Federal Highway Administration (FHWA) and CALTRANS have approved the Final Environmental Impact ("Report" or "Statement" or "Report/Statement") ("FEIR" or "FEIS" or FEIR/S).

12. Maps for (the Proposed Negative Declaration and ("Initial Study" or "Initial Study/Environmental Assessment") OR Draft Environmental Impact ("Report" or "Statement" or "Report/Statement") and other project information are available for review and copying at the CALTRANS District Office (address) on weekdays from (time) to (time). The (Proposed Negative Declaration and ("Initial Study" or "Initial Study/Environmental Assessment")) OR Draft Environmental Impact ("Report" or "Statement" or "Report/Statement") is also available at (address of other locations).

13. You can look at or obtain the Draft Environmental Impact ("Report" or "Statement" or "Report/Statement") at the CALTRANS District Office (address) on weekdays from (time) to (time). Maps and other information are also available. There are also copies of the statement available at (address of other locations).

14. The ("FEIR" or "FEIS" or "FEIR/S") which describe the project is now available to the public. It is being distributed to those who made substantive comments on the draft version or requested a copy.

15. Do you have any comments about processing the project with a Negative Declaration and the ("Initial Study" or "Initial Study/Environmental Assessment")? Do you disagree with the findings of our study as set forth in the Proposed Negative Declaration? Would you care to make any other comments on the project? (Would you like a public hearing?) Please submit your comments (or request for public hearing) in writing no later than (date) to CALTRANS (address). The date we will begin accepting comments is
If there are no major comments (or requests for a public hearing), CALTRANS will (Request approval from the Federal Highway Administration and) proceed with the project's design.

16. Have the potential impacts been addressed? Do you have information that should be included? Your comments will be part of the public record. If you wish to make a comment on the ("report" or "statement" or "report/statement") (or request a public hearing), you may submit your written comments (or request) until (date) to CALTRANS (address).

17. A public hearing will be held (approximate date) to discuss the proposals. The time and place will be announced in local newspapers.

18. You can look at or obtain the ("report" or "statement" or "report/statement") at the CALTRANS District Office (address) on weekdays from (time) to (time). Also, you can review the statement at (name and location of other locations).

19. If you would like a public hearing or wish to make any comments, write CALTRANS by (date) at (address). If there are no requests, CALTRANS will (request approval from the Federal Highway Administration and) proceed with the project's design.

20. If you can not attend the hearing, you can send your written comments until (date) to CALTRANS (address).

21. The hearing will be (day, date, time) at (address).

USE THIS PARAGRAPH IN THE FIRST HEARING NOTICE:

Individuals who require special accommodation (American Sign Language interpreter, accessible seating, documentation in alternate formats, etc.) are requested to contact the District (number) Design Division (or Public Affairs Office) at (phone number) at least 21 days prior to the scheduled hearing date. TDD users may contact the California Relay Service TDD line at 1-800-735-2929 or Voice Line at 1-800-735-2922. (or Caltrans at TDD phone number (TDD phone number)).

22. For more information about this study or any transportation matter, call CALTRANS at (phone number).

USE THIS SENTENCE WHEN ITEM #21 IS NOT INCLUDED IN THE NOTICE:

Individuals who require documents in alternative formats are requested to contact the District (number) Design Division (or Public Affairs Office) at (phone number). TDD users may contact the California Relay Service TDD line at 1-800-735-2929 or Voice Line at 1-800-735-2922. (or Caltrans at TDD phone number (TDD phone number)).
Appendixes
Project Development Forms and Letters plus Policy and Procedures Documents

Record of Public Hearing

State of California
Business, Transportation, and Housing Agency
Department of Transportation
District _________

________________________________________

R.U. E.A.

RECORD OF PUBLIC HEARING

(Route location studies, freeway development, conventional development, widening, etc.)

OF

ROUTE _________

IN ________________________ COUNTY

POST MILE _________ TO _________

BETWEEN

________________________

AND

________________________

POST MILES

(DATE)

LOCATION

(PRESIDING OFFICER)
CONTENTS

Title Page

See the prior page for a sample of the information desired. The information may be placed directly on the cover or on the first page.

Table of Contents

Contents of the Record.

Resume of Hearing

State the time (duration) and number in attendance at the hearing. List the Hearing Officer, Caltrans staff, and local officials in attendance.

Handouts

Include a copy of each brochure or pamphlet prepared for the hearing.

Index of Speakers

The index of speakers or commenters should include their affiliation, if known, and the first page reference of each appearance in the transcript. It is not necessary to make a page reference to the Hearing Officer to members of the panel participating in the hearing.

Transcript of Hearing

Throughout the text, whenever a speaker refers to an exhibit, document, map, etc., an appropriate page reference must be placed in the margin of the transcript to indicate the location in the Record for that particular item. Otherwise, a great deal of hunting will be required to find the item; in Records of larger hearings the correct item may not be found. For added convenience, consider inserting the exhibit in the transcript text where it is mentioned. Preferably the exhibit will not have to be placed on the backside of the page, but even that is better than in the back of the volume.

Open Forum Questions and Answers

When the hearing format is an Open Forum format, staff members who answered questions from the audience should create a recap of questions asked and answers given.

Displays

Reproductions of all exhibits, maps, typical sections, sketches, models, photos, etc., displayed or presented at the hearing by Caltrans or any other party should be included in the Record. This does not include documents such as a DED, Noise and Air Study Reports, etc., which are included by reference.
Documents for the Record

Copies of statements, resolutions, petitions, letters, and exhibits received while the Record is still open must be included. Where the number of documents is particularly large, they should be subdivided into groups. For example: local governing bodies, community organizations, State and federal agencies, individuals, etc.

Documents Requiring Response

Documents that required a response must include the response. This treatment will afford some measure of comparability, as far as the Record is concerned, with questions that were answered at the hearing.

Other Materials

Newspaper articles published prior to the hearing notice and after the close of the Record should be attached to the letter transmitting the hearing record. Also include other material and pertinent correspondence received after the closing of the Record. Only items specifically submitted for the Record are to be included.

Publicity

The Record should include reproductions of all newspaper articles, published press releases, paid notices, etc., for the period from first announcement of the hearing to the closing of the Record.

Invitations

Include a copy of the typical letter of invitation to the hearing, as well as a list of those receiving the invitation. An appropriate notation should be placed beside the names of those who attended the hearing.
Date
File

Dear____________________:

Thank you for agreeing to act as presiding officer at the public hearing to receive comments on ____________ (brief description of Hearing purpose) ______________.

The hearing has been set for __________ p.m. on __________ (date) in the ______________________, California.

Messrs. ________________, ________________, ________________, of Caltrans and ______________________________________________________, of ______________________ will be sitting on the Hearing panel with you. We plan to hold a briefing session for the members of the Hearing panel on ___ (date or open) ______________.
We will keep you advised on this and other details as they develop.

The following are attached for your information: schedule of key events; news release; letter of general invitation (and its mailing list); a copy of a paid advertisement, with a list of insertions; and a copy of the Draft environmental document (revise as appropriate).

If you have any questions or wish to further discuss arrangements, please call: __________________________ at ______________ (phone) __________.

Sincerely,

_________________________________________
# APPENDIX II - Rescissions

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Maps ................................................................................................................................................... II-10
RESOLUTION NO. G-15 AS AMENDED OUTLINING PROCEDURE FOR RECYCLING ADOPTED FREEWAY LOCATIONS AND POLICY FOR CONDITIONAL RETENTION OF ADOPTIONS

WHEREAS, monetary and other constraints have identified the need for a reevaluation of the implementation of the State Highway System; and

WHEREAS, a number of adopted freeway routes are not likely to be constructed as State freeways within the foreseeable future; and

WHEREAS, retention of the adoptions may not be desirable and may subject the Transportation Commission to possible continuing expense for acquisition of property on a hardship basis; and

WHEREAS, in special cases, some adoptions that would be otherwise rescinded may be retained on the condition that the local agencies involved assume responsibility for further hardship and protection acquisition; and

* NOW, THEREFORE, BE IT RESOLVED, that the procedure outlined by the diagram on attached Exhibit A be followed in recycling adopted freeway routes; and,

BE IT ALSO RESOLVED, that after the Transportation Commission has passed a resolution giving notice of its intention to consider rescinding a freeway route adoption and disposing of any acquired rights of way, the steps outlined below shall be followed:

1. The Department of Transportation, in each case, upon being authorized to do so by resolution of the Transportation Commission, shall notify the appropriate local and regional agencies of the intention to consider rescinding the freeway adoption. Such notifications shall request comments within sixty days or any additional information the Transportation Commission should have prior to its final consideration.

Concurrently, the Department of Transportation shall also notify local and regional agencies of the intent to initiate disposal of any acquired rights of way if the adoption is rescinded, requesting comments on disposition uses.

2. At the expiration of the notification period, the Department of Transportation shall submit a report to the Transportation Commission analyzing any additional information received within the 60-day comment period together with a further recommendation on whether to proceed with the rescission action.

* (Exhibit A has been modified and moved to Figure 4, Chapter 23 of the PDPM)
3. Upon receipt of the Department's recommendation, the Transportation Commission may at its own option, because of controversy or lack of local consensus, hold a hearing at a location which is reasonably convenient to the communities affected by the proposed rescission, to the general public, and to the Commission in the discharge of its regular business.

4. If the Transportation Commission determines the freeway location should be vacated, it shall adopt an appropriate resolution rescinding the freeway adoption and authorizing disposal of any acquired rights of way.

5. Upon rescinding action by the Transportation Commission, the Department shall proceed with timely disposition of any acquired rights of way.

BE IT FURTHER RESOLVED that, in those special cases where the Transportation Commission agrees to suspend consideration of rescinding a freeway route adoption if the local agencies enter into an agreement to assume responsibility for further hardship and protection acquisition, agreements for hardship and protection acquisition shall be based on the responsibilities and provisions outlined below for either Option 1 or Option 2, depending upon the applicable conditions:

Option 1

The Department will enter into a formal agreement with the involved local agency or agencies.

Under this option, the local agencies would:

1. Pay 100 percent of the capital outlay cost of the hardship or protection acquisition, any benefits required under the California Uniform Relocation Assistance and Real Properties Act, and the cost of necessary environmental studies.

2. Accept title in the local agency's name and be responsible for maintenance and liability on any acquired parcels. The local agency will execute the necessary joint powers agreement authorizing the State to acquire property for the local agency.

3. Accept the State's established practices for determination of property owner eligibility for a hardship or protection acquisition. The State's decision on eligibility would be final. If a local agency failed to provide capital funds to acquire an eligible hardship or protection acquisition parcel, the State would be relieved of any further obligation to retain the adoption. The Transportation Commission would be immediately advised and requested to proceed with rescission if a local agency refused to proceed with a hardship or protection acquisition.

4. If at some future date the State budgets funds for normal right of way acquisition, the State would purchase any acquired parcels at the local agency's costs at time of original acquisition and title transferred to the State. This does not preclude the local agency's donating the property at this later time as a means of advancing construction. Maintenance or liability costs during the period title was vested in the local agency's name would not be reimbursable.

5. If the route adoption were subsequently rescinded, the State would be relieved of all obligations. The local agency would be free to dispose of any properties acquired in its name and would receive all proceeds from sales. The local agency would agree not to downzone properties previously acquired by the State.
Appendix II - Rescissions
CTC Resolution G-15 (Approved by CTC on FEB 29, 1980)

Under this option the State would:

1. Assume the administrative costs and staffing for necessary engineering and acquisition activities.

2. Assume responsibility for maintenance and liability on parcels previously acquired by the State and for inverse condemnation actions (Klopping) that may arise because of retention of the adoption as a whole.

3. Notwithstanding the above, be released to reconsider rescission of the adoption, if inverse action liability suits should become excessive in the State's opinion.

Option 2

This option assumes Federal-aid Urban (FAU) or other Federal or local funds will be allocated by the local authorities for hardship and protection acquisition. It is limited to routes that provide important regional service and that have environmental clearance to purchase rights of way. Under this option, the State would provide an amount equivalent to the matching share for FAU participation current at the time (now about 14%). Routes of important regional service are defined as those serving or connecting primary transportation corridors of the region. They must be included in the Regional Transportation Plan.

The Department will enter into a formal agreement with the involved agency or agencies.

Under this option the local responsibility would be to:

1. Pledge FAU or equivalent other Federal or local funds for hardship and protection acquisition, including that necessary for support costs (i.e., the Federal ratio of all costs, including capital outlay for acquisition and RAP costs and necessary overhead for engineering, appraisal, acquisition, RAP, and environmental studies).

2. Accept the State's established practices for determination of property-owner eligibility for a hardship or protection acquisition. The State's decision on eligibility would be final. If FAU funds or equivalent local or Federal funds were not available to acquire an eligible hardship or protection acquisition parcel, the State would be relieved of any further obligation to retain the adoption. The Transportation Commission would be immediately advised and requested to proceed with rescission if a local agency refused to proceed with a hardship or protection acquisition.

3. If at some future date, the State budgets funds for construction which will utilize the acquired parcels, the local authorities will not be reimbursed for any acquisition costs incurred.

4. If the route adoption is eventually rescinded, properties are to be disposed of at fair market value with the net proceeds to be divided between the contributing parties on the same ratio as purchased, subject to meeting any applicable Federal requirements. The local authorities will not downzone properties previously acquired by the State or acquired under the provisions of Option 2 where there is participation by the State.
Under this option the State would:

1. Provide the matching share for FAU participation (or the equivalent to FAU if other funds are used) in acquisition and support costs. The State's staff would undertake the necessary work.

2. Accept title in the State's name and be responsible for maintenance and liability on any acquired parcels. The State would continue to have responsibility for inverse condemnation actions (Klopping) that may arise because of retention of the adoption as a whole.

3. Notwithstanding the above, be released to reconsider rescission of the adoption if inverse action liability suits should become excessive in the State's opinion.

Special Circumstances:

It is recognized there may be special circumstances that make a route segment not fully adaptable to the provisions of Option 1 or Option 2. In these instances, deviations from the standardized provisions are to be submitted to the Transportation Commission for review and concurrence.

BE IT FURTHER RESOLVED, that after the Transportation Commission has passed a resolution giving notice of its intention to suspend consideration of rescinding a freeway route adoption, the involved local authorities must agree within 120 days to assume responsibility for further hardship and protection acquisitions and to enter into agreements as outlined above. Hardship or protection acquisition parcels approved prior to the Transportation Commission's Notice of Intent Resolution and during the specified 120-day period will continue to be the full responsibility of the State. After 120 days, the Transportation Commission may grant an extension until the agreement is executed subject to local assumption of all financial responsibility for hardship and protection acquisitions. Failure of the local authorities to act after 120 days will relieve the State of any further obligations and the Transportation Commission will proceed with rescission consideration of the adoption and disposal of previously acquired rights of way.

BE IT FURTHER RESOLVED, that Resolution No. G-8 adopted by the Commission on May 19, 1978 is hereby rescinded.
Preparation Guidelines for Route Inventory Report

Application

The following outline for a Route Inventory Report should be used when considering rescission of adopted freeway locations, as well as for conditional retention of freeway adoptions or locations.

Procedures

Follow the procedures that are described in Chapter 23 and those described in CTC Resolution G-15 in this Appendix.
Outline For
ROUTE INVENTORY REPORT

Route Description

- Route Segment Description
  - Limits
  - Type of facility originally planned
  - Systems functional classification (F&E, Scenic Highway Master Plan, Interregional Road System, National Highway System)
  - Functional classification
  - Type of regional and State-wide service

- Route Adoption
  - Date
  - Reason for adoption
  - Controversial aspects (at time of adoption and now)
  - Dates of Freeway Agreements

- Systems Planning
  - Concept as described in the Route Concept Report
  - Describe the route's function in the regional network.
  - Describe any impacts/effects of rescission on the adjacent regional network.
  - Describe the need for, and cost of, improving adjacent facilities if the route is rescinded.

- Design
  - Number of lanes and median width of original proposal (or subsequent modifications)
  - Percent complete
  - Unusual problems
  - Engineering costs to-date
Appendix II - Rescissions
Route Inventory Report

- Status of environmental document

• Existing Highway
  - Description
  - Existing ADT
  - Accident rates (total, severity and fatality by segment as appropriate)
  - Capacity adequacy

• Forecasted Traffic
  - Forecasted traffic on existing routing, in segments as appropriate (or may be expressed as percentage increase above existing traffic)
  - Traffic split between existing facility and adopted routing, if in existence (can give numbers or percentages for traffic forecast year)
  - Traffic forecasts for the adjacent network with and without the adopted route

• Alternatives
  - Current construction and right of way cost of proposal on the adopted routing
  - Current construction and right of way cost of downscoped or stage construction possibilities on the adopted routing
  - Costs and appropriateness of improvements to the existing highway needed to accommodate forecasted traffic
  - Other possibilities

Local and Regional Plans

• Do the local general plans show the freeway?

• What does the regional transportation plan show or say regarding the route segment?

• Summarize development trends along the route corridor.

• Are there any local or regional studies under way having a bearing on the route segment?
Right of Way

- Past acquisition (parcels, acquisition cost, parcel types including number of single family residences and number of living units in multi-family parcels)
- Future anticipated acquisition for hardship and protection
- Management problems
- Impacts if disposed of or kept
- Disposal value, including consideration of contractual obligations and possible RAP payments
- Reasons why disposal value is lower or higher than acquisition cost

Local Staff Reactions

- Summarize discussions with local staffs.

Conclusions

- State the conclusions, taking into consideration the eight criteria listed in the second paragraph of Chapter 23, Article 9.

  If the proposed rescission has special circumstances that are not in conformance with the G-15 options, provide a full description and justification for recommending CTC approval of a nonconforming rescission.

- District recommendation

Maps

- Vicinity map
- Route Adoption map
- Other maps as needed
APPENDIX JJ - Resolutions of Necessity

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Project Development Forms and Letters plus Policy and Procedures Documents
# Resolution of Necessity Appearance Fact Sheet

Note: Fact sheet should be kept to a single page. The design unit usually completes the Project Data section while the Right of Way unit completes the Parcel Data.

## PROJECT DATA

**Dist-Co- Rte-PM**

**Location:**

*What highway in what county or city*

**Limits:**

*Between what major streets or landmarks*

**Contract Limits:**

*Use if project is broken down into several contracts*

**Cost:**

*R/W and Construction cost of contract*

**Funding Source:**

*State (includes federal aid), Local, or Other (Specify)*

**Number of Lanes:**

*Existing: # lanes mixed flow or HOV*

*Proposed: # lanes mixed flow or HOV*

**Proposed Major Features:**

*Interchanges: List each street having an interchange*

*Other: Such as HOV interchanges, frontage roads, city street widening or shoulder widening that is affecting parcel*

**Traffic:**

*Existing (year): ADT*

*Proposed (year): ADT*

## PARCEL DATA

**Property Owner:**

*Name of owner(s)*

**Parcel Location:**

*For example: at corner of _____ and _____, west of freeway (include address)*

**Present Use:**

*Residence, what business or industry, how many tenants. If recent include zoning*

**Area of Property:**

*Total area of larger parcel in acres or square feet*

**Area Required:**

*List each sub-parcel number, the corresponding area of acquisition, type of acquisition (fee, easement, etc.) in acres or square feet*
Appendixes
Project Development Forms and Letters plus Policy and Procedures Documents

Dist.-Co.-Rte.
EA
Property Owner's Name

Appearance Information Sheet

Note: Standard wording is typed in regular typeface. Optional wording or guidance is typed in italics.

Under the eminent domain law, a property owner whose property is to be considered for a Resolution of Necessity has the right to appear before the California Transportation Commission (CTC) to question whether:

• The public interest and necessity require the proposed project.
• The proposed project is planned or located in the manner that will be most compatible with the greatest public good and the least private injury.
• The property sought to be condemned is necessary for the proposed project.

The CTC has no jurisdiction to set compensation or deal with issues other than those specifically listed above.

The CTC should expect an appearance at its ___ (suggested CTC meeting date) ___ meeting by ___ (owner or representative) ___ opposing the proposed acquisition of ___ (briefly describe extent and type of acquisition) ___. (Briefly state the project for which the acquisition is needed and the relationship of the needed property to the overall area in acres or square feet of the ownership.) The full amount of the approved appraisal has been offered to ___ (owner) ___.

PARCEL DESCRIPTION

Describe any pertinent features of the parcel -- how used, area in square feet and acres, topography, buildings, access, etc.

Give the status of other parcels required for the project: total parcels needed; number of parcels acquired; number of parcels under order for possession; and number of other owners expected to request appearance before the CTC.

PROPERTY OWNER'S CONCERNS

Provide a listing of the owner's primary concerns: compensation; design features; timing of the acquisition; lack of replacement housing; etc.

Quote or paraphrase the property owner's objections to the project.

Give a description of any design or right of way modifications suggested by the owner.
DISTRICT'S RESPONSE

Include the District's response to each concern or objection and the District's opinion on the feasibility of the owner's suggestions and the basis for the District opinion (why they are or are not feasible).

NEED FOR PROJECT

Give the reasons why the overall project is necessary -- including, as appropriate, a description of the existing highway, current and design year traffic volumes, accident data and statewide rates, other warrants, etc. Discuss the project's priority in relation to other projects in the District or Region.

PROJECT PLANNING AND LOCATION

Describe the proposed project. Include historical background as appropriate. Give dates of project report and environmental document approval, current construction cost, STIP or SHOPP programming, source of funding, R/W Certification date, RTL date and tentative advertising date.

Give the reasons for the specific project location and/or design. Discuss alternatives that were considered and the reasons for their rejection.

Describe other alternatives to the proposed acquisition that have been considered by the District (e.g., modified access control, construction obligations to offset concerns, a lesser project, etc.).

NEED FOR SUBJECT PROPERTY

Discuss the need for acquiring the individual parcel -- could it be avoided? Discuss whether or not the project's impact on the owner's property could be lessened by reducing or modifying the planned right-of-way acquisition. What would be the effects of avoiding the parcel on costs and on impacts to other properties and facilities?

Include other pertinent factors.

DISCUSSION

This section should discuss other issues raised by the property owner or contain more detailed elaboration of the issues of project need, location, and design where challenged by the property owner.

Give the District's opinion of the potential for settling the parcel prior to the CTC meeting.

Provide an assessment of the willingness/availability of the owner to meet with the District (due to business, employment, or other reasons).

DISTRICT CONTACT LIST

Identify the appropriate contact person(s) in District right of way and design functions who can provide additional detailed information on the project (i.e., right of way agent, project manager,
Appendixes
Project Development Forms and Letters plus Policy and Procedures Documents

etc.), including mailing information and phone numbers. If the district elects to identify a project point person as a single point of contact, please include here.

DISTRICT’S REQUEST FOR CONDEMNATION PANEL REVIEW MEETING

I have personally reviewed the attached documents and have actively participated in the development of the District’s position that requires the proposed property acquisition. I agree with the project and parcel needs as described and attest to the accuracy of the information enclosed. I recommend that the District Director summon the Condemnation Panel to begin review of this project.

Deputy District Director, Right of Way

Deputy District Director, Design

I have personally reviewed the attached documents and have actively participated in the development of the District’s position that requires the proposed property acquisition. I agree with the project and parcel needs as described and attest to the accuracy of the information enclosed.

By way of this AIS, I summon the Condemnation Panel to begin review of this project in pursuit of a Resolution of Necessity action through the CTC.

DISTRICT DIRECTOR

(District Director or a Deputy District Director from the District/Region) will be the district’s representative to attend the CTC meeting where the RON action will be presented. It is understood that this representative will conduct the District’s presentation before the CTC and must be able to address project history and local issues if raised by the Commissioners or the property owner. This representative will also conduct the District’s draft presentation at the Headquarters RON Dry Run.
### ATTACHMENTS:

<table>
<thead>
<tr>
<th>ATTACHMENT</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Map</td>
<td>Furnish a clear print of the project title sheet. The location of the subject parcel is to be indicated on the print.</td>
</tr>
<tr>
<td>Parcel Map</td>
<td>Furnish a clear print showing relationship of the property needed to the total parcel and overall right of way requirements. Important topographic features should be shown, including planimetrics.</td>
</tr>
<tr>
<td>Plan Sheets</td>
<td>Furnish clear prints of plan sheets on 500:1 scale with geometric designs as necessary to illustrate issues.</td>
</tr>
<tr>
<td>Chronology</td>
<td>A chronology of official contacts or attempted contacts with the property owner (or representative) involving acquisition and formal offers must be included with this AIS. Include also major project events accomplished and scheduled, including: public hearing date, environmental document approval date, R/W Certification date, RTL date, advertising date, contract award date, and project completion date.</td>
</tr>
<tr>
<td>Project Report</td>
<td>Furnish a copy of the approved Project Report or appropriate scoping document along with any supplemental documents to support the current project purpose and need. Include all project report attachments identified in Appendix K of this manual (especially the environmental document and the right of way data sheet).</td>
</tr>
</tbody>
</table>

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Displays for CTC meetings will be developed by the Districts from modified or enlarged project and parcel maps obtained from CADD files, or may be special combinations thereof to best illustrate the issues involved. Contact the Chief, Office of Resolutions of Necessity, DOD for consultation.
# APPENDIX LL - Utilities

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Policy on High and Low Risk Underground Facilities Within Highway Rights of Way

– January 1997 –
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SECTION 1 - General Policy

1-1 Policy Statement

The Department is responsible to provide a safe environment for the employees of both Caltrans and its contractors, as well as the traveling public. An important element of the safe environment is to provide a clear and safe right of way through the proper placement, protection, relocation, abandonment or removal of utility facilities that may pose a safety risk to the highway worker or user when the utility is excavated, cut or penetrated. Toward this end, Caltrans must establish and enforce mandatory standards and procedures for the placement and protection of underground utility facilities within highway rights of way and for the safe conduct of highway workers involved in maintenance or construction operations carried out in proximity to underground utility facilities.

This policy is applicable to the design phase of a project. For the construction phase, the contractor must follow applicable statutes, which require that all utilities be located and marked out on the ground by a regional notification center prior to any excavation. (Chapter 3.5 of Division 5 of the Government Code.)

1-2 Effective Date

This policy supersedes all previous instructions and policies concerning High and Low Risk underground facilities and is effective upon issuance.

1-3 General Responsibility

The District Utility Coordinator is responsible to coordinate the requirements of this policy with all underground facility owners, and must work with the Project Engineer in accomplishing the coordination.

The District Permit Engineer is responsible for enforcing the terms and conditions set forth in Section 8 of this policy.

The Project Engineer is responsible for the administration of the policy requirements specified herein, and must certify to the Office Engineer that the High and Low Risk policy has been met whenever submitting Plans, Specifications and Estimate for project advertisement. The Office Engineer will not list a project for advertisement until the project has been certified as meeting the High and Low Risk policy.

The District must work closely with any affected utility owners. A pre-design meeting must be held with the affected utility owners to discuss available alternatives to resolving any conflicts. It is important that the utility owners be consulted during project design and concerning any alternative selection that involves their utilities. Also, final design plans must be made available to the appropriate utility owners prior to advertisement of
the project, and a pre-construction meeting should be held with the affected utility owners.

1-4 Deviation from Policy

Any deviation from the requirements contained in this policy must be submitted by the Project Engineer to the Program Manager, Design and Local Programs Program (DLPP), for approval.

1-5 Change in Policy

All requests for change to requirements contained in this policy must be submitted to the DLPP Manager, Attention: High/Low Risk Exception.

SECTION 2 - Definitions

2-1 High Risk Facilities

Facilities conducting the following materials, whether encased or not, are considered to be High Risk facilities:

1. Petroleum products,
2. Oxygen,
3. Chlorine,
4. Toxic or flammable gases,
5. Natural gas in pipelines greater than 150 mm (6 inches) nominal pipe diameter, or pipelines with normal operating pressures greater than 415 kPa gauge (60 p.s.i.g.),
6. Underground electric supply lines, conductors or cables that have a potential to ground of more than 300 volts, either directly buried or in duct or conduit, which do not have concentric grounded or other effectively grounded metal shields or sheaths.

2-2 Low Risk Facilities

Facilities conducting the following materials are considered to be Low Risk facilities:

1. Natural gas in pipelines 150 mm (6 inches) or smaller (nominal pipe diameter) with normal operating pressures of 415 kPa gauge (60 p.s.i.g.) or less.
2. Underground electric supply lines, conductors or cables with a potential to
ground of more than 300 volts, either directly buried or in duct or conduit,
which do have concentric grounded or other effectively grounded metal
shields or sheaths, and for which the utility owner furnished location
information in conformance with the requirements of Article 17.7, "Location
Information" of General Order No. 128 of the California Public Utility
Commission, or electrical underground conductors with a potential to ground
of 300 volts or less.

2-3 Exempt Facilities

The following facilities are exempt from the requirements of this policy:

1. Natural gas service lines of 50 mm (2 inches) or less nominal pipe diameter
   and with normal operating pressures of 415 kPa gauge (60 p.s.i.g.) or less.

2. Underground electrical service conductors with a potential to ground of 300
   volts or less.

3. Any electrical facility with a potential to ground of 50 volts or less.

4. State-owned electrical facilities operating at 300 volts or less potential to
   ground.

2-4 Other Definitions

Access Control: Full or partial restriction of the access of owners or occupants of
abutting land to or from a highway.

Approximate Location: The "approximate location of subsurface installations" is defined
in Section 4216 of the Government Code as a strip of land not
more than 600 mm (24 inches) on either side of the exterior
surface of the subsurface installation.

Cable: An insulated conductor, or combination of insulated conductors,
enclosed in a sheath.

Conductor: A wire, or combination of wires not insulated from one another,
suitable for carrying electric current.

Conduit: A pipe or tube in which smaller pipes, tubes, or electrical
conductors are inserted.
<p>| <strong>Construction Area</strong> | Specifically identified work areas within a construction project in which all construction activities will take place. It is normally coincident with the overall project limits except where specifically set forth in the Project Plans. |
| <strong>Department</strong> | The Department of Transportation of the State of California, as created by law. |
| <strong>District</strong> | One of the twelve California Department of Transportation Districts, or in the case of a district that is tailored under a regional district for capital outlay support, the district having the delegated authority for performing the subject function. |
| <strong>Duct</strong> | A fabricated tube for receiving and containing conductors and cables. |
| <strong>Electric Lines</strong> | Underground conductors or cables with the conduit in which they are contained. |
| <strong>Electronic Detector</strong> | A device designed to detect underground utility facilities via electronic signals with sufficient accuracy to determine horizontal and vertical location. |
| <strong>Encasement</strong> | A sleeve or jacket. |
| <strong>Encroachment</strong> | A non-highway structure or object of any kind or character that is placed in, under, or over any portion of a highway. |
| <strong>Excavation</strong> | Any operation in which earth, rock, or other material in the ground is moved, removed, or otherwise displaced by means of tools, equipment, or explosives in any of the following ways: grading, trenching, digging, ditching, drilling, auguring, tunneling, scraping, cable or pipe plowing and driving, or any other way. |
| <strong>Finished Grade</strong> | Finished grade is the finished surface of the completed highway. |
| <strong>Grading Plane</strong> | The basement material surface upon which the lowest layer of sub-base, base, pavement, surfacing, or other specified layer, is placed, or the upper surface of the ground or earthwork in the absence of base, pavement, surfacing or other specified layer. |
| <strong>Highway</strong> | The entire width of the right of way of a highway, whether or not such entire area is used for highway purposes. |</p>
<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Jacket</strong></td>
<td>An encasement of reinforced concrete poured around a pipeline or conduit.</td>
</tr>
<tr>
<td><strong>kPa</strong></td>
<td>KiloPascals gauge pressure. (Metric version of Pounds per Square Inch)</td>
</tr>
<tr>
<td><strong>Local Agency</strong></td>
<td>A city, county or other local public agency.</td>
</tr>
<tr>
<td><strong>Local Assistance Projects</strong></td>
<td>Local agency projects on local streets and roads involving either Federal-aid or State highway funds.</td>
</tr>
<tr>
<td><strong>Longitudinal</strong></td>
<td>A facility located parallel to and within highway right of way.</td>
</tr>
<tr>
<td><strong>Median</strong></td>
<td>That portion of a divided highway separating the traveled ways for traffic in opposite directions including inside shoulders.</td>
</tr>
<tr>
<td><strong>Owner</strong></td>
<td>The owner of the underground facility or its authorized agent.</td>
</tr>
<tr>
<td><strong>Pipeline</strong></td>
<td>A pipe used to transport liquids or gases.</td>
</tr>
<tr>
<td><strong>Positive Location Determination</strong></td>
<td>Determining the existence and location of a utility to within 150mm (0.5 foot) using any of the means listed in Section 4, or any combination of those means.</td>
</tr>
<tr>
<td><strong>Pothole</strong></td>
<td>An excavation to expose an underground facility.</td>
</tr>
<tr>
<td><strong>Probes</strong></td>
<td>Rods physically inserted in the ground to mechanically or electronically locate an underground facility without exposing the facility.</td>
</tr>
<tr>
<td><strong>Project Limits</strong></td>
<td>The entire right of way width lying within the project termini.</td>
</tr>
<tr>
<td><strong>P.S.I.G.</strong></td>
<td>Pounds per square inch gauge pressure. (Now to be stated in terms of kiloPascals.)</td>
</tr>
<tr>
<td><strong>Relocations</strong></td>
<td>The removal, rearrangement, reinstallation, or adjustment of a utility facility required by a transportation improvement project.</td>
</tr>
<tr>
<td><strong>Right of Way</strong></td>
<td>A general term for a strip of land, or rights in a strip of land, used for highway, public utility services, or other purposes. The right of way of a freeway includes any adjacent frontage road until such time as the frontage road is relinquished. Thereafter, the right of way line of the freeway is usually the access control line between the freeway and the frontage road.</td>
</tr>
</tbody>
</table>
Roadbed  That portion of the roadway extending from curb line to curb line or shoulder line to shoulder line. A divided highway is considered as including two separate roadbeds.

Roadway  That portion of the highway included between the outside lines of the sidewalks, or curbs, slopes, ditches, channels, waterways, and including all the appertaining structures, and other features necessary for proper drainage and protection.

Service  The portion of the electrical or gas system that connects a customer, usually at the meter location, to the utility distribution or supply system.

Shoulders  The portion of the roadway contiguous with the traveled way for accommodation of stopped vehicles, for emergency use, and for lateral support of base and surface courses.

Sleeve  A pipe in which a pipeline or conduit is inserted.

Special Funded Projects  Those projects on the State Highway System that are locally sponsored through the use of local and/or private funds.

Special Provisions  The special provisions are specific clauses setting forth conditions or requirements peculiar to the work and supplementary to the Department's Standard Specifications.

Transverse  A facility passing from one side of the highway right of way to the other side of the highway right of way.

SECTION 3 - Clearance Requirements for Construction Projects

3-1 Existing Facilities On New Projects

Existing underground High and Low Risk facilities within the planned construction area must meet the following minimum clearances, or they must be protected in place or relocated in accordance with this policy:
High Risk Facilities

1. 450 mm (18 inches) below the grading plane.

2. 300 mm (12 inches) below disturbed ground, and in areas of unsuitable material.

3. 300 mm (12 inches) below the grading plane of drainage structures.

4. 450 mm (18 inches) below flow line of unlined ditches.

5. 600 mm (24 inches) horizontally from face of pile or from side of excavation.

The above clearances are minimum safety margins for safe operation of equipment in proximity to High Risk facilities. The Project Engineer should verify their adequacy with the utility owners whenever heavy traffic loading is anticipated. When planned clearances are less than the above, the Project Engineer and district Utility Coordinator should work with the utility to determine methods to protect the facility or to have it relocated.

Low Risk Facilities

Existing Low Risk facilities must clear proposed construction as determined by the Project Engineer, including determination of loading factors.

3-2 New and Relocated Facilities

New or relocated High or Low Risk facilities within proposed new projects must meet the standards of Section 8.

3-3 Existing Facilities Not in Conflict With New Projects

High and Low Risk facilities installed within conventional highway rights of way and facilities transversely installed in freeway rights of way prior to this policy and not in conflict with proposed construction may remain in place during their useful life.

High and Low Risk facilities longitudinally installed within freeway or expressway rights of way prior to this policy and not in conflict with proposed construction should be reviewed in context with current encroachment policy to determine if they should be relocated outside the controlled access right of way. If this review determines that the utilities can remain inside the rights of way, and is concurred in by the Design and Local Programs Program Manager, then they may remain in place during their useful life.
SECTION 4 - Locating High and Low Risk Facilities

4-1 Positive Location Requirements

Except as noted in Section 4-3, all High Risk facilities within the construction area must be positively located to within 150 mm (0.5 foot) for both horizontal and vertical location. The requirements shown below are minimums and additional determinations should be made if there is any question or doubt as to location.

Transverse Facilities

Location determinations for transverse facilities must be done:

1. On each side of an undivided highway

2. On each side and in the median of a divided highway. In the event that the utility or casing was originally placed by boring or jacking and is considered sufficiently rigid to have maintained direction throughout the installation, the location need not be determined in the median. For median determinations, Caltrans maintenance should be requested to furnish appropriate traffic control.

In no event should there be a spacing greater than 30 m (100 feet) between location determinations.

Longitudinal Facilities

Location determinations for longitudinal facilities must be done at intervals sufficient to establish the location of the line, but in no event greater than 30 m (100-foot) intervals as, defined in Section 4-2 below.

4-2 Methods of Positive Location

Positive location of all High or Low Risk facilities must be accomplished by potholing or other acceptable methods. Combinations of methods may be more effective than a single method. The Project Engineer is responsible for determining the methods of specifically identifying the facility and of locating the horizontal and vertical position. These determinations should be made after obtaining input from the utility owners and the District Utility Coordinator.

Pothole

Location by digging, or "potholing," to expose the facility is the preferred method to specifically identify the facility and to determine the precise horizontal and vertical position.
NOTE: Machine excavation to expose the high risk facility in order to physically locate it must be done by, or at the authorization of, the owner. Due to the potential State liability resulting from machine excavation around a High Risk facility, Caltrans employees should neither pothole the facility nor authorize others to pothole it, except by hand excavation and after obtaining written authorization of the owner.

**Probe**

Locating facilities by probing is an acceptable method of determining the horizontal and vertical position of a facility. The owner may probe the facility at the required intervals with the addition of one or more potholes to ensure positive identification of the facility. The **Project Engineer** must determine the number and location of potholes and probes, after obtaining input from the utility owners and the District Utility Coordinator.

**Electronic Detection**

Electronic detection for determining the horizontal and vertical location is acceptable when used in conjunction with potholing to ensure proper facility identification and to verify accuracy of electronic readings. Electronic detection is particularly effective for determining that the utility is outside the construction area or well below a prescribed depth. The **Project Engineer** is responsible for determining the number and frequency of the supplemental potholing and/or probing requirements, after obtaining input from the utility owners and the District Utility Coordinator.

**As-Builts**

Utility facility "As-Builts" may be accepted only when signed by a responsible utility owner representative certifying as to the acceptable location accuracy of the installed facility, and verified by potholing or other positive locating methods at critical locations determined by the Project Engineer.

**Other Acceptable Methods**

Other methods that will provide positive location of facilities may be used by the owner upon verification of the accuracy of the proposed method and approval of the **Project Engineer**. Such other methods should stand the tests of common sense, field measurements and good judgment.

**4-3 Exceptions to Positive Location**

**Facilities Outside Planned Excavation**

For High Risk facilities lying outside the identified construction area but within the project limits, and for all Low Risk facilities within the project limits, the approximate horizontal location must be determined within 600 mm (2 feet) of either side of the outside dimensions of the facility (required by Section 4216 of the Government Code).
High Risk facilities that have been determined by the owner to be more than 1.1 m (42 inches) below the lowest planned work, or more than 1.2 m (4 feet) horizontally from the side of the planned excavation, are considered to be outside of the construction area and do not require plotting of the facility elevation on the plans. The method and required accuracy to be used in locating the facility will depend on its proximity to the construction area.

Facilities that are at depths greater than 1.1 m (42 inches) below planned work must be horizontally plotted with a notation that "DEPTH EXCEEDS 1.1 m (42 INCHES) BELOW PLANNED WORK." The horizontal location of all High Risk and Low Risk facilities within the project limits must be plotted on the plans.

Where High and Low Risk utilities exist within the project limits but outside areas of planned excavation, the Obstructions Section of the project Special Provisions must call out such utilities by type, owner and location, and must caution the contractor that "no excavation may be made within 1.2m (4 feet) of these utilities unless and until such utilities have been positively located as to horizontal and vertical position".

**Special Projects**

For the following types of projects, the vertical location of the facilities need not be included in the contract plans. Positive location will be performed during construction via the utility owner markout as required by Government Code Section 4215 et seq., and not prior to the PS&E. The basis for this exception is that any conflicts identified during the positive location activity may be resolved by adjusting the location of the proposed highway facility to miss the identified High Risk facility. The District Utility Coordinator must make the necessary arrangements to have the owner locate the facilities in conjunction with the contractor's operation and in accordance with the aforementioned Sections of the Government Code. The coordination for this work must be covered by special clauses in the Special Provisions for the contract. The special projects are:

1. Street lighting, traffic signal and ramp metering installations and similar projects where the boring, trenching or jacking operations are being made for electrical conduit runs only.

   Note: If the project includes foundations for street lights, traffic signals or ramp meters, then it is not considered a special project -- it only qualifies as a special project if the only excavation is for the conduit runs.

2. Highway planting projects where the excavations are being made for plants and/or irrigation lines and appurtenances only.

3. Type 1 edge drain as shown on RSP-D981D1 when the maximum depth does not exceed 375 mm (15 inches).
Temporary Construction Signs

Construction signs, when shown on the plans, will be cleared in the same manner as for any other construction feature requiring excavation. (Typical post hole depth is 1.7 m (5 1/2 feet).)

If the exact sign locations are not shown on the plans, post holes must be dug by hand except where potential conflicts can be eliminated by:

1. An appropriate Regional Notification Center has been contacted and they indicate there are no utility facilities in the area of the proposed post hole.

2. The Regional Notification Center has identified underground facilities but post holes can be dug in another acceptable location that has also been cleared; and it is mutually agreeable with the operator and the excavator.

NOTE: Standard Special Provision No. 12.00 must be included in all projects that include temporary construction signs.

4-4 Exempt Projects

This policy does not apply to those projects where planned excavation is pavement removal only, is 150 mm (six inches) or less below existing ground level, or 300 mm (one foot) or less below existing road surface when trenching beneath existing pavement. Plans for such exempt projects must include a note on all plan sheets that states that "EXISTING UTILITY FACILITIES HAVE NOT BEEN PLOTTED ON THESE PLANS".

4-5 Allowable Omissions

If the Project Engineer wishes to omit utility facility plotting on plans, for portions of a project where planned excavation does not exceed 150 mm (0.5 foot), the following are required:

1. A note must be included on the plan sheets stating that "EXISTING UTILITY FACILITIES HAVE NOT BEEN PLOTTED ON PORTIONS OF THESE PLANS".

2. The plans must clearly show with bold labels those parts of the plans on which utility facilities have been omitted.

4-6 Authority To Approve Exceptions

The Project Engineer is responsible for determining that the positive location requirements have been met, or that exception requirements for positive location, exempt projects, and allowable omissions have been complied with, and that the appropriate special provisions are used on a project. Approval must be obtained from the Design and Local Programs Program Manager for any deviation not meeting these exception requirements.
SECTION 5 - Alternatives to Relocation

5-1 Exposing During Construction

When approved by the Design and Local Programs Program (DLPP) Manager, High Risk facilities may be permitted to remain in limited critical areas, provided the owner agrees to fully expose the facility prior to work being done in close proximity. This determination must be made by the Project Engineer after consultation with the owner, but the determination must be made by the Project Engineer and not by the owner. These conditions must be fully explained in the contract Special Provisions.

5-2 Protection During Construction

When approved by the DLPP Manager, the Project Engineer has the option of protecting rather than relocating high risk facilities. The Project Engineer should discuss this option with the utility owner and the District Utility Coordinator prior to making the decision.

5-3 Special Contract Provisions

Facilities that can be adjusted during construction must be covered by special clauses in the Special Provisions that provide for the necessary coordination between the owner and the highway contractor. Approval by the DLPP Manager must be obtained whenever the clearance requirements of Section 3-1 or the exceptions of Section 4-3 are not met.

SECTION 6 - Responsibilities

6-1 Preparation of Plans

The preparation of contract plans and the delineation of underground facility information thereon will be the responsibility of the Unit (Design, Traffic, etc.) preparing the plans, specifications and estimates. See Chapter 4 of the Drafting and Plans Manual for preparation of the Utility Plan.

High Risk Facilities

Horizontal and vertical positions as required by Section 4 must be shown on or included in the contract plans.
Low Risk Facilities

Horizontal alignment must be shown on or included in the contract plans. Elevations may be included, but are not required.

6-2 Surveying

It is Caltrans' responsibility to tie utilities to the State's datum. The district's Survey Branch should establish the alignment and elevation of High Risk facilities, that are within the construction area, on the State's datum. This information is to be furnished for inclusion on the contract plans.

6-3 Decisions to Relocate, Adjust, or Protect

The decision to relocate, adjust or protect High Risk facilities must be made by the Project Engineer after consultation with the owner and the District Utility Coordinator. The method of protection is subject to approval as a deviation by the Design and Local Programs Program Manager.

6-4 Contractor Notification Requirement

Whenever underground facilities (including High and Low Risk facilities) are located within the limits of a project, Standard Special Provision No. 8.02 must be inserted in the Special Provisions (without deletion modifications) to require the contractor to notify the Resident Engineer and the Regional Notification Center when any excavation is to be performed.

The Project Engineer has the responsibility for including this requirement in the Special Provisions.

6-5 Certifying Policy Compliance

The Project Engineer must certify that the facilities conform to the requirements of this policy, prior to listing of the project for advertisement. See Section 10 for guidelines and a sample format for the "Project Engineer's Certification of Utility Facilities".

6-6 Retention of Records

The records of locations of existing, relocated or new installations under permits must be retained so the information may be recalled. The type of records maintained will be at the discretion of the district. Maintenance of records must be determined by the district, providing that any procedure adopted will allow for ready retrieval and permanent retention.
SECTION 7 - Right of Way Procedures

7-1 Identification

Facility identification, including categorization as High or Low Risk facilities, is a part of the preliminary phase of project development.

7-2 Notices

Owners of High Risk utility facilities are issued a "Notice To Owner" to positively locate their facilities by potholing, probing, or other acceptable method.

7-3 Financial Liability

Determination of the State's financial liability for work performed by an owner to comply with this policy will be made by Right of Way in accordance with applicable statutes and policies.

7-4 Expenditure Authorizations

The State's cost of work resulting from potholing and/or locating facilities as determined by Right of Way should be charged to a Phase 1 Expenditure Authorization (may be charged to Phase 0 on an exception basis with prior approval of the Right of Way Program).

Any required adjustment of facilities ordered by the State at State's liability should be charged to a Phase 9 or Phase 4 Expenditure Authorization, as appropriate.

SECTION 8 - New Installations Under Encroachment Permit

8-1 Installation Standards

The new installation of High and Low Risk facilities within existing or ultimate State Highway rights of way must be not less than 1.1 m (42 inches) below existing ground level. New installations in proposed projects must meet the following minimum clearances along the location of the utility facility:

1. 1.1 m (42 inches) below finished grade or 450 mm (18 inches) below grading plane of a currently planned project, whichever is greater.
2. 300 mm (12 inches) below existing or future drainage structures, but not less than in "1" above.

3. 750 mm (30 inches) below flow line of unlined ditches.

4. 600 mm (24 inches) horizontally from face of pile or side of excavation for a currently planned project.

5. 900mm (36 inches) below concrete sidewalks, where future street widening in the sidewalk area is not contemplated. This minimum may be reduced at the discretion of the utility owner, with the permission of the Permit or Project Engineer.

NOTE: All highway related facilities, such as signal and lighting conduits, that meet the definition of High and Low Risk facilities must meet these standards.

New installations within streets or frontage roads to be turned over to a local agency may be installed at lesser depths, as allowed by Public Utility Commission General Orders or normal procedures.

8-2 Permit Application

For installation of High and Low Risk facilities, the owner must furnish a plan showing location and construction details with their application. Such plans are normally delivered to the Permit Engineer, then reviewed by the District Utility Coordinator, Design and other district functions.

8-3 Location Data

Locations must be tied to points that are compatible with the State's datum for the area. If no datum exists, permanent reference points must be set so that the High and Low Risk facilities can be accurately located. This should be worked out with the utility owner, and if necessary may be performed by the District's Survey Unit.

8-4 Financial Liability

The costs of conforming to the requirements of Section 8-1 through 8-4 should be borne by the facility owner.

8-5 Retention of Records

Records of High and Low Risk facilities installed under permit must be retained so the information may be recalled. The type of records maintained will be at the discretion of the district. Maintenance of records must be determined by the district, providing that any procedure adopted will allow for ready retrieval and permanent retention.
SECTION 9 - Local Agency Projects

9-1 General

All Local Agency projects designed or administered by the State and all Special Funded State Highway projects must conform to the requirements of Section 1 through 6, inclusive.

For the purposes of this section, the term "Project Engineer" as used in this policy is the responsible engineer of the local agency.

A State administered project is any project that is advertised by the State, where the State opens bids and awards the contract and where the State pays the contractor directly.

9-2 Certifying Policy Compliance

On State administered local projects, or any Local Agency prepared project on the State Highway System (Special Funded), the local agency must certify to the State that the High Risk facilities conform to the requirements of this policy.

On Federally aided Local Streets and Roads projects, the State, as a part of its certification, must certify that the agency has been made aware of this policy.

9-3 Financial Liability

Reimbursement of utility owners for work associated with positively locating and/or relocating facilities for local street and road projects should be in accordance with local agency's normal procedures. Reimbursement for these costs on State projects must follow Caltrans procedures.

The cost of surveying and mapping of high risk facilities should be borne by the local agency in the same manner as its other plan preparation costs.

SECTION 10 - Project Engineer’s Certification

10-1 Guidelines

Any project that involves High or Low Risk utilities will not be advertised by the Office Engineer until there is a "Project Engineer's Certification of Utility Facilities" in the
PS&E file. On the Certification, each High and Low Risk utility is to be listed, and its description and disposition must include:

1. Horizontal and vertical location in relation to the work area (accuracy, as appropriate)

2. Size and type of material transmitted

3. Pressure or voltage of High and Low Risk facilities

4. Disposition of facility:
   - Remain in place
   - Relocated
   - Expose prior to construction
   - Expose during construction
   - Protect during construction
   - Etc.

10-2 Certification & Sample Form

The "Project Engineer's Certification of Utility Facilities" is a mandatory attachment to the PS&E submittal. A sample form is provided on the following page.
Appendixes
Project Development Forms and Letters plus Policy and Procedures Documents

Project Engineer's Certification
Of Utility Facilities

[Dist-Co-Rte-KP(PM)]

Within Construction Area?

Yes* No

--- REQUIRED INFORMATION ---
High Risk Facilities (list, describe with location, and disposition):

Low Risk Facilities (list, describe with location, and disposition):

*(All High and Low Risk Utilities within the construction area must be positively identified.)

--- OPTIONAL INFORMATION ---
Other Utility Facilities (list, describe w/location, and disposition):

I hereby certify that the above listed facilities are located within the project limits and that this project conforms to the Policy on High and Low Risk Underground Facilities:

__________________________________ (PROJECT ENGINEER) ___________________________ (DATE) ___________________________ (ENGINEER'S SEAL)
ATTENTION! The line by line instructions in this appendix for the Record of FHWA Involvement form are outdated. Until this appendix is updated, please use the current form located at:

http://www.dot.ca.gov/hq/oppd/stewardship/Record-of-FHWA-Involvement-10-13-09.doc

APPENDIX NN – Record of FHWA Involvement Form

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APPENDIX NN – Record of FHWA Involvement Form

Article 1 – Introduction

The purpose of this form is to help the Project Engineer (PE) identify the documents needed to get the E76 for a project and the role of FHWA in the engineering aspects of a project. FHWA is also interested in right of way and environmental matters among others in a project. Please refer to the guidance manual for that function for additional guidance regarding FHWA’s involvement in a project.

Article 2 – Roles, Responsibilities & Process

As stated in Chapter 2, Section 7, of this manual the PE is to contact FHWA in the PID phase to establish early contact and to contact FHWA as the project progresses through the project development process. Project characteristics such as cost, type of funding, type of work, the role of non-Caltrans personnel in developing the project, and the use of proprietary materials affect the level of FHWA involvement in a project. Therefore a project should be evaluated more than once to confirm FHWA’s level of review or involvement. The purpose of this form is to document that an evaluation occurred, who did the evaluating, and what was the outcome.

For this tool to be effective, the PE must consult with the FHWA Field Ops Engineer (FO Engineer) at the beginning of each project phase at a minimum, but ideally whenever there is a change in the characteristics described in Chapter 2 Section 7. The consultation with FHWA can be by e-mail, phone or in-person. Both the PE and the FHWA FO Engineer should sign and date the form. This provides continuity in direction should project personnel change. The form then becomes a reminder telling the PE which documents, as they are completed, must be sent to FHWA.

For projects where Caltrans is not the Implementing Agency, the form is completed by the Implementing Agency’s PE, the Independent Quality Analysis engineer, and the FHWA FO Engineer. On the form any task described as done by Caltrans must be done by the Implementing Agency project personnel.

The PE provides a copy of the completed form each time it is modified to the FHWA Field Operations Engineer for his or her records.

The PE uses the information in Chapter 2, Section 7, of this manual to complete the form and sends it with a brief description and a map of the project to the Field Operations Engineer for his review and concurrence. The FHWA Field Operations Engineer identifies which project documents are needed for review based on the project characteristics as described by the PE. If the FHWA FO Engineer and the PE’s analysis of the level of oversight are different the PE must work with the FO Engineer to obtain consensus. The FHWA FO Engineer will declare the project to be
either full-oversight or state-authorized by marking the box in the upper right corner of the form. With the FHWA FO Engineer’s signature he has determined what information is needed under the Stewardship Agreement, and identified any exceptions to the Stewardship Agreement and other approvals that have been withheld on a case-by-case basis.

Once the PE and FHWA personnel have finalized the form a copy of it must always be kept in the project files and sent to FHWA. In addition this form must become part of the RE’s files and the project history files.

Unless otherwise indicated below the PE will send all requested documents. PID & PR documents are sent to the PD&E Liaison and PS&E documents are sent to the Field Operations Engineer. Submittals can be in computerized forms.

**Article 3 – Line-by-line Instructions for Record of Involvement**

The form is an excel spreadsheet. The form can be downloaded from the following link:

http://www.dot.ca.gov/hq/oppd/stewardship/Record-of-FHWA-Involvement-10-13-09.doc

Reason for meeting: this field is important for post-PID versions of the form as it will explain why the form is being revised.

Project Engineer; the engineer who has responsible charge for the project.

Design Senior Engineer/IQA Engineer: on projects where the Department is not the implementing agency this engineer participates in the development of and signs the form if the PE is someone other than a Caltrans employee. This engineer must be the one who is performing independent quality assurance of the design products (PID, PR or PS&E).

**Project Initiation Document phase:**

Line 1- reinforces that first discussion of the project with FHWA occurs during the PID phase.

Line 2- a traffic study memo of exception is not needed if project’s design-life conforms to policy.

Line 3- this is 1st phase of FHWA’s 2-part approval of change to access points. In keeping with their task manager role, the Design Senior Engineer or the Design IQA Engineer signs the memorandum to FHWA requesting the acceptability finding.

Line 4- See Chapter 19 for criteria on when VA studies must be done.
Line 5- this line applies to design exceptions developed during the PID phase.

Line 6- this line applies to design exceptions developed during the PID phase.

Line 7- these are for information only and should be sent to the PD&E Liaison.

Line 8- review all pilot or demonstration projects with FHWA FO Engineer.

Line 9- this form is completed by Caltrans maintenance staff before the PE gets an emergency contract to prepare. It is listed for information purposes.

**Project Report & Environmental Document phase:**

Line 10- reconfirming needed to recognize any changes to funding, project scope or project limits.

Line 11- this line applies to design exceptions developed during the Project Report phase.

Line 12- this line applies to design exceptions developed during the Project Report phase.

Line 13- this is listed for information purposes only as it is the responsibility of the project’s Environmental Generalist. The PE should record on the form when this was completed.

Line 14- this is listed for information purposes only as the policy had not been fully implemented as yet. The PE should record on the form when this was completed.

Line 15- this is listed for information purposes only as it is the responsibility of the project’s Project Manager.

Line 16- this is listed for information purposes only as it is the responsibility of the project’s Project Manager.

Line 17- See Chapter 19 for criteria on when VA studies must be done.

Line 18- FHWA expects written correspondence for each item listed.

Line 19- this is 2nd phase of FHWA’s 2-part approval of change to access points. This will be a formal letter and not an e-mail.

Line 20- this is listed for information purposes only as it is the responsibility of the project’s Environmental Generalist. The PE should record on the form
when this was completed. When NEPA approval is delegated submittal will be for information only.

Line 21- this should be sent to the PD&E Liaison for their information.

Line 22- this should be sent to the PD&E Liaison for their information.

**Plans Specifications & Estimate phase:**

Line 23- reconfirming needed to recognize any changes to funding, project scope or project limits.

Line 24- this line applies to design exceptions developed during the PS&E phase.

Line 25- this line applies to design exceptions developed during the PS&E phase.

Line 26- this is listed for information purposes only as the policy had not been fully implemented as yet.

Line 27- no clarifying information needed

Line 28- no clarifying information needed. The purpose of this item is to verify Line 18.

Line 29- PE submits.

Line 30- PE submits.

Line 31- Date of FHWA PS&E Approval Transmittal (see RTL guide). Download the form and send separately if sending most documents via e-mail or on CD. FHWA expects items on lines 31-45 to be a package.

Line 32- for project where CT performs AAA send to DES-OE. Prepare a letter for FHWA FO Engineer’s information when local agency performs AAA.

Line 33- send separately if not included in Line 31.

Line 34- send separately if not included in Line 31.

Line 35- send separately if not included in Line 31.

Line 36- must send hard copies

Line 37- no clarifying information needed
Line 38- this document starts in the PA & ED phase. It is a joint project between the PE and the Environmental Generalist. The PE should submit the version that was incorporated into the plans and specifications.

Line 39- this is listed for information purposes only as it is the responsibility of the project’s Environmental Branch Chief.

Line 40- no clarifying information needed.

Line 41- no clarifying information needed.

Line 42- no clarifying information needed.

Line 43- no clarifying information needed.

Line 44- no clarifying information needed.

Line 45- E76 is electronic version of F&M76.

**Construction Administration phase:**

Line 46- The PE should record on the form when this was completed and more than once if necessary.

Line 47- The PE should record on the form when this was completed.

Line 48- this is listed for information purposes only as it is the responsibility of the project’s Resident Engineer.

Line 49- this is listed for information purposes only as it is the responsibility of the project’s Resident Engineer.

Line 50- this is listed for information purposes only as it is the responsibility of the project’s Resident Engineer.

Line 51- this is listed for information purposes only as it is the responsibility of the project’s Resident Engineer.
APPENDIX QQ – Preparation Guidelines for Survey File

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APPENDIX QQ – Preparation Guidelines for Survey Files

CHAPTER 1 Overview

This appendix contains guidance for the preparation of the survey file on all projects implemented by Caltrans. These guidelines provide information to be used with the policies and procedures described in Chapters 3 and 15 of this manual.

Survey File

The survey file is a component of the design package when surveying efforts are required for the construction of a project. The survey file contains all of the data necessary for the project surveyor to meet the needs of the resident engineer’s staking requests in a timely and effective manner. The project engineer transmits the survey file to the survey unit by the ready to list (RTL) date. The survey file must be developed in accordance with Chapter 3.6 of the CADD Users Manual and Chapter 12 of the Surveys Manual. The survey file checklist shown in Chapter 3 of this appendix identifies items that are typical survey file deliverables. The information, in both hardcopy and electronic format, are critical to the construction of a project.

At the beginning of the project the project engineer should verify if surveying efforts are or are not required for the construction of a project. The scope of the project should be reviewed with the project surveyor to determine the surveying needs. If a survey file is needed for the project, include the surveyor as part of the project team. For projects that do not require the delivery of a survey file, e.g. a CAPM project, the project surveyor and the project engineer shall sign the verification of survey file delivery form as “survey file not required.”

Different project types may not require all of the deliverables listed in the survey file checklist. The project surveyor is responsible for determining the level of information that will be used for construction stakeout. The project engineer should solicit input from the project surveyor in a focused project team meeting to identify the required submittals on the survey file checklist as soon as the scope of the project is well defined. This meeting should occur no later than the initial constructability review phase or as soon as possible for projects that do not require a constructability review, e.g. minor projects. If the scope of the project changes additional input may be required. The survey file checklist should be used to ensure that the items required for construction are provided.

Build the survey file as you design the project. The survey file is comprised of components developed by the roadway design software and must contain data that accurately represents the contract plans. It is important to note that data contained in the
survey file may also be transferred to the contractor for use in machine guidance applications.

Provide interim survey files to the project team as a part of the constructability review. Update survey files to reflect design changes made as a result of each constructability review. This will ensure that the survey file is complete and accurate at the time of its final transmittal by RTL. Interim files should also be provided for projects that do not require a constructability review, e.g. minor projects, throughout the development of the project. The major benefit is that errors or omissions can be identified at an early stage and not under the pressure of construction or after the mistake is built. Errors discovered during construction could require costly change orders.

The final complete package should be delivered no later than RTL unless an alternate delivery schedule has been arranged. If mutually agreed upon by the project engineer and project surveyor, a submittal date after RTL but before advertisement may be identified for items not available at RTL.

The delivery of the survey file is identified as a performance indicator in the PS&E submittal memorandum found in the Ready to List and Construction Contract Award Guide. The final delivery date shall be documented in the memorandum and the “Verification of Survey File Delivery” form, shown in Chapter 3 of this appendix, shall be completed and submitted to the district office engineer as a deliverable required to obtain the project’s RTL status.

If revisions are made to the project after delivery of the survey file, all of the affected items should be resubmitted to the project surveyor.

The survey file checklist templates, shown in Chapter 3 of this appendix, provide a listing of the survey support information that may be required for the project and are to be used as an aid in developing the survey file.

**Survey File Preparation**

**Project Engineer Roles**

As noted in Chapter 2 of this manual, the project engineer is in “responsible charge” of preparation of appropriate project development documents (PSR, project report, etc.) and the project design effort. When projects do not require an engineer, i.e. highway planting projects, the person responsible for the project will be considered the project engineer.

The project engineer is responsible for including the project surveyor in any pertinent meetings, communications, and e-mails pertaining to the constructability of the project. When the scope of the project is well defined, the project engineer should meet with the project surveyor, no later than the initial constructability review phase, to identify the required submittals and preferred electronic formats on the survey file checklist. A preliminary survey file should be prepared at the 60% constructability stage and the project engineer will meet with the project surveyor for this review. An updated survey
file should be compiled according to the survey file checklist for review at the 95% constructability stage. The project engineer should work with the project team to address constructability concerns before delivering the final survey file at RTL.

**Project Surveyor Roles**

The project surveyor represents the surveying function on the project team and is responsible for participating in the constructability review and the preparation of the data required for construction.

When the scope of the project is well defined, the project surveyor should meet with the project engineer, no later than the initial constructability review phase, to identify the required submittals and preferred electronic formats on the survey file checklist. Specific needs for the project should be discussed throughout the constructability review process and should be noted on the survey file checklist or the Additional Instructions form shown in Chapter 3 of this appendix. The project surveyor is responsible for reviewing the data furnished by the project engineer throughout the constructability review process for completeness and discrepancies, advising the project engineer of all discovered survey constructability issues. A review will be made of the final survey file delivered at RTL in preparation for construction.

**Survey File Delivery**

The project engineer and project surveyor should mutually agree upon an appropriate method for delivery of the electronic deliverables. Electronic data can be delivered by e-mail, on a CD or placed in a directory accessible by both parties. If the files are to be placed on a server, the network path should be noted on the project reference list provided in Article 3 of Chapter 3 of this appendix. The project surveyor should be notified when the files are in place.

The designated number of requested hardcopies, if any, should be sent to the project surveyor.
CHAPTER 2  Guidelines for Compiling Survey Files

ARTICLE 1  General

See Chapter 15 of this manual, Chapter 2 of the Plans Preparation Manual, Chapter 3 of the CADD Users Manual, and the Project Development Workflow Tasks (PDWT) for more information about the requested items and electronic formats.

The templates included in Chapter 3 of this appendix identify items that are typical survey file deliverables. The rows designated as “Other” on the survey file checklist and the Additional Instructions form should be used to identify items that are not listed on the forms, but are specific to the project. These items should be discussed, clarified, and documented early in the constructability review process.

Electronic Format of Project Deliverables

All deliverables shall be in electronic format unless specified otherwise as “hardcopy”.

The project surveyor and the project engineer should mutually agree upon formats known to be compatible with the current Caltrans design software. Chapter 3 of the CADD Users Manual lists the possible electronic formats for each of the project deliverables. The agreed upon format should be noted on the survey file checklist.

Alternate electronic formats are not recommended, but the project engineer may discuss the possibility with the project surveyor prior to the constructability review process. If acceptable, the alternate format should be noted on the checklist.

ARTICLE 2  Information Referenced in the Survey File Checklist

The survey file checklist template is provided in Article 1 of Chapter 3 of this appendix.

Project Information

District-County-Route-Post Mile-EA

The post mile should be given to the nearest 0.1 mile.

Project Engineer

Provide the project engineer’s contact information.
Engineer Preparing Survey File

The engineer compiling the survey file should provide contact information in case the project surveyor has any questions about the deliverables.

Project Surveyor

Provide the project surveyor’s contact information.

Structures Engineer

Provide the structures engineer’s contact information.

Construction Area Engineer

Provide the construction area engineer’s contact information.

1. Attachments

The contact list, datum listing, and project reference list are required components of the survey file. The “Additional Instructions” form should only be included when necessary.

Contact List

A copy of the contact list prepared for the resident engineer file is a required component of the survey file.

Datum Listing

A completed datum listing is a required component of the survey file. See Article 3 of this chapter for more information about completing the template.

Project Reference List

A completed project reference list is a required component of the survey file. See Article 4 of this chapter for more information about completing the template.

Additional Instructions

See Article 5 of this chapter for more information about completing the template.

2. Project Deliverables

The deliverables must accurately represent information depicted on the final contract plans to prevent delays and costly mistakes. Different project types may not require all of the deliverables listed in the survey file checklist. The project surveyor should indicate with a checkmark in “Requested by Surveys” all requested items. The project engineer should indicate with a checkmark in “Included” those items prepared and delivered. The project engineer should indicate with a checkmark in “Confirmed” when they have verified the delivery of an item.
Contract Plans

The project engineer shall provide a copy of the PS&E plans to the project surveyor at the time of submittal to the district office engineer. The final set of plans that are available at advertisement should also be transmitted to the project surveyor. To ensure the transmittal of the final plans, the project engineer should include the project surveyor in the distribution list. The project engineer should communicate with the project surveyor to verify delivery of the plans.

Note: After the project is awarded, the project engineer should provide any addendums and revisions made to the plans, as well as an updated survey file if necessary.

Chapter 2 of the *Plans Preparation Manual* contains standards and guidance for the development of the contract plans.

Project Control

The surveyor performing the preliminary survey work is responsible for establishing and documenting the control used during the collection of the topographic data and any additional control required. The control must be documented in accordance with Section 2-2.4 of the *Plans Preparation Manual* and Chapter 9 of the *Surveys Manual*. This control should subsequently be used for construction staking.

This data is typically readily available to the project surveyor. In the event of brokered or consultant work, the project surveyor may not have access to this data. If requested, the project engineer is responsible for the transmittal of the requested deliverables from the responsible surveyor or contract manager.

Topography

The surveyor performing the preliminary survey work is responsible for collecting and compiling the topographic data in accordance with Caltrans’ standards.

This data is typically readily available to the project surveyor. In the event of brokered or consultant work, the project surveyor may not have access to this data. If requested, the project engineer shall be responsible for the transmittal of the requested deliverables from the responsible surveyor or contract manager.

Chapter 3 of the *CADD Users Manual* contains standards, formats, and guidance for the development of topographic data.

Base Map

Chapter 3 of the *CADD Users Manual* contains standards, formats, and guidance for developing base maps.
Alignments

Alignments are an integral part of the design and construction staking processes. All roadway alignments depicted on the contract plans should be included in the survey file.

In addition to roadways, other alignments that may be requested include:

- Flow line of curb returns and islands.
- Pullouts that are not parallel with roadway alignments.
- Ditches not depicted in cross sections or slope stake listings.
- Earthwork and limits not referenced to roadway alignments (such as clearing and grubbing or environmentally sensitive areas).
- Curves connecting two alignments which cannot be staked completely from both alignments.
- Fence lines not controlled by right of way.

Chapter 3 of the *CADD Users Manual* contains standards, formats, and guidance for the development of alignments.

Profiles

Profiles are an integral part of the design and construction staking processes. All roadway profiles depicted on the contract plans should be included in the survey file.

In addition to roadways, other profiles that may be requested include:

- Flow line of curb returns and islands.
- Pullouts that are not parallel with roadway alignments.
- Ditches not depicted in cross sections or slope stake listings.
- Bridges.
- Grade at base of concrete barriers.
- Retaining walls and sound walls.

Chapter 3 of the *CADD Users Manual* contains standards, formats, and guidance for the development of profiles.

Cross Sections

Final cross sections should be delivered to the survey unit as part of the survey file checklist, no later that RTL.

It is important that the final cross sections are developed from identical data depicted on the contract plans. Cross sections are an integral part of the design and construction staking processes. They assist the designer in developing the most efficient way to handle earthwork items and can be utilized to identify conflicts. Surveyors utilize the cross sections to construct the project as designed.
The project engineer should provide cross sections for interim construction phases when projects with stage construction require partial fills, cuts, or detour work.

Chapter 3 of the *CADD Users Manual* contains standards, formats, and guidance for the development of cross sections.

**Slope Stake Listings**

Slope stake listings are an integral part of the construction staking process. Surveyors utilize the slope stake listings to construct the area as designed. It is important that the slope stake listings are developed from the final cross sections of the area.

The project engineer should provide slope stake listings for interim construction phases when projects with stage construction require partial fills, cuts, or detour work.

Chapter 3 of the *CADD Users Manual* contains standards, formats, and guidance for the development of slope stake listings.

**Right of Way**

The coordinate geometry defining the R/W layout is required prior to construction to ensure that the work is contained within the appropriate areas. It will be used after construction to monument new lines of ownership in accordance with Chapter 10 of the *Surveys Manual*.

Existing monumentation that will be destroyed during construction must be properly documented and perpetuated in accordance with State law and Chapter 10 of the *Surveys Manual*. If the contractor is required to perpetuate the monumentation, the monuments should be included on the project control sheet in the contract plans.

This data is typically readily available to the project surveyor from right of way engineering. In the event of brokered or consultant work, the project surveyor may not have access to this data. If requested, the project engineer should gather and confirm the transmittal of the requested deliverables from the responsible surveyor or contract Manager.

Chapter 3 of the *CADD Users Manual* contains formats and guidance for the development of right of way coordinate geometry.

**Structural Systems – District**

Structural systems included in this category are those designed under the guidance of the project engineer. These systems are typically those identified in the Standard Plans. Examples of such systems include:

- Standard retaining walls.
- Standard sound walls.
When structural layout lines (LOL’s) are not parallel with or controlled by an alignment provided with the survey file, a layout line of the structure is required.

Chapter 2 of the *Plans Preparation Manual* contains requirements and Chapter 3 of the *CADD Users Manual* contains formats and guidance for the development of structural systems deliverables that are designed by the District.

**Structural Systems – Structures**

Structural systems included in this category are those designed under the guidance of the structures design unit. This includes bridge facilities and structural systems that require special design due to foundation bearing capacity concerns or those that are not specified in the Standard Plans. Examples of such systems include:

- Non-standard and standard retaining walls.
- Non-standard sound walls.
- Non-standard culverts and channels.
- Bridge facilities.
- Buildings.

When structural LOL’s are not parallel with or controlled by an alignment provided with the survey file, a layout line of the structure is required. Major structures of the bridge facility must be staked in accordance with Chapter 12 of the *Surveys Manual*. In situations where the system cannot be staked out by station and offset relative to an alignment provided with the survey file, the coordinate geometry defining these systems should be provided.

The project engineer should direct the project surveyor to the responsible structures engineer for coordinating the transmittal of the requested deliverables. The project engineer should communicate with the project surveyor to verify delivery of the data.

**Drainage Systems**

Surveyors use the coordinate geometry defining the centerline of pipes, culverts, and in-stream and channel facilities during the construction staking process. Typically this is generated from the stations, offsets, and elevations on the Drainage Plan and Profile Sheets. In situations where the system cannot be staked out by station and offset relative to an alignment provided with the survey file, an alignment of the drainage system will be requested.

Chapter 2 of the *Plans Preparation Manual* contains standards and Chapter 3 of the *CADD Users Manual* contains requirements, formats, and guidance for the development of drainage systems deliverables.
Digital Design Model

Because of new roadway design software capabilities, the project engineer should be taking a modular design approach for defining the design finish grade. The end result will be a digital terrain model of the roadway design, referred to as a digital design model (DDM), which can be used for calculations, quality control and in the construction process.

New surveying and construction technology provides a method of stakeout and inspection with the use of a digital terrain model. Construction equipment with machine guidance technology relies on the DDM to guide the operator instead of construction stakes. Requests for this deliverable will be dependant upon the contractor’s capabilities. The project engineer should expect requests for DDMs to become more frequent as the technology becomes more prevalent. The DDM should be the final model of the project, generated from the final alignments, profiles, etc.

Chapter 3 of the CADD Users Manual contains standards, formats, and guidance for the development of DDMs.

Miscellaneous Facilities

Some planned facilities require alternate design methods to develop information needed by the surveyor for construction staking. The project engineer and project surveyor should meet and decide on the appropriate delivery format. Identify the facility in the row marked “Other” for all of the appropriate deliverables on the survey file checklist.

Examples of such facilities include:

- Bridge-fill cone areas.
- Intersections with multiple layout lines that require more detailed information than slope stake listings.
- Building pads.
- Retention ponds.
- Berms, dikes & levees.
- Stockpiles & borrow pits.
- General landscaping and contour grading.
- Parks.
- Parking lots.

Chapter 3 of the CADD Users Manual contains standards, formats, and guidance for the development of facilities using alternate design methods.
ARTICLE 3  Datum Listing

The Datum Listing template is provided in Article 2 of Chapter 3 of this appendix to document the datums used in the design process and the method used to generate existing alignments. See example of completed form in the Project Development Workflow Tasks (PDWT).

It is important that the project surveyor work closely with the project engineer, completing the datum listing as appropriate, early in the design process to ensure all alignments, profiles, elevations, and control are on the appropriate California coordinate system (CCS) and epoch date.

1. Project Information
   
   **District-County-Route-Post Mile-EA**

   The post mile should be given to the nearest 0.1 mile.

2. Horizontal Datum
   
   Indicate the California coordinate system used in the design of the project. For example, "coordinates, bearings and grid distances are based on CCS83 (1991.35), Zone 3"

   See Chapter 3 of the *CADD Manual* and Chapter 4 of the *Surveys Manual* for more information about the California coordinate systems. Chapter 2 of the Plans Preparation Manual contains datum terminology and notation specifications for the first sheet of the layouts of the contract plans.

3. Vertical Datum
   
   Indicate the vertical datum used in the design of the project. For example, "elevations are based on NAVD88"

   See Chapter 4 of the *Surveys Manual* for more information about the vertical datum. Chapter 2 of the Plans Preparation Manual contains datum terminology and notation specifications for the first sheet of the profiles of the contract plans.

4. Project Units
   
   Indicate the units used in the design of the project.

5. Existing Alignment Information
   
   Indicate how the existing alignments used in the design of the project were developed.

   Existing alignments used in the design process can be established in a number of ways. This information is important to the project surveyor because the method used to develop alignments determines how the alignment can be used. If the project surveyor deems it necessary, the as-built documentation may be requested as a deliverable to clarify discrepancies. Chapter 3 of the *CADD Users Manual* contains guidance for the establishment of existing alignments.
6. Comments
Provide additional information regarding the design of the project that may be pertinent.

ARTICLE 4 Project Reference List

The Project Reference List template is provided in Article 3 of Chapter 3 of this appendix to document and cross reference data included in the survey file. See example of completed form in the Project Development Workflow Tasks (PDWT).

1. Project Information
  District-County-Route-Post Mile-EA

The post mile should be given to the nearest 0.1 mile.

2. Path to electronic deliverables
Indicate the network path to the electronic deliverables. Confirm that the project surveyor has permission to copy all files in the referenced directory.

3. Design Software Used
Indicate the software used in the development of the electronic deliverables.

4. Base Map File Name(s)
Indicate the name(s) of the base map(s) when requested.

5. Alignment/Layout Line and Associated Design Elements
  Alignment/LOL - Plan Name/Description

Indicate the designation and description of the alignment or LOL as it is noted on the contract plans.

  Alignment/LOL - Chain Name

Indicate the designation of the alignment or LOL as it is labeled in the electronic deliverable.

  Profile(s) – Name(s)

Indicate the designation of the profile(s) associated to the alignment or LOL as it is labeled in the electronic deliverable. When possible name the profile the same as the associated alignment.

  Cross Section(s) – File Name(s)

Indicate the name(s) of the cross section(s) associated to the alignment or LOL as it is labeled in the electronic deliverable.
APPENDIX QQ – Preparation Guidelines for Survey Files
Chapter 2 - Guidelines for Compiling Survey File

Slope Stake Listing(s) – File Name(s)

Indicate the name(s) of the slope stake listing(s) associated to the alignment or LOL as it is labeled in the electronic deliverable.

Additional File(s)

Indicate any additional file(s) associated to the alignment or LOL as it is labeled in the electronic deliverable.

Comments

Provide additional information regarding the deliverables.

ARTICLE 5 Additional Instructions

The project engineer should get input from the project surveyor, regularly throughout the project development process, to identify any odd-stations or unique submittals on the Additional Instructions form.

The Additional Instructions form is provided in Article 4 of Chapter 3 of this appendix to identify submittals not listed in the survey file checklist.

1. Information

   District-County-Route-Post Mile-EA

   The post mile should be given to the nearest 0.1 mile.

2. Cross Sections and Slope Stake Listings

   Some projects may require the creation of cross sections at additional stations or may require the labeling of grade breaks that are not noted in Chapter 3 of the CADD Users Manual. The project surveyor should discuss these needs with the project engineer and will include any special requests on the Additional Instructions form.

3. Other Items Requested by Surveys

   The project surveyor should discuss any unforeseen needs with the project engineer and will include any special requests on the Additional Instructions form.

4. Comments

   Provide additional information regarding the deliverables.

ARTICLE 6 Verification of Survey File Delivery

The district office engineer will verify the delivery of the survey file to the project surveyor upon submittal of a completed Verification of Survey File Delivery form. In the
event that the survey file is not required or an alternate delivery schedule has been agreed upon, the form should be signed appropriately. See the Ready to List and Construction Contract Award Guide for additional information.

The form is provided in Article 5 of Chapter 3 of this appendix. See example of completed form in the Project Development Workflow Tasks (PDWT).

1. **Project Information**

   **District-County-Route-Post Mile-EA**

   The post mile should be given to the nearest 0.1 mile.

2. **Complete or partial submittal on or before RTL**

   Indicate with a checkmark in “Complete or partial submittal on or before RTL” when requested items are delivered.

   **Project Engineer**

   The project engineer should sign and date upon delivery.

   **Project Surveyor**

   The project surveyor should sign and date upon receipt.

3. **Agreement for Submittal after RTL, but before advertisement**

   If mutually agreed upon by the project engineer and project surveyor, a submittal date after RTL but before advertisement may be identified for items not available at RTL. Indicate with a checkmark in “Agreement for submittal after RTL, but before advertisement” when requested items are delivered.

   **Target Submittal Date**

   **Identify the target date for submittal.**

   **The following items will be delivered on the agreed upon date**

   Identify the items that will be delivered after RTL.

   **Project Engineer**

   The project engineer should sign and date only if a later submittal date is agreed upon.

   **Project Surveyor**

   The project surveyor should sign and date only if a later submittal date is agreed upon.
4. **Survey File not required**

If surveying efforts are not required for the construction of a project, indicate with a checkmark in “Survey File not required” and the project engineer and project surveyor should sign the form to verify that the project does not require the delivery of the survey file.

**Project Engineer**

The project engineer shall sign and date only if a survey file is not required.

**Project Surveyor**

The project surveyor shall sign and date only if a survey file is not required.
CHAPTER 3 Templates

ARTICLE 1 Template for the Survey File Checklist

This article is a template for the survey file checklist. Guidance for completing this template is located in Chapter 2 of this appendix.
# Survey File Checklist

Project Surveyor - Check the appropriate "Requested by Surveys" box for each item required.

Project Engineer - Check the appropriate "Included" or "Confirmed" box when preparing the Survey File.

Submit this checklist with the Survey File.

## Project Information

<table>
<thead>
<tr>
<th>District:</th>
<th>County:</th>
<th>Route:</th>
<th>PM (KP) Limits:</th>
<th>EA#:</th>
</tr>
</thead>
</table>

### Project Engineer

- **Name:**
- **Phone #:**
- **e-mail:**
- **Phone #:**

### Engineer Preparing Survey File

- **Name:**
- **Phone #:**
- **e-mail:**
- **Phone #:**

### Project Surveyor

- **Name:**
- **Phone #:**
- **e-mail:**
- **Phone #:**

### Structures Engineer

- **Name:**
- **Phone #:**
- **e-mail:**
- **Phone #:**

### Construction Area Engineer

- **Name:**
- **Phone #:**
- **e-mail:**
- **Phone #:**

## Attachments

- Included: [ ] Contact List
- Included: [ ] Datum Listing
- Included: [ ] Project Reference List
- Included: [ ] N/A Additional Instructions

## Project Deliverables

### Contract Plans

- Requested by Surveys: [ ]
- # of Copies: [ ]
- Included: [ ]
- Plan set submitted at PS&E
- Reduced (11” x 17”)
- Full size

### Project Control

- Requested by Surveys: [ ]
- Control used during collection of topographic data
- Control set for construction stakeout
- Other:

### Topography

- Requested by Surveys: [ ]
- Included: [ ]
- Topographic data
- Other:

### Base Map

- Requested by Surveys: [ ]
- Included: [ ]
- Alignment data, roadway & drainage features, etc.
- Other:
### Alignments
- Requested by Surveys
- Included
  - Highways, ramps, & branch connections
- Requested by Surveys
- Included
  - City, county, and frontage roads
- Requested by Surveys
- Included
  - Detours
- Requested by Surveys
- Included
  - Curb returns, islands, & pullouts
- Requested by Surveys
- Included
  - Other:
- Requested by Surveys
- Included
  - Printed copies of requested alignment traverses

### Profiles
- Requested by Surveys
- Included
  - Highways, ramps, & branch connections
- Requested by Surveys
- Included
  - City, county, and frontage roads
- Requested by Surveys
- Included
  - Detours
- Requested by Surveys
- Included
  - Curb returns, islands, & pullouts
- Requested by Surveys
- Included
  - Other:

### Cross Sections
- Requested by Surveys
- Included
  - All roadways
- Requested by Surveys
- Included
  - Bridge
- Requested by Surveys
- Included
  - Other:
- Requested by Surveys
- Included
  - Printed copies of requested cross sections

### Slope Stake Listings
- Requested by Surveys
- Included
  - All roadways
- Requested by Surveys
- Included
  - Number of stations per page:
- Requested by Surveys
- Included
  - Other:
- Requested by Surveys
- Included
  - Printed copies of requested slope stake listings

### Right of Way
- Requested by Surveys
- Confirmed
  - Hardcopy of final R/W Appraisal Map
- Requested by Surveys
- Confirmed
  - Right of Way coordinate geometry
- Requested by Surveys
- Confirmed
  - Monument perpetuation documentation
- Requested by Surveys
- Confirmed
  - Other:

### Structural Systems - District
- Requested by Surveys
- Included
  - Retaining wall and sound wall LOL's
- Requested by Surveys
- Included
  - Other:

### Structural Systems - Structures
- Requested by Surveys
- Confirmed
  - Retaining wall and sound wall LOL's
- Requested by Surveys
- Confirmed
  - Bridge control monuments
- Requested by Surveys
- Confirmed
  - Bridge abutment & wing wall LOL's
- Requested by Surveys
- Confirmed
  - Column, bent, & pier LOL's
- Requested by Surveys
- Confirmed
  - Edge of deck LOL's
- Requested by Surveys
- Confirmed
  - Other:

### Drainage Systems
- Requested by Surveys
- Included
  - C/L of pipes and culverts
- Requested by Surveys
- Included
  - In-stream and channel facilities
- Requested by Surveys
- Included
  - Headwall LOL's
- Requested by Surveys
- Included
  - Flow line Profile
- Requested by Surveys
- Included
  - Other:

### Digital Design Model
- Requested by Surveys
- Included
  - Finished Grade
- Requested by Surveys
- Included
  - Other:
ARTICLE 2  Template for the Datum Listing

This article is a template for the datum listing. Guidance for completing this template is located in Chapter 2 of this appendix.

Datum Listing

District: ______ County: ________ Route: _______ PM (KP) Limits: _____________ EA#: ________

Horizontal Datum

Coordinates, bearings, and grid distances are based on:

☐ CCS83 (1991.35), Zone ___
☐ CCS83 (2007.00), Zone ___
☐ CCS83 (_______), Zone ___
☐ CCS27, Zone ___
☐ ______

Vertical Datum

Elevations are based on:

☐ NGVD29   ☐ NAVD88   ☐ ______

Project Units

Units:

☐ U.S. Survey Feet   ☐ Metric

Existing Alignment Information

Existing alignment engineering is based on:

☐ Existing alignments from as-built contract plans
☐ "Best-fit" to photogrammetric topographic data
☐ "Best-fit" to survey topographic data
☐ A field survey "best-fit" retracement of the as-built contract plans generated by Surveys Office
☐ Other:

If U.S. Survey Feet stationing is based on metric as-built data identify a major tie point:
U.S. Survey Feet station ________ = metric station ________________.

If metric stationing is based on U.S. Survey Feet as-built data identify a major tie point:
Metric station ________________ = U.S. Survey Feet station ________________.

Comments
ARTICLE 3 Template for the Project Reference List

This article is a template for the project reference list. Guidance for completing this template is located in Chapter 2 of this appendix.
## Project Reference List

<table>
<thead>
<tr>
<th>District:</th>
<th>County:</th>
<th>Route:</th>
<th>PM (KP) Limits:</th>
<th>EA#:</th>
</tr>
</thead>
</table>

**Network path to the electronic deliverables:**

**Design Software Used:**

**Base Map File Name(s):**

### Alignment/LOL & Associated Design Elements

<table>
<thead>
<tr>
<th>Alignment/LOL</th>
<th>Profile(s)</th>
<th>Cross Section(s)</th>
<th>Slope Stake Listing(s)</th>
<th>Additional File(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Plan Name/Description</td>
<td>Chain Name</td>
<td>Name(s)</td>
<td>File Name(s)</td>
<td>File Name(s)</td>
</tr>
</tbody>
</table>

**Comments:**
ARTICLE 4  Template for Additional Instructions

This article is a template for additional instructions. Guidance for completing this template is located in Chapter 2 of this appendix.

**Additional Instructions**

District: ___  County: ___  Route: ___  PM (KP) Limits: ___  EA#: ___

**Cross Sections & Slope Stake Listings**

- [ ] Cross sections only
- [ ] Slope stake listings only

- [ ] Requested by Surveys  [ ] Included  Key Stations: 
- [ ] Requested by Surveys  [ ] Included  Key Stations: 
- [ ] Requested by Surveys  [ ] Included  Key Stations: 

- [ ] Requested by Surveys  [ ] Included  Lane Line Grade Breaks
- [ ] Requested by Surveys  [ ] Included  String Line Grade Breaks

**Other Items Requested by Surveys**

- [ ] Included
- [ ] Included
- [ ] Included
- [ ] Included
- [ ] Included
- [ ] Included
- [ ] Included
- [ ] Included

**Comments**
ARTICLE 5 Template for Verification of Survey File Delivery

This article is a template for verification of delivery. Guidance for completing this template is located in Chapter 2 of this appendix.

<table>
<thead>
<tr>
<th>Verification of Survey File Delivery</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Project Information</strong></td>
</tr>
<tr>
<td>District: County: Route: PM (KP) Limits: EA#:</td>
</tr>
</tbody>
</table>

- **Complete or partial submittal on or before RTL**
  - **Project Engineer**
    - Name: Date: 
  - **Project Surveyor**
    - Name: Date:

- **Agreement for submittal after RTL, but before advertisement**
  - Target Submittal Date: 
  - The following items will be delivered on the agreed upon date:
  - **Project Engineer**
    - Name: Date: 
  - **Project Surveyor**
    - Name: Date:

- **Survey File not required**
  - **Project Engineer**
    - Name: Date: 
  - **Project Surveyor**
    - Name: Date: