**Exhibit 6-A** **Preliminary Environmental Study (PES)**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Federal Project No.:** |       |  | **Final Design:** |       |  |
|  | *(Federal Program Prefix-Project No., Agreement No.)* |  |  | *(Expected Start Date)* |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **To:** |       | From: |       |
|  | *(District Local Assistance Engineer)* |  | *(Local Agency)* |
|  |       |  |       |
|  | *(District)* |  | *(Project Manager’s Name and Telephone No.)* |
|  |       |  |       |
|  | *(Address)* |  | *(Address)* |
|  |       |  |       |
|  | *(Email Address)* |  | *(Email Address)* |

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

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| **Federal State Transportation Improvement Program (FSTIP)** [[https://dot.ca.gov/programs/financial-programming/office-of-federal-programming-data-management-ofpdm](https://dot.ca.gov/programs/transportation-programming/office-of-federal-transportation-management-program-oftmp)](https://dot.ca.gov/programs/financial-programming/office-of-federal-programming-data-management-ofpdm) |       |  |       |
| *(Currently Adopted Plan Date)* |  | *(Page No.\_\_\_ attach to this form)* |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Programming for FSTIP:** | **Preliminary Engineering** |  | **Right of Way** |  | **Construction** |
|       | $ |       |  |       | $ |       |  |       | $ |       |
| *(Fiscal Year)* |  | *(Dollars)* |  | *(Fiscal Year)* |  | *(Dollars)* |  | *(Fiscal Year)* |  | *(Dollars)* |

|  |
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| **Project Description as Shown in RTP and FSTIP:**       |

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| --- |
| **Detailed Project Description:** *(Describe the following, as applicable: purpose and need, project location and limits, required right of way acquisition, proposed facilities, staging areas, disposal and borrow sites, construction activities, and construction access.)*  |
| *(Continue description on “Notes” sheet, last page of this Exhibit, if necessary)* |

|  |
| --- |
| **Preliminary Design Information:**Does the project involve any of the following? Please check the appropriate boxes and delineate on an attached map, plan, or layout including any additional pertinent information. |
| **Yes No**  | **Yes No** | **Yes No**  |
| [ ]  [ ]  Widen existing roadway | [ ]  [ ]  Ground disturbance | [ ]  [ ]  Easements |
| [ ]  [ ]  Increase number of through lanes | [ ]  [ ]  Road cut/fill | [ ]  [ ]  Equipment staging  |
| [ ]  [ ]  New alignment | [ ]  [ ]  Excavation: anticipated | [ ]  [ ]  Temporary access road/detour |
| [ ]  [ ]  Capacity increasing—other |  maximum depth       | [ ]  [ ]  Utility relocation |
|  (e.g., channelization) |  | [ ]  [ ]  Right of way acquisition |
|  | [ ]  [ ]  Drainage/culverts |  (if yes, attach map with APN) |
| [ ]  [ ]  Realignment | [ ]  [ ]  Flooding protection |  |
| [ ]  [ ]  Ramp or street closure | [ ]  [ ]  Stream channel work | [ ]  [ ]  Disposal/borrow sites |
| [ ]  [ ]  Bridge work |  |  |
|  | [ ]  [ ]  Pile driving | [ ]  [ ]  Part of larger adjacent project |
| [ ]  [ ]  Vegetation removal |  |  |
| [ ]  [ ]  Tree removal | [ ]  [ ]  Demolition | [ ]  [ ]  Railroad |
|  |  |  |
|  |  |  |

|  |
| --- |
| **Required Attachments:**[ ]  Regional map [ ]  Project location map [ ]  Project footprint map (existing/proposed right of way)[ ]  Engineering drawings (existing and proposed cross sections), if available [ ]  Borrow/disposal site location map, if applicable*(Note: all maps (except project location map and regional maps) should be consistent with the project description (minimum scale: 1" = 200')*.)[ ]  GeoTracker Printout for Hazardous Materials (<http://geotracker.waterboards.ca.gov/>).  [ ]  Federal Threatened and Endangered Species List from USFWS (<http://ecos.fws.gov/ipac/>).[ ]  Federal Threatened and Endangered Species List from NMFS (<http://www.westcoast.fisheries.noaa.gov/maps/data/california> species listtools.html).[ ]  Current Photos of Project Site [ ]  FEMA map [ ]  VIA Questionnaire [ ]  Notes to support the conclusions of this checklist/project description continuation page (attached) |

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

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

|  |  |  |  |
| --- | --- | --- | --- |
| A. Potential Environmental Effects | Yes | To Be Determined | No |
| General |  |  |  |
| 1. Will the project require future construction to fully utilize the design capabilities included in the proposed project? | [ ]  | [ ]  | [ ]  |
| 2. Will the project generate public controversy? | [ ]  | [ ]  | [ ]  |
| Noise |  |  |  |
| 3. Is the project a Type I project as defined in 23 CFR 772.5(h); “construction on new location or the physical alteration of an existing highway, which significantly changes either the horizontal or vertical alignment or increases the number of through-traffic lanes”? | [ ]  | [ ]  | [ ]  |
| 4. Does the project have the potential for adverse construction-related noise impact(such as related to pile driving)? | [ ]  | [ ]  | [ ]  |
| Air Quality |  |  |  |
| 5. Is the project in a NAAQS non-attainment or maintenance area? | [ ]  | [ ]  | [ ]  |
| 6. Is the project exempt from the requirement that a conformity determination be made? (If “Yes,” state which conformity exemption in 40 CFR 93.126, or 40 CFR 93.128 (check one box below and identify the project type if applicable):  [ ] 40 CFR 93.126 [ ]  40 CFR 93.128 Project type: \_\_\_\_\_\_\_\_\_  | [ ]  | [ ]  | [ ]  |
| 7. Is the project exempt from regional conformity? (If “Yes,” state which conformity exemption in 40 CFR 93.127, Table 3 applies):        | [ ]  | [ ]  | [ ]  |
| 8. If project is not exempt from regional conformity, (If “No” on Question #7) Is project in a metropolitan non-attainment/maintenance area? Is project in an isolated rural non-attainment area?  Is project in a CO, PM10 and/or PM2.5 non-attainment/maintenance area? | [ ] [ ] [ ]  | [ ] [ ] [ ]  | [ ] [ ] [ ]  |
| Hazardous Materials/Hazardous Waste |  |  |  |
| 9. Is there potential for hazardous materials (including underground or aboveground tanks, etc.) or hazardous waste (including oil/water separators, waste oil, asbestos-containing material, lead-based paint, ADL, etc.) within or immediately adjacent to the construction area? | [ ]  | [ ]  | [ ]  |
| Water Quality/Resources |  |  |  |
| 10. Does the project have the potential to impact water resources (rivers, streams, bays, inlets, lakes, drainage sloughs) within or immediately adjacent to the project area? | [ ]  | [ ]  | [ ]  |
| 11. Is the project within a designated sole-source aquifer? | [ ]  | [ ]  | [ ]  |
| Coastal Zone |  |  |  |
| 12. Is the project within the State Coastal Zone, San Francisco Bay, or Suisun Marsh? | [ ]  | [ ]  | [ ]  |
| Floodplain |  |  |  |
| 13. Is the construction area located within a regulatory floodway or within the base floodplain (100-year) elevation of a watercourse or lake? | [ ]  | [ ]  | [ ]  |
| Wild and Scenic Rivers |  |  |  |
| 14. Is the project within or immediately adjacent to a Wild and Scenic River System? | [ ]  | [ ]  | [ ]  |
| Biological Resources |  |  |  |
| 15. Is there a potential for federally listed threatened or endangered species, or their critical habitat or essential fish habitat to occur within or adjacent to the construction area? | [ ]  | [ ]  | [ ]  |
| 16. Does the project have the potential to directly or indirectly affect migratory birds, or their nests or eggs (such as vegetation removal, box culvert replacement/repair, bridge work, etc.)? | [ ]  | [ ]  | [ ]  |
| 17. Is there a potential for wetlands to occur within or adjacent to the construction area? | [ ]  | [ ]  | [ ]  |
| 18. Is there a potential for agricultural wetlands to occur within or adjacent to the construction area? | [ ]  | [ ]  | [ ]  |
| 19. Is there a potential for the introduction or spread of invasive plant species? | [ ]  | [ ]  | [ ]  |
| Sections 4(f) and 6(f) |  |  |  |
| 20. Are there any historic sites or publicly owned public parks, recreation areas, wildlife or waterfowl refuges (Section 4[f]) within or immediately adjacent to the construction area? | [ ]  | [ ]  | [ ]  |
| 21. Does the project have the potential to affect properties acquired or improved with Land and Water Conservation Fund Act (Section 6[f]) funds? | [ ]  | [ ]  | [ ]  |
| Visual Resources |  |  |  |
| 22. Does the project have the potential to affect any visual or scenic resources? | [ ]  | [ ]  | [ ]  |
| Relocation Impacts |  |  |  |
| 23. Will the project require the relocation of residential or business properties? (If the answer to questions 23-32 is “yes,” then Title VI Implementation and outreach may be triggered) | [ ]  | [ ]  | [ ]  |
| Land Use, Community, and Farmland Impacts |  |  |  |
| 24. Will the project require any right of way, including partial or full takes? Consider construction easements and utility relocations. | [ ]  | [ ]  | [ ]  |
| 25. Is the project inconsistent with plans and goals adopted by the community? | [ ]  | [ ]  | [ ]  |
| 26. Does the project have the potential to divide or disrupt neighborhoods/communities? | [ ]  | [ ]  | [ ]  |
| 27. Does the project have the potential to disproportionately affect low-income and minority populations? | [ ]  | [ ]  | [ ]  |
| 28. Will the project require the relocation of public utilities? | [ ]  | [ ]  | [ ]  |
| 29. Will the project affect access to properties or roadways? | [ ]  | [ ]  | [ ]  |
| 30. Will the project involve changes in access control to the State Highway System (SHS)? | [ ]  | [ ]  | [ ]  |
| 31. Will the project involve the use of a temporary road, detour, or ramp closure? | [ ]  | [ ]  | [ ]  |
| 32. Will the project reduce available parking? | [ ]  | [ ]  | [ ]  |
| 33. Will the project construction encroach on state or federal lands? | [ ]  | [ ]  | [ ]  |
| 34. Will the project convert any farmland to a different use or impact any farmlands? | [ ]  | [ ]  | [ ]  |
| Cultural Resources |  |  |  |
| 35. Is there National Register listed, or potentially eligible historic properties, or archaeological resources within or immediately adjacent to the construction area?*(Note: Caltrans PQS answers question #35 )* | [ ]  | [ ]  | [ ]  |
| 36. Is the project adjacent to, or would it encroach on Tribal land? | [ ]  | [ ]  | [ ]  |

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

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| B. | Required Technical Studies and Analyses | C. | Coordination | D. | Anticipated Actions/Permits/Approvals |
| [ ]  | Traffic |  |  |  |  |
|  | ***Check one:*** |  |  |  |  |
|  | [ ]  Traffic Study | [ ]  | Caltrans | [ ]  | Approval |
|  | [ ]  Technical Memorandum | [ ]  | Caltrans | [ ]  | Approval |
|  | [ ]  Discussion in ED Only | [ ]  | Caltrans | [ ]  | Approval |
| [ ]  | Noise |  |  |  |  |
|  | ***Check as applicable:*** |  |  |  |  |
|  | [ ]  Traffic Related |  |  |  |  |
|  | [ ]  Construction Related |  |  |  |  |
|  | ***Check one:*** |  |  |  |  |
|  | [ ]  Noise Study Report | [ ]  | Caltrans | [ ]  | Approval |
|  | [ ]  NADR | [ ]  | Caltrans | [ ]  | Approval |
|  | [ ]  Technical Memorandum | [ ]  | Caltrans | [ ]  | Approval |
|  | [ ]  Discussion in ED Only | [ ]  | Caltrans | [ ]  | Approval |
| [ ]  | Air Quality |  |  |  |  |
|  | ***Check as applicable:*** |  |  |  |  |
|  | [ ]  Traffic Related |  |  |  |  |
|  | [ ]  Construction Related |  |  |  |  |
|  | ***Check one:*** |  |  |  |  |
|  | [ ]  Air Quality Report | [ ]  | Caltrans | [ ]  | Approval |
|  | [ ]  Technical Memorandum | [ ]  | Caltrans | [ ]  | Approval |
|  | [ ]  Discussion in ED Only | [ ]  | Caltrans | [ ]  | Approval |
|  |  | [ ]  | FHWA | [ ]  | Conformity Finding (23 USC 327 CEs, EAs, EISs) |
|  |  | [ ]  | Caltrans | [ ]  | Conformity Finding ( 23 USC 326 CEs) |
|  |  | [ ]  | Regional Agency | [ ]  | PM10/PM2.5 Interagency Consultation |
| [ ]  | Hazardous Materials/ |  |  |  |  |
|  | Hazardous Waste |  |  |  |  |
|  | ***Check as applicable:*** |  |  |  |  |
|  | [ ]  Initial Site Assessment(Phase 1) | [ ]  | Caltrans | [ ]  | Approval |
|  | [ ]  Preliminary Site Assessment(Phase 2) | [ ]  | Caltrans | [ ]  | Approval |
|  | [ ]  Discussion in ED Only | [ ]  | Caltrans | [ ]  | Approval |
|  |  | [ ]  | Cal EPA DTSC | [ ]  | Review Database |
|  |  | [ ]  | Local Agency | [ ]  | Review Database |
| [ ]  | Water Quality/Resources |  |  |  |  |
|  | ***Check as applicable:*** |  |  |  |  |
|  | [ ]  Water Quality Assess. Report | [ ]  | Caltrans | [ ]  | Approval |
|  | [ ]  Technical Memorandum | [ ]  | Caltrans | [ ]  | Approval |
|  | [ ]  Discussion in ED Only | [ ]  | Caltrans | [ ]  | Approval |
| [ ]  | Sole-Source Aquifer |  |  |  |  |
|  | (Districts 5, 6 and 11) | [ ]  | EPA (S.F. Regional Office) | [ ]  | Approval of Analysis in ED |
| [ ]  | Coastal Zone | [ ]  | CCC | [ ]  | Coastal Zone Consistency Determination |
| **B.**  | Required Technical Studies and Analyses  | **C.** | **Coordination** | **D.** | **Anticipated Actions/Permits/Approvals** |
| [ ]  | Floodplain |  |  |  |  |
|  | ***Check as applicable:*** |  |  |  |  |
|  | [ ]  Location Hydraulic Study | [ ]  | Caltrans | [ ]  | Approval |
|  | [ ]  Floodplain Evaluation Report | [ ]  | Caltrans | [ ]  | Approval |
|  | [ ]  Summary Floodplain Encroachment Report | [ ]  | Caltrans | [ ]  | Approval |
|  |  | [ ]  | Caltrans | [ ]  | Only Practicable Alternative Finding |
|  |  | [ ]  | FHWA | [ ]  | Approves significant encroachments and concurs in Only Practicable Alternative Findings  |
| [ ]  | Wild and Scenic Rivers |  |  |  |  |
|  |  | [ ]  | River Managing Agency | [ ]  | Wild and Scenic Rivers Determination |
| [ ]  | Biological Resources |  |  |  |  |
|  | ***Check as applicable:*** |  |  |  |  |
|  | [ ]  NES, Minimal Impact | [ ]  | Caltrans | [ ]  | Approval |
|  | [ ]  NES |  |  |  |  |
|  | [ ]  BA | [ ]  | Caltrans | [ ]  | Approves for Consultation |
|  |  | [ ]  | USFWS | [ ]  | Section 7 Informal/Formal Consultation |
|  |  | [ ]  | NOAA Fisheries |  |  |
|  | [ ]  EFH Evaluation | [ ]  | NOAA Fisheries | [ ]  | MSA Consultation |
|  | [ ]  Bio-Acoustic Evaluation | [ ]  | NOAA Fisheries | [ ]  | Approval |
|  | [ ]  Technical Memorandum | [ ]  | Caltrans | [ ]  | Approval |
| [ ]  | Wetlands |  |  |  |  |
|  | ***Check as applicable:*** |  |  |  |  |
|  | [ ]  WD and Assessment | [ ]  | Caltrans | [ ]  | Approval |
|  |  | [ ]  | ACOE | [ ]  | Wetland Verification |
|  |  | [ ]  | NRCS | [ ]  | Agricultural Wetland Verification |
|  |  | [ ]  | Caltrans | [ ]  | Wetlands Only Practicable Alternative Finding |
| [ ]  | Invasive Plants |  |  |  |  |
|  | [ ]  Discussion in ED Only | [ ]  | Caltrans | [ ]  | Approval |
| [ ]  | Section 4(f) |  |  |  |  |
|  | ***Check as applicable:*** |  |  |  |  |
|  |  | [ ]  | Caltrans | [ ]  | Determine Temporary Occupancy |
|  | [ ]  De minimis | [ ]  | Caltrans | [ ]  | De minimis finding |
|  | [ ]  Programmatic 4(f) Evaluation | [ ]  | Caltrans | [ ]  | Approval |
|  |  Type: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  |  |  |  |  |
|  | [ ]  Individual 4(f) Evaluation | [ ]  | Caltrans | [ ]  | Approval |
|  |  | [ ]  | Agency with Jurisdiction |  |  |
|  |  | [ ]  | SHPO |  |  |
|  |  | [ ]  | DOI |  |  |
|  |  | [ ]  | HUD |  |  |
|  |  | [ ]  | USDA |  |  |
|  |  |  |  |  |  |
| **B.**  | Required Technical Studies and Analyses  | **C.** | **Coordination** | **D.** | **Anticipated Actions/Permits/Approvals** |
|  |  |  |  |  |  |
| [ ]  | Section 6(f) |  |  |  |  |
|  |  | [ ]  | Agency with Jurisdiction |  |  |
|  |  | [ ]  | NPS | [ ]  | Determines Consistency with Long-Term Management Plan |
|  |  | [ ]  | NPS | [ ]  | Approves Conversion |
| [ ]  | Visual Resources |  |  |  |  |
|  | [ ]  Technical Memorandum  | [ ]  | Caltrans | [ ]  | Approval |
|  | [ ]  Minor VIA  | [ ]  | Caltrans | [ ]  | Approval |
|  | [ ]  Moderate VIA | [ ]  | Caltrans | [ ]  | Approval |
|  | [ ]  Advance/Complex VIA | [ ]  | Caltrans | [ ]  | Approval |
| [ ]  | Relocation Impacts |  |  |  |  |
|  | ***Check one:*** |  |  |  |  |
|  | [ ]  Relocation Impact Memo | [ ]  | Caltrans | [ ]  | Approval |
|  | [ ]  Relocation Impact Study | [ ]  | Caltrans | [ ]  | Approval |
|  | [ ]  Relocation Impact Report | [ ]  | Caltrans | [ ]  | Approval |
| [ ]  | Land Use and |  |  |  |  |
|  | Community Impacts |  |  |  |  |
|  | ***Check one:*** |  |  |  |  |
|  | [ ]  CIA | [ ]  | Caltrans | [ ]  | Approval |
|  | [ ]  Technical Memorandum | [ ]  | Caltrans | [ ]  | Approval |
|  | [ ]  Discussion in ED Only | [ ]  | Caltrans | [ ]  | Approval |
| [ ]  | Construction/Encroachment |  |  |  |  |
|  | on State Lands |  |  |  |  |
|  | ***Check as applicable:*** |  |  |  |  |
|  | [ ]  SLC Jurisdiction | [ ]  | SLC | [ ]  | SLC Lease |
|  | [ ]  Caltrans Jurisdiction | [ ]  | Caltrans | [ ]  | Encroachment Permit |
|  | [ ]  SP Jurisdiction | [ ]  | SP | [ ]  | Encroachment Permit |
| [ ]  | Construction/Encroachment |  |  |  |  |
|  | on Federal Lands |  |  |  |  |
|  |  | [ ]  | Federal Agency with Jurisdiction | [ ]  | Encroachment Permit |
| [ ]  | Construction/Encroachment On Indian Trust Lands | [ ]  | Bureau of Indian Affairs | [ ]  | Right of Way Permit |
| [ ]  | Farmlands |  |  |  |  |
|  | ***Check one:*** |  |  |  |  |
|  | [ ]  CIA | [ ]  | Caltrans | [ ]  | Approval |
|  | [ ]  Technical Memorandum | [ ]  | Caltrans | [ ]  | Approval |
|  | [ ]  Discussion in ED Only | [ ]  | Caltrans | [ ]  | Approval |
|  | ***Check as applicable:*** |  |  |  |  |
|  | [ ]  Form AD 1006 | [ ]  | NRCS | [ ]  | Approves Conversion |
|  |  | [ ]  | CDOC | [ ]  | Approves Conversion |
|  | [ ]  Conversion to Non-Agri Use | [ ]  | ACOE |  |  |
| **B.**  |  **Required Technical Studies and Analyses** | **C.** | **Coordination** | **D.** | **Anticipated Actions/Permits/****Approvals** |
| [ ]  | Cultural Resources  |  |  |  |  |
|  | (PQS completes this section) |  |  |  |  |
|  |  |  |  |  |  |
|  |  | [ ]  | Caltrans PQS | [ ]  | Screened Undertaking |
|  | [ ]  APE Map | [ ]  | Caltrans PQS and DLAE | [ ]  | Approves APE Map |
|  |  | [ ]  | Local Preservation Groups and/or Native American Tribes | [ ]  | Provides Comments Regarding Concerns with Project |
|  | [ ]  HPSR | [ ]  | Caltrans | [ ]  | Approves for Consultation |
|  |  [ ]  ASR  |  |  |  |  |
|  |  [ ]  HRER |  |  |  |  |
|  |  |  |  |  |  |
|  | [ ]  Finding of Effect Report | [ ]  | Caltrans | [ ]  | Concurs on No Effect, No Adverse Effect with Standard Conditions |
|  |  | [ ]  | SHPO | [ ]  | Letter of Concurrence on Eligibility, No Adverse Effect without Standard Conditions, Adverse Effect |
|  | [ ]  MOA | [ ]  | Caltrans | [ ]  | Approves MOA |
|  |  | [ ]  | SHPO | [ ]  | Approves MOA |
|  |  | [ ]  | ACHP (if requested) | [ ]  | Approves MOA |
| [ ]  | Permits |  |  |  |  |
|  | Copies of permits and a list of  | [ ]  | ACOE | [ ]  | Section 404 Nationwide Permit |
|  | mitigation commitments are | [ ]  | ACOE | [ ]  | Section 404 Individual Permit |
|  | mandatory submittals following  | [ ]  | Caltrans/ACOE/EPA | [ ]  | NEPA/404 Integration MOU |
|  | NEPA approval. | [ ]  | USFWS |  |  |
|  |  | [ ]  | NOAA Fisheries |  |  |
|  |  | [ ]  | ACOE | [ ]  | Rivers and Harbors Act Section 10 Permit |
|  |  | [ ]  | USCG | [ ]  | USCG Bridge Permit |
|  |  | [ ]  | RWQCB | [ ]  | Section 401 Water Quality Certification |
|  |  | [ ]  | CDFW | [ ]  | Section 1602 Streambed Alteration Agreement |
|  |  | [ ]  | RWQCB | [ ]  | NPDES Permit |
|  |  | [ ]  | CCC | [ ]  | Coastal Zone Permit |
|  |  | [ ]  | Local Agency |  |  |
|  |  | [ ]  | BCDC | [ ]  | BCDC Permit |
| **Notes:** Additional studies may be required for other federal agencies. |
| ACHP = Advisory Council on Historic PreservationACOE = U.S. Army Corps of EngineersADL = Aerially Deposited LeadAPE = Area of Potential EffectAPN = Assessor Parcel NumberASR = Archaeological Survey ReportBA = Biological AssessmentBCDC = Bay Conservation and Development CommissionBE = Biological EvaluationBO = Biological OpinionCal EPA = California Environmental Protection AgencyCCC = California Coastal CommissionCDFW = California Department of Fish and Wildlife CDOC = California Department of ConservationCE = Categorical ExclusionCIA = Community Impact AssessmentCWA = Clean Water ActDLAE = District Local Assistance EngineerDOI = U.S. Department of InteriorDTSC = Department of Toxic Substances ControlEA = Environmental AssessmentED = Environmental DocumentEFH = Essential Fish HabitatEIS = Environmental Impact StatementEPA = U.S. Environmental Protection AgencyFEMA = Federal Emergency Management AgencyFHWA = Federal Highway AdministrationFONSI = Finding of No Significant Impacted FTIP = Federal Transportation Improvement ProgramHPSR = Historic Property Survey Report | HRER = Historical Resources Evaluation ReportHUD = U.S. Housing and Urban DevelopmentMOA = Memorandum of AgreementMSA = Magnuson-Stevens Fishery Conservation and  Management ActNEPA = National Environmental Policy ActNADR = Noise Abatement Decision ReportNES = Natural Environment StudyNHPA = National Historic Preservation ActNOAA = National Oceanic and Atmospheric AdministrationNMFS National Marine Fisheries ServiceNPDES = National Pollutant Discharge Elimination SystemNPS = National Park ServiceNRCS = Natural Resources Conservation ServicePM10 = Particulate Matter 10 Microns in Diameter or LessPM2.5 = Particulate Matter 2.5 Microns in Diameter or LessPMP = Project Management PlanPQS = Professionally Qualified StaffROD = Record of DecisionRTIP = Regional Transportation Improvement ProgramRTP = Regional Transportation PlanRWQCB = Regional Water Quality Control BoardSER = Standard Environmental ReferenceSEP = Senior Environmental PlannerSHPO = State Historic Preservation OfficerSLC = State Lands CommissionSP = State ParksTIP = Transportation Improvement ProgramUSCG = U.S. Coast GuardUSDA = U.S. Department of AgricultureUSFWS = U.S. Fish and Wildlife ServiceWD = Wetland Delineation |

E. Preliminary Environmental Document Classification (NEPA)

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

***Check one:***

[ ]  Environmental Impact Statement (*Note: Engagement with participating agencies in accordance with 23 USC 139 required)*

 [ ]  Compliance with 23 USC 139 regarding Participating Agencies required

[ ]  Complex Environmental Assessment

[ ]  Routine Environmental Assessment

[ ]  Categorical Exclusion without required technical studies.

[ ]  Categorical Exclusion with required technical studies

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

 [ ]  Section 23 USC 326

 [ ]  23 CFR 771 activity (c)(     )

 [ ]  23 CFR 771 activity (d) (     )

 [ ]  Activity       listed in the Section 23 USC 326

[ ]  Section 23 USC 327

F. Public Availability and Public Hearing

***Check as applicable:***

[ ]  Not Required

[ ]  Notice of Availability of Environmental Document

[ ]  Public Meeting

[ ]  Notice of Opportunity for a Public Hearing

[ ]  Public Hearing Required

**G. Signatures**

**Local Agency Staff and/or Consultant Signature**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  |       |  |       |
| *(Signature of Preparer)* |  | *(Date)* |  | *(Telephone No.)* |

|  |  |  |  |  |
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|  |  |  |  |  |
| *(Name)* |  |  |  |  |

**Local Agency Project Engineer Signature**

This document was prepared under my supervision, according to the *Local Assistance Procedures Manual,* Exhibit 6-B, “Instructions for Completing the Preliminary Environmental Study Form.”

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|  |  |       |  |       |
| *(Signature of Local Agency)* |  | *(Date)* |  | *(Telephone No.)* |

**Caltrans District Professionally Qualified Staff (PQS) Signature**

**[ ]**  Project does not meet definition of an “undertaking”; no further review is necessary under Section 106 (“No” Section A, #35).

**[ ]**  Project is limited to the type of activity listed in Attachment 2 of the Section 106 PA and based on the information provided in the PES Form, the project does not have the potential to affect historic properties (“No” Section A, #35).

**[ ]**  Project is limited to the type of activity listed in Attachment 2 of the Section 106 PA, but the following additional procedures or information is needed to determine the potential for effect (“To Be Determined” Section A, #35):

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| [ ]  | Records Search | [ ]  |  | [ ]  |  | [ ]  |  |

**[ ]** Project meets the definition of an “undertaking”; all properties in the project area are exempt from evaluation per Attachment 4 of the Section 106 PA (“No” Section A, #35).

**[ ]** The proposed undertaking is considered to have the potential to affect historic properties; further studies for 106 compliance are indicated in Sections B, C, and D of this PES Form (“Yes” Section A, #35).

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

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

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

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

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

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|  |  |  |  |  |
| *(Name)* |  |  |  |  |

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

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  |  |  |  |
| *(Name)* |  |  |  |  |

[ ]  HQ DEA Environmental Coordinator concurrence \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_. Email concurrence attached.

 (*date*)

**Preliminary Environmental Investigation**

**Notes to Support the Conclusions of the PES Form**

**(May Also Include Continuation of Detailed Project Description)**

|  |
| --- |
| Brief Explanation of How Project Complies, or Will Comply with Applicable Federal Mandate (Part A): |
| 1. |       |
| 2. |       |
| 3. |       |
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| 32. |       |
| 33. |       |
| 34. |       |
| 35. |       |
| 36. |       |

Continuation of Detailed Project Description:

**Distribution**  1) Original - DLAE, 2) Local Agency Project Manager, 3) DLA Environmental Coordinator

 4) Senior Environmental Planner (or designee), 5) District PQS