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 described. See Chapter 30 – Highway Traffic Noise Abatement.

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
Appendix K – Preparation Guidelines for Project Report
Article 2 – Outline

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”

<table>
<thead>
<tr>
<th>Barrier</th>
<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>
</tr>
</thead>
<tbody>
<tr>
<td>NB1</td>
<td>ROW</td>
<td>23+91 to 26+72</td>
<td>10</td>
<td>No</td>
<td>0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Yes</td>
<td>3</td>
<td>$50,000</td>
<td>$150,000</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Yes</td>
<td>3</td>
<td>$50,000</td>
<td>$150,000</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Yes</td>
<td>5</td>
<td>$50,000</td>
<td>$250,000</td>
</tr>
<tr>
<td>NB2</td>
<td>EP</td>
<td>34+97 to 38+72</td>
<td>10</td>
<td>Yes</td>
<td>12</td>
<td>$54,000</td>
<td>$648,000</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Yes</td>
<td>25</td>
<td>$54,000</td>
<td>$1,350,000</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td>Yes</td>
<td>26</td>
<td>$54,000</td>
<td>$1,404,000</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Yes</td>
<td>28</td>
<td>$54,000</td>
<td>$1,512,000</td>
</tr>
<tr>
<td>NB3</td>
<td>ROW</td>
<td>26+63 to 29+92</td>
<td>10</td>
<td>Yes</td>
<td>8*</td>
<td>$52,000</td>
<td>$416,000</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Yes</td>
<td>8*</td>
<td>$58,000</td>
<td>$464,000</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Yes</td>
<td>8*</td>
<td>$58,000</td>
<td>$464,000</td>
</tr>
<tr>
<td></td>
<td></td>
<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>
</tr>
</thead>
<tbody>
<tr>
<td>NB1</td>
<td>10</td>
<td>No</td>
<td>0</td>
<td>$0</td>
<td>NA</td>
<td>NA</td>
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<td>5</td>
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<td>$280,000</td>
<td>No</td>
</tr>
<tr>
<td>NB2</td>
<td>10</td>
<td>Yes</td>
<td>12</td>
<td>$648,000</td>
<td>$500,000</td>
<td>Yes</td>
</tr>
<tr>
<td></td>
<td>12</td>
<td>Yes</td>
<td>25</td>
<td>$1,350,000</td>
<td>$660,000</td>
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<td>14</td>
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<td>8*</td>
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<td>16</td>
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<td>8*</td>
<td>$464,000</td>
<td>$560,000</td>
<td>No</td>
</tr>
</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 when 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 memorandum 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
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
• 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