

Draft PSR-PDS Guidance Internal and External Review Comments

ID #	Category	Role/ Responsibility	Commenter			Comment	Response	Status
			Dist.	District/Agency Contact	Caltrans Division/ Agency			Pending/ Done/ No Action Needed
	OVERALL COMMENTS							
	Streamline							
0C-1	Overall Comment - Streamline	Guidance Team	HQ	Kiana Russ	California State Assoc. of Counties (CSAC)	The draft PSR-PDS guidance overall addresses the issue the local agencies had regarding the appropriate level of effort for a 'planning' level document. It has eliminated many of the Caltrans approvals, so in theory it should save time and money.	No Response Needed	No Action Needed
0C-2	Overall Comment - Streamline	Guidance Team	7	Patricia Chen	Los Angeles County Metropolitan Transportation Authority (Metro)	Caltrans is commended for taking steps to streamline the PID process, and Metro would like to share the following perspective as Caltrans continues to revamp its processes. A distinction must be made between long-range system planning documents and PIDs. Metro does not consider PIDs per the proposed guidance as appropriate instruments for long-range system planning and concurs that PIDs are amongst the appropriate scoring documents for programming purposes. As a steward of local tax measure funds, Metro will apply caps on PID expenditures to ensure judicious use of funds. As a rule of thumb, no greater than 1% of the capital cost or \$2 million, whichever is less, will be funded for the development of a PID. This cap will include oversight costs by Caltrans if a project is led by a non-Caltrans agency. Additionally, of the total cost of developing a PID, no greater than 10% will be funded for Caltrans oversight. We entrust that Caltrans will take the leadership in chartering a path that will develop PIDs with expenditures well below these funding caps.	No Response Needed	No Action Needed
0C-3	Overall Comment - Streamline	Guidance Team	5	Hank Myers	Transportation Agency for Monterey County (TAMC)	TAMC supports the concept of streamlining of the PID process and hopes the new process will be significantly less time consuming than the full PSR process and achieves the goal of providing a more expeditious way of getting to the PA/ED phase of a project.	No Response Needed	No Action Needed
0C-4	Overall Comment - Streamline	Guidance Team	8	Wendi Li	San Bernardino Associated Governments (SANBAG)	SANBAG would like thank everyone involved in producing the guidance. Each section is well organized and ready for anyone to use to prepare a PSR-PDS. The guidance reflects the Department's expertise in developing transportation projects. Over the past several months, the statewide PID Working Group has worked through many subject areas relating to the streamlining process and reimbursement issue. We will continue to work on streamlining the PID process so projects can be programmed and quickly move on to next phases. SANDAG's comments focus on streamlining and to clearly define that the PSR-PDS is a planning document and detailed studies will need to be carried out in the PA/ED phase for the preferred alternative determination.	No Response Needed	No Action Needed
0C-5	Overall Comment - Streamline	Guidance Team	8	Wendi Li	San Bernardino Associated	Sections of the guidance are well written for users to use as checklists, particularly, the Article 10 - Risk Register.	No Response Needed	No Action Needed
0C-6	Overall Comment - Streamline	Guidance Team	5	Rachel Moriconi	Santa Cruz County Regional Transportation Commission (SCCRTC)	The components that are not essential to moving a project forward to the PA/ED phase should be eliminated from the PID guidelines. Efforts should be focused on allowing projects that address deficiencies on state highways to be implemented as quickly as possible. The PID is a project proposal, and the PSR-PDS should be similar to grant applications, providing just the most essential content needed for programming; basics regarding the project purpose and need, cost estimate, and schedule. They should not be documents with extensive engineering and environmental work that will instead be evaluated during PA/ED.	No Response Needed	No Action Needed
0C-7	Overall Comment - Streamline	Guidance Team	4	Eugene Maeda	Valley Transportation Authority (VTA)	VTA appreciates the opportunity to have participated on the Project Initial Document (PID) Committee and comment on the Draft Project Study Report-Project Development Support (PSR-PDS) PID document. Overall, we are pleased with changes made in the Draft PSR-PDS PID, specifically the added clarification on the level of work and effort required for the PSR-PDS.	No Response Needed	No Action Needed
0C-8	Overall Comment - Streamline	Guidance Team	5	Claudia Espino	District 5	Long Lead SHOPP Projects - Good idea to use the PSR-PDS for SHOPP projects that extend beyond the 4 year SHOPP cycle. This will be a major improvement.	No Response Needed	No Action Needed
0C-9	Overall Comment - Streamline	Guidance Team	7	Elaheh Yadegar	District 7	The guidance is certainly more streamlined and requires documentation so that information does not get lost - which is good. Are the resources justified to do all the checklists and satisfy requirements?	No Response Needed	No Action Needed
0C-10	Overall Comment - Streamline	Guidance Team	3	Sukhvinder Takhar	District 3	Guidance is too prescriptive. Recommend adding a section at the beginning of the guidance regarding the need for streamlining and innovation, and explains that the complexity of the project will dictate the depth of the PSR-PDS. The guidance should consistently provide for alternatives to the prescribed guidance materials, if the alternative is accepted by the PDT as a streamlining efficiency strategy. (See tab Comment #1)	No Response Needed	No Action Needed
0C-11	Overall Comment - Streamline	Guidance Team	4	Li Lin	District 4	The draft PSR-PDS process still appears to be a long complex process. It is unsure however if these revised guidelines would shorten the delivery cycle and reduced the PID costs both for Caltrans and local sponsors. Streamlining should be simplifying.	No Response Needed	No Action Needed

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OC-12	Overall Comment - Streamline	Guidance Team	5	Claudia Espino	District 5	The resulting PSR-PDS doesn't appear to streamline the process much.	No Response Needed	No Action Needed
OC-13	Overall Comment - Streamline	Guidance Team	5	Aileen Loe	District 5	It is not clear whether the PSR-PDS represents streamlining. If the traditional norm for producing a PSR was .5 PY, can we demonstrate that this guidance gets us back to that point? In bottoms-up estimating in preparation for reimbursement, we have preliminary estimates for oversight only that exceed this historical norm. Part of the difficulty is in understanding how much effort is involved with Independent Quality Assurance.	No Response Needed	No Action Needed
OC-14	Overall Comment - Streamline	Guidance Team	7	Elaheh Yadegar	District 7	The time and effort to complete a PSR-PDS based on these guidelines are likely to be similar to the way it was before, due to the fact that the bulk of the materials in Chapter 5 still require significant coordination across multiple functions.	No Response Needed	No Action Needed
OC-15	Overall Comment - Streamline	Guidance Team	8	Diane Morales	District 8	This process doesn't seem to be less streamlined then the previous process. This –PDS seems to be similar to the PSR	No Response Needed	No Action Needed
	Miscellaneous							
OC-16	Vision - Three Paths for PIDs	Guidance Team	12	Joseph Alcock	Orange County Transportation Authority (OCTA)	In general OCTA envisions three paths to new PIDs. 1.) Locally Approved Project Development Support (PDS) documents. In this case, local agencies would be allowed to prepare locally approved PDS documents (similar to feasibility studies) for projects that are relatively simple, so that alternatives can be defined for future environmental documents. More detailed analyses could then be performed through the subsequent PA/ED process. In these cases, Caltrans would not need to approve the document or provide project oversight until later in the project development process. 2.) Full PSR. A Full PSR following the basic PID framework, where Caltrans provides oversight and in some cases prepares the document. From OCTA's perspective these documents would be prepared by private consultants, and Caltrans would only be required to prepare oversight and approval. 3.) PA/ED consolidation with PID. This process would be similar to a PSR/PR for SHOPP Projects, where proposals that have consensus from key stakeholders and a clear understanding of project requirements can be scoped early in the project development process (i.e. consolidation of the PID and the Project Report). This effort would allow for more highly detailed technical information as part of the PA/ED process to satisfy PID technical requirements. While also allowing a project to compete for STIP funds. Caltrans would provide oversight and approval.	No Response Needed	No Action Needed
	Independent Quality Assurance							
OC-17	Overall Comment - Independent Quality Assurance	Guidance Team	5	Aileen Loe	District 5	Caltrans Independent Quality Assurance role is not defined - only a reference to an internal policy is made. It is proving difficult to quantify this internally as well as externally.	Modification made - definition clarified in Chapter 2, Article 2, Section 13, Pg 14.	Done
OC-18	Overall Comment - Independent Quality Assurance	Guidance Team	5	Claudia Espino	District 5	Review and approval - is required for STIP projects within 60 days. For local funded projects is there a review/approval deadline? It's not mentioned in the PSR-PDS Guidance.	No Response Needed	No Action Needed
OC-19	PSR-PDS Requirement for Local Agencies	Guidance Team	5	Claudia Espino	District 5	Why do local agencies need to go through the PID process - they are liable for the risk? If the PSR-PDS does not provide conceptual approval - why not have local agencies start at PA/ED? There is no statement as to what approval of the PSR-PDS means for locally implemented projects. It does state that it allows the project to move to PA/ED, this seems to provide conceptual approval.	No Response Needed	No Action Needed
OC-20	Cooperative Agreement	Guidance Team	10	Pat Robledo	District 10	Cooperative Agreement - Needs to be discussed in PSR-PDS Guidance.	Modification Made - see response to comment #1.9	No Action Needed
OC-21	Separate Guidance for Local Agencies	Guidance Team	5	Claudia Espino	District 5	The local agency implemented projects should not be included in the same guidance as STIP and long lead SHOPP projects. They should be treated separately.	No Response Needed	No Action Needed
OC-22	Consistency with Project Development Task Manual	Guidance Team	7	Elaheh Yadegar	District 7	It would be helpful to provide milestone, tasks, and duration in the revised project development task manual for the newly proposed PSR-PDS. This will guide Caltrans and local agencies to develop a work plan before the start of PSR-PDS for either lead reimbursement or OA reimbursement projects.	No Response Needed	No Action Needed
OC-23	Implementation and Measures	Guidance Team	5	Hank Myers	Transportation Agency for Monterey County (TAMC)	Once implemented what measures will be taken to insure that the guidelines will achieve the desired goal to be as simple, timely, and workable as practical?	The PSR-PDS guidance promotes streamlining by requiring only the information needed to program PA/ED.	No Action Needed
OC-24	Extend PID Shelf Life	Guidance Team	5	Hank Myers	Transportation Agency for Monterey County (TAMC)	Consideration should be given to extending PID shelf life so that documents that are still relevant are not re-done just because they are too old.	The PID is updated after three-years if the project is still a priority for programming.	No Action Needed

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OC-25	Constructability Review	Design	5	Claudia Espino	District 5	The revised Chapter 8 of the PDPM , page 42-45 (4/26/2011) requires Constructability Reviews (CR/Meeting) and requires them at the PID level. It also states that the CR will not be considered complete without the concurrence from construction. The PSR-PDS guidance does not mention the CR.	Guidance Team recommendation made that 'constructability issues' will be addressed during the first submittal of the PSR-PDS and a formal CR should be deferred to PA/ED.	Pending
	INTRODUCTION CHAPTER 1							
1.1	Introduction	Guidance Team	5	Rachel Moriconi	Santa Cruz County Regional Transportation Commission (SCCRTC)	<p>Page 1. In general, PIDs, even a streamlined PSR-PDS, should not be necessary for small or 100% locally-funded projects. While SCCRTC concurs that it is important to generally determine project scope and cost prior to starting a project, the following is recommended:</p> <ul style="list-style-type: none"> • Add explanation of when and why PIDs are required for specially-funded, non-STIP projects. • Restrict requirement for a PID to certain types of highway projects and establish dollar threshold. Identify projects that could be exempt from PID development. • Provide explanation of the different types of PIDs and identify projects that could move forward with encroachment permits instead of a PID. • Allow locals to 100% fund and move forward with PA/ED, even without a Caltrans approved PID, and use project report approval (PR) as the document for programming state or federal funds to capital phases (R/W and Construction). <p>RESPONSE: According to the California Transportation Commission (CTC) Project Study Report (PSR) Guidelines, applicability section, 'the PSR Guidelines apply to state and local funded vehicle capacity-increasing projects on the State highway system...'. Chapter 9 of the Project Development Procedures Manual states that projects shall be adequately scoped prior to approval for funding. The basis for scope, cost, and schedule shall be documented in a PID for all major projects on the SHS. All STIP and locally-funded projects are required to use the Project Study Report-Project Development Support (PSR-PDS) format. If appropriate, a local agency may submit a request to the District Director for approval to use the Project Study Report (PSR) in lieu of the PSR-PDS. Given limited resources available to fund the development or review and approval of PIDs, the PSR should be reserved for projects where all support, right of way acquisition, and construction costs will be programmed or funded at once or within a STIP cycle.</p>	See Response (left column)	No Action Needed
						<p>Streets and Highways Code Section 137 states that Caltrans "shall determine the kind, quality, and extent of all highway work done under its control, and may prepare and approve all plans, specifications, and estimates for all such work." Because Caltrans is responsible for protecting the public's investment in the SHS, Caltrans must review all proposed highway improvements that are funded by others. This includes reviewing and approving locally-developed PIDs for projects funded through the STIP, local sales tax measures, local fund sources, and private funds. Early discussions with Caltrans (beginning in the PID phase) to establish the viability of the proposals, procedural requirements, and the schedule for various project deliverables is critical. These discussions along with the approval of the PID help Caltrans 1) ensure that the proposed scope for local projects are consistent with Caltrans' standards and policies, 2) determine future maintenance needs and costs, and 3) reduce exposure to tort liability once the projects are constructed. Projects-funded-by-others will require an encroachment permit and either a permit engineering evaluation report (PEER) or a PID using the PSR-PDS template. If a project is considered to be a non-complex project and the construction cost of the project is less than \$1 million, then the review and approval of the project is completed under the encroachment permit process. For projects less than \$1 million, Caltrans determines the complexity of the project through the permit application review. If the project is considered to be a non-complex project and the construction cost of the project is less than \$3 million, then review and approval of the project can be completed through the PEER process. The PEER melds engineering review of permit proposals into the normal encroachment permit application review to eliminate any separate processing of a PID. The PEER process is intended to streamline the processing of projects-funded-by-others by reducing the steps in the project development process. If the project is considered to be a complex project or exceeds \$3 million, then review and approval of the project can be completed through the traditional PID process using the PSR-PDS template.</p>		

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1.2	Introduction	Guidance Team	8	Wendi Li	San Bernardino Associated Governments (SANBAG)	Page 1. The guidance seems to apply to all projects on the state highway system with no mention to a dollar threshold. This can create an additional requirement for projects processed under the encroachment permit process or streamlined oversight process for projects between \$1m-\$3m. Also, there is a need to clarify that a PSR-PDS provides programming of capital outlay support costs, and that the project report approval (PR) can be used as the programming document to program capital phases (Right of Way and Construction).	The PEER policy addresses projects between \$1m-\$3m. This guidance does not supersede PEER guidance. Added PR language to clarify.	Done
1.3	Introduction	Guidance Team	8	Wendi Li	San Bernardino Associated Governments (SANBAG)	Page 1. Need to clarify the purpose of the PSR-PDS PID and its relationship to the old PSR-PDS, PSR, PSR/PR or any other type of PID. Suggest providing background information on the different type of PIDs. The guidance states in one sentence that the intent of the PID is to figure out the support costs and in another sentences states that the main purpose of the PID is to address key issues and assumptions, scope, cost and estimate cost.	Modification made to clarify use of PSR-PDS and need to discuss the appropriate PID document to reach sponsor goals during Pre-PID meeting.	Done
1.4	Introduction	Guidance Team	HQ	Kevin Herritt	Design	Page 1, 3rd Par., 1st Sent. Delete. PIDs prepared through these guidelines should be as simple, timely, and workable as practical, given that a PID must be prepared at the front end of the project development process before environmental evaluation and detailed design are completed. All templates can be modified to meet this goal.	Modification made.	Done
1.5	Introduction	Guidance Team	5	Claudia Espino	District 5	Page 1, 3rd Par., last sentence - states that the PID must provide a sound basis for commitment of future state funding. This could be true for local funding as well, which should be at the discretion of the local agency. However, the statement also applies to the Caltrans reviewing function, which the guidance states should be estimated in the PSR-PDS. This function is not currently programmed. Are we now estimating the Caltrans PA/ED workplan for IQA and including it in the PSR-PDS? This seems implicit in the bullets on page 15 along with a schedule commitment, which is not likely for local projects.	Clarification has been made to Introduction.	No Action Needed
1.6	Introduction	Guidance Team	5	Aileen Loe	District 5	Page 1. The introduction should provide a little more insight about why the PID is a necessary step.	Clarification has been made to Introduction.	No Action Needed
1.7	Introduction	Guidance Team	8	Diane Morales	District 8	Page 1, 4th Par. The PDS does not provide consensus on purpose and need since there is minimal information and interaction with other stakeholders such as FHWA.	Need interaction with regional, federal, and local agencies to develop purpose and need.	No Action Needed
1.8	Introduction	Environmental	5	Claudia Espino	District 5	On page 1 or 3 (Introduction) or Page 5 (Preparation Procedures) under Pre-PID Meeting -add an item to identify the Environmental Lead Agency under CEQA and/or NEPA. Typically CT is lead agency on all projects on the State Highway System, even if the project is sponsored by others. However, if the District Director decides to delegate CEQA lead there is a specific process that must be followed to justify it. NEPA can never be delegated.	See response to comment #2.20.	No Action Needed
1.9	Introduction	Guidance Team	HQ	Gina Moran	Environmental	Page 1. There should be mention of the new cooperative agreement templates for PID reviews. http://onramp.dot.ca.gov/hq/design/coop/pid-template.php	Added clarification regarding cooperative agreements to Complete PSR-PDS Section, Page 11, #15. Added cooperative agreement to the Charter bullet on Page10, #12, Pre-PID Meetings. Added hyperlink to template.	Done
1.10	Introduction	Guidance Team	HQ	Gina Moran	Environmental	Page 1. A brief discussion on sea-level rise should be included with a link to the guidance. http://www.dot.ca.gov/ser/downloads/sealevel/guide_incorp_slr.pdf	Need to ensure that sea level rise is included in the Design Scoping Index. Do not include web-site.	No Action Needed. Will be modified in subsequent updates.
1.11	Introduction	Guidance Team	11	Jose Nuncio	San Diego Association of Governments/ TransNet	Page 1, 3rd Par., last sentence and next par. Change to: The PID must provide a sound basis for commitment of future local, state, and federal funding. Development of a PID provides a key opportunity to achieve consensus on the "purpose and need," project scope, schedule, and proposed cost among Caltrans and involved regional and local agencies.	Clarification has been made to Introduction.	No Action Needed
1.12	Introduction - Purpose for PSR-PDS	Guidance Team	HQ	Pam Suszko	Design	Page 1, 1st Par. Purpose of PSR-PDS. To clarify purpose of PSR-PDS - add new Sent. after 1st par.: The PSR-PDS is one type of PID. Chapter 9 and Appendix L provide the foundation for the understanding and knowledge necessary to develop any PID and should be reviewed in conjunction with this Appendix.	Modification made	Done

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1.13	Introduction - Purpose for PSR-PDS	Guidance Team	5	Aileen Loe	District 5	Page 1, The purpose of the PSR-PDS is identified as "...gaining approval for the project to move into the next phase." Does this wording lead a project sponsor down a path to approval by producing a PID regardless of whether a cost-effective and measurable benefit to the State Highway System can be achieved? Could there be acknowledgement of an outcome that may not gain approval? Approval of the PSR-PDS determines whether a project should proceed into the next phase (PA/ED).	Clarification has been made to Introduction.	No Action Needed
1.14	Introduction - Purpose for PSR-PDS	Guidance Team	5	Rachel Moriconi	Santa Cruz County Regional Transportation Commission (SCCRTC)	Page 1, Purpose for PSR-PDS, 1st. Par., 2nd Sent. The intent of the PSR-PDS PID is to develop a conceptual level project scope, alternatives, cost and schedule for programming and funding of capital outlay support costs to the PA/ED phase. Delete the word 'alternatives'. Comment: If no Caltrans capital outlay support is being programmed for the project by the local agency, why is this document required?	Clarification has been made to Introduction.	No Action Needed
1.15	Introduction - Purpose for PSR-PDS	Guidance Team	11	Jose Nuncio	San Diego Association of Governments/ TransNet	Page 1, Purpose for PSR-PDS, 1st Par. Change to: The purpose of the PSR-PDS is to begin the process of achieving consensus on the "purpose and need", scope, schedule and budget among Caltrans and the involved regional and local agencies. Approval of the PSR-PDS by Caltrans authorizes the start of the Project Approval and Environmental Document (PA/ED) phase. The PSR-PDS identifies potentially feasible alternatives for future analysis, additional potentially feasible alternatives may be identified during the PA/ED phase. The purpose for using the PSR-PDS PID document is to gain approval for the project to move into the Project Approval and Environmental Document (PA/ED) phase. The PSR-PDS does not approve specific alternatives. The intent of the PSR-PDS PID is to develop a conceptual level project scope, alternatives, cost and schedule for programming and funding of capital outlay support costs to the PA/ED phase. At this level of the project, the required information is reduced with much of the detail being completed during PA/ED. Because of the reduction in level of effort, specific work must be completed and is listed in this document (e.g. Pre-PID meeting, Risk Assessments and Commitment).	Clarification has been made to Introduction.	No Action Needed
1.16	Introduction - Purpose for PSR-PDS	Design	7	Elaheh Yadegar	City of Industry, City Engineer	Page 1. Purpose for PSR-PDS. A more fundamental question, when would a PSR actually be necessary instead of the PSR-PDS?	Clarification has been made to Introduction.	No Action Needed
1.17	Introduction - Purpose for PSR-PDS	Guidance Team	8	Diane Morales	District 8	Page 1. Purpose for PSR-PDS, 1st Par., 2nd Sent. Should say "develop or approve"	Clarification has been made to Introduction.	No Action Needed
1.18	Introduction - Purpose for PSR-PDS	Guidance Team	8	Diane Morales	District 8	Page 1. Purpose for PSR-PDS, 1st Par., 3rd Sent. Remove 'a conceptual level project scope, alternatives'.	Clarification has been made to Introduction.	No Action Needed
1.19	Introduction - Purpose for PSR-PDS	Guidance Team	HQ	Gina Moran	Environmental	Page 1. Purpose for PSR-PDS, 1st Par, 3rd Sent. Should the sentence read 'through' the PA/ED phase. Currently reads to the PA/ED phase.	Clarification has been made to Introduction.	No Action Needed
1.20	Introduction - Purpose for PSR-PDS	Guidance Team	8	Diane Morales	District 8	Page 1, Purpose for PSR-PDS, 1st sent. on Page 2 - 'the required information'. What required information?	Clarification has been made to Introduction.	No Action Needed
1.21	Introduction - Purpose for PSR-PDS	Guidance Team	8	Diane Morales	District 8	Page 1, Purpose for PSR-PDS, Last Sent. on Page 2 - 'must be completed and is listed in this document'. Not clear.	Clarification has been made to Introduction.	No Action Needed
1.22	Introduction - Purpose for PSR-PDS	Guidance Team	12	Joseph Alcock	Orange County Transportation	Page 1. There should be a reference to later section(s) in this guidance where examples are cited that differentiate PSR-PDS from a traditional PSR.	Clarification has been made to Introduction.	No Action Needed
1.23	Introduction - Applicability	Guidance Team	8	Diane Morales	District 8	Page 2, Applicability. A statement is needed "that an agency may choose to use a PSR-Conceptual Approval or PSR/PR or other document within the PDDM as it is deemed appropriate for the desired outcome."	The guidance does not exclude from using other types of PIDs.	No Action Needed
1.24	Introduction - Applicability	Guidance Team	11	Jose Nuncio	San Diego Association of Governments/ TransNet	Page 2, Applicability, Last Sent. should read: 'These guidelines, although are not intended for use on local street and transit projects unrelated to the SHS or on STIP projects off the State highway system, have been found to be useful by other California agencies responsible for developing and delivering transportation improvement projects. '	Implied - change not necessary	No Action Needed
1.25	Introduction - Applicability	Guidance Team	4	Eugene Maeda	Valley Transportation Authority (VTA)	Page 2, Applicability. Include specific quotes and citations from the California government code that state the regulatory requirements for developing Project Initiation Documents (PIDs). For example, the development of Project Study Reports (PSRs) is cited in CA Government Code Section 65086 through Section 6506.5 as well as in other places such as Chapter 622 of the Statutes of 1997 (SB 45, Kopp) and Chapter 783 of the Statutes of 1999 (AB 1012, Torlakson). This code talks about "prepare(ing) a project study report for capacity-increasing state highway projects that are not included in the state transportation improvement program." It would be helpful for local agencies to see the legislation requirements and language in the PSR-PDS PID guidance so this can be communicated to their local councils and communities on the reasons for having to prepare PIDs. This legislative requirement above does not appear to apply to non-capacity increasing projects like providing access and connections.	Information provided elsewhere. See response to comment #1.1 - Change not necessary	No Action Needed

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	PSR-PDS PROCESS CHAPTER 2							
	ARTICLE 1 - GENERAL							
2.1	Process - General - Project Development Process	Project Management	7	Elaheh Yadegar	District 7	Page 3, Project Development Process. Caltrans Project Manager is resourced by COS. Will they support the K-Phase projects?	Yes, if you are allocated PID resources to do the work.	No Action Needed
2.2	Process - General - Project Development Process	Guidance Team	5	Rachel Moriconi	Santa Cruz County Regional Transportation Commission (SCCRTC)	Page 3, Project Development Process, 2nd Par., 1st and 2nd Sents. <i>The project development process may begins with conceptual studies (makes it seem like these studies are always required) and continues through to the completion of construction. The project development process is tied to legal requirements and melds engineering requirements established by whom?, a process for stakeholder and community input, and Caltrans approval steps with the environmental process...</i>	This section refers to project development process. Change not necessary.	No Action Needed
2.3	Process - General - Project Development Process	Guidance Team	HQ	Gina Moran	Environmental	Page 3. Project Development Process, 2nd Par., 2nd Sent. Reword to: The project development process merges legal requirements, engineering requirements, environmental requirements, a process for stakeholder and community input, and Caltrans management approvals (from http://www.dot.ca.gov/hq/oppd/pdp/pdp.htm).	See response to comment #2.2. Change not necessary.	No Action Needed
2.4	Process - General - Timing	Guidance Team	8	Diane Morales	District 8	Page 3, Timing. 1st Sent. Does this now exclude the use of the PSR/PR. Should it be removed from the PDPM?	The PSR-PR is covered in Chapter 9 - it is an option.	No Action Needed
2.5	Process - General - Timing	Guidance Team	5	Rachel Moriconi	Santa Cruz County Regional	Page 3, Timing. This should set up expectations (for both locals and Caltrans districts on how much time it should take to prepare a PID).	The local agencies are in control of developing the PSR-PDS.	No Action Needed
2.6	Process - General - Timing	Guidance Team	4	Eugene Maeda	Valley Transportation Authority (VTA)	Page 3, Timing. Include an estimated time to complete a PSR-PDS like 6 to 12 months depending on complexity of the project to provide certainty in the PID project schedule and cost. Local agencies need to provide assurance to their city councils that the PIDs they invest in will be successfully completed within the project budget and schedule.	Prefer to not specify time frame - keep project by project.	No Action Needed
2.7	Process - General - Timing	Guidance Team	8	Diane Morales	District 8	Page 3, Timing. 2nd Sent. What does this mean?	Clarification provided - responsible for developing a reasonable schedule.	Done
2.8	Process - General - Project Management	Guidance Team	5	Rachel Moriconi	Santa Cruz County Regional	Page 3, Project Management. Add to end of sentence: on the state highway system.	Modification made	Done
2.9	Process - General - Registered Civil Engineer	Project Management	7	Elaheh Yadegar Rachel Moriconi	District 7 and Santa Cruz County	Page 3, Registered Civil Engineer. If details are very limited, why Registered Engineer?	The PSR-PDS does provide an engineering analysis	No Action Needed
2.10	Process - General - Purpose and Need	Guidance Team	8	Diane Morales	District 8	Page 3, Purpose and Need. "Viable Alternatives" doesn't fit the streamline process. There should only be discussion of a solution and an order of magnitude estimates. The alternatives will be developed during the PA/ED with this streamlined process. We won't be developing alternatives only an "order of magnitude" cost so we can estimate resources for PA/ED.	A reasonable range of alternatives will be identified - each with an order of magnitude estimate.	No Action Needed
	ARTICLE 2 - PREPARATION PROCEDURES							
2.11	Process - Preparation Procedures	Guidance Team	8	Wendi Li	San Bernardino Associated Governments (SANBAG)	Page 4. Preparation Procedures. The overall tone of the PSR-PDS seems to be a high level planning document. However, the detailed description of each preparation procedure seems to lead the planning document to a more detailed study type of document. For example, the wording on page 8, #10 (Develop Alternatives) suggests detail level studies will be needed to achieve the expected result (avoid or minimize any impact; or must be studied...). Suggest using words that allow the PSR-PDS to serve as a planning document which identifies viable alternatives and their impacts and let the PA/ED level documents filter out preferred alternatives.	The PSR-PDS serves STIP, Long Lead SHOPP and locally funded projects and has to meet needs of each type of project.	No Action Needed
2.12	Process - Preparation Procedures	Guidance Team	8	Diane Morales	District 8	Page 4, Article 2, 1st. Par, 1st. Sent. 'This article describes the sequence of key activities and best practices that take place during the <i>project initiation phase</i> '. This is not for all PIDs - need to clarify.	In this context, the project initiation phase does apply to all PIDs.	No Action Needed
2.13	Process - Preparation Procedures	Guidance Team	8	Diane Morales	District 8	Page 4, Article 2, last Sent. Before #1. The statement is unclear.	Modification made. Moved paragraph to PID Template introduction, Chapter 6.	Done
	1. Work Programs for PSR-PDS Development							
2.1.0	Process - Preparation Procedures - Work Programs for PSR-PDS Development	Guidance Team	8	Pam Suszko	Design	Page 6, #1, Paragraph needs clarification.	Modifications made.	Done
2.1.1	Process - Preparation Procedures - Work Programs for PSR-PDS Development	Guidance Team	8	Diane Morales	District 8	Page 6, #1, last 3 paragraphs. Why is all of this necessary?	Modification made - deleted - not necessary.	Done

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	2. Pre-PID Meeting							
2.2.0	Process - Preparation Procedures - Pre PID Meeting	Guidance Team	HQ	Annette Clark	Guidance Team	Page 6, #2. Add bullet - Lead Agency - Steps needed when Caltrans is not the project sponsor but are the NEPA and/or CEQA lead. RESPONSE: Lead Agency - when Caltrans is the NEPA and/or CEQA lead agency. Pursuant to SAFETEA-LU Section 6004 and/or 6005, Caltrans is the NEPA lead agency. FHWA assigned, and Caltrans assumed, all of the United States Department of Transportation (USDOT) Secretary's responsibilities under NEPA (for more information please see http://www.dot.ca.gov/ser/vol1/sec6/ch38nepa/chap38.htm). NEPA lead cannot be delegated. Caltrans is the CEQA lead agency for improvements projects on the State Highway System. In limited cases, and only when it is in the best interests of the State, the Department may delegate CEQA lead agency status to a local agency. (for more information, please see http://www.dot.ca.gov/ser/downloads/memos/CEQA_Lead_Agency_24Jun04.pdf)	Modification made. See response in column to the left.	Done
2.2.1	Process - Preparation Procedures - Pre PID Meeting	Guidance Team	HQ	Annette Clark	Guidance Team	Page.6, #2. Include discussion on Cooperative Agreement.	Modification made - included on Charter bullet and moved to top of list.	Done
2.2.2	Process - Preparation Procedures - Pre PID Meeting	Guidance Team	8	Wendi Li	San Bernardino Associated Governments (SANBAG)	Page 6, #2, 1st. Par. And Page 6, 3rd bullet. Is the PID Charter necessary? Suggest screening out any additional approving documents unless they are absolutely necessary. This will prevent any delay caused by chasing signatures.	The Charter is necessary to discuss purpose and need, general issues, and validity of the project.	No Action Needed
2.2.3	Process - Preparation Procedures - Pre PID Meeting	Guidance Team	5	Rachel Moriconi	Santa Cruz County Regional Transportation Commission (SCCRTC)	Page 6, #2, 1st. Par. It is unclear why many of the items listed, including Project Charter, are necessary. What will be included in the charter? How long can we expect for one to take to develop?	Delays are related to disagreements regarding purpose and need of project. Identification of purpose and need is necessary to move forward with the project.	No Action Needed
2.2.4	Process - Preparation Procedures - Pre PID Meeting	Guidance Team	4	Eugene Maeda	Valley Transportation Authority (VTA)	Page 6, #2, 1st. Par. VTA is concerned with the impact to project budget and schedule to develop and approve PID Charters. This should not be a requirement of PSR-PDS. VTA recommends defining and documenting scope, schedule, and budget as part of the initial Project Development Team (PDT) efforts. Can the contents (e.g. PSR-PDS scope, cost, and schedule) of a PID Charter be replaced with a memo of understanding? If PID Charters are required, please include expectations in regards to the approval process and length of time to execute the charters (e.g. within 30 days).	The Charter reduces delays related to PID development.	No Action Needed
2.2.4.1	Process - Preparation Procedures - Pre PID Meeting	Guidance Team	HQ	Annette Clark	Guidance Team	Page 6, #2, 1st Par., last Sent. The Appendix does not include a sample agenda for the Pre-PID Meeting.	Deleted reference to agenda in Appendix and referenced bulleted items listed after par 2.	Done
2.2.5	Process - Preparation Procedures - Pre PID Meeting	Guidance Team	5	Rachel Moriconi	Santa Cruz County Regional Transportation	Page 6, #2, 3rd, 4th, and 5th bullets. Set the framework for agreeing on the design concept and scope; Agree on the basic design standards; Identify known deficiencies. Are these really essential at the PSR-PDS level?	Yes, see response to comments 2.2.2-2.2.4.	No Action Needed
2.2.6	Process - Preparation Procedures - Pre PID Meeting	Guidance Team	HQ	Kevin Herritt	Design	Page 6, #2, 4th bullet. Delete. <i>Agree on the basic design standards. When the project is on an existing facility, consideration must be given to improving existing features to current standards. Where justified, there may be cases where exceptions to other design standards may be considered.</i> The Department has standards and an agreement on what the standards should be is not advised.	Modifications made to clarify - changed design standards to design criteria.	Done
2.2.7	Process - Preparation Procedures - Pre PID Meeting	Guidance Team	5	Rachel Moriconi	Santa Cruz County Regional	Page 6, #2, 1st bullet. <i>Identify the funding sources, and if appropriate identify the cooperative features of the project.</i> What does cooperative features mean?	An exchange of money or services.	No Action Needed
2.2.8	Process - Preparation Procedures - Pre PID Meeting	Guidance Team	5	Rachel Moriconi	Santa Cruz County Regional Transportation	Page 6, #2, 4th bullet. <i>Develop the Conflict Management Plan.</i> Is there a sample? In general a major issue has been continual reviews. Need to establish limits to number of reviews.	The Conflict Management Plan is discussed in the communication plan that is identified in the Charter Innovation Checklist.	Pending
2.2.9	Process - Preparation Procedures - Pre PID Meeting	Guidance Team	4	Li Lin	District 4	Page 6, #2, 2nd Par. Purpose of the Pre-PID Meeting. Add an item: Establish a preliminary project team communication plan for contact persons, and communication channels.	The communication plan is identified in the Charter Innovation Checklist.	Pending
2.2.10	Process - Preparation Procedures - Pre PID Meeting	Guidance Team	4	Li Lin	District 4	Page 5, #2. This section also discusses engineering specifics of the design scope and exception to design standards. It should be noted that in a pre-PID meeting the level of detail necessary to support the discussion may not be available at this stage of PID development. Related discussions are normally covered in regular PDT meetings.	Modification made to clarify - changed design standards to design criteria.	Done

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2.2.11	Process - Preparation Procedures - Pre-PID Meeting	Guidance Team	5	Aileen Loe	District 5	Page 6, #2, 1st Par. The reference to 'complete charter' gives the perception that the charter is a checklist. Chartering should be emphasized as a tool for achieving agreement about the transportation problem, the purpose and need, evaluation criteria that will be used to compare alternatives, and identify a range of alternatives. The evaluating criteria must include negative/positive consequences to the SHS. Having this established ahead of time prevents the tendency to identify a solution before justifying a pre-selected outcome.	Modification made to clarify - changed to prepare and finalize.	Done
2.2.12	Process - Preparation Procedures - Pre-PID Meeting	Guidance Team	7	Elaheh Yadegar	District 7	Page 6, #2, 1st Par. Provide Charter.	Hyperlink to Charter has been provided in guidance.	No Action Needed
2.2.13	Process - Preparation Procedures - Pre-PID Meeting	Guidance Team	7	Elaheh Yadegar	District 7	Page 6, #2, 1st. Par. Developing and completing a project charter and conflict management plan requires more resources and is time consuming.	The Caltrans districts need to factor this work into the workload. For reimbursement work, Caltrans is working with the Dept. of Finance to get resources for putting together agreements and having pre-meetings. For State Highway Account funded work, the districts need to build the hours into their workload.	No Action Needed
2.2.14	Process - Preparation Procedures - Pre-PID Meeting	Guidance Team	8	Diane Morales	District 8	Page 6, #2, 2nd bullet. This should read "preliminary purpose and need".	The purpose of the Charter is to agree on the purpose and needed.	No Action Needed
2.2.15	Process - Preparation Procedures - Pre-PID Meeting	Guidance Team	4	Matt Lee	San Francisco County Transportation Authority	Page 6, #2, 3rd bullet. Replace design concept and design scope with project concept and project scope.	Project concept is related to purpose and need. Design concept is looking at specific alternatives. Provided clarification by referring to Chapter 9, Article 4 for definition.	Done
2.2.16	Process - Preparation Procedures - Pre-PID Meeting	Guidance Team	8	Diane Morales	District 8	Page 6, #2, bullets 3 and 4. This seems to be too much detail for a "streamlined" - PDS? It will require a lot of effort.	This section is not about the type of PID - bullets 3 and 4 deal with the deficiency.	No Action Needed
2.2.17	Process - Preparation Procedures - Pre-PID Meeting	Guidance Team	8	Diane Morales	District 8	Page 6, #2, last bullet. This information should be included in a risk plan as well.	The Conflict Management Plan addresses issues and is included in Charter. Will not be duplicated in Risk Plan.	No Action Needed
2.2.18	Process - Preparation Procedures - Pre PID Meeting and Authorization for PID Preparation	Guidance Team	4	Li Lin	District 4	Page 6 - 7, #2 and #3. Need clarification regarding the sequence of events. If the order of the section numbers are perceived as the sequence of events, then it should be reordered, especially for projects funded by others. It is because the Authorization of PID Preparation should come before the Pre-Meeting, and before the Authorization there should be a PID Cooperative Agreement.	No change necessary. The Pre-PID meeting is necessary for all agencies to agree to begin project.	No Action Needed
2.2.19	Process - Preparation Procedures - Pre PID Meeting	Guidance Team	7	Elaheh Yadegar	District 7	Pages 6-7 #2, Rounds of iterations are likely needed to establish: <ul style="list-style-type: none"> • Consensus of purpose and need – "The PDT must agree on the primary objectives ..." according to Chapter 2, Article 2, Section 5 on page 6 of the "8-5-11 PSR-PDS App__1.docx". • Agreement on basic design standards • Identify known deficiencies & use/complete the Design Scoping Index • Completion of the Charter, etc. What Project ID from the 40.50 resources should be charged to for the effort on pre-PID meetings? 	See response to comment #2.2.13.	No Action Needed
2.2.20	Process - Preparation Procedures - Pre PID Meeting	Guidance Team	11	Jose Nuncio	San Diego Association of Governments/ TransNet	Page 7, 1st bullet. Should read: 'Identify the potential funding sources and develop a funding plan. and-if appropriate identify the cooperative features of the project.	For clarification purposes - deleted bullet..	Done
2.2.21	Process - Preparation Procedures - Pre-PID Meeting	Guidance Team	8	Diane Morales	District 8	Page 7, #2, 2nd bullet. <i>Agree on the appropriate PID document to prepare.</i> Why? This section deals with a PDS.	For clarification purposes - deleted bullet..	Done
2.2.22	Process - Preparation Procedures - Pre PID Meeting	Guidance Team	4	Li Lin	District 4	Page 7, #2, last bullet. Provide a link to a sample Conflict Management Plan (from Caltrans Project Communication Handbook?).	For clarification purposes - deleted bullet..	Done
3. Authorization for PID Preparation								
2.3.1	Process - Preparation Procedures - Authorization for PID Preparation	Guidance Team	10	Pat Robledo	District 10	Page 7, #3. Will there be guidance on the process to follow in determining the number of hours needed by each functional unit to complete the PID? How are we to determine and document the number of hours for each functional unit?	This information is traced by the districts through EFIS.	No Action Needed
2.3.2	Process - Preparation Procedures - Authorization for PID Preparation	Guidance Team	10	Pat Robledo	District 10	Page 7, #3. The guidance needs to explain when and how DES and the District negotiate resource needs. In addition, the guidance should emphasize that the DES scope of work must be approved by the District PID Coordinator to avoid DES work being agreed to by others (i.e.. Design Senior) that has not been negotiated or approved.	For all PIDs, DES and the districts negotiate this amount. PID management can share the list with the district PID Managers before finalizing.	No Action Needed

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2.3.3	Process - Preparation Procedures - Authorization for PID Preparation	Guidance Team	10	Pat Robledo	District 10	Page 7, #3. The guidance needs to define what activities are allowed during the development of the PSR-PDS. (i.e.. In the past detailed land surveys were requested - should have been done in PA/ED). Reference Workplan Standards Guide for the Delivery of Capital Projects, Released 10.1 dated July 2009.	See Article 7, Page 63. Minimal field and office surveys are required. Added clarification to datum in Article 7.	Done
5. Form the Project Development Guidance Team								
2.4.1	Process - Preparation Procedures - Form the Project Development Team	Guidance Team	HQ	Annette Clark	Guidance Team	Page 8, #5. Change title to: Form the Project Development Team, Conduct and Participate in PDT Meetings	Understood that they will meet - change not necessary. Refer to	No Action Needed
2.4.2	Process - Preparation Procedures - Form the Project Development Team	Guidance Team	8	Diane Morales	District 8	Page 8, #5, 1st. Par. Statement not needed.	Change not necessary. Referred to only when needed .	No Action Needed
2.4.3	Process - Preparation Procedures - Form the Project Development Team	Guidance Team	4	Li Lin	District 4	Page 8, #5, 2nd par., 2nd Sent. Clarify if the requirement for value analysis is the same as the regular PSR. Also clarify whether the value analysis representative is needed for developing project purpose and need or for developing project alternatives.	Since a value analysis is only done on very large projects the Value Analysis member has been deleted to de-emphasize.	Done
2.4.4	Process - Preparation Procedures - Form the Project Development Team	Guidance Team	12	Joseph Alcock	Orange County Transportation Authority (OCTA)	Page 8, #5, 2nd par., 2nd Sent. Incorporation of Value Analysis should only be required if the project is large and complex.	See response to comment #2.4.3.	No Action Needed
2.4.4.1	Process - Preparation Procedures - Form the Project Development Team	Construction	5	Claudia Espino	District 5	Page 8, #5, 2nd Par. Construction is not included in PDT. If not at this stage, when is construction added to the team.	The guidance states 'other functional units as needed'.	No Action Needed
2.4.5	Process - Preparation Procedures - Form the Project Development Team	Guidance Team	8	Diane Morales	District 8	Page 8, #5, 2nd. Par. Use 'or' instead of 'and'. Not all need to be included in the PDT. Do not specify who shall attend, why 'Legal' as opposed to 'Environmental'.	Provided clarification by revising text to reflect language in Chapter 8.	Done
2.4.6	Process - Preparation Procedures - Form the Project Development Team	Guidance Team	5	Rachel Moriconi	Santa Cruz County Regional Transportation	Page 8, #5. The PDT seems to be too large for just getting a project to the environmental review phase. Consider reducing the number of people to only those essential to getting project ready for programming -- perhaps 2-3.	Adequate representation is needed. Change not necessary.	No Action Needed
2.4.7	Process - Preparation Procedures - Form the Project Development Team	Guidance Team	4	Eugene Maeda	Valley Transportation Authority (VTA)	Page 8, #5, 1st Sent. Why is the Caltrans District Director (DD) required to concur with members on the PDT for each project? The added time and effort to obtain this approval before work on the PID can begin is of concern. Can this authority be delegated to lower level management like a District Department Chief? VTA will assign its own Team members.	Not an official approval - no signature needed. Caltrans will need to review PDT members.	No Action Needed
6. Develop Consensus on the Project Purpose and Need								
2.5.1	Process - Preparation Procedures - Develop Consensus on the Project Purpose and Need	Guidance Team	8	Diane Morales	District 8	Page 8, #6, 3rd. Par. Value Analysis is not part of a "streamlined" PDS. Remove statement.8	Consider using tools - Value Analysis not necessary.	No Action Needed
7. Review of the Project Site in the Field								
2.6.1	Process - Preparation Procedures - Review of the Project Site in the Field	Guidance Team	4	Eugene Maeda	Valley Transportation Authority (VTA)	Page 9, #7. VTA supports the requirement that the project team conduct a field site review so everyone on the team has a mutual understanding of the existing conditions and the proposed project scope and scale.	Concur	No Action Needed
2.6.2	Process - Preparation Procedures - Review of the Project Site in the Field	Guidance Team	8	Diane Morales	District 8	Page 9, #7. Do we need to provide field reviews during the "streamline" IQA process? In the IQA process we just ensure that the Local Agency and its consultant have done the visits.	The PDT members conduct a field review. As approving agency, Caltrans does IQA when reviewing document. Streamlining the PSR-PDS is not to be confused with IQA.	No Action Needed
2.6.3	Process - Preparation Procedures - Review of the Project Site in the Field	Guidance Team	5	Rachel Moriconi	Santa Cruz County Regional	Page 9, #7, 2nd Par., 1st Sent. <i>In addition, it is important to incorporate Complete Streets...</i> Replace <i>important</i> with 'required'.	Complete Streets guidance will be followed. Change not necessary.	No Action Needed
4. Obtain and Review existing reports, studies, mapping. (Renumbered from 7 to 4)								
2.7.1	Process - Preparation Procedures - Obtain and Review existing reports, studies, mapping...	Guidance Team	HQ	Annette Clark	Guidance Team	Page 7, #4. Change to #4 and renumber Chapter.	Modification made	Done

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2.7.2	Process - Preparation Procedures - Obtain and Review existing reports, studies, mapping...	Guidance Team	HQ	Curtis Burfield	Surveys	Page 7, #4, 1st Par. Modify Par. as follows: To adequately prepare a PSR-PDS, it is essential to obtain the best available and most current maps and plans, including right of way maps and as-built plans. Ideally, three dimensional (3-D) digital data; e.g., MicroStation design files, Digital Elevation Models (DEMs), Digital Terrain Models (DTMs) should be used. Other resources include Digital Highway Inventory Photography Program (DHIPP) images, aerial photography mosaics, orthophotography, LiDAR, and Google Earth. This information serves as the basis for the conceptual design, development of preliminary alternatives, quantities and estimates, and exhibits. The use of GIS and visualization software to collect and view the data is encouraged. Minimal field and office survey activities may be performed to collect new data or transform existing data to the project datum and units. Refer to the Survey Needs Questionnaire found in Chapter 5, Article 8 of this Appendix for details on datums.	Modification made.	Done
2.7.3	Process - Preparation Procedures - Obtain and Review existing reports, studies, mapping...	Surveys	4	Li Lin	District 4	Page 7, #4, 1st Par., 3rd Sent. Clarify whether or not the Survey Needs Questionnaire is for survey needs in the next phase. If so, the reference to this questionnaire does not flow well with this paragraph's central idea - to use existing data to develop the scope. This reference should be stated in Section 8 or elsewhere.	Minimal field and office survey activities may be performed to collect new data or transform existing data to the project datum and units. Section 7 and the Survey Needs Questionnaire (Art. 7 Summary) has been modified to clarify.	Done
2.7.4	Process - Preparation Procedures - Obtain and Review existing reports, studies, mapping...	Guidance Team	5	Rachel Moriconi	Santa Cruz County Regional	Page 7, #4, 1st Par., 2nd Sent. Need to clarify whether the PSR-PDS includes alternatives or not. Not clear.	A reasonable range of alternatives needs to be identified. Change not necessary.	No Action Needed
2.7.5	Process - Preparation Procedures - Obtain and Review existing reports, studies, mapping...	Guidance Team	5	Rachel Moriconi	Santa Cruz County Regional Transportation Commission (SCCRTC)	Page 7, #4, 1st. Par. Last two sentences. Is this level of mapping essential?	Yes, the information is essential for identifying the information for the mapping needed for the PSR-PDS.	No Action Needed
2.7.6	Process - Preparation Procedures - Obtain and Review existing reports, studies, mapping...	Guidance Team	5	John Fouche	District 5	Page 7, #4, 2nd Sent.. <i>This mapping will be used for the development of preliminary alternatives.</i> Does the guidance mean viable alternatives? Or not well defined?	Clarification provided - changed to viable.	Done
2.7.7	Process - Preparation Procedures - Obtain and Review existing reports, studies, mapping...	Design	5	Claudia Espino	District 5	Page 7, #4. Reference made to 3-D Microstation design files - should consider to changing to something more generic. Design is moving towards Civil 3-D, which is Auto Cad and we still have Microstation as well.	This actually is the generic version. The terms DEM and DTM are industry-wide terms, not specific to any software. The Microstation contract has been extended or five years. It will continue to be the drafting platform for some time, even though Caltrans is converting to Civil 3D for design purposes,	No Action Needed
2.7.8	Process - Preparation Procedures - Obtain and Review existing reports, studies, mapping...	Guidance Team	8	Diane Morales	District 8	Page 7, #4, 1st. Par. This has been the biggest complaint by local Agencies. Need to provide a statement on how local agencies will address the issue if mapping is not available.	If mapping is not available - it will be discussed during the Pre-PID meeting - no great effort needed.	No Action Needed
2.7.9	Process - Preparation Procedures - Obtain and Review existing reports, studies, mapping...	Guidance Team	HQ	Scott Sauer	Mass Trans	Page 7, #4, Par. 2. Add short and long range transit plans to the list of plans that need to be reviewed..	Addressed through Transportation Planning Scoping Information Sheet	No Action Needed
8. Identify additional data requirements for project scoping.								
2.8.1	Process - Preparation Procedures - Identify additional data requirements for project scoping.	Guidance Team	HQ	Annette Clark	Guidance Team	Page 9, #8. Change language to address Risks instead of referring to Scoping tools.	Identifying information needed to properly scope. Risks are documented through the Risk Register.	No Action Needed
2.8.2	Process - Preparation Procedures - Identify additional data requirements for project scoping.	Guidance Team	5	John Fouche	District 5	Page 9, #8, 2nd Sent.. <i>...along with the DIB 78 Design Checklist.</i> This is a great tool for design.	The DIB is more appropriately addressed at the PA/ED level. DIB 78 is a very detailed checklist - too detailed for the PR-PDS.	No Action Needed
2.8.3	Process - Preparation Procedures - Identify additional data requirements for project scoping.	Guidance Team	5	Rachel Moriconi	Santa Cruz County Regional Transportation	Page 9, #8, 2nd par. <i>See the PDWT Flow Chart P01-P31 and Flow Chart P32-P62 for further guidance on identifying data requirements.</i> What level of detail is essential for programming purposes at the PID stage?	Level of detail needed to determine resources needed to complete PA/ED.	No Action Needed
9. Perform the Initial Engineering Studies								
2.9.1	Process - Preparation Procedures - Perform the Initial Engineering Studies	Guidance Team	HQ	Guidance Team	HQ	Page 10, #9. Change title from Perform the Initial Engineering Studies to: Analyze Existing Data.	Modification made - Perform the Initial Engineering Analysis.	Done

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2.9.2	Process - Preparation Procedures - Perform the Initial Engineering Studies	Guidance Team	5	John Fouche	District 5	Page 10, #9. , 1st Sent. <i>For the PSR-PDS, alternatives will not be well defined</i> . This is in conflict with Item 10.	Clarification provided -The alternative development effort should focus on identifying the project factors that must be studied or resolved in PA/ED. For further clarification - combined 9 and 10 and titled: 'Perform the Initial Engineering Analysis and Develop Alternatives.'	Done
2.9.3.1	Process - Preparation Procedures - Perform the Initial Engineering Studies	Guidance Team	HQ	Pam Suszko	Design	Page 10, #9, last Sent. Delete ' The use of the document is to gain approval of the project to begin PA/ED'.	Modification made	Done
2.9.3	Process - Preparation Procedures - Perform the Initial Engineering Studies	Guidance Team	8	Diane Morales	District 8	Page 10, #9, last sent. The PSR-PDS does not provide “approval of the project” with a PDS. Need to define the usefulness of the document.	Modification made - see response to comment #2.9.3.1	No Action Needed
2.9.4	Process - Preparation Procedures - Perform the Initial Engineering Studies	Guidance Team	5	Rachel Moriconi	Santa Cruz County Regional Transportation	Page 10, #9. Why is this required during the PSR-PDS phase? What type of initial engineer studies? Preliminary footprint identification?	Clarification provided, see response to comment #2.9.2 - changed studies to analysis.	No Action Needed
9. Develop Alternatives								
2.10.1	Process - Preparation Procedures - Develop Alternatives	Guidance Team	5	Claudia Espino	District 5	Page 10, #9, Add another bullet - capable of functioning adequately per Caltrans standards and policies.	Modification made - added bullet: All feasible alternatives capable of functioning adequately per Caltrans policies.	Done
2.10.2	Process - Preparation Procedures - Develop Alternatives	Guidance Team	HQ	Kevin Herritt	Design	Page 10, #9, 3rd Par., 1st Sent. Add will meet design standards. <i>Develop viable alternatives that will satisfy the project purpose and need, are cost effective, will meet design standards, and will avoid or minimize environmental and right of way impacts.</i>	Will discuss a list of alternatives with design coordinator. Change not necessary.	No Action Needed
2.10.3	Process - Preparation Procedures - Develop Alternatives	Guidance Team	5	John Fouche	District 5	Page 10, #9, 3rd Par, 1st Sent. <i>Develop viable alternatives..</i> Should read reasonable alternatives. They are not viable until the Design Exception Fact Sheets are approved. It appears that significant engineering is to be performed - while saying the alternatives are not well defined.	Change not necessary. Referred to only when needed .	No Action Needed
2.10.4	Process - Preparation Procedures - Develop Alternatives	Guidance Team	10	Pat Robledo	District 10	Page 10, #9, 3rd Par., 2nd Sent. 'Involve the community early'. How will this be achieved during the PSR-PDS phase? Should this be completed in PA/ED?	Clarification provided - changed to stakeholder.	No Action Needed
2.10.5	Process - Preparation Procedures - Develop Alternatives	Guidance Team	4	Eugene Maeda	Valley Transportation Authority (VTA)	Page 10, #9 4th Par, 1st Sent. The key areas identified as “must be analyzed” for alternatives in PID’s is too detailed for the proposed PSR-PDS. There should be an added sentence that states something like “The information provided for the alternatives should be commensurate with the PSR-PDS level...” noting that the additional analysis would follow in the PA/ED phase.	Clarification provided - changed analyzed to considered.	Done
2.10.6	Process - Preparation Procedures - Develop Alternatives	Guidance Team	8	Diane Morales	District 8	Page 10, #9. This is the current process, the way it is done now. This will not streamline the process. We should not be developing viable alternatives at this stage. Only a “recommended improvement” or “scope” and an order of magnitude cost estimate.	A range of alternatives must be considered - with order of magnitude cost estimates.	No Action Needed
2.10.7	Process - Preparation Procedures - Develop Alternatives	Guidance Team	7	Elaheh Yadegar	District 7	Pages 10, #9. Significant IQA resources and iterations of reviews are needed to obtain consensus on alternatives being developed on the basis of environmental compliance, structures, ... , local and regional input, right of way, design standards, etc. In addition, this section also calls for PEAR (for each feasible alternative) to be prepared with the guidance from SER. An ISA is also called for when project includes purchase of R/W, excavation, and/or structure demolition or modification (the majority of projects fits into the requirement of an ISA).	A PEAR is necessary to scope the environmental work in the Project Report Phase. A PEAR is not necessary for each alternative.	No Action Needed
2.10.8	Process - Preparation Procedures - Develop Alternatives	Traffic Operations	11	Chi Vargas	District 11	Page 10, #9. The majority of STIP PSR-PDS work involves capacity increasing. A stronger emphasis should be placed on the traffic analysis. If reductions in congestion or travel times savings cannot be shown, odds are that you will not have a project.	Agreed. Planning level traffic analysis will be used for PSR-PDS. The PA/ED Phase will include traffic studies that identify needed traffic operations improvements.	No Action Needed
2.10.9	Process - Preparation Procedures - Develop Alternatives	Guidance Team	5	Rachel Moriconi	Santa Cruz County Regional Transportation	Page 10, #9. Should limit to general description of options considered for area...	A range of alternatives must be considered - with order of magnitude cost estimates.	No Action Needed
A. Environmental								
2.10.10	Process - Preparation Procedures - Develop Alternatives - Environmental	Guidance Team	HQ	Gina Moran	Environmental	Page 10-11, #9 A, Environmental. This should be moved to the section below and made item A (rather than under Design Standards).	Modifications made.	Done
2.10.11	Process - Preparation Procedures - Develop Alternatives - Environmental	Environmental	5	Rachel Moriconi	Santa Cruz County Regional Transportation	Page 10-11, #9 A. Is a PEAR essential for each alternative? We question there necessity for a programming document, especially since this information will be identified during environmental review to occur during PA/ED.	See response to comment # 2.10.7. A PEAR is not necessary for each alternative.	No Action Needed

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2.10.12	Process - Preparation Procedures - Develop Alternatives - Environmental	Environmental	4	Eugene Maeda	Valley Transportation Authority (VTA)	Page 10-11, #9 A. VTA is concerned with being required to prepare PEARS for each alternative as stated in the Draft PSR-PDS. This appears to conflict with the memorandum regarding "PID and PEAR" dated July 28, 2011 from Chief of Environmental Management Office that clarifies the level of detail required for PEARS for PSR-PDS. This should be referenced in the PSR-PDS PID guidance and in Article 6 - PEAR, p. 57. The recently revised PEAR checklist is very detailed. To minimize potential confusion, an explanation on the level of detail for the PSR-PDS should also be added at beginning of the PEAR checklist.	Refer to guidance dated July 2011 - only requiring a 5-15 page PEAR. http://www.dot.ca.gov/ser/downloads/memos/pid_pe arclarification.pdf	No Action Needed
2.10.13	Process - Preparation Procedures - Develop Alternatives - Environmental	Environmental	8	Wendi Li	San Bernardino Associated	Pages 10-11, #9 A. Suggest streamlining the PEAR further to the level that is comparable to the PSR-PDS planning document.	See response to comment 2.10.12	No Action Needed
2.10.14	Process - Preparation Procedures - Develop Alternatives - Environmental	Environmental	5	John Fouche	District 5	Page 10-11 #9 A, 1st Par., 1st Sent. <i>The environmental unit prepares a PEAR.</i> The PEAR should not be formatted as a stand-alone document, a lot of redundant information is included which just adds cost and no value.	See response to comment 2.10.12. The information is needed to communicate necessary information to environmental staff. The PEAR needs to be an attachment so PID reviewers have access to the document.	No Action Needed
2.10.15	Process - Preparation Procedures - Develop Alternatives - Environmental	Environmental	4	Li Lin	District 4	Page 10-11, #9 A, Environmental, 1st Par. For projects funded by others, clarify whether Caltrans' environmental unit will be responsible for the PEAR production or not.	For projects sponsored by others, the implementing agency assigns/contracts with an environmental team to complete the PEAR. Clarification provided.	Done
2.10.16	Process - Preparation Procedures - Develop Alternatives - Environmental	Environmental	5	Claudia Espino	District 5	Page 10-11, #9 A. Under the Environmental heading there should be clarification on who prepares the PEAR when a project is sponsored by a local agency. There should also be a note that even when it is prepared by the City's (or other non-Caltrans project sponsor) consultant, Caltrans review and approval is needed.	See response to comment 2.10.15.	No Action Needed
2.10.17	Process - Preparation Procedures - Develop Alternatives - Environmental	Guidance Team	HQ	Gina Moran	Environmental	Page 10-11, #9 A 1st. Par, 1st Sent. Change to: <i>The environmental unit prepares a preliminary environmental analysis report (PEAR) that includes each feasible alternative.</i>	Modification made.	Done
2.10.18	Process - Preparation Procedures - Develop Alternatives - Environmental	Guidance Team	HQ	Gina Moran	Environmental	Page 10-11 #9 A , 5th Bullet. Add: (ISA) after <i>initial site assessment</i> .	Modification made.	Done
2.10.19	Process - Preparation Procedures - Develop Alternatives - Environmental	Guidance Team	HQ	Gina Moran	Environmental	Page 10-11, #9 A, 6th bullet. Add: Required or anticipated permits.	Modification made.	Done
2.10.20	Process - Preparation Procedures - Develop Alternatives - Environmental	Guidance Team	HQ	Gina Moran	Environmental	Page 10-11, #9 A Par. after last bullet, 2nd Sent. Delete 2nd Sent: ' <i>The SER includes information that environmental units need to develop the PEAR.</i> '	Modification made.	Done
2.10.21	Process - Preparation Procedures - Develop Alternatives - Environmental	Guidance Team	HQ	Gina Moran	Environmental	Page 10-11, #9 A, 2nd Par. after last bullet. The link does not provide further information on developing alternatives. Provide the following direct link: http://www.caltrans.ca.gov/hq/oppd/pdwt/revise/p34.htm	Modification made.	Done
2.10.22	Process - Preparation Procedures - Develop Alternatives - Environmental	Environmental	4	Li Lin	District 4	Page 10-11, #9 A, Environmental, 5th bullet. Clarify if this is the requirement for PSR-PDS regardless of the size of project.	The size of the project doesn't matter - what does matter is the purchase of right of way.	No Action Needed
2.10.23	Process - Preparation Procedures - Develop Alternatives - Environmental	Environmental	5	Claudia Espino	District 5	Page 10-11, #9 A, 6th bullet states that the PEAR includes permits and approvals. The PID stage is too early for permits and approvals.	See response to comment 2.10.19.	No Action Needed
2.10.24	Process - Preparation Procedures - Develop Alternatives - Environmental	Environmental	7	Elaheh Yadegar	District 7	Page 10-11, #9 A. The guidance states "the environmental unit prepares a preliminary environmental analysis report (PEAR) for each feasible alternative." If the intent is to prepare one PEAR for each alternative, why?	See response to comment 2.10.11	No Action Needed
2.10.25	Process - Preparation Procedures - Develop Alternatives - Environmental	Environmental	8	Diane Morales	District 8	Page 10-11, #9 A. Developing a PEAR will not streamline the process. A checklist or similar document should be used.	A PEAR is necessary to scope the environmental work in the Project Report Phase. Streamlined guidance described the minimum required work .http://www.dot.ca.gov/ser/downloads/memos/pid_pe arclarification.pdf	No Action Needed
2.10.26	Process - Preparation Procedures - Develop Alternatives - Environmental	Environmental	5	Rachel Moriconi	Santa Cruz County Regional	Page 10-11, #9 A, Environmental , Alternatives. This seems too detailed for purpose of starting PA/ED.	See response to comment 2.10.12.	No Action Needed
B. Design Standards								
2.10.27	Process - Preparation Procedures- Develop Alternatives - Design Standards	Design	HQ	Kevin Herritt	Design	Page 11, #9 B. Failure to garnish conceptual approval of design exceptions at this stage could be a fatal flaw.	Need to identify design exceptions - do not need to be concurred with coordinator.	No Action Needed

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2.10.28	Process - Preparation Procedures- Develop Alternatives - Design Standards	Design	11	Jose Nuncio	San Diego Association of Governments/ TransNet	Page 11, #9 B. Minimum levels of preliminary engineering (PE) need to be discussed here. The Highway Design Manual is great for final design, not good for PE. Good PE is needed for the development of good cost estimates, see below. Design (PE) guidance needs to go beyond the identification of potential design exceptions.	PSR-PDS Design Scoping tool checklist uses the Design Manual to address PE. The capital (construction and right of way) estimates are order of magnitude.	No Action Needed
2.10.29	Process - Preparation Procedures- Develop Alternatives - Design Standards	Design	4	Matt Lee	San Francisco County Transportation Authority	Page 11, #9 B, after 1st Sent. Insert: Detailed draft mandatory and advisory design Fact Sheets are not required at this stage in the process but rather a listing of the anticipated design standards that may likely be deviated from. Delete last sentence: Follow district procedures for reviewing and documenting advisory design exceptions.	Agree. Modification made to clarify that Fact Sheets are not required in the PSR-PDS, and that only a listing of anticipated design standards that may likely be deviated from is required. For clarification removed mandatory and advisory.	Done
2.10.30	Process - Preparation Procedures- Develop Alternatives - Design Standards	Design	5	John Fouche	District 5	Page 11, #9 B, 2nd Sent. <i>Establishment of a project-specific strategy to evaluate mandatory design exceptions for various alternatives should be agreed upon with the Headquarters Design coordinator early in the project initiation process .</i> Should just follow the process and be consistent.	Agreed. Modification made to discuss (not agree upon) with the Headquarters Design coordinator, Also, see response to comment 2.10.29.	Done
2.10.31	Process - Preparation Procedures - Develop Alternatives - Design Standards	Design	5	Claudia Espino	District 5	Page 11, #9 B.. It is not clear if design exceptions must be approved during the PID phase. If so, more than the 2 iterations will be required - do not have a flexible HQ Design Coordinator.	Design exceptions approvals are made during the PA/ED phase. Modification made to clarify.	Done
2.10.32	Process - Preparation Procedures - Develop Alternatives - Design Standards	Design	7	Elaheh Yadegar and Joseph Alcock	District 7 and Orange County Transportation Authority (OCTA)	Page 11, #9 B.. The guidance should clearly indicate that mandatory and advisory fact sheets are not required during the PID phase. The requirement of design exception fact sheets in PDS documents is not appropriate at the high-level of analysis being performed in the PDS.	Agreed. See response to comment 2.10.29	No Action Needed
2.10.33	Process - Preparation Procedures - Develop Alternatives - Design Standards	Design	4	Eugene Maeda	Valley Transportation Authority (VTA)	Page 11, #9 B. There should only be a discussion needed here to identify major mandatory design exceptions that could be potential fatal flaws. Geometric Approval Design (GAD) and Fact Sheets level of detail should not be required for PSR-PDS as this is further analyzed in PA/ED.	Agreed. See response to comment 2.10.29	No Action Needed
2.10.34	Process - Preparation Procedures - Develop Alternatives - Design Standards	Design	7	Elaheh Yadegar	District 7	Page 11, #9 B. In District 7, most of the freeways have non standards; therefore a mandatory fact sheet would be required.	Fact sheets are not required.	No Action Needed
2.10.35	Process - Preparation Procedures - Develop Alternatives - Design Standards	Design	7	Elaheh Yadegar	District 7	Page 11, #9 B.. Should specify that Non-Standard Advisory and Mandatory Fact Sheets will not be done during PSR-PDS. HQ Development Coordinator will need to provide input HQ Structures input should be sought on this	Agreed. See responses to comments 2.10.29 and 2.10.30	No Action Needed
2.10.36	Process - Preparation Procedures - Develop Alternatives - Design Standards	Design	7	Elaheh Yadegar	District 7	Page 11, #9 B. This section states: "... deviations from mandatory and advisory design standards shall be identified and described" and "... exceptions for various alternatives should be agreed upon with the HQ Design Coordinator...". It takes numerous meetings and iterations between the Consultants and Caltrans staff to achieve agreement. In addition, coordination with FHWA is also needed when federal-aid funding is anticipated or interstate system is involved. Significant IQA resources and time could be exhausted on this effort.	Agreed. See responses to comments 2.10.29 and 2.10.30.	No Action Needed
2.10.37	Process - Preparation Procedures - Develop Alternatives - Design Standards	Design	8	Diane Morales	District 8	Page 11, #9 B. Not enough detail developed in the -PDS to determine what exceptions will be necessary.	A discussion of potential design exceptions doesn't need to be detailed - a general discussion is acceptable.	No Action Needed
2.10.38	Process - Preparation Procedures - Develop Alternatives	Guidance Team	HQ	Annette Clark	Guidance Team	Page 11, #9 B. Add separate Subtitle for Traffic Engineering.	Agreed. Added language similar to 2.10.8 with reference to Chapter 5, Article 5.	Done
2.10.39	Process - Preparation Procedures - Develop Alternatives	Guidance Team	HQ	Annette Clark	Guidance Team	Page 11, #9 B. Add separate Subtitle for Traffic Engineering.	Addressed under comment 2.10.38	No Action Needed
C. Structures								
2.10.40	Process - Preparation Procedures - Develop Alternatives - Structures	Structures	4	Li Lin	District 4	Page 11, #9 C. Clarify what "these" refer to.	These refers to a "Structure PSR/PDS Cost Estimate", which is the PSR-PDS deliverable from DES - Structure	No Action Needed
2.10.41	Process - Preparation Procedures - Develop Alternatives - Structures	Structures	11	Chi Vargas	District 11	Page 11, #9 C. General Comment. Should have a specific section or subsection on Structures - Summarize existing condition of each structure - year built, vertical clearance, etc. The APS is one item that is required for a PSR but not a PSR-PDS.	This information will be provided as part of the "Structure PSR/PDS Cost Estimate" transmittal	No Action Needed
2.10.42	Process - Preparation Procedures - Develop Alternatives - Structures	Structures	11	Chi Vargas	District 11	Page 11, #9 C. General Comment. Should have a specific section or subsection on Structural Section - Quick summary of recommended mix designs and LCCA.	"B. Structures" pertains to bridge and retaining wall work. It does not pertain to roadway section, pavement	No Action Needed
2.10.43	Process - Preparation Procedures- Develop Alternatives - Structures	Structures	5	Rachel Moriconi	Santa Cruz County Regional	Page 11, #9 C, 1st Par. Design Scoping Index: Could this level of scoping instead wait until the PA/ED phase?	The level of structure scope development is preliminary and required to properly evaluate resources needs for	No Action Needed

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2.10.44	Process - Preparation Procedures - Develop Alternatives - Structures	Structures	7	Elaheh Yadegar	District 7	Page 11, #9 C, 2nd Par. Clarify - Does this mean No DES scoping? Checklist will be required If State funds are to be used for PA/ED Support.	A DES scoping checklist is required for all projects.	No Action Needed
2.10.45	Process - Preparation Procedures - Develop Alternatives - Structures	Guidance Team	HQ	Pam Suszko	Design	Page 11, #9 C, 1st. Sent. Delete last paragraph, and add the following to end of 1st sentence: however, the level of detail is limited to information required to develop accurate work plans for the PA/ED phase.	Change not necessary	No Action Needed
10. Develop Cost Estimates								
2.11.1	Process - Preparation Procedures - Develop Cost Estimates	Guidance Team	HQ	Gina Moran	Environmental	Page 13, #10, 1st. Sent. Need to define 'order of magnitude'.	Defined in Chapter 4., PSR-PDS Estimates	No Action Needed
2.11.2	Process - Preparation Procedures - Develop Cost Estimates	Guidance Team	8	Diane Morales	District 8	Page 13, #10, last sent. How do you develop a detailed cost estimate without a geometric drawing.	Local Agency may elect to utilize a more detailed capital cost estimate using a method of their choice.	No Action Needed
2.11.3	Process - Preparation Procedures - Develop Cost Estimates	Guidance Team	11	Jose Nuncio	San Diego Association of Governments/ TransNet	Page 13, #10. The guidance provided in Chapter 4 of the appendix should address the prevalent problem of bad budgeting practices. Simply stating that PSR-PDS should not be used for programming capital funds ignores the political realities of having to program capital funds when only a PSR-PDS is available (most times not even that is available). Great guidance and ideas are available in in the TRB-NCHRP Report 574 "Guidance of Cost Estimation and Management for Highway Projects During Planning, Programming, and Preconstruction". It is recommended that this section and Chapter 4 of the appendix be expanded to include techniques for improving estimating accuracy. Minimum levels of effort required for programming capital budgets should be discussed. Guidance on how to effectively communicate the accuracy and assumptions of the PSR-PDS cost estimates also needs to be provided.	Local Agency may elect to utilize a more detailed capital cost estimate using a method of their choice. The PSR-PDS is used to begin PA/ED as soon as possible. The PSR is the mechanism to program State capital funds.	No Action Needed
2.11.4	Process - Preparation Procedures - Develop Cost Estimates	Guidance Team	HQ	Annette Clark	Guidance Team	Page 13, #10. Discuss PDT participation.	Change not necessary	No Action Needed
11. Develop Schedules								
2.12.1	Process - Develop Schedules	Guidance Team	11	Jose Nuncio	San Diego Association of Governments/ TransNet	Page 13, #11. Change to read: Develop a schedule for delivery of the major milestones of the project including Draft Environmental Document, Final Environmental Document, Advertise, Award, Open-to-Traffic, and Close Out. Clearly identify the duration between the major milestones. The duration is the key information as the milestone date will be heavily dependent upon the availability of funding. Provide a summary of the assumptions that have gone into the schedule durations and milestones. phase for PA/ED and general dates for PS&E and Construction.	PDT can modify	No Action Needed
2.12.2	Process - Develop Schedules	Guidance Team	HQ	Annette Clark	Guidance Team	Page 13, #11. Discuss PDT participation.	Change not necessary	No Action Needed
12. Risks (Renumbered from 13 to 12)								
2.13.1	Process - Preparation Procedures - Risks	Guidance Team	5	Claudia Espino	District 5	Page 13-14, #12. Should state that the local agency is responsible for creating and maintaining the risk register.	Modification Made	Done
2.13.2	Process - Preparation Procedures - Risks	Guidance Team	12	Joseph Alcock	Orange County Transportation Authority (OCTA)	Page 13-14, #12. The requirement of design exception fact sheets in PDS documents is not appropriate at the high-level of analysis being performed in the PDS.	Detailed draft advisory design fact sheets are not required at this stage in the process. Refer to Article 2, #10 A	No Action Needed
2.13.3	Process - Preparation Procedures - Risks	Guidance Team	7	Elaheh Yadegar	District 7	Page 13-14, #12. Do risk assessment mtg during QA mtg at the end of project and also PM should note all risk assessment for next phase.	Refer to risk register	No Action Needed
2.13.4	Process - Preparation Procedures - Risks	Guidance Team	8	Diane Morales	District 8	Page 13-14, #12, 2nd Sent. Delete 'to the various disciplines within the PSR-PDS'.	Clarifies that the risks are procedural for the various disciplines.	No Action Needed
2.13.5	Process - Preparation Procedures - Risks	Guidance Team	8	Diane Morales	District 8	Page 13-14, #12, 2nd to the last Sent. What does 'ownership of the risk must be identified.' mean? Why not state that the project sponsor assumes all risk.	Modification made to clarify - deleted within the PSR-PDS.	Done

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2.13.6	Process - Preparation Procedures - Risks	Design	11	Jose Nuncio	San Diego Association of Governments/ TransNet	Page 13-14, #12, should read: Potential risks to scope, schedule, and budget shall be evaluated and discussed by the PDT. Ownership of the risks shall be identified. Risk factors shall be used to establish the project cost estimate and the appropriate level of contingency. Refer to Chapter 5, Article 10 of this appendix for the Risk Register template. This template shall be included in the PSR-PDS. Using the PSR-PDS in lieu of a PSR may cause risks to the scope cost and schedule of the project. A risk assessment for the process and potential impacts to the overall project needs to be completed to identify, classify and quantify the risk impacts to the various disciplines within the PSR-PDS. Additionally, the ownership of the risk must be identified. This information needs to be summarized within the PSR-PDS. Refer to Chapter 5, Article 10 of this appendix for the Risk Register template.	Risks identified are in relation to meeting PA/ED only. Modification made to clarify that potential risks shall be evaluated and discussed by the PDT, and ownership of the risks shall be identified.	Done
13. Quality Assurance/Quality Control Plan (Renumbered from 14 to 13)								
2.14.1	Process - Preparation Procedures - Quality Assurance/Quality Control Plan.	Guidance Team	HQ	Annette Clark	Guidance Team	Page 14, #13. Quality Assurance/Quality Control Plan. Change title and text to Quality Plan.	Title changed to Quality Management Plan	Done
2.14.2	Process - Preparation Procedures - Quality Assurance/Quality Control Plan.	Guidance Team	HQ	Gina Moran	Environmental	Page 14, #13. Quality Assurance/Quality Control Plan. Should the title be changed to Independent Quality Assurance/Quality Control Plan?	Title changed to Quality Management Plan	Done
2.14.3	Process - Preparation Procedures - Quality Assurance/Quality Control Plan.	Guidance Team	HQ	Gina Moran	Environmental	Page 14, #13, 1st. Sent. Is ' <i>Projects sponsored by others</i> ' different than projects funded by others?	Sponsored by others and implementing agency are defined in the cooperative agreement.	Done
14. Complete PID								
2.15.1	Process - Preparation Procedures - Complete PID	Guidance Team	8	Diane Morales	District 8	Page 14, #14, Complete PID. 1st. Sent. We do not have the detail in the PDS.	Clarification provided - to evaluate feasible alternatives and impacts.	Done
15. Caltrans District Review and Approval								
2.16.1	Process - Preparation Procedures - Caltrans District Review and Approval	Guidance Team	4	Li Lin	District 4	Page 14, #15, Paragraphs 1-3. Clarify 30 days or 60 days.	Clarification made. The first submittal has a 60 day review. Revisions (whether the first revision or any subsequent revisions) must be reviewed within 30 days of submittal of the revised PID. These time frames only hold if reviewing the PIDs do not jeopardize the delivery of any STIP projects.	Done
2.16.2	Process - Preparation Procedures - Caltrans District Review and Approval	Guidance Team	8	Diane Morales	District 8	Page 14, #15, 4th Par, 1st Sent. Add 'initial scope'.	Change not necessary	No Action Needed
2.16.3	Process - Preparation Procedures - Caltrans District Review and Approval	Guidance Team	7	Elaheh Yadegar	District 7	Page 14, #15. Before the actual PID review, the QC/QA Plan and multiple scoping indices/templates are needed to be established. 70 out of the total 128 pages of the PSR-PDS Preparation Guidelines are used to provide guidance on these items. Some scoping indices/templates require assistance from Caltrans expertise function. As an example, the DES Scoping Index requires assistance and recommendation from HQ DES liaison engineer to complete as stated in Chapter 2, Article 2, Section 10, Subsection B on page 9. Significant IQA resources are needed to establish these materials and obtain concurrence between the local agency and Caltrans.	Agree - addressed during development of scope and in the Charter.	No Action Needed
2.16.4	Process - Preparation Procedures - Caltrans District Review and Approval	Guidance Team	7	Elaheh Yadegar	District 7	Page 14, #15. Should be Cost Range of Capital and Cost for PA/ED Support	Generic terms	No Action Needed
2.16.5	Process - Preparation Procedures - Caltrans District Review and Approval	Guidance Team	5	Rachel Moriconi	Santa Cruz County Regional Transportation Commission (SCCRTC)	Page 14, #15. SCCRTC is concerned that this could result in a never-ending process of reviews. The guidelines need to establish the means to ensure that reviews actually will result in a successfully completed document in a timely manner. Some agencies in the state have felt that Caltrans reviewers were not focused on completing the PID and moving forward with project implementation. There needs to be a clear way to get closure or limit the number of rounds of comments from CTs. SCCRTC recommends having someone at Caltrans Headquarters as a point person that could impose deadlines and restrictions on a review process. The guidelines needs to include overall timeline guarantees and clear guidance about Caltrans acceptance of the PID.	The intent of the PSR-PDS guidance is to streamline the PSR-PDS development process. IQA assists local entities with QA/QC during the development of the PID.	No Action Needed

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2.16.6	Process - Preparation Procedures - Caltrans District Review and Approval	Guidance Team	5	Rachel Moriconi	Santa Cruz County Regional Transportation Commission (SCCRTC)	Page 14, #15. Requirements for PID content should not change throughout the process, otherwise a PID could take several years to complete, as an agency is required to constantly respond to ever changing rules and requirements.	Change not necessary	No Action Needed
2.16.7	Process - Preparation Procedures - Caltrans District Review and Approval	Guidance Team	5	Rachel Moriconi	Santa Cruz County Regional Transportation Commission (SCCRTC)	Page 14, #15. Recommend that caps on cost to locals for Caltrans review and oversight of PID be included. Similar to contracted planning work, there should be limits on the total cost of the PID.	Change not necessary	No Action Needed
2.16.8	Process - Preparation Procedures - Caltrans District Review and Approval	Guidance Team	5	Rachel Moriconi	Santa Cruz County Regional Transportation Commission (SCCRTC)	Page 14, #15. Caltrans should consider delegating oversight and approval of PIDs to local agencies for local-lead projects. Caltrans will have the opportunity to review projects extensively during the environmental, design, and construction phases; as well as part of the PR prior to programming any state funds to right-of-way or construction.	Defined in statute - Caltrans is required to review and approve PIDs.	No Action Needed
2.16.9	Process - Preparation Procedures - Caltrans District Review and Approval	Guidance Team	5	Rachel Moriconi	Santa Cruz County Regional Transportation	Page 14, #15, 1st Par. <i>Statutes require Caltrans to review, and if appropriate, approve all PIDs prepared by a local agency for the STIP within 60 days of submittal of the PID.</i> What about for non-STIP projects?	See response to comment 2.16.1.	No Action Needed
2.16.10	Process - Preparation Procedures - Caltrans District Review and Approval	Guidance Team	5	Rachel Moriconi	Santa Cruz County Regional	Page 14, #15, last Par. This could end up being an endless loop. There needs to be more clarification on how to end the cycle.	Change not necessary	No Action Needed
OUTLINE for PSR-PDS CHAPTER 3								
Outline - General								
3.1	Outline - General	Guidance Team	HQ 12 HQ	Kevin Herritt Ferdinand Agbayani Erik Blankenburg	Design District 12 ROW/Surveys	Page 15. The Outline and the templates in Chapter 6 do not match. Specifically, the outline on pages 18 and 19 include #7-9, however Chapter 6 PID Templates omits #7, 8, and 9. Need to make sure these are consistent and depending on need for the PID either include in the PID template or remove/revise from the outline.	Modifications made to PID templates.	Done
3.2	Outline - General	Guidance Team	4	Li Lin	District 4	Page 13, 1st. Par., 2nd Sent. Suggest instead of a decision-making document - reword to: As a scoping document, the PSR-PDS...	Modification made to clarify - added initial scoping and resourcing.	Done
3.3	Outline - General	Guidance Team	8	Diane Morales	District 8	Page 15, 1st. Par., 2nd Sent. The PDS is not a decision making document. It is an initial scoping and resourcing document.	See response to comment #3.2	No Action Needed
3.4	Outline - General	Guidance Team	7	Elaheh Yadegar	District 7	Page 15, 1st Par. What does it mean by "important information"? Need to list.	Change not necessary	No Action Needed
3.5	Outline - General	Guidance Team	8	Diane Morales	District 8	Page 15, 2nd Par., last Sent. After templates add 'only' and delete 'and does not provide any value to the report'.	Change not necessary	No Action Needed
Outline - Cover Documents								
3.6	Outline - Title Sheet	Guidance Team	5	Claudia Espino	District 5	Page 15, Title Sheet. Add explanation of what the DD's signature represents (i.e.. conceptual approval, viable alternatives).	Bulleted points identify what the DD's signature represents.	No Action Needed
3.7	Outline - Title Sheet	Guidance Team	7	Elaheh Yadegar	District 7	Page 15, Title Sheet. Plans, Specifications, and Estimate Bullet. Streamlined PSR-PDS should not be used to program PS&E, it should be only for next phase PA/ED	Modification made	Done
3.8	Outline - Title Sheet	Right of Way	7	Elaheh Yadegar	District 7	Page 15. Title Sheet, 1st par. under Figure 1. District Deputy Director for Right of Way (R/W) should sign off that the R/W estimate is accurate. Construction costs and R/W capital are the only capital costs being estimated.	The District Deputy Director of Right of Way should sign before the Right of Way capital is programmed, but the PSR-PDS does not program Right of Way capital.	Done
3.9	Outline - Title Sheet	Guidance Team	HQ	Scott Sauer	Mass Trans	Page 15. Title Sheet, Vicinity Map. Include transit services (bus routes, light rail routes, and heavy rail routes) as appropriate.	Appropriate only if transit is scope of project	No Action Needed
3.10	Outline - Title Sheet	Guidance Team	7	Elaheh Yadegar	District 7	Page 15, Title Sheet, bullet top of page. <i>Authorize a cooperative agreement</i> . This can be done with a CAR?	Done within the cooperative agreement	No Action Needed
3.11	Outline - Title Sheet	Guidance Team	HQ	Gina Moran	Environmental	Page 15. Par. After 2nd bullet. Change to: <i>The following figure shows depicts an example title sheet with the of describing the reason for the PSR-PDS clearly shown on the title sheet.</i>	Modification made	Done
3.12	Outline - Title Sheet	Guidance Tea,	HQ	Pam Suszko	Design	Page 15, Title Sheet, Add bullet after 1st bullet at top of page: Request scope approval of projects-funded-by-others (as defined in Chapter9)	Modification made	Done
Outline - Main Body of PID								

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	1. Outline - Introduction							
3.1.1	Outline - Introduction	Guidance Team	HQ	Kevin Herritt	Design	Page 17, #1. Add as first bullet: The problem.	Modification made	Done
3.1.2	Outline - Introduction	Guidance Team	8	Diane Morales	District 8	Page 17, #1, 2nd bullet. Reword to: 'Magnitude of cost for the improvement'.	Alternatives are identified not an improvement.	No Action Needed
3.1.3	Outline - Introduction	Guidance Team	HQ	Bob Hull	Project Management	Page 17, #1, 2nd bullet. Insert 'capital' in front of costs.	Modification made	Done
3.1.4	Outline - Introduction	Guidance Team	8	Diane Morales	District 8	Page 17, #1, last bullet. Reword to: Delete 'each alternative' and add 'a range of alternatives to be developed later during PA/ED'.	A range of alternatives are discussed.	No Action Needed
	2. Outline - Background							
3.2.1	Outline - Background and Purpose and Need	Guidance Team	5	Claudia Espino	District 5	Page 17, #2 & #3, The first statement in Background and Purpose and Need are redundant.	Modification made to clarify.	Done
	3. Outline - Purpose and Need							
3.3.1	Outline - Purpose and Need	Guidance Team	8	Diane Morales	District 8	Page 17-18, #3, 1st. Sent. The statement is not clear.	This level of detail is not needed in outline section of guidance - refer to Art. 2, # 5.	No Action Needed
3.3.2	Outline - Purpose and Need	Environmental	5	Claudia Espino	District 5	Page 17-18, # 3. Should add reference to http://www.dot.ca.gov/hq/env/emo/purpose_need.htm since the page provides more detail than the link that is used.	Modification made	Done
3.3.3	Outline - Purpose and Need	Guidance Team	5	Claudia Espino	District 5	Page 17-18, #3, Guidance states that the PDT must develop the Purpose and Need. This process is likely to change the assumption on how many PDT meetings will be required. Agreement on Purpose and Need will take months if not handled in meetings.	Established at Pre-PID meeting and development of Charter	No Action Needed
3.3.4	Outline - Purpose and Need	Guidance Team	8	Diane Morales	District 8	Page 17-18, #3, Need. Last Sent. Delete: 'of this data'.	Modification Made	Done
3.3.5	Outline - Purpose and Need	Guidance Team	8	Diane Morales	District 8	Page 17-18, #3, Purpose. 1st sent. Reword to: The project purpose is the set of project objectives that will be met, which used to addresses the transportation deficiency (i.e., the project need). It is important to identify the primary and secondary objectives that are met by this project. While...	Change not necessary	No Action Needed
3.3.6	Outline - Purpose and Need	Guidance Team	HQ	Gina Moran	Environmental	Page 17-18. Purpose. 2nd. Sent. Add: bolded: <i>primary and transportation related objectives of the project.</i>	Change not necessary	No Action Needed
	5. Outline - Deficiencies (Renumbered from 4 to 5)							
3.4.1	Outline - Deficiencies	Guidance Team	8	Diane Morales	District 8	Page 19, #5, 2nd Par., 2nd Sent. Delete: 'When appropriate'. This is always done.	Change not necessary	No Action Needed
3.4.2	Outline - Deficiencies	Traffic Operations	11	Chi Vargas	District 11	Page 19, #5. In the STIP template you have "Deficiencies Pages 108 and 123. It is followed by a Traffic Engineering Assessment section. Should rename Deficiencies section to 'Project Analysis' or combine with Traffic Engineering Assessment section. Deficiencies is a subjective term. A roadway operating at LOS E is one district might be OK but considered deficient in another. In congested metro areas LOS F is acceptable if travel times are considered "reasonable," but LOS F in a rural areas is not acceptable.	Agree. Traffic Analysis moved below alternatives and added to Chapter 3 below Alternatives.	Done
	6. Outline - Corridor and System Coordination							
3.5.1	Outline - Corridor and System Coordination	Guidance Team	4	Li Lin	District 4	Page 19, #6. Add Corridor System Management Plan to the bulleted list.	Modification made	Done
3.5.2	Outline - Corridor and System Coordination	Guidance Team	HQ	Scott Sauer	Mass Trans	Page 19, #6. Add a bullet for 'Short- and Long-Range Transit Plans'.	Modification made	Done
3.5.3	Outline - Corridor and System Coordination	Guidance Team	7	Elaheh Yadegar	District 7	Page 19, #6, 3rd Par. The justification of a project that requires a new public road connection (modification of access control) requires traffic analysis and/or modeling. The IQA effort and time to achieve concurrence from Caltrans is usually significant through multiple iterations and meetings among the Consultants, FHWA, and Caltrans.	This is work covered in the Project Report phase.	No Action Needed
	7. Outline - Alternatives							
3.6.1	Outline - Alternatives	Guidance Team	5	Claudia Espino	District 5	Page 20-21, #7, 2nd bullet. It is not clear if design exceptions must be approved in the PID phase. If so, more than the 2 iterations will be required - do not have a flexible HQ Design Coordinator.	This level of detail is not needed in outline section of guidance - refer to Art. 2, #10 A, Page 10.	No Action Needed

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3.6.2	Outline - Alternatives	Guidance Team	5	Claudia Espino	District 5	Page 20-21, #7, 2nd bullet. The last statement of the 2nd bullet and the next paragraph are redundant. It states that all viable alternatives should be carried forward. How will we agree that all viable alternatives have been identified? Some will be determined to not be feasible in the PID phase.	Clarification provided - All alternatives that address the purpose and need will be carried forward to PA/ED	Done
3.6.3	Outline - Alternatives	Guidance Team	HQ	Kevin Herritt	Design	Page 20-21, #7, 2nd bullet, 1st Sent. Add bolded language. An Alternative(s) which meets current design standards or an alternative with deviations from mandatory and advisory design standards which the Project Development Coordinator concurs with shall be identified and described.	Need to discuss with coordinator - concur with - is not necessary.	No Action Needed
3.6.4	Outline - Alternatives	Guidance Team	4	Li Lin	District 4	Page 20-21, #7. If local sponsor assures ownership of all risks for 100% locally funded projects, it is suggested that Caltrans should just allow deferral of nonstandard features and other detail operational studies in the next phase. The lack of detail studies to justify the need for design exceptions is always associated with sponsor's budget constraints.	Agreed - except to identify fatal flaws at this stage.	No Action Needed
3.6.5	Outline - Alternatives	Guidance Team	4	Li Lin	District 4	Page 20-21, #7, 3rd bullet. Clarify if "resources" are in terms of PYs for each office or in terms of tasks stated in the WBS.	No change needed to PSR-PDS guidance.	No Action Needed
3.6.6	Outline - Alternatives	Traffic Management	4	Li Lin	District 4	Page 20-21, #7, last bullet. Where is the full closure checklist?	Briefly discuss any constructability issues or concerns for example full closure and staged construction (refer to Traffic Engineering Assessment, Chapter 5, Article 5 of this appendix). Clarification added to #6.	Done
3.6.7	Outline - Alternatives	Guidance Team	7	Elaheh Yadegar	District 7	Page 20-21 #7. 6th bullet. Clarify - does it mean that PSR-PDS can have only Non-Std alternatives. Is the standard alternative mandatory?	See response to comment 2.10.29. Design exceptions are approved during PA/ED.	No Action Needed
3.6.8	Outline - Alternatives	Guidance Team	7	Elaheh Yadegar	District 7	Page 20-21, #7, Last Par. Define design scope. Do you mean project scope?	No change needed to PSR-PDS guidance.	No Action Needed
3.6.9	Outline - Alternatives	Guidance Team	7	Elaheh Yadegar	District 7	Page 20-21. #7. Resource to HQ Design. Discuss the design exception needs and justification to HQ Coordinator.	No change needed to PSR-PDS guidance.	No Action Needed
3.6.10	Outline - Alternatives	Guidance Team	8	Diane Morales	District 8	Page 20-21, #7. 2nd bullet and last two paragraphs. This should be streamlined - just discuss a solution and an order of magnitude estimate.	A range of alternatives are discussed.	No Action Needed
3.6.11	Outline - Alternatives	Guidance Team	5	Rachel Moriconi	Santa Cruz County Regional	Page 20-21, #7. Alternatives. Is this essential for programming? Smaller projects do not typically include alternatives analysis in the CEQA/NEPA phase.	Yes, a range of alternatives is essential for programming.	No Action Needed
3.6.12	Outline - Alternatives	Guidance Team	8	Diane Morales	District 8	Page 120-21 #7, bulleted items (topics for consideration for each alternative). This should be streamlined - just discuss a solution and an order of magnitude estimate.	A range of alternatives are discussed.	No Action Needed
3.6.13	Outline - Alternatives	Traffic Operations	8	Diane Morales	District 8	Page 20-21, #7, 2nd bullet. How can alternatives be evaluated if traffic analysis is not performed?	Alternatives are not evaluated in PSR-PDS -they will be evaluated in the Project Report Phase. All viable alternatives that seem to address the purpose and need will be carried forward to PA/ED. Clarification added to #6.	Done
3.6.14	Outline - Alternatives	Guidance Team	8	Diane Morales	District 8	Page 20-21, #7, 4th bullet. Delete bullet. 'Discuss the strategy for developing alternatives'	A range of alternatives are discussed.	No Action Needed
3.6.15	Outline - Alternatives	Guidance Team	8	Diane Morales	District 8	Page 20-21, #7, 5th bullet. 'Discuss which studies and actions are required for approval of each alternative' Delete: 'of each alternative'.	Each alternative is discussed.	No Action Needed
3.6.16	Outline - Alternatives	Guidance Team	8	Diane Morales	District 8	Page 20-21, #7, 6th bullet. 'Discuss whether the project...' Replace: 'alternative' with: 'project'.	Each alternative is discussed.	No Action Needed
3.6.16.1	Outline - Alternatives	Guidance Team	HQ	Pam Suszko	Design	Page 20-21 #7, 6th bullet, 2nd Sent. Reword to: If a project alternative requires a design exception approval during the PID phase , discuss the design exception in the PSR-PDS .	Modification made	No Action Needed
3.6.17	Outline - Alternatives	Design	5	Claudia Espino	District 5	Page 20-21 #7, 6th bullet. Who decides if the project requires Design Exception approval at this stage - HQ Design Coordinator, the District, the locals?	Design exceptions approvals are made during the PA/ED phase.	No Action Needed
3.6.18	Outline - Alternatives	Design	5	Claudia Espino	District 5	Page 20-21, #7, 7th bullet. Delete: 'of each alternative'.	Need an order of magnitude estimate developed for each alternative.	No Action Needed
3.6.19	Outline - Alternatives	Design	5	Claudia Espino	District 5	Page 20-21, #7, 8th bullet. Delete: 'for each alternative'.	Need to discuss BMPs for each alternative.	No Action Needed
3.6.20	Outline - Alternatives	Stormwater	5	John Fouche	District 5	Page 20-21, #7, 8th bullet. Delete bullet on Stormwater. The cost estimate is not intended for construction purposes and is a range of cost, resources needed are part of the engineering required, the SWDR is not needed for a PDS, a statement that the project will comply with the permit should be sufficient.	Change not necessary. The SWDR that is required is a pared down version.	No Action Needed

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3.6.21	Outline - Alternatives	Stormwater	12	Joseph Alcock	Orange County Transportation Authority (OCTA)	Page20-21, #7, 8th bullet, and page 35, Stormwater Documentation. Additional clarification on stormwater data requirements would help, so that agencies do not over expend resources on issues that may be resolved by the time they are advanced to PA/ED phase.	Agreed. Look for training rollout and refer to Stormwater Documentation Scoping Tool located in Chapter 5, Article 3.	No Action Needed
3.6.22	Outline - Alternatives	Traffic Management	5	Claudia Espino	District 5	Page 20-21, #7, last bullet. References a full closure checklist for the alternatives. What and where is the checklist?	See response to comment 3.6.6	No Action Needed
8. Outline - Right of Way								
3.7.1	Outline - Right of Way	Right of Way	7	Elaheh Yadegar	District 7	Page 21, #8. R/W Signature Needed?	Right of Way signature would be needed only if we plan to program Right of Way capital. The PSR-PDS only programs through PA/ED.	No Action Needed
3.7.2	Outline - Right of Way	Right of Way	12	Joseph Alcock	Orange County Transportation Authority (OCTA)	Page 21, #8. In terms of Right of Way, it is important to emphasize that individual parcel information should not be included during the PID phase since it could lead to inverse condemnation claims.	Agreed. Need to ensure specific parcel detail is not included.	No Action Needed
3.7.3	Outline - Right of Way	Right of Way	7	Elaheh Yadegar	District 7	Pages 21 #8. For projects where potential HW sites will be acquired for the project, it is important to conduct environment due diligent to identify potential cleanup cost for R/W negotiation and acquisition purpose. Additionally, right of entry permit should be adequately secured by Right of way Division to conduct the appropriate parcel environmental site assessment (ISA) and site investigation (SI). It is important to provide viable alternative at PSR-PDS to minimize/eliminate the risk of acquiring contaminated properties.	HW studies and testing may be premature at the PID stage (especially if we are trying to streamline), but identification of potential contaminated sites is very important and could have a huge impact on the project.	No Action Needed
3.7.4	Outline - Right of Way	Guidance Team	8	Diane Morales	District 8	Page 21 #8. Right of Way . Delete - too detailed for a PDS. Also, we have no geometrics to be able to develop mapping.	A general footprint is needed .	No Action Needed
3.7.5	Outline - Right of Way, Utilities, and Railroad	Guidance Team	7	Elaheh Yadegar	District 7	Page 21 #8. Both Utilities and Railroads are under the R/W estimate. They should be sub headings under R/W so you have three components 1). R/W Property Requirements, R/W Utility Involvements, R/W Railroad Involvements.	Modification made - consolidated bullets under Right of Way.	Done
8. Utilities								
3.8.1	Outline - Utilities	Right of Way/Utilities	8	Diane Morales	District 8	Page 21 #8. Utilities. Delete - too detailed for a PDS. Also, we have no geometrics to be able to develop mapping.	A general footprint is needed .	No Action Needed
3.8.2	Outline - Utilities	Right of Way/Utilities	5	Rachel Moriconi	Santa Cruz County Regional Transportation Commission (SCRTC)	Page 21 #8. Is this essential for programming phase?	Capital and support programming for utility relocation will be included in the Right of Way phase.	No Action Needed
8. Outline - Railroad								
3.9.1	Outline - Railroad	Right of Way	7	Elaheh Yadegar	District 7	Page 21. #8. Any easement required on railroad property shall require environmental due diligent which include the appropriate ISA and SI to evaluate and delineate the extent of contamination (if any) prior to acquisition.	Railroad properties should be identified as possible HW sites.	No Action Needed
3.9.2	Add a new Item under #9 - Transit Facilities and Services	Guidance Team	7	Scott Sauer	Mass Trans	Page 21 #8. Add a new number 10 (under railroad): Transit Facilities and Services. Identify transit facilities (bus stops, light rail tracks, etc.) and services (bus routes and light rail routes) in the vicinity of the project and indicate possible impacts as appropriate.	Considered under Transportation Planning Scoping Information Sheet	No Action Needed
9. Outline - Stakeholder Involvement								
3.10.1	Outline - Stakeholder Involvement	Guidance Team	5	Claudia Espino	District 5	Page 21 #9. Need a better explanation as to the depth of stakeholder involvement that is required at this stage. Local agencies will not want to take the time/money to have a public meeting at this stage of the process.	Guidance is intended to be flexible. Level of stakeholder involvement is determined by the local agency.	No Action Needed
10. Outline - Environmental Determination/Documentation								
3.11.1	Outline - Environmental Determination Documentation	Environmental	4	Li Lin and Diane Morales	District 4 and District 8	Page 22, #10 Verify whether PEAR and QC plan are required attachments. If so please add to the list on Page 22.	The PEAR is a required attachment and is summarized in the PSR-PDS. The Quality Management Plan is an optional attachment and is summarized in the PSR-PDS.	No Action Needed
3.11.2	Outline - Environmental Determination Documentation	Environmental	5	Rachel Moriconi	Santa Cruz County Regional	Page 22, #10. Is this essential? Won't the initial study during PA/ED address what type of document to pursue?	Yes, this documentation is needed by project sponsor and Caltrans environmental staff	No Action Needed

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3.11.3	Outline - Environmental Determination Documentation	Guidance Team	HQ	Gina Moran	Environmental	Page 22, #10. Reword par. : <i>Summarize the information provided in the PEAR . The PEAR includes a section titled "Summary Statement for PSR or PSR-PDS" which can be directly incorporated into the PSR-PDS. Please refer to the Standard Environmental Reference (SER) for further guidance on the PEAR. A-The PEAR is both summarized in the PSR-PDS and shall be completed and is an attachment to the PSR-PDS and summarized within the report.</i>	Modification made.	Done
11. Outline - Funding								
3.12.1	Outline - Funding - Capital Estimate	Guidance Team	4	Li Lin	District 4	Page 22, #11, Last Par., 3rd Sent. Remove the word STIP.	Modification made.	Done
3.12.2	Outline - Funding - Capital Estimate	Guidance Team	7	Elaheh Yadegar	District 7	Page 22, #11. It is recommended that the Cooperative Agreement should include the appropriate provisions stipulating the responsible parties for HM-1 and HM-2 materials. The project sponsor (i.e. local agency) should be responsible for all waste generation and shall sign all manifests for waste disposal. Additionally, an environmental indemnification agreement shall be executed and be part of the Cooperative Agreement to indemnify the Department for all present and future hazardous materials/substances.	Refer to Cooperative Agreement Manual: http://onramp.dot.ca.gov/hq/design/coop/coopmanual.php	No Action Needed
3.12.3	Outline - Funding - Capital Estimate	Guidance Team	HQ	Bob Hull	Project Management	Page 22, #11, 1st Par. Change to: Estimate the resources support costs that will be needed to complete future support components for the PA/ED phase.	Modification made	Done
3.12.4	Outline - Funding - Capital Estimate	Guidance Team	HQ	Bob Hull	Project Management	Peg 22, #11, 3rd Par. Replace 'Table' with 'estimate'.	Modification made	Done
3.12.4.1	Outline - Funding - Capital Estimate	Guidance Team	HQ	Pam Suszko	Design	Page 22, #11, 3rd Par. 'If Caltrans will be performing oversight for IQA, a Capital Support estimate should be included'	Clarification provided - deleted sentence - not needed.	Done
3.12.5	Outline - Funding - Capital Estimate	Guidance Team	4	Matt Lee	San Francisco County Transportation Authority	Page 22, #11 Reword 1st paragraph to add language in bold: ' Prepare a detailed Estimate of the resources (including man-hours and all other estimated support related costs) that will be needed to complete future support components for the PA/ED phase. This is a critical component of the PSR-PDS. This estimate will be used as the basis for future PA/ED support cost programming decisions. A detailed estimate should be included as an attachment in the PSR-PDS. ' General comment: It is critical that this information be included and implemented to be successful. Historically the estimates have been underestimated or support cost estimates have been blown through, possibly because there is not enough detail in the PSR-PDS estimate. In some cases, it may be from underestimating the level of effort. It has also been compounded due to an inability to control costs with effective project management cost control practices.	Change not necessary.	No Action Needed
12. Outline - Schedule								
3.13.1	Outline - Schedule	Environmental	7	Elaheh Yadegar	District 7	Page 22, #12. The project schedule should provide adequate time needed for environmental site assessment (ISA) and site investigation (SI). The major delay typically stems from the inability of the Department to obtain the necessary access agreement/entry permit to conduct environmental investigations in a timely manner.	This is a best practice that is addressed elsewhere. A schedule should be developed that accounts for likely risks (risk register - scoping tool).	No Action Needed
13. FHWA Coordination								
3.14.1	Outline - FHWA Coordination	Guidance Team	5	Claudia Espino	District 5	Page 23, #13. In the last year or so, due to lack of state funds, oversight, local agency STIP projects have been federalized. How long will this concurrence take? Who's paying for coordination with FHWA? Is this really necessary?	Clarification provided - FHWA coordination is done in PA/ED phase. Also see response to comment 3.14.4.	Done
3.14.2	Outline - FHWA Coordination	Guidance Team	8	Diane Morales	District 8	Page 23, #13. There should be no coordination during this streamlined process. Discuss coordination w FHWA after development of alternatives during the PA/ED stage.	Agreed. Clarification provided. Also see response to comment 3.14.4.	Done.
3.14.3	Outline - FHWA Coordination	Guidance Team	8	Diane Morales	District 8	Page 22, #13. 2nd Par, beginning with 'This Report....'. These reports should not be reviewed by FHWA. Do not include this statement.	Clarification provided. Also see response to comment 3.14.4.	Done

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3.14.4	Outline - FHWA Coordination	Guidance Team	8	Diane Morales	District 8	Page 22, #13. 1st bullet. Delete: ' <i>unsigned supplemental PSR or an</i> '. There will be no acceptability determination since we will not be following the DIB77.	DIB77 is completed in the Project Report phase. The PE needs to coordinate with the FHWA liaison as to the documentation and reporting needs. This information will drive project report resources and schedule. Clarification provided to guidance - If interstate access is being added or modified, the process to request FHWA approval is deferred to PA/ED. FHWA approval will be given after the NEPA process is complete.	Done
3.14.5	Outline - FHWA Coordination	Guidance Team	HQ	Gina Moran	Environmental	Page 22, #13, 4th Par., Last Sent. The link 'www.dot.ca.gov/hq/TransPrg/' is broken.	Modification made	Done
3.14.6	Outline - FHWA Coordination	Guidance Team	HQ	Gina Moran	Environmental	Page 22, #13 4th Par., Last Sent. After the link, the sentence should read: ' to determine if a project specific emission analysis needs to be made to quality for CMAQ funding. ' Currently reads: <i>and if a project specific emission analysis needs to be made to qualify for CMAQ funding.</i>	Modification made	Done
3.14.7	Outline - FHWA Coordination	Guidance Team	HQ	Gina Moran	Environmental	Page 22, #13, 1st bullet, 1st Sent. Replace with bolded language from the statement provided in the PSR template which is more clear: "Submittal of an unsigned PSR or an unsigned Project Report to FHWA is required to request federal "engineering and operational acceptability" determination of a new or modified access to the Interstate. Federal "engineering and operational acceptability" determination must be obtained prior to circulation of the environmental document." Currently reads: For a PSR-PDS a FHWA "engineering and operational acceptability" must be obtained early in the PA/ED phase with an unsigned supplemental PSR or an unsigned draft Project Report	Addressed with comment 3.14.4. Clarification also made to guidance - For a PSR-PDS a FHWA "engineering and operational acceptability" must be obtained early in the PA&/ED phase prior to circulation of draft environmental document	Done
3.14.8	Outline - FHWA Coordination	Guidance Team	HQ	Gina Moran	Environmental	Page 22, #13, 1st bullet, last Sent. Change wording to: <i>FHWA "approval" will be given concurrently with the completion of completing the planning and environmental NEPA National Environmental Policy Act processes.</i>	Addressed with comment 3.14.7	No Action Needed
15. Project Reviews								
3.15.1	Outline - Project Reviews	Guidance Team	5	Rachel Moriconi	Santa Cruz County Regional	Page 24, #15. Need to set limits no cost and timing for reviews.	This section lists the reviews that have been completed.	No Action Needed
16. Outline - Attachments								
3.17.1	Outline - Attachments	Guidance Team	4	Eugene Maeda	Valley Transportation Authority (VTA)	Page 24, #16. VTA supports the Div. of Engineering Services Scoping Checklist, Advance Planning Study, Fact Sheets and Preliminary Traffic Engineering Assessment. The reference to optional attachments (data/analysis) should be noted in the respective sections of the PDPM for consistency.	Concur - Change not necessary.	No Action Needed
3.17.2	Outline - Attachments	Guidance Team	8	Diane Morales	District 8	Page 24, #16. What about traffic studies?	The PSR-PDS includes a preliminary traffic assessment. Traffic studies will be done in the Project Report Phase.	No Action Needed
3.17.2.1	Outline - Attachments	Guidance Team	HQ	Mary Beth Herritt	Design	Page 24, #16. Optional Attachments. For clarification, delete parenthetical statement: 'These attachments are not required and should only be requested or completed as needed'.	Modification made.	Done
3.17.3	Outline - Attachments	Guidance Team	5	Hank Myers	Transportation Agency for Monterey County (TAMC)	Page 24, #16. It appears that even with the streamlined process, there remains a potential to get bogged down by the level of effort and /or detail required that may exceed what is actually needed for a truly effective streamlined process. Caltrans should be flexible in their evaluation as to the appropriate inclusion of specific reports and information, particularly for detailed traffic analysis and studies and for detailed environmental studies.	The guidance is intended to only request the level of information needed to determine support costs needed for PA/ED.	No Action Needed
Required Attachments								
3.17.4	Outline - Attachments - Typical Cross Sections	Guidance Team	8	Diane Morales and Rachel Moriconi	District 8 Santa Cruz County	Page 24, #16. Typical Cross Sections. Should be an optional attachment.	Typical cross sections are needed.	No Action Needed

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3.17.5	Outline - Attachments - PEAR	Guidance Team	4	Li Lin	District 4	Page 24, #16. Verify whether PEAR and QC plan are required attachments. If so please add to the list.	The PEAR is a required attachment. The Quality Management Plan is an optional attachment and is summarized in the PSR-PDS.	No Action Needed
3.17.6	Outline - Attachments - PEAR	Environmental	5 8	Claudia Espino Moran Morales Suszko Gina Diane Pam	District 5 HQ Environmental District 8 Design	Page 24, #16. Add Bullet - Include PEAR as an attachment (D5 and HQ Environmental). Add PEAR or checklist (D8).	Modification made.	Done
3.17.7	Outline - Attachments - Project Support Cost Estimate	Guidance Team	4	Li Lin	District 4	Page 24, #16. Add reference to "Preliminary Project Cost Estimate Summary" in the PDPM if that is what the intended format.	Modification made.	Done
3.17.8	Outline - Attachments - Project Support Cost Estimate	Guidance Team	5	Hank Myers and Rachel Moriconi	Transportation Agency for Monterey County (TAMC) and	Page 24, #16. Project Support Cost Estimate. It is not clear who would be responsible for the capital support estimates for estimated PY's. Would Caltrans determine the project development costs needed to develop PA/ED or would the Agency be required to do this?	The implementing agency.	No Action Needed
3.17.9	Outline - Attachments - Project Support Cost Estimate	Guidance Team	5	Hank Myers	Transportation Agency for Monterey County (TAMC)	Page 24, #16. Project Support Cost Estimate. What controls, if any, would Agencies have on the costs or limits of costs that Caltrans would expend on capital support for a project (if agency funding is required)?	The implementing agency.	No Action Needed
3.17.9.1	Outline - Attachments - Project Support Cost Estimate	Guidance Team	5	Annette Clark	Guidance Team	Page 24, #16. To clarify - modify Approved Cost Estimate - further guidance should be provided.	Modification made to: Approved Cost Estimate for Each Alternative (see Chapter 4)	Done
3.17.10	Outline - Attachments - Transportation Planning Scoping Information Sheet	Guidance Team	5	Rachel Moriconi		Page 24, #16. Transportation Planning Scoping Information Sheet. Is this essential?	Yes, necessary to provide PDT with information related to interested stakeholders and ensure consistency with local and state Complete Streets and multimodal transportation plans.	No Action Needed
3.17.11	Outline - Attachments - Right of Way Conceptual Cost Estimate Component	Right of Way	4	Li Lin	District 4	Page 24, #16. Right of Way Conceptual Cost Estimate Component. Clarify and state clearly in the outline if this replaces Right of Way Datasheet.	Right of Way conceptual cost estimate will replace the Right of Way Data Sheet	No Action Needed
3.17.12	Outline - Attachments - Storm Water Data Report	Stormwater	4	Li Lin	District 4	Page 24, #16. Storm Water Data Report. Clarify if a new streamlined form will replace the current one?	A shortened version of the existing form will be available on the Storm Water Web site and will be included in the training rollout.	No Action Needed
3.17.13	Outline - Attachments - Stormwater	Stormwater	5 8	John Fouche Diane Morales	District 5 District 8	Page 24, #16, Required Attachments - bullets - Storm Water Data Report should be deleted (D5). Remove SWDR as an attachment since we can't develop one during this streamlined process (D8).	No change needed - the level of detail of the SWDR is reduced. Long form is not needed.	No Action Needed
Optional Attachments								
3.17.14	Outline - Attachments - Optional Attachments	Guidance Team	5	Rachel Moriconi	Santa Cruz County Regional Transportation Commission (SCCRTC)	Page 24, #16, Optional Attachments. Under what scenario would these be essential?	Clarification provided. Deleted Optional attachments. All documents are essential. Required attachments and Required Supplemental Documents for Project Files (This information should only be summarized in the PSR-PDS)	Done
3.17.15	Outline - Attachments - Optional Attachments	Guidance Team	8	Diane Morales	District 8	Page 24, #16, Optional Attachments. Traffic Data, Table B should be a required attachment.	The District Traffic Engineer will provide a paragraph summarizing the traffic engineering assessment Summary of Findings. Deleted bullet - Traffic Data Table B. Listing already includes - Preliminary Traffic Assessment .	Done
3.17.16	Outline - Attachments - Optional Attachments	Guidance Team	4	Li Lin	District 4	Page 24, #16. Who determines the requirement of the optional attachments? Caltrans? PDT? Sponsors?	Implementing Agency. All documents required.	No Action Needed

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3.17.17	Outline - Attachments - Optional Attachments - Advanced Planning Study	Structures	4	Li Lin	District 4	Page 24, #16. Confirm the Advanced Planning Study is optional.	Yes, a detailed Advance Planning Study (APS) is not necessary, but a "Structure PSR/PDS Cost Estimate" should be completed and included as an attachment to the PSR/PDS document, when bridge work is necessary.	Done
3.17.18	Outline - Attachments - Optional Attachments - Preliminary Traffic Engineering Assessment	Traffic Operations	4	Li Lin	District 4	Page 24, #16. Confirm the Assessment is indeed optional even for projects with traffic operational improvements, new interchange, or major reconfiguration on the existing interchange facilities.	The Traffic Engineering Performance Assessment is an optional attachment that needs to be summarized in the PSR-PDS. Whether or not a Scoping Tool is optional is discussed in previous subsections of the Guidance. For clarification, parenthetical statement deleted.	Done
3.17.19	Outline - Attachments - Optional Attachments - Preliminary Traffic Engineering Assessment	Traffic Operations	4	Eugene Maeda	Valley Transportation Authority (VTA)	Page 24 #16. VTA supports the Preliminary Traffic Engineering Assessment and also supports the added clarification on the level of traffic analysis detail required for PSR-PDS, specifically on use of available data.	No Action Needed	No Action Needed
Project Files and Supplemental Documents								
3.17.20	Outline - Attachments - Project Files and Supplemental Documents	Guidance Team	4	Li Lin	District 4	Page 24, #16. Show footnote for Table B*	Clarification provided. Deleted.	Done
ESTIMATES CHAPTER 4								
4.1	Estimates - PSR-PDS	Guidance Team	11	Chi Vargas	District 11	General Comment - Guidance states that the cost estimates is a required attachment. Yet the estimate requirements can range from an 11 page estimate down to a simple guess. There should be a minimum standard. It can be a six page estimate (in previous versions of PDPM) or a "per lane mile cost" estimate.	See response to comment 3.17.7	No Action Needed
4.2	Estimates - PSR-PDS	Guidance Team	5	Claudia Espino	District 5	Page 25, 1st par., last sent. Should read: ' non-state' vs. 'non-STIP' funding sources. There are times when we make financial contributions from the SHOPP to local projects.	Change not necessary	No Action Needed
4.3	Estimates - PSR-PDS	Guidance Team	7	Elaheh Yadegar	District 7	Page 25, Capital Outlay Estimates. These estimates should be completed by R/W based on their conceptual estimates.	See Right of Way Conceptual Cost Estimate - Chapter 5 Scoping Tools - Article 7	No Action Needed
4.4	Estimates - PSR-PDS	Guidance Team	8	Diane Morales	District 8	Page 25, Capital Outlay Estimates. Only an order of magnitude estimate is needed. Do not need an estimate for each alternative.	Estimate is needed for each alternative	No Action Needed
SCOPING TOOLS CHAPTER 5								
Article 1 - Scoping Tools - General								
5.1	Scoping Tools - General	Guidance Team	8	Diane Morales	District 8	Page 26. List of scoping tools. Is there a need to include all of the scoping tools?	Only required attachments should be attached to the PSR-PDS. Both Required Attachments and Required Supplemental Documents for Project Files should be summarized in the PSR-PDS document.	No Action Needed
5.2	Scoping Tools - General	Guidance Team	HQ	Parvis Lashai	Maintenance	Page 26. Add the following bullet: Division of Maintenance Culvert Inspection Program Inventory Database (contact the District Maintenance Engineer.)	Addressed in PA/ED - no change necessary.	No Action Needed
5.3	Scoping Tools - General	Guidance Team	HQ	Gina Moran	Environmental	Page 26, 2nd bullet. Stormwater Documentation. Is this the Storm Water Data Report?	No - this is the scoping tool.	No Action Needed
5.4	Scoping Tools - General	Guidance Team	HQ	Bob Hull	Project Management	Page 26, 8th Bullet. Change to 'Quality Plan For Projects Sponsored by Others (Article 9)	Modifications have been made - now titled Quality Management Plan for Locally Implemented Projects on the State Highway System.	No Action Needed
Article 2 - Design Scoping Index								
5.5	Scoping Tools - Design Scoping Index	Design	5	Rachel Moriconi	Santa Cruz County Regional	Design Scoping Index. Why can't this wait until PA/ED?	Design Scoping Index is a tool designed specifically for the development of a PSR-PDS	No Action Needed

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5.5.1	Scoping Tools - Design Scoping Index	Guidance Team	HQ	Pam Suszko	Design	Design Scoping Index is used for all PIDs so it will remain in Appendix L. Remove from PSR-PDS Guidance. Keep summary with hyperlink location in Appendix L.	Modification made	Done
5.6	Scoping Tools - Design Scoping Index	Guidance Team	HQ	Gina Moran	Environmental	Design Scoping Index. General Information, EA. Should the EFIS Project ID be added?	District discretion	No Action Needed
5.7	Scoping Tools - Design Scoping Index	Design	4	Li Lin	District 4	PSR-PDS may propose more than one alternative. Clarify as to whether the Design Scoping Index is prepared for each alternative.	Depends on the project. If there is enough similarity in alternatives, additional scoping may not be needed.	No Action Needed
5.8	Scoping Tools - Design Scoping Index	Design	7	Elaheh Yadegar	District 7	The Design scoping Index would identify the non standards, but a Mandatory design exception should not be required until the PA/ED phase.	Agreed. See response to comment 2.10.31	No Action Needed
5.9	Scoping Tools - Design Scoping Index	Design	HQ	Scott Sauer	Mass Trans	Design Criteria. Add 'Light rail/rail' in the considerations column.	This is discussed in the Transportation Planning Scoping Information Sheet, Chapter 5, Article 4.	No Action Needed
5.10	Scoping Tools - Design Scoping Index	Design	HQ	Scott Sauer	Mass Trans	Roadway Design Scoping. Add 'Transit stations (bus stops, transfer facilities, light rail stations, etc.)/transit only lanes' in the considerations column.	This is discussed in the Transportation Planning Scoping Information Sheet, Chapter 5, Article 4.	No Action Needed
5.11	Scoping Tools - Design Scoping Index	Design	HQ	Scott Sauer	Mass Trans	Roadway Design Scoping Ramp/Street Intersection Improvements. Add 'Transit station/transit facilities' in the considerations column.	This is discussed in the Transportation Planning Scoping Information Sheet, Chapter 5, Article 4.	No Action Needed
5.12	Scoping Tools - Design Scoping Index	Design	8	Diane Morales	District 8	Roadside Management. Recommend adding "land forming" to the 4th box within Roadside Management.	Modification made to landform grading.	Done
5.13	Scoping Tools - Design Scoping Index	Design	HQ	Scott Sauer	Mass Trans	Structures. Add 'Transit' in the considerations column.	This is discussed in the Transportation Planning Scoping Information Sheet, Chapter 5, Article 4.	No Action Needed
Article 3 - Stormwater Documentation								
5.14	Scoping Tools - Stormwater Documentation	Stormwater	5	Claudia Espino	District 5	The Stormwater Planning Guide still requires a long form SWDR. This should be reduced for a PSR-PDS as there is little information available at this time.	The details regarding the reduced SWDR will be shown in an example on the Storm Water Website	No Action Needed
5.15	Scoping Tools - Stormwater Documentation	Stormwater	8	Diane Morales	District 8	Delete 2nd Par. through end of Stormwater Documentation. The details are not included in a PDS, therefore no SWDR. Should only discuss that one will be needed.	The details are needed to understand impacts.	No Action Needed
5.16	Scoping Tools - Stormwater Documentation	Stormwater	7	Elaheh Yadegar	City of Industry, City Engineer	Suggests the level of detail for a PID-level SWDR is going to be less for a SWDR that accompanies a PSR-PDS than one which accompanies a PSR. The PPDG Appendix E format for the SWDR only lists three levels of categories – PID, PA/ED, PS&E. If the SWDR documentation for a PSR-PDS document will be less, than the SWDR format would need to be updated to explain what lesser information must be included in the SWDR.	The details regarding the reduced SWDR will be shown in an example on the Storm Water Website	No Action Needed
5.17	Scoping Tools - Stormwater Documentation	Stormwater	7	Elaheh Yadegar	District 7	The SWDR is time consuming and it does not commensurate with the level of details in the PSR-PDS. It is a project within a project. The SWDR takes several drafts before reaching an approved SWDR.	The details regarding the reduced SWDR will be shown in an example on the Storm Water Website. Do not expect several drafts to get approved.	No Action Needed
5.18	Scoping Tools - Stormwater Documentation	Stormwater	5	Rachel Moriconi	Santa Cruz County Regional	Stormwater Documentation. Is this essential for programming a project?	Yes, needed to program PA/ED	No Action Needed
5.19	Scoping Tools - Stormwater Documentation	Stormwater	7	Elaheh Yadegar	District 7	A SWDR of less level of detail is a required attachment to the PSR-PDS. A template for such SWDR should be provided in this article.	The details regarding the reduced SWDR will be shown in an example on the Storm Water Website	Done
5.20	Scoping Tools - Stormwater Documentation	Stormwater	4	Eugene Maeda	Valley Transportation Authority (VTA)	VTA supports the clarification on the level of detail for stormwater documentation for PSR-PDS conceptual level PIDs recognizing that the level of effort should be commensurate with design development. The minimum information stated in this section should also be added to PPDG dated July 2010, Appendix E, as an addendum for consistency.	Agree. Will consider for future revisions.	No Action Needed
5.21	Scoping Tools - Stormwater Documentation	Stormwater	7	Elaheh Yadegar	District 7	Indicates that the PPDG will be followed and also the PE should discuss the level of documentation with Stormwater coordinator. This will give us an opportunity to enforce the Stormwater Corridor Studies, which is unique to our district.	Good feedback	No Action Needed
5.22	Intentionally Left Blank							

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	Article 4 - Transportation Planning Scoping Information Sheet							
5.23	Scoping Tools - Transportation Planning Scoping Information Sheet	Guidance Team	HQ	Annette Clark	Guidance Team	The Transportation Planning Scoping Information Sheet is used for all PIDs so it will remain in Appendix L. Remove from PSR-PDS Guidance. Keep summary with hyperlink location in Appendix L.	Modification made	Done
5.23.1	Scoping Tools - Transportation Planning Scoping Information Sheet	Guidance Team	7	Elaheh Yadegar	District 7	The Transportation Planning Scoping Information Sheet should be an optional not mandatory attachment to the PSR-PDS, since it does not add significant value to the PSR-PDS and it's time consuming since it involves input from many functional units.	This tool is necessary to provide PDT with information related to interested stakeholders and ensure consistency with local and state Complete Streets and multimodal transportation plans.	No Action Needed
5.23.2	Scoping Tools - Transportation Planning Scoping Information Sheet	Guidance Team	HQ	Annette Clark	Guidance Team	The narrative should focus on what is needed for the Scoping Tool. Delete paragraphs 1-3 and 1st Sent. of par. 4.	Modification Made	Done
5.24	Scoping Tools - Transportation Planning Scoping Information Sheet	Guidance Team	7	Elaheh Yadegar	District 7	This will cause need for additional resources to be provided to other Planning offices that are not under 4050 program.	Understood - Change not necessary	No Action Needed
5.25	Scoping Tools - Transportation Planning Scoping Information Sheet	Guidance Team	HQ	Gina Moran	Environmental	Project ID #. Should the EA also be included?	Modification Made	Done
	Article 5 - Preliminary Traffic Engineering Assessment							
5.26	Scoping Tools - Preliminary Traffic Engineering Assessment	Traffic Operations	4	Submitted by Li Lin (D4)	Metropolitan Transportation Commission	The previous version of this section (formerly Article 4, "Traffic Forecasting, Analysis and Operations Scoping Checklist") called only for a general description of traffic conditions, proposed improvements, and expected effects. The new version (Article 5, "Preliminary Traffic Engineering Assessment") seemingly calls for a much higher level of traffic analysis and goes far beyond the level of detail the previous version required. We note that the new version does provide guidance that "The intent is to utilize existing data, transportation reports, and performance monitoring systems describe and identify in the following sections a general description of the existing traffic and forecasted traffic" and "The primary objective is to identify the traffic forecasting and traffic engineering studies needed to analyze, evaluate, and more accurately predict or estimate operational and safety performance of the proposed improvements." We concur with this approach for PIDs.	Change not necessary.	No Action Needed
5.27	Scoping Tools - Preliminary Traffic Engineering Assessment	Traffic Operations	4	Li Lin	District 4	These guidelines attempt to minimize the effort being spent on traffic forecasting and operational analysis and state that existing data sources should be used. In many cases, however, existing data may be insufficient, contradictory or simply doesn't exist. In these cases some level of new analysis will be needed to judge if the alternatives will meet the project purpose and need. Guidance should be included concerning the scope of this analysis and the methods that should be used.	Acknowledge that this is a risk that will be documented in the PSR-PDS and studied in the PR phase.	No Action Needed
5.28	Scoping Tools - Preliminary Traffic Engineering Assessment	Traffic Operations	HQ	Mary Frederick	Project Management Capital Project Skill Development	Is this section needed as it is not to be included in the document?	Yes the section is needed. Further clarification has been provided by changing formal and future study to 'PAED' study.	Done
5.29	Scoping Tools - Preliminary Traffic Engineering Assessment	Traffic Operations	8	Diane Morales	District 8	When is this done?	During PA/ED (see response to comment 5.28)	No Action Needed
5.30	Scoping Tools - Preliminary Traffic Engineering Assessment	Traffic Operations	4	Submitted by Li Lin (D4)	Metropolitan Transportation Commission	The Formal (future) Traffic Engineering Study and Screening. These two Sections describe a much more rigorous and time-consuming traffic analysis process. While MTC does not disagree that the types of traffic analyses listed might be appropriate in the PA/ED phase, there is question as to why they are listed at all in the PID Guidelines if they are not intended to be required in PIDs. If, on the other hand, the intent was to require these elements in all PIDs, then MTC would have serious concerns about the need and time required at this stage of a project.	Traffic Studies are not required until the PA/ED phase (see response to comments 5.28 and 5.29)	No Action Needed
5.31	Scoping Tools - Preliminary Traffic Engineering Assessment	Traffic Operations	8	Diane Morales	District 8	E. Screening. Should TAR be used?	No TAR is not needed - being addressed as an existing study.	No Action Needed
5.32	Scoping Tools - Preliminary Traffic Engineering Assessment	Traffic Operations	4	Li Lin	District 4	The Formal (future) Traffic Engineering Study. This section explains the future studies in the next phase, not pertaining to the Assessment. Suggest to move this section to the end of the Article before F.	Addressed under comments 5.28-5.31.	No Action Needed

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5.33	Scoping Tools - Preliminary Traffic Engineering Assessment	Guidance Team	HQ	Scott Sauer	Mass Trans	Preliminary Scope of Work. Add 'Transit/Bus Only Lanes' under the appropriate section.	Agree. Modified Pg 52, Item 3 A 7th bullet to Managed Lane (Express Lanes, HOV lanes, Transit Only, etc.) Analysis	Done
5.34	Scoping Tools - Preliminary Traffic Engineering Assessment	Traffic Operations	4	Eugene Maeda	Valley Transportation Authority (VTA)	Transportation Management Planning. This section should not be required in PSR-PDS as this too early to provide plans for pre-PA/ED phase project. Transportation Management Planning related to construction phase should be deleted.	This section of the guidance is requesting information regarding the resources that will be needed for PA/ED.	Done
5.35	Scoping Tools - Preliminary Traffic Engineering Assessment	Guidance Team	HQ	Scott Sauer	Mass Trans	Operational & Capacity Analysis. Add 'Transit Analysis' under the Managed Lane bullet.	Addressed under comment 5.33.	Done
5.36	Scoping Tools - Preliminary Traffic Engineering Assessment	Traffic Operations	4	Submitted by Li Lin (D4)	Metropolitan Transportation Commission	Template for Documentation of the Preliminary Traffic Engineering Assessment. Similarly to previous comment, section F "Template" also goes well beyond the stated intent of using existing information sources to provide general descriptions. Instead the listed items seem to dictate that a detailed analysis be conducted in the PID to draw conclusions about operational and safety performance. These items are clearly listed separately from the "Future" study section, so it clearly implies that these findings must be made in the PID. MTC agrees that if those findings have already been made in prior studies, they should be incorporated into the PID. However, making any more than appropriate and general conclusion would appear to be an unnecessary burden at this stage of a project.	The intent is to document the preliminary traffic engineering performance assessment and resources needed to complete PA/ED.	No Action Needed
Article 6 - Preliminary Environmental Analysis Report (PEAR)								
5.37	Scoping Tools - Preliminary Environmental Analysis Report (PEAR)	Guidance Team	HQ	Gina Moran	Environmental	Delete PEAR (Pages 58-63 and add Summary - See Comment #2 - Environmental Summary) The PEAR is a template that is periodically updated. It would be better to only include the link.	Modification made - deleted.	Done
5.38	Scoping Tools - Preliminary Environmental Analysis Report (PEAR)	Environmental	5	Claudia Espino	District 5	The PEAR form is missing the forms for attachments A-D.	See response to comment #5.37.	No Action Needed
5.39	Scoping Tools - Preliminary Environmental Analysis Report (PEAR)	Environmental	5	Claudia Espino	District 5	PEAR Review and Approval. The signature block says - confirm cost, scope, schedule. Remove schedule - this is the local agency's risk -not Caltrans. The PEAR requires the Environmental Branch Chief signature. This should be left to the local agency to sign for locally implemented projects with only an IQA review by Caltrans. These types of attachments should be signed by the local agencies. Items missed or found to be incorrect are a risk to the implementing agency. During PA/ED, all state and federal laws, rules, regulations, policies, standards and processes are required by the cooperative agreement.	Guidance team recommendation made to further improve PSR-PDS guidance by not requiring signature.	Done
5.40	Scoping Tools - Preliminary Environmental Analysis Report (PEAR)	Environmental	8	Diane Morales	District 8	Project Description. This whole section needs to be streamlined.	The level of detail in a PEAR should be commensurate with the level of detail in the PID document. The PEAR should be a concise (approximately 5 to 15 pages) report	No Action Needed
Article 7 - Right of Way - Conceptual Cost Estimate								
5.41	Scoping Tools - Right of Way - Conceptual Cost Estimate	Right of Way	5	Claudia Espino	District 5	This 'component' is very similar to information provided in a Right of Way Data Sheet. Will Right of Way continue to provide a Data Sheet, or will we be providing this new format in place of a Data Sheet? Occasionally a Right of Way Scoping Document is requested. Should the Conceptual Cost Estimate Right of Way replace the Scoping Document?	Right of Way Conceptual Cost Estimate will replace the Right of Way Data Sheet	No Action Needed
5.42	Scoping Tools - Right of Way - Conceptual Cost Estimate	Right of Way	7	Elaheh Yadegar	District 7	Is the Conceptual Cost Estimate for the R/W component the PSR PDS version of the R/W Data sheet, or will an actual R/W Data sheet be done later on which the programming will be based?	Right of Way Conceptual Cost Estimate will replace the Right of Way Data Sheet	No Action Needed
5.43	Scoping Tools - Right of Way - Conceptual Cost Estimate	Right of Way	8	Diane Morales	District 8	Scope of the Right of Way. How do we determine the # of parcels, etc... based on the limited details?	There needs to be enough detail to get an order of magnitude estimate - which for Right of Way will be based on parcels.	No Action Needed
5.44	Scoping Tools - Right of Way - Conceptual Cost Estimate	Right of Way	7	Elaheh Yadegar	District 7	Cost Estimates. The concept that we certify at milestone 265 - is not clear.	Modification made to clarify.	Done
5.44.1	Scoping Tools - Right of Way - Conceptual Cost Estimate	Right of Way	7	Elaheh Yadegar	District 7	Schedule. Milestone 265? What about Milestone 410? I do not understand this statement. Milestone 265 is when the R/W is "locked down" and gives R/W their "Final R/W Lead time " until the project is certified.(M 410)	Modification made to clarify.	Done
5.45	Scoping Tools - Right of Way - Conceptual Cost Estimate <u>Request</u>	Right of Way	8	Diane Morales	District 8	Right of Way Requirements. This appears to more detail than would be available from the initial scope. How is this less effort than a R/W Data Sheet?	Much more detail goes into a R/W Data Sheet.	No Action Needed

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5.46	Scoping Tools - Right of Way - Conceptual Cost Estimate <u>Request</u>	Right of Way	12	Ferdinand Agbayani	District 12	Conceptual Cost Estimate Requirement Right of Way Component. There is a lack of detail for the utility portion. Utilities should not be limited to major utilities but all proposed relocations.	Modification made to clarify.	Done
5.47	Scoping Tools - Right of Way - Conceptual Cost Estimate <u>Request</u>	Right of Way	12	Ferdinand Agbayani	District 12	Conceptual Cost Estimate Requirement Right of Way Component. R/W does not initiate Relinquishments/Vacations, therefore, R/W would not be able to provide an estimate for this item.	Relinquishments/Vacations were requested by the Land Survey Office of Right of Way and Land Surveys	No Action Needed
Article 8 - Survey Needs Questionnaire								
5.48	Scoping Tools - Survey Needs Questionnaire	Surveys	HQ	Curtis Burfield	Surveys	Modify Survey: 1). Add the following language to 1st par., as the 2nd Sent: Obsolete datums such as NAD27 and NGVD29 should not be used for new projects. 2). Add the following language to Other (Must consult with Caltrans Surveys have permission of District Survey Engineer)- 3).Other than CCS83 (Must consult with Caltrans Surveys Have permission of DSE). 4) Delete: Is this project a candidate for Automated Machine Guidance in construction? 5). Delete: Is this project a candidate for using Virtual Design and Construction methods? 6). Delete: Epoch 2007.00, Epoch 1991.35	Modifications made.	Done
5.49	Scoping Tools - Survey Needs Questionnaire	Surveys	7	Elaheh Yadegar	District 7	The Survey Needs Questionnaire is a new requirement, which will involve more time and resources.	This process is documenting what is currently being done now - does not ad to the length of the process.	No Action Needed
5.50	Scoping Tools - Survey Needs Questionnaire	Surveys	8	Diane Morales	District 8	According to the PDS guidance only existing data will be used. The Survey Needs Questionnaire needs to clarify the use of existing data.	See response to comment 2.7.3. Minimal field and office survey activities may be performed to collect new data or transform existing data to the project datum and units.	No Action Needed
5.51	Scoping Tools - Survey Needs Questionnaire	Surveys	5	Rachel Moriconi	Santa Cruz County Regional Transportation Commission (SCCRTC)	Survey Needs Questionnaire. Is this essential prior to programming?	This is guidance to ensure the survey is done correctly. Local agencies often contract for mapping earlier than Caltrans, so the information needs to be determined as early as the first engineering/mapping contract.	No Action Needed
Article 9 - Project Quality Control Plan								
5.52	Scoping Tools-Project Quality Control Plan	Guidance Team	HQ	Annette Clark	Guidance Team	Quality Control Reviews. Review with Design for consistency throughout document. The consultant reviewer provides QC, the Local Agency Reviewer provides QA, Caltrans provides IQA.	Modification made to clarify	Done
5.53	Scoping Tools-Project Quality Control Plan	Guidance Team	5	Claudia Espino	District 5	It is a good idea to include the Project Quality Control Plan in the guidance. Need to clarify the responsibilities of the Caltrans Project Manager, local agency Project Manager, and consultant Project Manager. Need to further identify the Independent Quality Assurance responsibility of Caltrans as described in the Caltrans Deputy Directives. For local agencies that lack the expertise to do Quality Control/Quality Assurance, the guidance should explicitly state that contract with a consultant or Caltrans for these services.	Modification made to clarify.	Done
5.54	Scoping Tools-Project Quality Control Plan	Guidance Team	HQ	Bob Hull	Project Management	It is difficult to understand why this new requirement has been added when the objective is to streamline the process. A potential easier way to add this feature would be to add language to the QA/QC and IQA language in the Cooperative Agreement.	This Quality Management Plan provides value to the process, specifically the Caltrans Independent Quality Assurance process. Language has been added to the Cooperative Agreement.	Done
5.55	Scoping Tools-Project Quality Control Plan	Guidance Team	7	Elaheh Yadegar	District 7	This Project Quality Control Plan is a new requirement, which will involve more time and resources. Are we going to give the form to each and every reviewer?	Caltrans does not develop the Quality Management Plan.	No Action Needed
5.56	Scoping Tools-Project Quality Control Plan	Guidance Team	HQ	Annette Clark	Guidance Team	Change name of plan from Project Quality Control Plan to Quality Plan for Projects Sponsored by Others (change throughout document).	The title of the plan has been changed to Quality Management Plan.	Done
5.57	Scoping Tools-Project Quality Control Plan	Guidance Team	HQ	Bob Hull	Project Management	Change name of plan throughout guidance to Quality Management Plan 'for Locally sponsored Projects'. Note: Quality Management Plan is the established term found in the existing Caltrans Project Management Handbook, the draft Caltrans Quality Management Handbook, and the PMBOK, the international standard for project management.	Modification made	Done
5.58	Scoping Tools-Project Quality Control Plan	Guidance Team	HQ	Annette Clark	Guidance Team	Add clarification that the Quality Plan is only for SHS projects sponsored by others, and that the project sponsor must develop and follow a Quality Plan.	Modification made	Done

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5.59	Scoping Tools-Project Quality Control Plan	Guidance Team	HQ	Annette Clark	Guidance Team	QA/QC will be performed before deliverables are submitted to Caltrans for review.	Modification made	Done
5.60	Scoping Tools-Project Quality Control Plan	Guidance Team	HQ	Annette Clark	Guidance Team	Change 'approval of PIDs' to 'approval of locally sponsored and/or implemented PIDs.	Modification made	Done
5.61	Scoping Tools-Project Quality Control Plan	Guidance Team	HQ	Bob Hull	Project Management	Change Quality Assurance/Quality Control (QA/QC) Plan to QA/QC elements .	Modification made	Done
5.62	Scoping Tools-Project Quality Control Plan	Guidance Team	HQ	Bob Hull	Project Management	Add o bottom of page: The following Quality Management Plan is a template to be modifie d to project's need, reporting relationships, and general circumstances.	Modification made	Done
5.62.1	Scoping Tools-Project Quality Control Plan	Guidance Team	HQ	Annette Clark	Guidance Team	Reverse the Signature Order of Project Quality Management Plan. Currently plan shows Lead Agency as first signature, and Caltrans as second signature.	Modification made	Done
5.63	Scoping Tools-Project Quality Control Plan	Guidance Team	HQ	Bob Hull	Project Management	Do you need to add 'or implementing) after Lead Agency?	Modification made and added name of Lead Implementing Agency	Done
5.64	Scoping Tools-Project Quality Control Plan	Guidance Team	HQ	Annette Clark	Guidance Team	Add to end of Sent.: (PIDs) for State Highway System (SHS) projects sponsored by others.	Modification made	Done
5.65	Scoping Tools-Project Quality Control Plan	Guidance Team	HQ	Annette Clark	Guidance Team	Add to end of 1st Sent: (PIDs) for State Highway System (SHS) projects sponsored by others. The project sponsor and/or implementing agency must develop and follow a Quality Management Plan that meets...	Modification made	Done
5.66	Scoping Tools-Project Quality Control Plan	Guidance Team	HQ	Bob Hull	Project Management	Add to 2nd Sent: project scope, cost , and schedule.	Modification made	Done
5.67	Scoping Tools-Project Quality Control Plan	Guidance Team	HQ	Bob Hull	Project Management	Add to 2nd Sent: Lead Agency, along with its consultant(s), shall ensure that all Project Development Team (PDT) members, including consultants, utilize adhere to the Quality Assurance Quality Control (QA/QC) Plan elements as described in this document...	Modification made	Done
5.68	Scoping Tools-Project Quality Control Plan	Guidance Team	HQ	Annette Clark	Guidance Team	Add: ...review of PIDS. QA/QC will be performed before deliverables are presented to Caltrans for review.	Modification made	Done
5.69	Scoping Tools-Project Quality Control Plan	Guidance Team	HQ	Annette Clark	Guidance Team	Add: and approval of locally implemented PIDs.	Modification made	Done
5.70	Scoping Tools-Project Quality Control Plan	Guidance Team	HQ	Bob Hull	Project Management	Quality Control Reviews, #2. Add: ...review by qualified senior...	Modification made.	Done
5.71	Scoping Tools - Project Quality Control Plan	Guidance Team	8	Diane Morales	District 8	Checking of Calculations. Why is Caltrans providing reviews?	Modification made	Done
5.72	Scoping Tools - Project Quality Control Plan	Guidance Team	8	Diane Morales	District 8	Checking of Drawings. Will not be developing drawings nor should Caltrans be checking them at this stage.	Agree	No Action Needed
5.73	Scoping Tools-Project Quality Control Plan	Guidance Team	HQ	Bob Hull	Project Management	Checking of Drawings. Add: Conceptual geometric plans, figures, mapping, and preliminary bridge plans..	Modification made	Done
5.74	Scoping Tools - Project Quality Control Plan	Guidance Team	5	Claudia Espino	District 5	Duties and Responsibilities, Add: 'per Caltrans standards and policies to points b, c & d.	Modification made	Done
5.75	Scoping Tools-Project Quality Control Plan	Guidance Team	HQ	Bob Hull	Project Management	Quality Assurance. Add: The Project Managers from Caltrans and the Lead Agency, along with its consultant9s), Project Managers assign to the project will be responsible...	Modification made	Done
5.76	Scoping Tools-Project Quality Control Plan	Guidance Team	HQ	Bob Hull	Project Management	Reporting Structure. Add: An organization chart that describes the reporting structure and assigned staff that are involved in QA/QC activities shall be developed at the beginning of the project. Question. Does this include Caltrans staff?	Modification made Response to question: No -not necessary	Done
5.77	Scoping Tools-Project Quality Control Plan	Guidance Team	HQ	Annette Clark	Guidance Team	QA/QC Duties and Responsibilities. 1st Par., add new 3rd Sent: The qualifications of the team members, overseeing and doing the work should be identified.	Modification made	Done
5.78	Scoping Tools-Project Quality Control Plan	Guidance Team	HQ	Bob Hull	Project Management	QA/QC Duties and Responsibilities. 1st Par. , Last Sent. Change: ...in regards to project status, schedule, and any discrepancies or issues that might arise during the development of the PID.	Modification made	Done
5.79	Scoping Tools-Project Quality Control Plan	Guidance Team	HQ	Bob Hull	Project Management	a. Principals-in-Charge (PICs). Need to clarify if this is meant only for consultants or if it also applies to Caltrans.	Clarification not needed.	No Action Needed
5.80	Scoping Tools-Project Quality Control Plan	Guidance Team	HQ	Bob Hull	Project Management	Add new letter b. Caltrans Project Manager - Responsible for IQA as described in the Cooperative Agreement.	Modification made.	Done

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			Dist.	District/Agency Contact	Caltrans Division/ Agency			Pending/ Done/ No Action Needed
5.81	Scoping Tools-Project Quality Control Plan	Guidance Team	HQ	Bob Hull	Project Management	b. Last sent. Change:in accordance with Caltrans standards, policies and procedures, sound engineering practices....	Duplicate - Comment 5.74 0 Modification made	No Action Needed
5.82	Scoping Tools-Project Quality Control Plan	Guidance Team	HQ	Bob Hull	Project Management	c. Title and Page 83, c. Last Sent. Change 'Task Leader' to: Consultant Project Manager (standard term).	Modification made	Done
5.83	Scoping Tools-Project Quality Control Plan	Guidance Team	HQ	Bob Hull	Project Management	d. 1st and 2nd Sents. Delete: (Task Leader).	Modification made - duplicate 5.82	No Action Needed
5.84	Scoping Tools-Project Quality Control Plan	Guidance Team	HQ	Bob Hull	Project Management	Document Control. Is this section needed - suggest deletion.	Yes- Section is needed - further clarification added by changing PID to PSR-PDS.	Done
5.85	Scoping Tools-Project Quality Control Plan	Guidance Team	HQ	Bob Hull	Project Management	Control of Sub-Consultants. Delete paragraph, and add: If a portion of the scope of work is subcontracted out by the Lead Agency's consultant, then all sub consultants will have the same responsibilities as the Lead Agency consultant.	Modification made - change Lead Agency's to Implementing Agency's.	Done
5.85.1	Scoping Tools-Project Quality Control Plan	Guidance Team	HQ	Annette Clark	Guidance Team	Delete Caltrans Reviewer from Appendix A Table. Change 'Appendix' to 'Exhibit' (both App. A and App. B)	Modification made	Done
Article 10 - Risk Register								
5.86	Scoping Tools - Risk Register	Guidance Team	5	Claudia Espino	District 5	Risk Register. Add - For locally implemented projects, the local agency is responsible for creating and maintaining the Risk Register. There should be a statement regarding acceptance of risk based on the scope included in the PSR-PDS. Conceptual approval does not guarantee that a project will be approved for final design and construction. A signature should be included on the cover sheet for local agencies signature for submittal and accepting the risk statement. This can be done without compromising the PSR-PDS as a Caltrans document.	Modification made. Included signature for local sponsor on title sheet -Accepts Risks Identified in this PSR-PDS and Attached Risk Register)	Done
Article 11 - Div. of Engineering Services								
	Scoping Tools - Div. of Engineering Services	Division of Engineering Services	5	Claudia Espino	District 5	Product or Milestone Chart. The determination of the use of AADD should follow the baseline delegation per RTL Guide, Section 3.4.2.	Request sent to DES to determine if modification needed.	Pending
PID TEMPLATES CHAPTER 6								
6.1	PID Templates	Guidance Team	7	Elaheh Yadegar	District 7	No R/W Signature? What are the attachments? All scoping checklists?	Right of Way signature would be needed only if we plan to program Right of Way capital. The PSR-PDS only programs through PA/ED. Only required attachments should be attached to the PSR-PDS. Both Required Attachments and Required Supplemental Documents for Project Files should be summarized in the PSR-PDS document.	No Action Needed
6.2	PID Templates	Guidance Team	HQ	Pam Suszko	Design	Add (or delegated authority) after District Director on approval line.	Modification made	Done
6.3	PID Templates - Title Sheet	Guidance Team	4	Li Lin	District 4	Subtitle. Modify to include appropriate title for projects funded by others.	Modification made	Done
6.4	PID Templates - Title Sheet	Guidance Team	5	Claudia Espino	District 5	To reiterate point made on Page 13, Title Sheet. Suggest that an explanation be added clarifying what the DD is signing for.	See response to comment #3.8.	No Action Needed
6.5	PID Templates	Guidance Team	HQ 12	Kevin Herritt Ferdinand Agbayani	Design District 12	Include Right of Way, Utilities, and Railroad from Chapter 3 Outline Pages 18 and 19.	Changes made to PID templates.	Done
6.6	PID Templates	Guidance Team	HQ	Bob Hull	Project Management	Funding. Delete Project Support Components Table and Change B to read Capital Support Estimate for PA/ED for this project: _____	Modification made	Done
6.7	PID Templates	Guidance Team	HQ	Pam Suszko	Design	Funding. Include Capital Support Estimate Table for PA/ED that includes Alternatives 1 through 4.	Modification not needed	No Action Needed
6.8	PID Templates	Guidance Team	HQ	Annette Clark	Guidance Team	Schedule. Schedule should only include Begin Environmental, Circulate Draft Environmental Document (DED), PA/ED, Ready to List (RTL) and Approve Contract (Begin Construction)	Need to include three items up to and including PAED.	Done
6.9	PID Templates	Traffic Operations	11	Chi Vargas	District 11	Deficiencies and Traffic Engineering Assessment. In the PDS templates you have "Deficiencies". It is followed by a Traffic Engineering Assessment section. Should rename Deficiencies section to 'Project Analysis' or combine with Traffic Engineering Assessment section. Deficiencies is a subjective term. A roadway operating at LOS E is one district might be OK but considered deficient in another. In congested metro areas LOS F is acceptable if travel times are considered "reasonable," but LOS F in a rural areas is not acceptable.	Agree. Traffic Analysis moved under alternatives.	Done

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6.10	PID Templates	Guidance Team	7	Elaheh Yadegar	District 7	Costs should be ranges, not exact. How can R/W cost be determined with limited details and no R/W data sheets?	See scoping tool - Article 7 -Conceptual Cost Estimate Right of Way Component	No Action Needed
6.11	PID Templates	Guidance Team	5	Hank Myers	Transportation Agency for Monterey County (TAMC)	It was not clear who would be responsible for the capital support estimates for estimated PY's. Would Caltrans determine the project development costs needed to develop PA/ED or would the Agency be required to do this?	For Caltrans sponsored - Caltrans will develop costs. For locally sponsored, local agency will develop costs.	No Action Needed
6.12	PID Templates	Guidance Team	HQ	Gina Moran	Environmental	#10 Schedules. Does not include all milestones. Need to list all of the milestones through PA/ED.	Modification made to clarify milestones through PA/ED	Done
6.13	PID Templates	Guidance Team	HQ	Gina Moran	Environmental	#11 FHWA Coordination. This section on both pages are not the same as the wording on page 21.	Modification made.	Done