EXHIBIT 6-A PRELIMINARY ENVIRONMENTAL STUDY (PES)

Federal Project No.: _____ *(Federal Program Prefix-Project No., Agreement No.)*

Final Design: _____ *(Expected Start Date)*

To: _____ *(District Local Assistance Engineer)*

_____ *(District)*

_____ *(Address)*

_____ *(Email Address)*

From: _____ *(Local Agency)*

_____ *(Project Manager's Name and Telephone No.)*

_____ *(Address)*

_____ *(Email Address)*

Is this Project "ON" the State Highway System? ☐ Yes ☐ No

IF YES, STOP HERE and contact the District Local Assistance Engineer regarding the completion of other environmental documentation.

Federal State Transportation Improvement Program (FSTIP) _____ *(Currently Adopted Plan Date)* _____ *(Page No.___ attach to this form)*

http://www.dot.ca.gov/hq/transprog/oftmp.htm

Programming for FSTIP:

Preliminary Engineering		Right of Way		Construction	
_____ *(Fiscal Year)*	$ _____ *(Dollars)*	_____ *(Fiscal Year)*	$ _____ *(Dollars)*	_____ *(Fiscal Year)*	$ _____ *(Dollars)*

Project Description as Shown in RTP and FSTIP:

Detailed Project Description: *(Describe the following, as applicable: purpose and need, project location and limits, required right of way acquisition, proposed facilities, staging areas, disposal and borrow sites, construction activities, and construction access.)*

(Continue description on "Notes" sheet, last page of this Exhibit, if necessary)

Preliminary Design Information:

Does the project involve any of the following? Please check the appropriate boxes and delineate on an attached map, plan, or layout including any additional pertinent information.

Yes	No	
☐	☐	Widen existing roadway
☐	☐	Increase number of through lanes
☐	☐	New alignment
☐	☐	Capacity increasing—other (e.g., channelization)
☐	☐	Realignment
☐	☐	Ramp or street closure
☐	☐	Bridge work
☐	☐	Vegetation removal
☐	☐	Tree removal

Yes	No	
☐	☐	Ground disturbance
☐	☐	Road cut/fill
☐	☐	Excavation: anticipated maximum depth _____
☐	☐	Drainage/culverts
☐	☐	Flooding protection
☐	☐	Stream channel work
☐	☐	Pile driving
☐	☐	Demolition

Yes	No	
☐	☐	Easements
☐	☐	Equipment staging
☐	☐	Temporary access road/detour
☐	☐	Utility relocation
☐	☐	Right of way acquisition (if yes, attach map with APN)
☐	☐	Disposal/borrow sites
☐	☐	Part of larger adjacent project
☐	☐	Railroad

Required Attachments:

☐ Regional map ☐ Project location map ☐ Project footprint map (existing/proposed right of way)

☐ Engineering drawings (existing and proposed cross sections), if available ☐ Borrow/disposal site location map, if applicable
(Note: all maps (except project location map and regional maps) should be consistent with the project description (minimum scale: 1" = 200').)

☐ GeoTracker Printout for Hazardous Materials (http://geotracker.waterboards.ca.gov/).

☐ Federal Threatened and Endangered Species List from USFWS (http://ecos.fws.gov/ipac/).

☐ Federal Threatened and Endangered Species List from NMFS
(https://www.westcoast.fisheries.noaa.gov/maps_data/california_species_list_tools.html).

☐ Current Photos of Project Site ☐ FEMA map ☐ VIA Questionnaire

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

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

A. Potential Environmental Effects	Yes	To Be Determined	No
General			
1. Will the project require future construction to fully utilize the design capabilities included in the proposed project?	☐	☐	☐
2. Will the project generate public controversy?	☐	☐	☐
Noise			
3. Is the project a Type I project as defined in 23 CFR 772.5(h); "construction on new location or the physical alteration of an existing highway, which significantly changes either the horizontal or vertical alignment or increases the number of through-traffic lanes"?	☐	☐	☐
4. Does the project have the potential for adverse construction-related noise impact (such as related to pile driving)?	☐	☐	☐
Air Quality			
5. Is the project in a NAAQS non-attainment or maintenance area?	☐	☐	☐
6. Is the project exempt from the requirement that a conformity determination be made? (If "Yes," state which conformity exemption per 40 CFR 93.126, or 40 CFR 93.128) (check one box below and identify the project type if applicable): ☐ 40 CFR 93.126 Project type: _____ ☐ 40 CRF 93.128	☐	☐	☐
7. Is the project exempt from regional conformity? (If "Yes," state which conformity exemption in 40 CFR 93.127, Table 3 applies):	☐	☐	☐
8. If project is not exempt from regional conformity, (If "No" on Question #7)			
Is project in a metropolitan non-attainment/maintenance area?	☐	☐	☐
Is project in an isolated rural non-attainment area?	☐	☐	☐
Is project in a CO, PM10 and/or PM2.5 non-attainment/maintenance area?	☐	☐	☐
Hazardous Materials/Hazardous Waste			
9. Is there potential for hazardous materials (including underground or aboveground tanks, etc.) or hazardous waste (including oil/water separators, waste oil, asbestos-containing material, lead-based paint, ADL, etc.) within or immediately adjacent to the construction area?	☐	☐	☐
Water Quality/Resources			
10. Does the project have the potential to impact water resources (rivers, streams, bays, inlets, lakes, drainage sloughs) within or immediately adjacent to the project area?	☐		
11. Is the project within a designated sole-source aquifer?			

Coastal Zone			
12. Is the project within the State Coastal Zone, San Francisco Bay, or Suisun Marsh?	☐	☐	☐
Floodplain			
13. Is the construction area located within a regulatory floodway or within the base floodplain (100-year) elevation of a watercourse or lake?	☐	☐	☐
Wild and Scenic Rivers			
14. Is the project within or immediately adjacent to a Wild and Scenic River System?	☐	☐	☐
Biological Resources			
15. Is there a potential for federally listed threatened or endangered species, or their critical habitat or essential fish habitat to occur within or adjacent to the construction area?	☐	☐	☐
16. Does the project have the potential to directly or indirectly affect migratory birds, or their nests or eggs (such as vegetation removal, box culvert replacement/repair, bridge work, etc.)?	☐	☐	☐
17. Is there a potential for wetlands to occur within or adjacent to the construction area?	☐	☐	☐
18. Is there a potential for agricultural wetlands to occur within or adjacent to the construction area?	☐	☐	☐
19. Is there a potential for the introduction or spread of invasive plant species?	☐	☐	☐
Sections 4(f) and 6(f)			
20. Are there any historic sites or publicly owned public parks, recreation areas, wildlife or waterfowl refuges (Section 4[f]) within or immediately adjacent to the construction area?	☐	☐	☐
21. Does the project have the potential to affect properties acquired or improved with Land and Water Conservation Fund Act (Section 6[f]) funds?	☐	☐	☐
Visual Resources			
22. Does the project have the potential to affect any visual or scenic resources?	☐	☐	☐
Relocation Impacts			
23. Will the project require the relocation of residential or business properties?	☐	☐	☐
Land Use, Community, and Farmland Impacts			
24. Will the project require any right of way, including partial or full takes? Consider construction easements and utility relocations.	☐	☐	☐
25. Is the project inconsistent with plans and goals adopted by the community?	☐	☐	☐
26. Does the project have the potential to divide or disrupt neighborhoods/communities?	☐	☐	☐
27. Does the project have the potential to disproportionately affect low-income and minority populations?	☐	☐	☐
28. Will the project require the relocation of public utilities?	☐	☐	☐
29. Will the project affect access to properties or roadways?	☐	☐	☐
30. Will the project involve changes in access control to the State Highway System (SHS)?	☐	☐	☐
31. Will the project involve the use of a temporary road, detour, or ramp closure?	☐	☐	☐
32. Will the project reduce available parking?	☐	☐	☐
33. Will the project construction encroach on state or federal lands?	☐	☐	☐
34. Will the project convert any farmland to a different use or impact any farmlands?	☐	☐	☐
Cultural Resources			
35. Is there National Register listed, or potentially eligible historic properties, or archaeological resources within or immediately adjacent to the construction area? *(Note: Caltrans PQS answers question #35)*	☐	☐	☐
36. Is the project adjacent to, or would it encroach on Tribal land?	☐	☐	☐

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

B. Required Technical Studies and Analyses	C. Coordination	D. Anticipated Actions/Permits/Approvals
☐ **Traffic**		
Check one:		
☐ Traffic Study	☐ Caltrans	☐ Approval
☐ Technical Memorandum	☐ Caltrans	☐ Approval
☐ Discussion in ED Only	☐ Caltrans	☐ Approval
☐ **Noise**		
Check as applicable:		
☐ Traffic Related		
☐ Construction Related		
Check one:		
☐ Noise Study Report	☐ Caltrans	☐ Approval
☐ NADR	☐ Caltrans	☐ Approval
☐ Technical Memorandum	☐ Caltrans	☐ Approval
☐ Discussion in ED Only	☐ Caltrans	☐ Approval
☐ **Air Quality**		
Check as applicable:		
☐ Traffic Related		
☐ Construction Related		
Check one:		
☐ Air Quality Report	☐ Caltrans	☐ Approval
☐ Technical Memorandum	☐ Caltrans	☐ Approval
☐ Discussion in ED Only	☐ Caltrans	☐ Approval
	☐ FHWA	☐ Conformity Finding (23 USC 327 CEs, EAs, EISs)
	☐ Caltrans	☐ Conformity Finding (23 USC 326 CEs)
	☐ Regional Agency	☐ PM10/PM2.5 Interagency Consultation
☐ **Hazardous Materials/ Hazardous Waste**		
Check as applicable:		
☐ Initial Site Assessment (Phase 1)	☐ Caltrans	☐ Approval
☐ Preliminary Site Assessment (Phase 2)	☐ Caltrans	☐ Approval
☐ Discussion in ED Only	☐ Caltrans	☐ Approval
	☐ Cal EPA DTSC	☐ Review Database
	☐ Local Agency	☐ Review Database
☐ **Water Quality/Resources**		
Check as applicable:		
☐ Water Quality Assess. Report	☐ Caltrans	☐ Approval
☐ Technical Memorandum	☐ Caltrans	☐ Approval
☐ Discussion in ED Only	☐ Caltrans	☐ Approval
☐ **Sole-Source Aquifer (Districts 5, 6 and 11)**	☐ EPA (S.F. Regional Office)	☐ Approval of Analysis in ED
☐ **Coastal Zone**	☐ CCC	☐ Coastal Zone Consistency Determination

B. Required Technical Studies and Analyses	C. Coordination	D. Anticipated Actions/Permits/Approvals
☐ **Floodplain**		
Check as applicable:		
☐ Location Hydraulic Study	☐ Caltrans	☐ Approval
☐ Floodplain Evaluation Report	☐ Caltrans	☐ Approval
☐ Summary Floodplain Encroachment Report	☐ Caltrans	☐ Approval
	☐ Caltrans	☐ Only Practicable Alternative Finding
	☐ FHWA	☐ Approves significant encroachments and concurs in Only Practicable Alternative Findings
☐ **Wild and Scenic Rivers**	☐ River Managing Agency	☐ Wild and Scenic Rivers Determination
☐ **Biological Resources**		
Check as applicable:		
☐ NES, Minimal Impact	☐ Caltrans	☐ Approval
☐ NES		
☐ BA	☐ Caltrans	☐ Approves for Consultation
	☐ USFWS ☐ NOAA Fisheries	☐ Section 7 Informal/Formal Consultation
☐ EFH Evaluation	☐ NOAA Fisheries	☐ MSA Consultation
☐ Bio-Acoustic Evaluation	☐ NOAA Fisheries	☐ Approval
☐ Technical Memorandum	☐ Caltrans	☐ Approval
☐ **Wetlands**		
Check as applicable:		
☐ WD and Assessment	☐ Caltrans	☐ Approval
	☐ ACOE	☐ Wetland Verification
	☐ NRCS	☐ Agricultural Wetland Verification
	☐ Caltrans	☐ Wetlands Only Practicable Alternative Finding
☐ **Invasive Plants**		
☐ Discussion in ED Only	☐ Caltrans	☐ Approval
☐ **Section 4(f)**		
Check as applicable:		
	☐ Caltrans	☐ Determine Temporary Occupancy
☐ De minimis	☐ Caltrans	☐ De minimis finding
☐ Programmatic 4(f) Evaluation Type: _____	☐ Caltrans	☐ Approval
☐ Individual 4(f) Evaluation	☐ Caltrans	☐ Approval
	☐ Agency with Jurisdiction ☐ SHPO ☐ DOI ☐ HUD ☐ USDA	

B. Required Technical Studies and Analyses	C. Coordination	D. Anticipated Actions/Permits/Approvals
☐ **Section 6(f)**	☐ Agency with Jurisdiction ☐ NPS	☐ Determines Consistency with Long-Term Management Plan
	☐ NPS	☐ Approves Conversion
☐ **Visual Resources**		
☐ Technical Memorandum	☐ Caltrans	☐ Approval
☐ Minor VIA	☐ Caltrans	☐ Approval
☐ Moderate VIA	☐ Caltrans	☐ Approval
☐ Advance/Complex VIA	☐ Caltrans	☐ Approval
☐ **Relocation Impacts**		
Check one:		
☐ Relocation Impact Memo	☐ Caltrans	☐ Approval
☐ Relocation Impact Study	☐ Caltrans	☐ Approval
☐ Relocation Impact Report	☐ Caltrans	☐ Approval
☐ **Land Use and Community Impacts**		
Check one:		
☐ CIA	☐ Caltrans	☐ Approval
☐ Technical Memorandum	☐ Caltrans	☐ Approval
☐ Discussion in ED Only	☐ Caltrans	☐ Approval
☐ **Construction/Encroachment on State Lands**		
Check as applicable:		
☐ SLC Jurisdiction	☐ SLC	☐ SLC Lease
☐ Caltrans Jurisdiction	☐ Caltrans	☐ Encroachment Permit
☐ SP Jurisdiction	☐ SP	☐ Encroachment Permit
☐ **Construction/Encroachment on Federal Lands**	☐ Federal Agency with Jurisdiction	☐ Encroachment Permit
☐ **Construction/Encroachment On Indian Trust Lands**	☐ Bureau of Indian Affairs	☐ Right of Way Permit
☐ **Farmlands**		
Check one:		
☐ CIA	☐ Caltrans	☐ Approval
☐ Technical Memorandum	☐ Caltrans	☐ Approval
☐ Discussion in ED Only	☐ Caltrans	☐ Approval
Check as applicable:		
☐ Form AD 1006	☐ NRCS	☐ Approves Conversion
	☐ CDOC	☐ Approves Conversion
☐ Conversion to Non-Agri Use	☐ ACOE	

B. Required Technical Studies and Analyses	C. Coordination	D. Anticipated Actions/Permits/ Approvals
☐ **Cultural Resources** (**PQS completes this section**)	☐ Caltrans PQS	☐ Screened Undertaking
☐ APE Map	☐ Caltrans PQS and DLAE	☐ Approves APE Map
	☐ Local Preservation Groups and/or Native American Tribes	☐ Provides Comments Regarding Concerns with Project
☐ HPSR ☐ ASR ☐ HRER	☐ Caltrans	☐ Approves for Consultation
☐ Finding of Effect Report	☐ Caltrans	☐ Concurs on No Effect, No Adverse Effect with Standard Conditions
	☐ SHPO	☐ Letter of Concurrence on Eligibility, No Adverse Effect without Standard
☐ MOA	☐ Caltrans	☐ Approves MOA
	☐ SHPO	☐ Approves MOA
	☐ ACHP (if requested)	☐ Approves MOA
☐ **Permits** Copies of permits and a list of mitigation commitments are mandatory submittals following NEPA approval.	☐ ACOE	☐ Section 404 Nationwide Permit
	☐ ACOE	☐ Section 404 Individual Permit
	☐ Caltrans/ACOE/EPA ☐ USFWS ☐ NOAA Fisheries	☐ NEPA/404 Integration MOU
	☐ ACOE	☐ Rivers and Harbors Act Section 10 Permit
	☐ USCG	☐ USCG Bridge Permit
	☐ RWQCB	☐ Section 401 Water Quality Certification
	☐ CDFW	☐ Section 1602 Streambed Alteration Agreement
	☐ RWQCB	☐ NPDES Permit
	☐ CCC ☐ Local Agency	☐ Coastal Zone Permit
	☐ BCDC	☐ BCDC Permit

Notes: Additional studies may be required for other federal agencies.

ACHP = Advisory Council on Historic Preservation
ACOE = U.S. Army Corps of Engineers
ADL = Aerially Deposited Lead
APE = Area of Potential Effect
APN = Assessor Parcel Number
ASR = Archaeological Survey Report
BA = Biological Assessment
BCDC = Bay Conservation and Development Commission
BE = Biological Evaluation
BO = Biological Opinion
Cal EPA = California Environmental Protection Agency
CCC = California Coastal Commission
CDFW = California Department of Fish and Wildlife
CDOC = California Department of Conservation
CE = Categorical Exclusion
CIA = Community Impact Assessment
CWA = Clean Water Act
DLAE = District Local Assistance Engineer
DOI = U.S. Department of Interior
DTSC = Department of Toxic Substances Control
EA = Environmental Assessment
ED = Environmental Document
EFH = Essential Fish Habitat
EIS = Environmental Impact Statement
EPA = U.S. Environmental Protection Agency
FEMA = Federal Emergency Management Agency
FHWA = Federal Highway Administration
FONSI = Finding of No Significant Impacted
FTIP = Federal Transportation Improvement Program
HPSR = Historic Property Survey Report
HRER = Historical Resources Evaluation Report
HUD = U.S. Housing and Urban Development
MOA = Memorandum of Agreement
MSA = Magnuson-Stevens Fishery Conservation and Management Act
NEPA = National Environmental Policy Act
NADR = Noise Abatement Decision Report
NES = Natural Environment Study
NHPA = National Historic Preservation Act
NOAA = National Oceanic and Atmospheric Administration
NMFS National Marine Fisheries Service
NPDES = National Pollutant Discharge Elimination System
NPS = National Park Service
NRCS = Natural Resources Conservation Service
PM10 = Particulate Matter 10 Microns in Diameter or Less
PM2.5 = Particulate Matter 2.5 Microns in Diameter or Less
PMP = Project Management Plan
PQS = Professionally Qualified Staff
ROD = Record of Decision
RTIP = Regional Transportation Improvement Program
RTP = Regional Transportation Plan
RWQCB = Regional Water Quality Control Board
SER = Standard Environmental Reference
SEP = Senior Environmental Planner
SHPO = State Historic Preservation Officer
SLC = State Lands Commission
SP = State Parks
TIP = Transportation Improvement Program
USCG = U.S. Coast Guard
USDA = U.S. Department of Agriculture
USFWS = U.S. Fish and Wildlife Service
WD = Wetland Delineation

E. Preliminary Environmental Document Classification (NEPA)

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

Check one:

- ☐ Environmental Impact Statement (*Note: Engagement with participating agencies in accordance with 23 USC 139 required)*
  - ☐ Compliance with 23 USC 139 regarding Participating Agencies required
- ☐ Complex Environmental Assessment
- ☐ Routine Environmental Assessment
- ☐ Categorical Exclusion without required technical studies.
- ☐ Categorical Exclusion with required technical studies

  (if Categorical Exclusion is selected, check one of the following):
  - ☐ Section 23 USC 326
    - ☐ 23 CFR 771 activity (c)(_____)
    - ☐ 23 CFR 771 activity (d) (_____)
    - ☐ Activity _____ listed in the Section 23 USC 326
  - ☐ Section 23 USC 327

F. Public Availability and Public Hearing

Check as applicable:

- ☐ Not Required
- ☐ Notice of Availability of Environmental Document
- ☐ Public Meeting
- ☐ Notice of Opportunity for a Public Hearing
- ☐ Public Hearing Required

G. Signatures

Local Agency Staff and/or Consultant Signature

_____	_____	_____
(Signature of Preparer)	*(Date)*	*(Telephone No.)*

_____
(Name)

Local Agency Project Engineer Signature

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

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

Caltrans District Professionally Qualified Staff (PQS) Signature

☐ Project does not meet definition of an "undertaking"; no further review is necessary under Section 106 ("No" Section A, #35).

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

☐ Project is limited to the type of activity listed in Attachment 2 of the Section 106 PA, but the following additional procedures or information is needed to determine the potential for effect ("To Be Determined" Section A, #35):
☐ Records Search ☐ _____ ☐ _____ ☐ _____

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

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

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

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

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

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

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

_____
(Name)

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

_____
(Name)

☐ HQ DEA Environmental Coordinator concurrence _____. Email concurrence attached.
(*date*)

Preliminary Environmental Investigation
Notes to Support the Conclusions of the PES Form
(May Also Include Continuation of Detailed Project Description)

Brief Explanation of How Project Complies, or Will Comply with Applicable Federal Mandate (Part A):

1

2

3

4

5

6

7

8

9

10

11

12

13

14

15

16

17

18

19

20

21

22

23

24

25

26

27

28

29

30

31

32

33

34

35

36

Continuation of Detailed Project Description:

Distribution 1) Original - DLAE, 2) Local Agency Project Manager, 3) DLA Environmental Coordinator
4) Senior Environmental Planner (or designee), 5) District PQS