

Memorandum

*Making Conservation
a California Way of Life*

To: DISTRICT DIRECTORS

Date: June 12, 2020

From: CORY BINNS *Cory Binns*
Deputy Director
Maintenance and Operations

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Deputy Director
Project Delivery

Subject: **ENCROACHMENT PROJECT PROCESSES ENHANCEMENTS**

The California Department of Transportation (Caltrans) received requests from several local agencies and transportation partners to evaluate the current criteria to determine the appropriate process for encroachment projects that are funded by others on the State Highway System.

To address these requests, Caltrans assembled a multi-divisional team comprised of representatives from headquarters and districts to determine if there is value in updating and streamlining the existing review processes, which are based on the complexity and construction cost of work within the existing or future State highway right-of-way.

The team, in consultation with local agencies and transportation partners, developed criteria based on the scope of work, to determine the required approval documents and the appropriate process. These criteria must be used to determine whether the project will be managed through the Encroachment Permits Office Process (EPOP) or the Project Delivery Quality Management Assessment Process (QMAP).

Within the QMAP, criteria have been developed to determine the type of projects that can use the Design Engineering Evaluation Report (DEER), a short-form project document in lieu of the standard project document. DEER replaces Permit Engineering Evaluation Report (PEER) in the QMAP.

Effective immediately, construction cost thresholds will no longer be the primary factor in determining the appropriate Caltrans review process. The updated encroachment project review process determination has been incorporated into the following documents:

1. Flowchart for determining the appropriate Caltrans review process to be used by the district permit engineer, district functional units, and the applicants (see Attachment 1)
2. Permit applicant's checklist to identify the proposed scope of work and the required approval documents (see Attachment 2)
3. Interim DEER application guidelines (see Attachment 3)
4. DEER Template (see Attachment 4)
5. Preparation Guidelines for DEER (see Attachment 5)

Deviations from the above applicable review process, based on the established criteria, can be approved by the District Director on a case-by-case basis, using the Encroachment Project Review Process Change Approval Form (see Attachment 6).

These documents are effective until they are permanently incorporated into the Project Development Procedures Manual and the Encroachment Permit Manual.

Furthermore, Caltrans has implemented Lean Six Sigma recommendations for its EPOP and has established the following requirements and timelines for the District Permit Office (DPO), district functional units and applicants:

1. The district permit engineer is required to screen every Encroachment Permit Application Package (EPAP) for completeness before accepting or rejecting it in accordance with California Streets and Highways Code, section 671.5., subdivision (a).
2. District functional units are required to review and submit comments on the EPAP within eight (8) calendar days instead of 14.
3. Applicants are required to respond to Caltrans' request for additional information and/or documents within 10 calendar days instead of 30.

The Caltrans Strategic Management Plan, Goal 2, Stewardship and Efficiency has identified a performance target to issue or deny 95 percent of the EPAPs within 30 calendar days from the submittal date of a complete application. These requirements and timelines will help achieve this target.

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If you have any questions regarding the encroachment permit office process, please contact James R. Anderson, Chief, Office of Encroachment Permits at (916) 654-5869, or by e-mail at <james.r.anderson@dot.ca.gov>. If you have any questions regarding the project delivery quality management assessment process, please contact Tina Lucas, Chief, Office of Project Support at (916) 653-8559 or by e-mail at <tina.lucas@dot.ca.gov>.

Attachments

1. Flowchart to Determine the Appropriate Caltrans Review Process for Encroachment Projects on the State Highway System
2. Applicant's Checklist to Determine the Appropriate Caltrans Review Process for Encroachment Projects on the State Highway System
3. Interim Design Engineering Evaluation Report Application Guidelines
4. Design Engineering Evaluation Report Template
5. Preparation Guidelines for Design Engineering Evaluation Report
6. Encroachment Project Review Process Change Approval Form

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