

## APPLICANT'S CHECKLIST TO DETERMINE APPLICABLE REVIEW PROCESS

No.	Scope	True	False
1	Project has an approved environmental document (CE, ND, EIR, EIS, etc.) or project is CE by CEQA and/or NEPA and has completed studies or public outreach.		
2	Project design and submittal is complete (at 100%) and the EPAP includes all required supporting documents, reports, etc.		
3	Project doesn't involve any ROW conveyances (e.g., dedications, relinquishments, modifications to ROW limits, etc.).		
4	Project doesn't propose constructing new structures (e.g., earth retaining structures such as retaining walls, tie backs, soil nails, sound walls, culverts, etc.) that are not per Caltrans Standard Plans.		
5	Project doesn't propose conduits greater than 60" in diameter to be installed by trenchless methods or tunneling (diameter 30" and above) with depth of cover less than 15 feet.		
6	Project doesn't propose high priority utilities, liquid and gas carrier pipes on or through bridges/structures.		
7	Project doesn't propose structural modifications of Caltrans structures (certain superficial attachments are not considered structural modifications).		
8	Project doesn't propose new permanent stormwater treatment facilities, create 5000 sq. ft. or more of new non-highway impervious surface or create 1 acre or more of newer highway impervious surface.		
9	Project is not proposed in known slip/slide prone areas and proposed work will not adversely impact geological stability.		
10	Project doesn't require agreements to be executed with Caltrans, or, an agreement is required but Caltrans standard templates can be used (e.g., maintenance, lease, Joint Use Agreements, etc.).		
11	Project doesn't propose non-standard roadway design features (lane widths, super elevation, etc.) requiring a Design Standard Decision Document (Not applicable to utility-only projects).		
12	Project doesn't require CTC action for other than funding approval (e.g., relinquishments, new public road connections, etc.).		
13	Project doesn't propose new sound walls on bridges or modifications to existing sound walls on bridges.		
14	Project doesn't propose increasing highway capacity or converting operational nature of highway lanes (e.g. converting to HOT or Toll lanes, etc.).		
15	Project's total construction costs within the existing or future State highway right-of-way is \$1 million or less. (Not applicable to utility-only projects)		

I hereby certify that the above information provided related to this project is true and correct to the best of my knowledge and belief. I further understand and agree that if information contrary to aforementioned table at any stage during the Caltrans review process or if the project scope changes the results of any of the above elements, project may have to be managed through a different Caltrans Review Process and may be subject to delays, revisions, or denials.

\_\_\_\_\_  
Name of Applicant

\_\_\_\_\_  
Signature of applicant

\_\_\_\_\_  
Date

**Instructions:**

1. This checklist is used to determine the appropriate Caltrans review process for encroachment projects on the State Highway System.
2. Applicants of projects that involve ground disturbance or have structure-related work are required to complete and attach this checklist with their EPAP submittal.
3. If "True" is checked for all the items in this checklist, the project will be managed through the EPOP. If any of the questions is checked "False", the project will be managed through the QMAP, with the following exceptions:
  - a. If # 2 is checked "False", the applicant should complete the design and resubmit their EPAP to the DPO. The DPO can be contacted for additional information or to request a free consultation to understand the requirements.
  - b. If # 15 (construction costs) is the only item checked "False", the District Encroachment Permit Engineer in consultation with the impacted functional units will determine the appropriate Caltrans review process.
4. If additional information is needed on any of the elements listed in the checklist, please contact the appropriate DPO:  
<https://dot.ca.gov/programs/traffic-operations/ep/district-contacts>
5. This checklist may be reviewed with the applicant at the initial consultation/pre-permit submittal meetings to determine the appropriate Caltrans review process.

**Abbreviations:**

1. **CE:** Categorically Exempt
2. **ND:** Negative Declaration
3. **EIR:** Environmental Impact Report
4. **EIS:** Environmental Impact Statement
5. **CEQA:** California Environmental Quality Act
6. **NEPA:** National Environmental Policy Act
7. **EPAP:** Encroachment Permit Application Package
8. **ROW:** Right-of-way
9. **CTC:** California Transportation Commission
10. **HOT:** High Occupancy Travel
11. **EPOP:** Encroachment Permits Office Process
12. **QMAP:** Project Delivery Quality Management Assessment Process
13. **DPO:** District Encroachment Permit Office