

# Appendix Z – Preparation Guidelines for Relinquishment Approval Report

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# Appendix Z – Preparation Guidelines for Relinquishment Approval Report

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## ARTICLE 1 Overview

### Reference Information

Some of the references found in this appendix have hyperlinks that connect to Caltrans intranet pages which are not displayable to the general public. Until such time that the specific reference becomes available on the internet, the user will have to contact their district liaison, Caltrans project manager, or the appropriate Headquarters division to inquire about the availability of the reference.

### Use of Report

The relinquishment approval report serves as the project report (PR) and is used for documenting the Project Approval and Environmental Document (PA&ED) phase for relinquishment projects.

This report format may also be used for documenting the Project Initiation Document (PID) phase and programming of relinquishment projects in the State Highway Operation and Protection Program (SHOPP) with approval by the Headquarters Division of Transportation Planning, Office of Project Planning. If this format is used for project initiation, appropriate information must be added for the funding to be programmed in the SHOPP. Additional requirements include:

See the [Interim Guidance on Complete Streets and Climate Change for SHOPP](#) memorandum from the Division of Transportation Planning.

See the [State Highway Operation and Protection Program Compliance With Executive Order B-30-15](#) memorandum from the Chief Deputy Director.

Also note that the latest requirements for SHOPP project initiation are located at the Headquarters Division of Transportation Planning-Office of Project

Planning [SHOPP Project Initiation Report \(PIR\) Guidance](#) website. The name of the report must be changed to “Relinquishment Project Initiation Report,” and the purpose determined from [Appendix L](#) – Preparation Guidelines for Project Study Report.

### Important Distinctions

The project report recommends approval of a project. The draft project report (DPR) must be prepared for projects with an environmental document (ED). The DPR approves the release of the draft environmental document (DED) to the public.

### **Guidance for Preparing Report**

This guidance is for completing the project approval report and not for developing the project. While there is an obvious overlap between the information needed in the report and project development requirements, the purpose of the report is to provide enough information for management to approve moving forward with the relinquishment.

The report template contains the framework to ensure inclusion of the necessary topics and information to support project approval. Additional topics should be added as necessary.

### **Guidance for Updating Report**

When an approved report must be updated due to programming delay or changed project conditions, a supplemental report must be prepared. The supplemental report must have a new cover sheet and only needs to contain the updated information; the previously approved report must be included as an attachment.

## **ARTICLE 2      Outline**

### **General**

This outline identifies the key elements to document in the report. All headings presented in the template must be included in the report, except as noted in this article. See [Chapter 8](#) – Overview of Project Development, [Chapter 9](#) – Project Initiation, [Chapter 10](#) – Formal Project Studies, [Chapter 12](#) – Project

Approvals and Changes to Approved Projects, and [Chapter 25](#) – Relinquishments, for essential procedures and [Appendix K](#) – Preparation Guidelines for Project Report, for discussion of individual topics.

## **Use of the Template**

The individual preparing the report should begin with the report template provided. If a section is not applicable to a specific project, fill in the section as “Not applicable.” Modify the format to include information that is pertinent to the scope, cost and schedule of the project. See Article 3, “Template.”

The report outline has been assembled for relinquishment projects that include proposed construction improvements to be completed before the relinquishment and those without construction improvements.

When construction improvements are not proposed, fill in the section as “Not applicable” for these outline sections:

- 11. Stormwater
- 12. Transportation Management Plan
- 13. Additional Considerations
- 16. External Agency Coordination

For financial contribution only legislative enactment relinquishments, modify the “Life-Cycle Cost Analysis” section name to “Life-Cycle Cost Analysis and Benefit-Cost Analysis.”

## **Front Matter**

### Cover Sheet

The cover sheet provides the project identifiers, in the header, such as the district, county, route, and post mile range, as well as the expenditure authorization (EA), project number, planning program number (PPNO), program code, program name, and month and year of report approval.

The beginning and ending post miles should be rounded to the nearest 0.1 mile that encompasses all of the proposed construction. The project location should be listed as a spot location to the nearest 0.1 mile if the project is less than 0.2 mile in length. The draft project report limits should use the limits

encompassing all alternatives. The project report limits should use the limits of the preferred alternative.

The project number is the 10 digit number used for reporting labor charges.

Enter the program code(s) with program name(s). Information on the program codes and names can be found in the [Coding Manual](#), Chapter 7. The program code is typically presented in the format of “20.XX.201.010” where “XX” is entered in the element location to represent both capital outlay support (XX=10) and capital outlay projects (XX=20) when they are funded from the same funding program. Use specific, separate program codes for multiple funding sources.

Modify the type of report to “Draft Relinquishment Approval Report” as needed. Add “Supplemental” to the cover sheet as needed. Modify the purpose of the report as needed. Typical entries for the purpose include:

- For Project Approval
- To Request Programming in the 20XX SHOPP and For Project Approval
- To Authorize Public Release of the Draft Environmental Document

See the [Plans Preparation Manual](#), Section 2-2.2 for guidance in developing the project legal description. The project legal description is the same as the title sheet project description, such as: “In Los Angeles County...”

The cover sheet must include a statement signed by the chief, district division of right of way, indicating a review of the right of way information contained in the project report or draft project report and the right of way data sheet attached to it.

The cover sheet must include the endorsement of the project manager.

The District Director or Deputy District Director to whom that authority has been officially delegated approves the recommendations of the project report or draft project report. The draft project report is used to authorize proceeding to a public hearing and must include this recommendation. The signature date on the project report becomes the official date of State project approval and approval of initiation of the plans, specifications, and estimate. Edit the signature block as appropriate.

### Vicinity Map

The vicinity map is a district, county, or city map showing all State highways and major local roads when pertinent. It should be placed on a separate page and should include the study limits, major topographic limits listed in the report, and a north arrow.

### Registered Professional Stamp

The registered civil engineer stamp or seal and number with signature must be placed on a separate sheet, which must be part of the report. Also included on this sheet must be a statement indicating that the registered civil engineer is attesting to the technical information contained therein and the engineering data upon which recommendations, conclusions, and decisions are based. This seal does not constitute approval of the report. Approval of the report is a management decision and is separate from this technical signature of the person in responsible charge.

### Table of Contents

On a separate sheet, place a table of contents that includes all the elements of the report. This is not a required element of the report.

## **Main Body of Report**

### **1. INTRODUCTION, WORK DESCRIPTION AND SUMMARY TABLE**

Describe the proposed project and fill out the table. The “SHOPP Project Output” is only needed when there is SHOPP funding.

### **2. PURPOSE AND NEED**

Provide the purpose statement and need statement for the project. Additional information and resources on purpose-and-need statement development is located at the Headquarters [Division of Environmental Analysis-Purpose and Need](#) website.

### **3 RECOMMENDATION**

Recommend that the report be approved.

### **4. RISK SUMMARY**

Refer to the [Project Risk Management Handbook: A Scalable Approach](#) for the requirements and procedures. Discuss the most pertinent risks and the risk response from the risk register.

## **5. BACKGROUND**

Project background should include the project history and when applicable, coordination with the community, including local and regional agencies.

The project history discussion should include: whether the project was previously programmed or approved and is now being re-scoped (including previous programming and approval dates); how much project development effort has already been expended; right of way acquired; and pertinent or notable issues or developments that will affect the project scope, cost, and schedule.

The community interaction discussion should summarize the public involvement with the project.

For a legislative enactment type relinquishment, discuss the legislation that will allow for the relinquishment.

If any portion of the route has previously been relinquished, describe the location and state the responsible local agency.

Discuss the status of the relinquishment agreement, and any local agency resolution as appropriate.

Discuss if there is a freeway agreement or controlled access highway agreement authorizing or showing the proposed relinquishment.

Discuss any coordination with the Federal Highway Administration (FHWA) for review and approval of the proposed relinquishment.

## **6. EXISTING FACILITY CONDITION**

This section is used to describe the existing facility within the proposed project limits and the facilities adjacent to the proposed relinquishment project. For relinquishment projects with no proposed construction improvements, the items marked with “\*\*\*” should only be included when there are relevant issues



associated with the topic. This section should describe the appropriate information based upon the project aspects and may include:

- Corridor Geometric Information and Condition plus Topical Attributes
  - Right of way
  - Earth retaining systems
  - Utilities\*\*
  - Landscape\*\*
  - Landscape irrigation facilities\*\*
  - Traffic signals\*\*
  - Lights\*\*
  - Traffic volumes\*\*
  - Traffic collisions\*\*
  - Pedestrian facilities
  - Bicycle facilities
  - Railroads
  - Others
- Roadway Geometric Information
  - Traveled way
  - Shoulders
  - Median
  - Others
- Structure Geometric Information
  - Bridge length
  - Width between curbs
  - Others

## **7. ALTERNATIVES**

Identify and describe the alternative(s).

The report must include at least one proposed relinquishment alternative (known as the Build Alternative). Additional alternatives, including the no relinquishment alternative (No Build Alternative), may be required by the environmental process. Consult with the environmental unit to determine the required alternatives based on the project aspects.

In addition to the Build Alternative discussion, describe the consequences of not selecting one of the build alternative; that the need will not be met for the No Build Alternative.

### Relinquishment Projects that Propose Construction

This part of the alternatives section is used to document pertinent details of the competing build alternatives. Within this section the differences between build alternatives should also be specified for each relevant topic. The following report sections provide additional detail for the recommended build alternative.

Discuss relevant topics for the alternatives:

- Proposed engineering features
- Design standards and deviations from design standards ([Highway Design Manual](#), Topic 82 “Application of Standards”)
- Interim features
- High-occupancy vehicle lanes
- Ramp metering
- California Highway Patrol (CHP) enforcement activities
- Highway planting and irrigation
- Erosion control
- Roadside design and management
- Noise barriers
- Earth retaining systems
- Context-sensitive-solutions
- Complete-streets
  - Pedestrian facilities
  - Bicycle facilities
  - Transit facilities
  - Park-and-ride facilities
- Traffic analysis
- Current construction and right of way cost estimates
- Other topics as needed

## **8. LIFE-CYCLE COST ANALYSIS**

*Deputy Directive DD-107 – Use of Life-Cycle Cost Analyses in Project Decision Making* requires the use of life-cycle cost analysis in project initiation and project approval documents.

Discuss how life-cycle cost analysis has been incorporated into the project. For projects with no proposed construction improvements, state that a life-cycle cost analysis is not applicable.

### Legislative Enactment Relinquishments

For legislative enactment relinquishments, modify the “Life-Cycle Cost Analysis” section name to “Life-Cycle Cost Analysis and Benefit-Cost Analysis.”

For no cost and for financial contribution only legislative enactment relinquishments, state that a life-cycle cost analysis is not applicable and discuss the benefit-cost analysis.

For capital project legislative enactment relinquishments, discuss the life-cycle cost analysis and the benefit-cost analysis.

## **9. ENVIRONMENTAL COMPLIANCE**

Identify the type of environmental determination/document prepared for the project and briefly discuss the requirements and restrictions enumerated within. Briefly describe environmental issues that influence the project design, schedule, or cost; include permit requirements, mitigation, and construction work windows. Discuss any significant aspects addressed in the environmental disclosure memo (EDM), when it was prepared, and if a copy has been provided to the local agency. Refer to the information in the attached environmental determination/document as needed.

Provided for reference:

- California Environmental Quality Act (CEQA)
  - Categorical Exemption (CE) or Statutory Exemption (SE)
  - Initial Study (IS) and Negative Declaration (ND) or Mitigated Negative Declaration (MND)
  - Environmental Impact Report (EIR)
- National Environmental Policy Act (NEPA)
  - Categorical Exclusion (CE)
  - Environmental Assessment (EA) and Finding of No Significant Impact (FONSI)
  - Environmental Impact Statement (EIS)

## **10. RIGHT OF WAY**

Describe the requirements and restrictions enumerated in the right of way data sheet, including any new right of way, utility easement, drainage easement, construction easement, permit-to-enter, environmental mitigation, utility relocation, railroad involvement, airspace lease, and Relocation Assistance Program (RAP).

Briefly describe any right of way issues that influence the project design or cost, include any commitments and include construction work windows. Refer to information in the attached right of way data sheet as needed.

## **11. STORMWATER**

Identify the type of stormwater data report (SWDR) prepared for the project. Discuss the requirements and restrictions enumerated in the storm water data report.

## **12. TRANSPORTATION MANAGEMENT PLAN**

Describe the anticipated transportation management plan requirements for the project.

Describe planned detours, rerouting, temporary closures and full closures for roadways and ramps. Discuss any impacts to transit routes, high-occupancy vehicle lanes, school bus routes, emergency vehicle access, and park-and-ride lots. Discuss the bicycle and pedestrian traffic need through the construction area.

Describe any proposed prolonged temporary ramp closures (more than 10 consecutive days) and summarize the results of the economic impact study prepared by the district environmental planning unit. Closures of less than 10 days may require discussion, depending upon the circumstances.

## **13. ADDITIONAL CONSIDERATIONS**

The additional topics for the alternative discussion should be included when they are applicable to the specific project, they may not apply to some projects. When this occurs, include the topic and state that the project does not involve or does not affect the topic. The list of topics includes:

- Complete streets

- Maintenance and worker safety
- Contaminated material including regulated, designated and hazardous waste
- Material and/or disposal site
- Salvaging and recycling of hardware and other non-renewable resources
- Recycled materials
- Resource conservation
- Value analysis
- Air quality conformity
- Environmental justice (Title VI considerations)
- Noise abatement decision report
- Public hearing process
- Route adoptions, freeway agreements, relinquishments and modification of access control
- Report on feasibility of providing access to navigable rivers
- Public boat ramps
- Floodplain issues
- Constructability issues
- Construction staging
- Accommodation of oversize loads
- Graffiti control
- Other topics as needed

#### **14. FUNDING, PROGRAMMING AND ESTIMATE**

When there is no cost for the relinquishment, fill in this section with “Not applicable.”

When the relinquishment is financial contribution only, use the benefit-cost analysis for the cost estimate rather than a construction cost estimate.

##### Funding

Discuss the project funding.

Special Funding: If the project has special funding, identify the source of funding, the dollar amount, and when funding will be available.

State-Only Funding: If the project will use State-only funding, explain the need for the exception and discuss why the project does not qualify for federal participation.

Federal-aid Funding: Determine if the project is eligible for Federal-aid funding and include one of these statements:

“It has been determined that this project is eligible for Federal-aid funding.”

Or

“It has been determined that this project is not eligible for Federal-aid funding.”

### Programming

Proposal Programming Data: If the project is already programmed, include data from the latest, official State Highway Operation and Protection Program (SHOPP) programming document. If cost changes are proposed, compare the proposed capital outlay project right of way and construction estimates to the programmed figures in the current SHOPP.

Support Estimate: Enter the escalated capital outlay support estimates in the table, in the appropriate fiscal funding year column, in thousands of dollars, for these components: Project Approval and Environmental Document (PA&ED); Plans, Specifications, and Estimate (PS&E); Right of Way; and Construction. Consult with the project manager to determine the fiscal funding year, escalated support estimates, and escalation rates.

Project Estimate: Enter the escalated capital outlay support estimates in the table, in the appropriate fiscal funding year column, in thousands of dollars, for the Right of Way and Construction components. Consult with the project manager to determine the fiscal funding year, escalated project estimates, and escalation rates.

Support Cost Ratio: State the support cost ratio. Consult with the project manager to determine it.

### Estimate

Discuss significant aspects of the construction estimate. See [Chapter 20](#) – Project Development Cost Estimates for further details on estimating.

## 15. DELIVERY SCHEDULE

### All Relinquishment Projects

Provide the dates, with explanation as needed, for:

- Project start
- Relinquishment approval report
- Relinquishment agreement
- Federal Highway Administration (FHWA) approval (when applicable)
- Right of way mapping
- California Transportation Commission (CTC) Meeting

### Relinquishment Projects that Propose Construction

Enter the milestone dates in the table and discuss any schedule issues and constraints. The project schedule should be based on functional unit input, available resources, and funding constraints. Consult with the project manager to determine the project schedule. The milestones in the table are mandatory except:

- M030 is only required when there is an EIR environmental document
- M035 is only required when there is an EIS environmental document
- M120 is only required if there is a draft environmental document that will be released to the public
- M215 is only required if there are structures involved
- M377 is not required, but optional
- M378 is not required, but optional if there are structures involved
- M480 is not required, but optional

Indicate if the milestone date is an actual date or target date, delete column as needed.

## 16. EXTERNAL AGENCY COORDINATION

See the latest [Stewardship and Oversight Agreement on Project Assumption and Program Oversight](#) between the Federal Highway Administration, California Division and Caltrans for the project actions assumed by Caltrans

and the project actions where FHWA has retained their authority as well as the detail associated with the various oversight responsibilities. Project actions are identified in the “Project Action Responsibility Matrix” within the stewardship agreement.

Discuss project actions, as appropriate, assumed by Caltrans and any coordination with the FHWA for review and approval of project actions.

Identify potential involvement with outside agencies for necessary coordination, agreements, or permits required for the project. The district environmental division is a resource for determining some of the required permits. The list of agencies and permits in the template is not comprehensive; see [Chapter 13](#) – Project Related Permits, Licenses, Agreements, Certifications, and Approvals for more information.

## **17. PROJECT REVIEWS**

The template includes a list of possible reviews. Modify the list to reflect district review procedures. Include “Completed,” or the reviewer’s name with the review completion date, or “Not applicable.” Depending on the project aspects and phase, some reviews are mandatory.



## 18. PROJECT PERSONNEL

To facilitate contacts with the project development team members, include their names and telephone numbers in the general format of:

Name, Title      Phone #

## 19. ATTACHMENTS (Number of Pages)

Raw data used in analysis and many engineering reports do not need to be attached to the report. Functional scoping checklists are worksheets for collecting pertinent information from specified functional units, which do not need to be attached to the report. This information should be part of the project history file to support the engineering recommendations. See [Appendix K](#) – Preparation Guidelines for Project Report, to determine the required attachments. Additionally, the following attachments are required, as applicable.

- Relinquishment map showing the proposed relinquishment
- Benefit cost analysis calculations (only for legislative enactment type relinquishment)
- Copy of authorizing legislation (only for legislative enactment type relinquishment)
- Environmental disclosure memo
- Draft relinquishment agreement (if applicable)

## ARTICLE 3      Template

This article is a template for the report. When using the template, delete any italicized text within the body of the document. The italicized text provides instructions for template users and provides no value to the final document.

The template is available at:

[Appendix Z Template](#)

