CHAPTER 9 – Project Initiation

Table of Contents

Table of Figures

CHAPTER 9 – Project Initiation

ARTICLE 1 Introduction and Definitions

Reference Information

Some of the references found in this chapter 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.

General

The project initiation phase is the first formal project phase in developing a solution for a specific transportation problem. The project initiation phase is subsequent to the system and regional planning process. The outcome of the project initiation process is a project initiation document (PID) that establishes a well-defined purpose and need statement, proposed project scope tied to a reliable cost estimate and schedule. The use of State funds for capital improvements on the State Highway System (SHS) requires an approved PID. Any major work on the State Highway System regardless of how it is funded requires an approved PID.

The PID records Caltrans':

- Approval of the project (as defined by the scope, cost and schedule) to compete for State Transportation Improvement Program (STIP) or State Highway Operation and Protection Program (SHOPP) funds; or
- Conceptual approval (as defined in this chapter) of projects-funded-by-others.

A project study report-project development support (PSR-PDS) provides scope approval of projects-funded-by-others (as defined in this chapter), since the PSR-PDS does not provide conceptual approval. With direction from the project development team (PDT) and project sponsors, the PDT:

- Defines the purpose and need for the project,
- Gets input from stakeholders,
- Systematically collects and analyzes existing information,
- Identifies alternatives,
- Develops a plan of action to deliver the project, and
- Estimates the project cost and schedule.

This chapter discusses the statutes, definitions, policies, and procedures that apply to the project initiation phase. This chapter should be used in conjunction with Appendices A-X. The appendices contain additional guidance on the preparation of PIDs, commonly used PID formats, input forms, and checklists.

Definitions

Conceptual approval – is an assessment that the project alternatives meet all design standards or have approved deviations and have had a traffic operational analysis. Adequate information must be provided in the PID for Caltrans to make this assessment. Conceptual approval is not final approval of a project alternative.

Programming – a process that prioritizes projects for State and federal funding. The two major State programming documents are the State Transportation Improvement Program (STIP) and the State Highway Operation and Protection Program (SHOPP). The major federal programming documents are the Federal Statewide Transportation Improvement Program (FSTIP) and Federal Transportation Improvement Program (FTIP).

Project initiation document (PID) – an engineering document or technical report that documents the scope, cost, and schedule of a project. The PID is an outcome of the project scoping effort. The PID is a record of the purpose and need for the project, and the approach that will be taken to meet or reduce transportation deficiencies. It is a record of the existing information, initial assumptions, identified risks, and constraints that drove the development of the project work plan. A PID is used to obtain approval for inclusion of a project into a programming document or to get conceptual approval of a project-funded-by-others.

Project initiation document phase work plan – a work plan that identifies tasks, resources, and the schedule required to complete the PID. The project

manager is responsible for the development of the PID phase work plan. A high-level PID phase work plan is used to obtain, allocate, and manage resources used by various functional units. Refer to the Headquarters Division of Transportation Planning, Office of Program and Project Planning for more information about work plan development.

Project scope – identifies the significant aspects of a project that are necessary to meet the project purpose and need. The scope is tied to realistic cost estimates and schedules. Ultimately the alternative recommended for programming or the proposal from an external entity must have a high probability of obtaining the various approvals required during the project development process. It is essential that all work incidental to the project be identified and included in the cost estimate. Examples of incidental work may be safety elements, upgrades, mitigation, and rehabilitation of existing features.

Purpose and need statement – a statement of the transportation problem that will be met by the construction of the project. The statement has two major components:

- Need – States the transportation deficiency.
- Purpose – States the objectives that will be met to address the transportation deficiency.

Project study report (PSR) – a type of PID. The PSR is a format that meets statutory, California Transportation Commission (CTC), and Caltrans requirements for STIP candidate projects. The PSR format is the model for other PIDs.

Projects-funded-by-others – projects that are sponsored by a local agency or private developer, and do not use any State or federal funds, nor federal reimbursements.

Quality management assessment – is the performance of all planned systematic activities by the owner/operator that verifies the implementing agency's quality assurance program effectiveness and precedes the owner/operator approval.

Scope approval – indicates agreement between the project sponsor and Caltrans, as owner-operator of the State Highway System, of the following:

1. The purpose and need statement of the project, and
2. Range of alternatives and their associated risks to be studied during the Project Approval and Environmental Document (PA&ED) phase.

With scope approval, the sponsor may proceed with the formal studies. Scope approval is not final approval of a project alternative.

Support – the personnel costs of performing project work.

Transportation planning –

1. A continuing, comprehensive, and collaborative process that helps identify current and future transportation deficiencies, and that provides recommendations to meet mobility goals, or
2. The district unit that performs transportation planning.

Additional Definitions

A number of definitions that are relevant to the discussions in this chapter come from *Deputy Directive DD-23 – Roles and Responsibilities for Development of Projects on the State Highway System*. See the directive for additional details.

Implementing agency – is an entity charged with successful completion of a project component and assumes project management responsibilities for the component. There is only one implementing agency per component.

Owner-operator – is the entity ultimately responsible for the planning, design, construction, operation, maintenance, and liability of a facility. *California Government Code*, Section 14520.3 (b) and *Streets and Highways Code* section 90 established Caltrans as the owner-operator of the State Highway System.

Project – is the undertaking by a project sponsor of a transportation related construction, erection, alteration, repair, or improvement to the SHS, including all work necessary to fulfill the owner/operator's requirements and commitments while satisfying all state and federal laws and regulations. (Public Contract Code section 10105).

Project Components – are prescribed in Government Code section 14529(b) and describe the resources during the life of a project in the State Transportation Improvement Program. Components are synonymous to

phases which are used to indicate the progression of a project in the project development process.

Project sponsor –is the project advocate that acquires funding partners to ensure adequate project funding. Caltrans is the sponsor for all projects funded solely from the SHOPP and most projects funded from the Interregional Improvement Program.

ARTICLE 2 Laws

General

By way of legislation, the Legislature provides Caltrans and the CTC with its expectations for managing projects on the State Highway System. This article lists key laws that apply to the project initiation process. Although much of the legislation specifically addresses the requirements for the STIP, Caltrans has incorporated similar procedures for scoping and managing the SHOPP.

The laws presented in this article represent the current version available on the internet at the time of publishing. It is the user's responsibility to verify the correctness and applicability of specific laws.

California Statutes

California Government Code, Section 65086.5

Section 65086.5 describes Caltrans' role with respect to the preparation, review, and approval of PIDs. The text is as follows:

> (a) To the extent that the work does not jeopardize the delivery of the projects in the adopted state transportation improvement program, the Department of Transportation may prepare a project studies report for capacity-increasing state highway projects that are not included in the state transportation improvement program. Preparation of the project studies report shall be limited by the resources available to the department for that work, supplemented, as appropriate, by regional or local resources. The project studies report shall include the project-related factors of limits, description, scope, costs, and the amount of time needed for initiating construction.
>
> (b) Whenever project studies reports are performed by an entity other than the Department of Transportation, the department shall review and approve the report.

> (c) The Department of Transportation may be requested to prepare a project studies report for a capacity-increasing state highway project which is being proposed for inclusion in a future state transportation improvement program. The department shall have 30 days to determine whether it can complete the requested report in a timely fashion. If the department determines that it cannot complete the report in a timely fashion, the requesting entity may prepare the report. Upon submission of a project studies report to the department by the entity, the department shall complete its review and provide its comments to that entity within 60 days from the date of submission. The department shall complete its review and final determination of a report which has been revised to address the department's comments within 30 days following submission of the revised report.
>
> (d) The Department of Transportation, in consultation with representatives of cities, counties, and regional transportation planning agencies, shall prepare draft guidelines for the preparation of project studies reports by all entities. The guidelines shall address the development of reliable cost estimates. The department shall submit the draft guidelines to the California Transportation Commission not later than July 1, 1991. The commission shall adopt the final guidelines not later than October 1, 1991. Guidelines adopted by the commission shall apply only to project studies reports commenced after October 1, 1991.

California Government Code, Section 14526(c)

Section 14526(c) states:

> (c) Projects may not be included in the draft interregional transportation improvement program without a project study report or major investment study.

California Government Code, Section 14527(g)

Section 14527(g) states:

> (g) Projects may not be included in the regional transportation improvement program without a complete project study report or, for a project that is not on a state highway, a project study report equivalent or major investment study.

California Government Code, Section 14529

Section 14529 establishes the STIP as a resource management document. The statute requires that each project in the STIP identify the allocation or expenditure amount and year for the following four components:

(1) Completion of all permits and environmental studies.

(2) Preparation of plans, specifications, and estimates.

(3) The acquisition of rights-of-way, including, but not limited to, support activities.

(4) Construction and construction management and engineering, including surveys and inspection.

Additionally, funding for right of way acquisition and construction for a project may be included in the program only if the commission makes a finding that the sponsoring agency will complete the environmental process and can proceed with right of way acquisition or construction within the five-year period. No allocation for right of way acquisition or construction shall be made until the completion of the environmental studies and the selection of a preferred alternative.

California Government Code, Section 14530.1

Section 14530.1 requires the California Transportation Commission to adopt guidelines for the development of the STIP.

ARTICLE 3 Policies

General

Projects must be adequately scoped prior to approval for funding. The basis for scope, cost, and schedule must be documented in a PID for all major projects on the State Highway System. The District Director is not authorized to approve a PID unless all alternatives are considered geometrically feasible for study as described in Chapter 21 – Design Standard Decisions. To ensure feasibility, PIDs will have a full explanation and declaration of the risks of the project.

State Transportation Improvement Program

A PSR or PSR-PDS must be approved by the District Director prior to listing any project in the STIP.

The *CTC STIP Guidelines* (located at the Headquarters *Division of Financial Programming-Office of Capital Improvement Programming* website) state that for each project proposed for programming in the Regional Transportation Improvement Program (RTIP) or the Interregional Transportation Improvement Program (ITIP), the PID must list costs separately for each of four project components. In addition, right of way and construction components on Caltrans projects must be further broken down into the costs for Caltrans capital outlay support and capital outlay project. Therefore, a total of six project cost components are required in a PID for projects on the State Highway System to be programmed in the Regional Transportation Improvement Program or Interregional Transportation Improvement Program. The STIP components relate to the programming phases as follows in Figure 9-1:

Figure 9-1 State Transportation Improvement Program Components and Corresponding Project Development Programming Phases

California Transportation Commission State Transportation Improvement Program Components	Corresponding Project Development Programming Phases
Support costs for environmental studies and permits	Project Approval and Environmental Document (PA&ED)
Support costs for preparation of plans, specifications, and estimates	Plans, Specifications, and Estimates (PS&E)
Support costs for right of way acquisition	Right of Way – Support
Capital costs for acquisition of right of way	Right of Way – Capital
Support costs for construction	Construction Project – Support
Capital costs for construction	Construction Project - Capital

Legislation requires that each STIP component, as identified in Figure 9-1, must be programmed and that the components may be programmed sequentially. To implement the legislation, Caltrans developed the PSR-PDS

template to program support costs and capital costs separately. The PSR-PDS allows Caltrans and local agencies to:

1. Program only the support costs if the project life-cycle is longer than the STIP programming period.
2. Maximize the use of finite PID resources by beginning detailed environmental studies and engineering studies without performing preliminary studies.
3. Proceed with engineering and environmental studies and evaluate the merits and feasibility of alternatives before a preferred alternative is selected for programming right of way and construction costs.
4. Accurately plan resources needed to complete the environmental document -project approval process.
5. To advance the programming of PA&ED elements of future STIP projects, if there are adequate funds in the State Highway Account.

It is Caltrans policy that a PSR-PDS must be completed prior to listing any project in the STIP.

This policy was implemented to ensure appropriate use of limited PID resources and that project teams have sufficient information on project alternatives to develop reliable costs and schedules prior to programming funds necessary for construction and the purchase of right of way. The information needed to firmly establish permit, right of way, and environmental requirements is generally not available until after the detailed studies are completed.

If a STIP project can be accelerated and construction can begin during the proposed STIP programming period, it may be appropriate to use the PSR format and program right of way and construction dollars at the end of the PID phase. Only a District Director with a request from a project sponsor can approve the use of the PSR format. Districts should work with their local partners to carefully consider the ability to deliver the project within the STIP programming period. When using the PSR format, districts must submit a "Fact Sheet Exception to the PSR-PDS Requirement" to the Chief of the Headquarters Division of Project Management and Chief of Office of Program and Project Planning within the Headquarters Division of Transportation Planning. The fact sheet is located at the Headquarters *Division of Transportation Planning-Office of Program and Project Planning* website.

When a District Director approves a PID, that action approves the project as a candidate project but does not ensure that the candidate will successfully compete with other projects for programming.

When a PSR-PDS is used to initiate the project, a project report (PR) will be used to program the remaining support, right of way, and construction costs. In some rare cases, a supplemental PID following the format of a PSR may be used.

Refer to Appendix L – Preparation Guidelines for Project Study Report and Appendix S – Preparation Guidelines for Project Study Report-Project Development Support Project Initiation Document for more information.

This chapter, Appendix L and Appendix S were developed to be consistent with the *CTC Guidelines for the Preparation of Project Study Reports*.

State Highway Operation and Protection Program

Caltrans requires development of a PID prior to:

1. Inclusion of a project's capital right of way and construction costs into the SHOPP, or
2. Approval to commence work on the PA&ED phase when the timetable for the project exceeds the SHOPP programming period. In this case, the PR, not the PID will program the capital right of way and construction costs.

The Headquarters SHOPP program managers establish the program-specific requirements for the PID. Information about SHOPP PIDs is located at the Headquarters Division of Transportation Planning-Office of Program and Project Planning *SHOPP Project Initiation Report (PIR) Guidance* website.

The *SHOPP Project Initiation Report (PIR) Guidance* also applies to SHOPP Safety Improvements Program projects.

All SHOPP projects must include a list of project outputs in the PID. Contact the individual Headquarters SHOPP program manager for the most current SHOPP project output format. The Headquarters SHOPP program manager organizational chart is located at the Headquarters *Division of Financial Programming-State Highway Operation and Protection Program (SHOPP)* website.

For further discussion of SHOPP PIDs see Article 4 “Essential Procedures” and Article 5 “Additional State Highway Operation and Protection Program Procedures.”

Protection of Public Investment

It is Caltrans’ responsibility to protect the public’s investment in the State Highway System; therefore a PID is required for any major project that is on the State Highway System regardless of the funding.

Whether Caltrans or entities other than Caltrans staff prepare the PID, Caltrans policy and procedures must be followed. Caltrans staff must perform quality management assessment and must retain approval authority over those PIDs that are prepared by other entities. Further discussion of projects-funded-by-others is located in Article 4 “Essential Procedures” and Article 8 “Project Initiation Process for All Projects that require an Encroachment Permit.”

ARTICLE 4 Essential Procedures

General

This article is a discussion of the essential procedures to complete a PID. They follow the order for common problem-solving steps, project selection, project personnel, project statement, alternative development, mandatory reviews, estimating resource needs, securing funds, and starting capital work.

Project Selection

District Directors have discretion in prioritizing district projects for PID development. They also have the responsibility to ensure that the projects are consistent with planning procedures and programming criteria. District Directors have authority to approve PIDs.

Annually, the districts identify projects that will require resources to develop PIDs. A list of proposed projects is submitted to the Headquarters Division of Transportation Planning, Office of Program and Project Planning, in the form of a proposed work program. Constrained by the budgeted PID support allocation, an annual PID work program includes a list of those PIDs that will be developed by district/region staff and a list of projects requiring quality management assessment. Work can commence on a PID when a K-phase

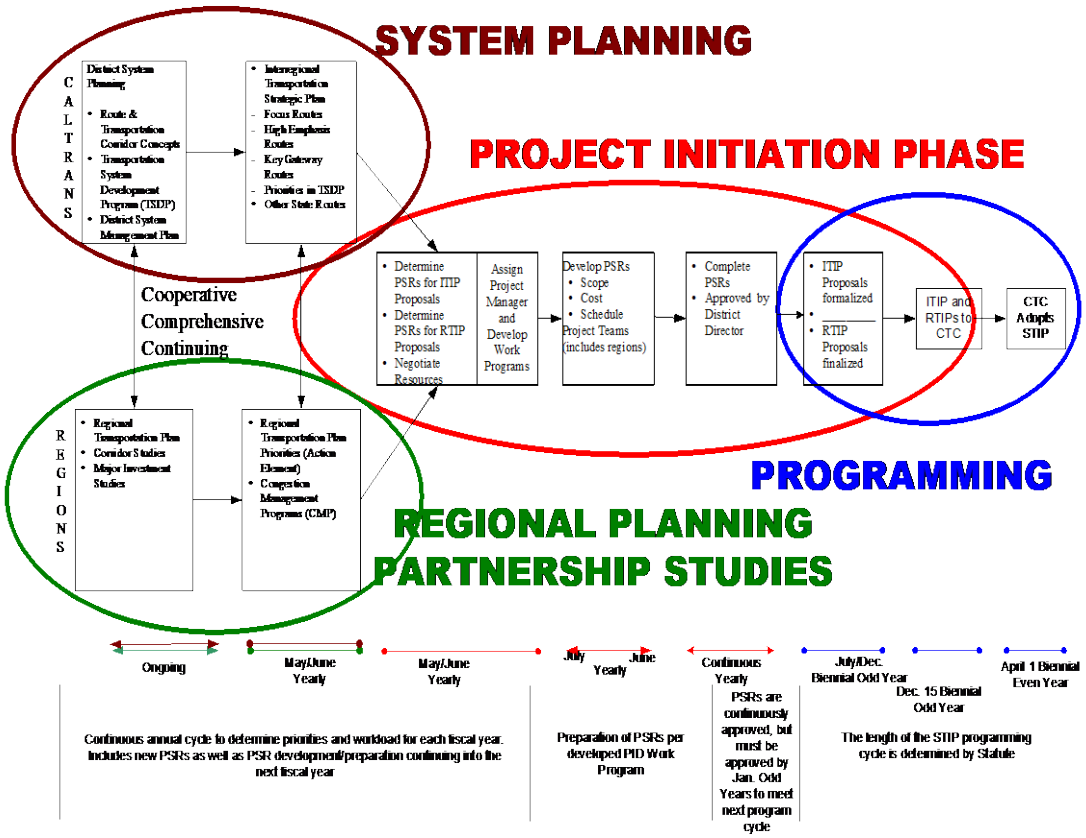
expenditure authorization (EA) has been issued. The PID work program is managed by the Office of Program and Project Planning. Refer to the Office of Program and Project Planning for information about work program development and K-phase authorizations.

Except for district Minor projects, the costs of the PID preparation should be charged to K-phase EA. The K-phase is used until the project is programmed, or for a project-funded-by-others when the Caltrans project manager requests the capital EA.

Candidate Projects for the State Transportation Improvement Program

The CTC and Caltrans are required to program, budget, and expend the funds in the State Highway Account in accordance with long-range transportation planning. Figure 9-2 provides an overview of the transition from long-range transportation planning to a project's initiation and ending with the programming of funds for a project. This chapter does not contain a discussion of all of the long-range planning elements shown in the Figure 9-2, however the graphic establishes the relationship between district system planning (in brown oval) and regional transportation planning (in green oval) and how long-range planning processes influence the selection of projects for funding. The following paragraphs provide brief descriptions of district system planning and regional transportation planning. A brief description of the STIP and the federal programming process follows the discussion of transportation planning processes. The PID is the key point of linkage between planning and programming.

Figure 9-2 Project Initiation Links Planning to Programming



District System Planning

California Government Code, Section 65086 specifies that Caltrans must carry out long-term State Highway System planning to identify future highway improvements in consultation with transportation planning agencies, county transportation commissions, and counties and cities. Caltrans district planning units work with local and regional agencies to identify long-range system and corridor needs. The system needs are determined by evaluating:

- Existing transportation facilities, including multi-modal transit, pedestrian and bicycle facilities.
- Existing and future deficiencies based on transportation system performance measures.
- Present operating conditions, such as the annual average daily traffic (AADT), peak hour volume, and level of service (LOS).

- Pedestrian needs at controlled and uncontrolled crosswalks.
- Current land use.
- 20-year concept for land use, operational trends, and modal trends.

Information is compiled into a transportation concept report (TCR) or a route concept report (RCR). Project selection is based on the system plans and broader statewide planning efforts such as the Interregional Transportation Strategic Plan (ITSP) and the overall policy framework established by the California Transportation Plan.

For a more in-depth discussion of this topic see Chapter 1 – Introduction, Section 4 "Transportation Planning Leads to Project Development."

Regional Transportation Plans

Like system planning within Caltrans, the Metropolitan Planning Organizations (MPOs) and Regional Transportation Planning Agencies (RTPAs) perform analyses on multi-modal segments, corridors, and the system to identify projects for long-range transportation plans. The long-range plans that are prepared and cyclically updated by Metropolitan Planning Organizations and Regional Transportation Planning Agencies are known as regional transportation plans (RTPs). Regional transportation plans consist of policy, action, and financial elements, all leading to identification of projects. Regional transportation plans are federally mandated plans. Any project that receives federal funding must be in a long-range plan that is fiscally constrained and is consistent with the goals and guidelines of a regional air quality plan.

For a more in-depth discussion of this topic see Chapter 1 – Introduction, Section 4 "Transportation Planning Leads to Project Development."

State Transportation Improvement Program

Transportation programming is the public decision-making process that sets priorities, balances system performance outcomes, and funds projects envisioned in the long-range transportation plans. The STIP consists of two broad programs: (1) the Interregional Transportation Improvement Program that is funded from 25 percent of the new funds in the STIP and (2) the Regional Transportation Improvement Program that is funded from 75 percent of the new funds in the STIP. Caltrans submits the Interregional Transportation Improvement Program and Regional Transportation Planning Agencies submit

the Regional Transportation Improvement Program to the CTC biennially. The CTC is responsible for adoption of the STIP.

The PID provides the required information that transforms transportation planning activities to project-specific details for programming decisions. The district transportation planning unit has a key role in ensuring that the community needs and long-term transportation objectives are incorporated into the PIDs.

An approved PSR-PDS will be used to program only the "environmental document and permit" component for any STIP project. An approved PR will be used to program STIP support and capital components for right of way and construction. With the approval of the Headquarters Division of Financial Programming, and if there is sufficient detail to firmly establish permit requirements, right of way requirements, and environmental impacts, a PSR may be used to program the right of way and construction components prior to approval of the PR.

For additional information on the requirements of the STIP, see the Headquarters *Division of Financial Programming-Office of Capital Improvement Programming* website.

Federal Program

Projects receiving federal transportation funds or are of regional significance must be programmed in the appropriate federal programming document. Metropolitan planning organizations are responsible for developing and adopting the Federal Transportation Improvement Programs. Caltrans is responsible for preparing the Federal Statewide Transportation Improvement Program.

Refer to Chapter 4 – Programming, for additional information on federal programs.

Candidate Projects for the State Highway Operation and Protection Program

The CTC and Caltrans program, budget, and expend the funds in the State Highway Account in accordance with the current Ten-Year State Highway Operation and Protection Program Plan located at the Headquarters *Division*

of Financial Programming-State Highway Operation and Protection Program (SHOPP) and Minor Program website.

Ten-Year State Highway Operation and Protection Program Plan

California Streets and Highways Code, Section 164.6 requires that Caltrans prepare a 10-year rehabilitation plan for the rehabilitation and reconstruction, or the combination thereof, of all State highways and bridges owned by the State. The plan must include specific milestones and quantifiable accomplishments, such as miles of highways to be repaved and number of bridges to be retrofitted. The plan is updated every two years and is submitted to the CTC for review and comment prior to submittal to the Governor and Legislature.

The plan, known as the Ten-Year State Highway Operation and Protection Program Plan (or SHOPP Plan), contains a compilation of statewide needs, performance goals, and a long-term schedule for meeting the goals. The plan is a tool to identify funding needs and prioritize projects within funding constraints.

The Ten-Year State Highway Operation and Protection Program Plan has the following major categories:

- Major Damage Restoration
- Collision Reduction
- Bridge Preservation
- Roadway Preservation
- Roadside Preservation
- Mandates
- Mobility Improvement
- Facility Improvement

The Headquarters SHOPP program managers work with the districts to develop the Ten-Year State Highway Operation and Protection Program Plan. Biennially, each district is assigned district program target goals for the statewide Ten-Year State Highway Operation and Protection Program Plan. The district uses this information to identify specific projects that contribute to meeting the district's target goals. If a district has identified program needs that

are not within the prescribed goals, that district may provide justification for including the project as part of the district's submittal. The district's list is submitted to the Headquarters SHOPP program managers. Once approved by the Headquarters SHOPP program managers, the district's projects are added to the statewide Ten-Year State Highway Operation and Protection Program Plan.

State Highway Operation and Protection Program

Biennially, Caltrans submits a list of projects to the CTC that meets the goals of the SHOPP. The SHOPP is a list of projects that has been approved for delivery by the CTC for the four-year SHOPP timeframe. The Caltrans delivery commitment is defined by the scope, cost, and schedule presented by the PID. The program categories in the SHOPP are an extension of the program categories in the Ten-Year State Highway Operation and Protection Program Plan. A description of the program qualifications for each category is located at the Headquarters *Division of Financial Programming-State Highway Operation and Protection Program (SHOPP)* website.

Projects are selected from the Ten-Year State Highway Operation and Protection Program Plan and the districts/regions are resourced for PID development through the PID work program. The PID defines the project scope, cost, and schedule. The project competes with other SHOPP needs for inclusion in the SHOPP. The PID provides the decision-making link between the Ten-Year State Highway Operation and Protection Program Plan and commitment for the delivery of capital improvement through the SHOPP.

Federal Program

SHOPP projects that either receive federal funds or are regionally significant must be programmed into the Federal Transportation Improvement Program. Projects that need to be in the region's air quality conformity model must be programmed in the Federal Transportation Improvement Program. Refer to Chapter 4 – Programming, for additional information on federal programs.

Project Initiation Document Templates

The funding source, the complexity, the issues, and the type of work will determine what type of information must be included in the PID.

The appendices provide guidance and templates for various PIDs.

Appendix L – Preparation Guidelines for Project Study Report, provides basic information applicable to all PIDs and should be read in conjunction with any of the program-specific appendices. Appendix L includes the following information:

- Preparation guidelines.
- Description of information that should be included in a PSR.
- Scoping tools.
- Standard templates.

Appendix S – Preparation Guidelines for Project Study Report-Project Development Support Project Initiation Document provides information applicable to a PSR-PDS, including the template and should be read in conjunction with Appendix L. Appendix S includes the following information:

- Preparation guidelines.
- Description of information that should be included in a PSR-PDS.
- Scoping tools.
- Standard templates.

The PSR and PSR-PDS are the most common documents to initiate a project. A standard outline has been developed for these documents. Templates using these standard outlines and some fill-in-the-blank tables have been developed for the PSR and PSR-PDS.

In addition to the PSR, there are templates that have been tailored to meet the information needs of specific State programs or funding sponsors. Tables from any of specialty PIDs may be used to improve the presentation of project information.

State Transportation Improvement Program Projects

There are two major PID types that are used to program projects into the STIP.

- The PSR-PDS is used to program only the support costs needed to achieve project approval.

- The PSR is used to program all support, right of way acquisition, and construction costs.

Both the PSR and PSR-PDS use a similar outline, however, the PSR-PDS does not require the same level of engineering detail as a PSR. The level of engineering detail and effort for developing a PSR-PDS must be limited to that effort needed to develop the work plan for the PA&ED phase, and to develop a "ballpark" estimate of the construction cost. When using a PSR-PDS, careful consideration of resources needed to complete the PA&ED phase is warranted since the level of information in the PSR-PDS is substantially less than the level of information required in a PSR. In addition, certain project approvals may need to be obtained during the PA&ED phase that would normally be done during the project initiation phase, such as any needed Federal Highway Administration (FHWA) approvals. The construction estimate in a PSR-PDS is not a programming commitment; rather it is used to forecast long-range funding needs.

A project programming request (PPR) as described in the STIP Guidelines must be included as an attachment. The template for this request is located at the Headquarters *Division of Financial Programming-Office of Capital Improvement Programming* website.

State Highway Operation and Protection Program Projects

Information about SHOPP PIDs is located at the Headquarters Division of Transportation Planning-Office of Program and Project Planning *SHOPP Project Initiation Report (PIR) Guidance* website.

State Highway Operation and Protection Program Minor A Projects

The Minor A project construction cost limit is defined by the CTC in terms of State (including federal) funds used.

The Minor Program allows districts to be responsive to low cost transportation needs, and therefore, Minor Program projects are not individually programmed.

Projects originally conceived as minor projects that have increased in cost to exceed the limit for Minor A projects must be reviewed by the Headquarters SHOPP program manager and compete with other candidates for SHOPP funds.

Under special circumstances, local funds may be combined with SHOPP funds (for example: a local project and a SHOPP project are combined for either construction efficiencies or coordination). In this case the local funds are not included in the calculation to determine if the construction cost exceeds the minor limit.

The PR functions as the initiation document and the project approval for projects that meet the Minor A limit. Refer to Appendix K – Preparation Guidelines for Project Report for an outline and preparation guidelines for project reports.

Information about the Minor program, including the current Minor A funding limit, is located in the *Minor Program Guidelines* located at the Headquarters *Division of Financial Programming-State Highway Operation and Protection Program (SHOPP) and Minor Program* website.

State Highway Operation and Protection Program Minor B Projects

The Minor B level is established to be consistent with the lower limit of the State Contract Act which is reviewed each even numbered year by the Department of Finance.

Information about the Minor program, including the current Minor B funding limit, is located in the *Minor Program Guidelines* located at the Headquarters *Division of Financial Programming-State Highway Operation and Protection Program (SHOPP) and Minor Program* website.

Projects-Funded-by-Others

The PSR-PDS is the recommended format of project initiation document for projects-funded-by-others, but other formats may be approved by the delegated authority. See Article 8 “Project Initiation Process for All Projects that require an Encroachment Permit” for further information.

Projects that have State Highway Account funds, as well as funds from other sponsors, will follow the Project Development Procedures Manual (PDPM) procedures and meet the expectations of the program manager.

Purpose and Need - Defining the Transportation Problem

All PIDs must contain a statement of purpose and need for the transportation improvement. This statement of purpose and need must be based on needs and objectives identified in the planning process. The statement should be developed by and have the consensus of the project sponsor and members of the PDT. The PID must present information in an organized manner to support the purpose and need statement. Supporting information to the purpose and need statement includes the background of the transportation problem, system and corridor planning, and data on transportation deficiencies that validate the need for the project.

A clear, well-justified purpose and need statement explains to the public and decision makers that the expenditure of funds is necessary and worthwhile, and that the priority of the project, relative to other transportation needs, is warranted. The purpose and need statement is the foundation of any project regardless of the funding source. The purpose and need drives the process for consideration of the range of alternatives to be studied, the analysis, and ultimate selection. The statement should be written so that the consequences of the No Build Alternative are self-evident.

A project "need" is an identified transportation deficiency. Typical transportation deficiencies are related to safety, congestion relief, connectivity of the highway system, multi-modal connectivity, access, operation, facility preservation, and legal mandates. A need must be supported by evidence that a problem exists.

A project's "purpose" is the objectives that will be met to address the transportation deficiency. Objectives should be quantified during the project initiation phase and measures should be used to develop, evaluate, and compare reasonable solutions.

The project's purpose and need statement must be as comprehensive and as specific as possible. Establishment of the appropriate breadth for the purpose and need promotes a suitable range of alternatives. If a statement is too vague, such as "provide a connection between city A and city B," then the range of alternatives could be very broad. The previous statement could imply that alternatives for air transportation be considered when that alternative may be

outside of the funding criteria. On the other hand, the purpose and need statements must not be so narrow that it precludes studying reasonable alternatives that meet the underlying need.

The purpose statement should clearly describe both planned expectations for the State's transportation system and sponsor's goals. An example of providing specificity is to include a statement that identifies the purpose as "completion of the California Freeway and Expressway portion of a route for interregional truck traffic with a connection to the existing rail system and to improve the level of service." This is a positive statement (compared to "provide a connection between cities A and B") that addresses a specific need for truck traffic capacity, the continuity with the freight system and an unacceptable level of service.

The purpose and need statement may need to be refined, as appropriate, until approval of the project. A key factor in the refinement of a purpose and need statement is the participation of a broad range of Caltrans functional units, community representatives, and public stakeholders. As information is gathered about the project and corridor, one may find more information about the underlying cause of a problem. For example, it may be assumed that the cause of congestion is the commuter traffic to and from the downtown area; however, follow-up studies indicate that additional housing also generates numerous trips to and from the university within a specific segment of the commuter corridor. New information may lead to a refinement of the purpose and need statement so that it can include the improved connectivity to transit, pedestrians, and bicycles in the corridor.

The final design reflected in the construction documents and any modification to the design during construction must be consistent with the approved purpose and need of 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.

The project scope may be refined as the project progresses through to project approval. The project scope must remain consistent with the purpose and need of the project. Any changes to the programmed project scope will require a project change request (PCR) and supporting engineering documentation. A

project change request alone is not sufficient to adequately document the engineering decision to change the scope of a project and provide for design immunity protection in tort liability. Additional information on scope changes can be found in Chapter 6 – Project Cost, Scope, and Schedule Changes.

Design Concept and Design Scope

The PDT must establish consensus on the design concept and the design scope.

Design Concept

The design concept defines the type of highway project; such as, freeway, expressway, conventional highway, major arterial, or mixed highway-rail transit facility. For highway facilities this is refined to freeway, expressway, or conventional highway. The design concept is an updated and more refined version of the planning concept developed during the system and regional planning process.

The establishment of the design concept will include a review of the transportation concept report or a route concept report, existing route adoption documents, and freeway agreements. In addition, an evaluation of general plans, current land uses, and intergovernmental reviews of proposed developments should be performed to determine the appropriate design concept.

The development of the design concept must reflect the appropriate functional classification of the facility as it relates to the transportation objectives of the corridor. To assess the appropriate functional classification one must consider the following questions:

- Does this facility serve a rural, urban, or urbanizing area?
- Does the facility primarily serve inter-regional, intra-regional, or intra-community travel?
- Does the facility provide system continuity?

Design Scope

The design scope describes aspects of the project that meet the project purpose and need. The design scope is an update of the planning scope that is used to assess how the project will impact the regional air quality emissions.

Some of the features that relate to the people or vehicle carrying capacity of the facility and therefore may impact air quality include:

- The number of lanes including lanes for high-occupancy vehicle, pockets, and through lanes.
- The location and length of the project.
- Design standards.
- Right of way requirements.
- Interchange locations.

Examples of where the design scope may be considered neutral with respect to impact on air quality include:

- Pavement rehabilitation.
- Highway planting requirements.
- Roadside management features.
- Stormwater management requirements.
- Seismic retrofit.

If applicable, the design scope of at least one viable alternative in the PID must match the regional transportation plan and the Federal Transportation Improvement Program project listing.

Refer to the Caltrans *Standard Environmental Reference (SER)* for additional guidance on project compliance with federal regulations on air quality conformity.

Scoping Tools

There are several scoping tools used by various functional areas to aid the project team in scoping the project.

Upon receiving a request for project information, each functional unit completes the appropriate scoping tool and transmits the information to the unit responsible for developing the PID.

Scoping tools that apply to all PIDs are located in Appendix L. Scoping tools specific to the PSR-PDS are located in Appendix S. The following is a list of the scoping tools and their locations:

- *Design Scoping Index* (All PIDs – Appendix L).

- Stormwater Documentation (PSR-PDS only – Appendix S).
- Transportation Planning Scoping Information Sheet (All PIDs – Appendix L).
- Preliminary Traffic Engineering Assessment (PSR-PDS only – Appendix S).
- Traffic Forecasting, Analysis and Operations (PSR only – Appendix L).
- Preliminary Environmental Analysis Report (All PIDs).
- Right of Way Component for PSR-PDS (PSR-PDS only – Appendix S).
  - Conceptual Cost Estimate Request.
  - Conceptual Cost Estimate.
- PSR-PDS Survey Mapping Needs for PSR-PDS Questionnaire (PSR-PDS only – Appendix S).
- Project Quality Management Plan (PSR-PDS only – Appendix S).
- Division of Engineering Services Scoping Index (PSR-PDS only – Appendix S).
- Complete Streets Decision Document (All PIDs except Permanent Restoration (131), SHOPP Safety (010) and projects-funded-by-others [local agency funded projects] – Appendix FF) Refer to the February 10, 2021 memorandum, *Complete Streets Decision Document – Implementation* for further information)

The tools not contained in the previous list can be obtained from the appropriate functional unit.

Project Initiation Document Alternative Formulation Strategies

The PDT must develop viable alternative solutions that meet the project purpose and need. Alternatives need to be context sensitive and address other constraints such as funding. It is Caltrans' policy to evaluate alternatives that avoid, minimize, or mitigate adverse environmental impacts. In the development of alternatives, the team should consider the following:

Context Sensitive Solutions

Caltrans must use context-sensitive-solutions (CSS) as an approach to plan, design, construct, maintain, and operate its transportation system. Steps must be taken to ensure early recognition of the context of the facility by the PDT. Such steps promote the use of innovative and inclusive approaches to integrate and balance community aesthetic, historic, cultural, social, and other environmental values with transportation safety, maintenance, and

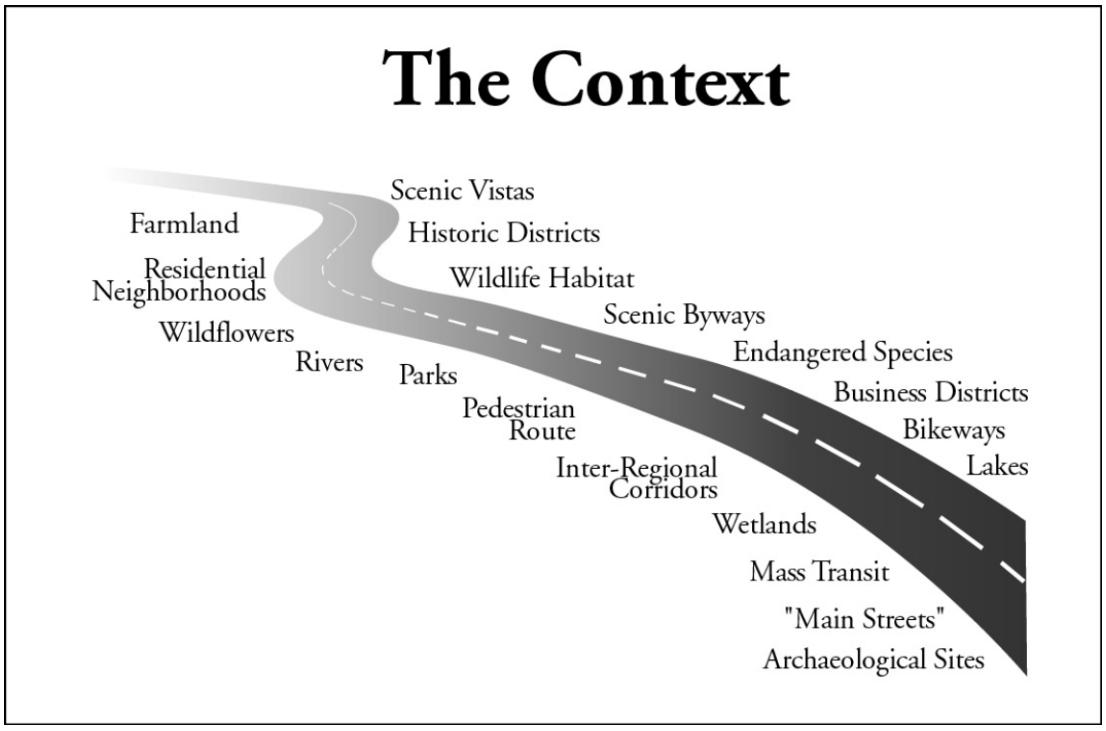
performance goals. Context-sensitive-solutions is a collaborative, interdisciplinary approach involving all stakeholders.

The context of all projects and activities to obtain public input are key factors in reaching project decisions. Context is considered for all State transportation and support facilities when defining, developing, and evaluating options. When considering the context, address issues including funding and maintenance feasibility, traffic demand, impact on alternate routes and safety, and relevant laws, rules, and regulations.

Figure 9-3 emphasizes that State highways are located within communities and provides some examples of the features and resources that a community may value. Each community will have its own characteristic features and values attached to those features. The PDT should work with the stakeholders to ensure these characteristics are considered when developing project alternatives.

Figure 9-3 The Context

Based on graphic created by SRF Consulting Group Inc.
University of Minnesota Center for Transportation Studies



Following are a few examples of questions that help the team establish the context of the project:

- Are all stakeholders identified?
- How does the transportation system "fit" into its physical and cultural context?
- Is the highway appropriately classified?
- What are the economic values and concerns of the community?
- What are the physical characteristics of the corridor? Is it in an urban, urbanizing, or rural setting?
- Are there important view-sheds from the road?
- What type of vegetation exists along the corridor?
- Are there historic resources, animal habitats, or other environmentally sensitive features?
- Are there particular features or characteristics of the area that the community wants to change or preserve?
- How do the current traffic demands impact various users of the transportation system?
- Are pedestrian and bicycle users safely, efficiently, and comfortably accommodated? What are their needs?
- What are the transit demands?
- What are the vehicular and goods movement demands?

For more information, see Chapter 1 – Introduction, Section 5 "Project Development Philosophy." See Chapter 22 – Community Involvement, for issues related to partnering with communities to get their input on projects as an integral part of the project development process.

See the *Highway Design Manual (HDM)* and *Main Street, California* for additional information on context-sensitive-solutions.

For information about developing an effective public participation plan to gain public support on a project to meet the context-sensitive-solutions goals of partnering, see the Headquarters *Division of Transportation Planning-Office of Smart Mobility and Climate Change* website.

See the *Project Communication Handbook* for information regarding assisting the project team in identifying internal and external stakeholders, and enhancing communication among all parties involved on a project.

Minimum Project Alternative

All PIDs that will compete for SHOPP or STIP funds linked to California Environmental Quality Act (CEQA) or National Environmental Policy Act (NEPA) documents need to include a minimum project alternative. This alternative must meet the project purpose and need. District program management unit should work with the project manager to establish a realistic funding expectation. The project manager should ensure that an alternative that fits funding constraints and addresses the most severe transportation problems outlined in the project purpose and need is developed.

The minimum project alternative must stand alone and must not depend on successive projects. The minimum project alternative need not contribute to the ultimate project and must not constitute a commitment to the ultimate project. A good illustration would be a corridor with an expressway as the ultimate project where significant interim relief could be achieved with strategically located passing lanes on a conventional highway. Another example would be a desired interchange on an expressway where interim improvement could be achieved by intersection signalization.

Stageable Alternatives

Special emphasis should be placed on development of alternatives with staging characteristics. By developing alternatives with components of varying priorities, it is possible to stage the ultimate project or scale it back. The flexibility to quickly and logically adjust the scope of projects is most important at initial programming, but is necessary throughout the project development process.

Districts have a higher probability of getting a project programmed and of meeting at least some of the project needs if the PID includes stageable alternatives. Projects that may be rejected on an “all or nothing” basis are more likely to be completed over a period of years if packaged in more reasonably sized increments. A good project for such an approach would be a rehabilitation project proposed for a long corridor. To be competitive, large projects should be packaged into a series of reasonably sized projects with independent utility.

No Build Alternative

The No Build Alternative must explain the need for the project. The No Build Alternative must always be included in the PID.

Alternative Identified to Program Project Cost

If there is more than one Build Alternative, the PDT must identify one viable project alternative to be used to estimate and program the project cost. The project schedule should be based on the timeline needed to study all viable project alternatives. The identification of the programmable project alternative does not predetermine the identification of a preferred alternative during the environmental process.

Life-Cycle Cost Analysis

Life-cycle cost analysis must be completed as discussed in Chapter 8 – Overview of Project Development.

Consensus on the Study Area

The study area defines the boundary for any formal study of the project alternatives. Defining the study area boundary is key to forming a systematic approach for developing and evaluating alternatives and can prevent unexpected project rework. The boundary of the study area is derived from the purpose and need of the project, alternatives, and logical termini. Constraints identified in previous technical studies, legal requirements, design standards, community input, funding limitations, and natural or man-made elements assist in the delineation of the study area. Consensus on the definition of the boundary of the study areas is the responsibility of the PDT.

The boundary of the study area must be broad enough to ensure that all the viable alternatives can be evaluated. The boundary of the study area may delineate individual alternatives or delineate one area for the development of multiple alternatives. The study area should include anticipated route detours, material haul roads, and other areas that are indirectly impacted as a result of the project. Risks should be considered in the development of the study area boundary and used to effectively sequence activities. Alternatives that have high-ranked risks related to setting the boundary of the study area map should have the locations with the high-ranked risk features flagged to be studied first.

Early verification of high-ranked risk elements may eliminate the need to extensively study alternatives that are ultimately not viable. Early verification of high-ranked risk elements also ensures that adequate resources are obtained and accurate schedules are established. The boundary of the study area may be refined as information is gathered.

Identify Anticipated Environmental Determination/Document and Compliance

The preliminary environmental analysis report (PEAR) identifies the anticipated environmental determination/document, the need for preliminary environmental studies, and identification of known environmental constraints. The preliminary environmental analysis report also includes estimates of the schedule and costs associated with completing environmental compliance. The information contained in the preliminary environmental analysis report serves as the foundation for the environmental team to begin studies in the PA&ED phase, facilitating early consultation with federal and State resource agencies. For additional information, see the *Standard Environmental Reference*.

Value Analysis

Currently, *Title 23 United States Code*, Section 106 requires a value engineering analysis on all federally funded National Highway System projects with a total project cost (right of way, construction, and support) of $50 million or more, regardless of whether Caltrans employees, local agencies, consultants, or others are accomplishing the work. In addition, a value engineering analysis is mandated on all federally funded National Highway System bridge projects with a total project cost of $40 million or more. The requirements for performing a value engineering analysis or value analysis (VA) study can be found in Chapter 19 – Value Analysis.

The PDT should establish the timing of the analysis once it has been determined that a value analysis study is appropriate and/or required. The PDT should focus on the work plan, identify the information critical for effective analysis, set a study schedule, and allocate sufficient resources for staff participation during the value analysis study.

The formal value analysis should be completed as early in the process as possible, but only after adequate information has been generated to complete a high level evaluation of various alternatives.

Ideally, value analysis is performed to analyze proposed corridor improvements prior to narrowing the suite of alternatives (or phasing of project improvements) for further development. The intent of the federal legislation is to use value analysis to identify the solution with the best value for the majority of the project stakeholders. The value analysis study provides a quantitative and qualitative assessment to compare the performance attributes and costs of competing alternatives.

Deviation from Design Standards

During development of projects, various constraints often require deviation from design standards. Identify and document deviation from design standards following the procedures in Chapter 21 – Design Standard Decisions.

Resurfacing, Restoration and Rehabilitation Projects

SHOPP projects that address resurfacing, restoration, and rehabilitation (RRR), and certain safety, storm damage, protective betterment, and operational improvement must be consistent with the design criteria described in *Design Information Bulletin 79* – Design Guidance and Standards for Roadway Rehabilitation Projects.

Capital Preventive Maintenance Projects

Capital preventive maintenance (CAPM) projects that are consistent with the scope and intent of the capital preventive maintenance program, as described in *Design Information Bulletin 81* – Capital Preventive Maintenance (CAPM) Guidelines, rarely require deviation from design standards. All newly constructed project features are to be in conformance with current design and safety standards, policies, and practices.

For further policy and procedures on design exceptions, see Chapter 21 – Design Standard Decisions and Appendix BB – Design Standard Decision Documentation.

Safety Review

All projects must be reviewed by the district safety review committee prior to the approval of the PID. The PID must incorporate the safety concepts that were identified during the safety review process unless deletion is substantiated, documented, and approved by the District Director. See Chapter 8 – Overview of Project Development, Section 7 "Policies and Procedures that Span the Project Development Process" and *Highway Design Manual* Index 110.8 "Safety Reviews," for more detailed information on safety reviews.

Constructability Review

Perform constructability reviews on all projects that exceed the Minor A project limit as defined by the CTC. The PID will summarize the results of the constructability review. See Chapter 8 – Overview of Project Development, for information on meeting constructability review requirements.

Assessment of Federal Highway Administration Involvement

Documenting Federal Involvement

Each PID, including each PSR-PDS, must be assessed to determine the level of federal involvement needed to approve the design and construction products. See the latest *Stewardship and Oversight Agreement on Project Assumption and Program Oversight* between the FHWA, 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.

Other Types of Federal Involvement

In addition to assessing the FHWA's involvement in approval of the plans, specifications, and estimate, other project features may require the FHWA involvement or the involvement of other federal agencies. Examples of other federal agencies are: U.S. Army Corps of Engineers, U.S. Department of the Interior Bureau of Land Management, U.S. Department of the Interior Bureau of Indian Affairs and/or tribal governments, or U.S. Department of Agriculture

Forest Service. Each functional unit must be involved in assessing the amount of federal involvement for their delivery product.

The PID should identify all federal required involvement.

Chapter 2 – Roles and Responsibilities, Section 7 "Federal Government" provides the policies and guidance regarding FHWA involvement.

Federal Highway Administration Determination of Engineering and Operational Acceptability for New or Modified Access on the Interstate System

New or modified Interstate access requires approval by both Caltrans and FHWA. Obtaining FHWA approval is a two-step process. The first step in this process is obtaining FHWA Determination of Engineering and Operational Acceptability. For most projects, FHWA Determination of Engineering and Operational Acceptability is obtained during the PID phase. The second step occurs once the NEPA process is completed. FHWA will concurrently provide approval of the environmental document and Final Approval for the new or modified Interstate access.

Caltrans evaluates the project proposal for impacts on the level of service of the Interstate in terms of safety and mobility.

As discussed in Chapter 2 – Roles and Responsibilities, Caltrans must keep the FHWA liaison engineer informed of all proposed new or modified access on the Interstate System as they are being developed.

Caltrans must submit a formal request for a FHWA Determination of Engineering and Operational Acceptability. If the FHWA Determination of Engineering and Operational Acceptability is submitted at the PID phase, an unsigned draft PID and supporting documentation must be attached to the request. The evaluation, FHWA Determination of Engineering and Operational Acceptability and Caltrans' conceptual approval is documented in the approved PID.

For a project that is initiated with a PID that does not provide conceptual approval, FHWA Determination of Engineering and Operational Acceptability occurs during the PA&ED phase because the level of project detail in the PID is not sufficient for FHWA to make this determination. The PID must identify

the target schedule for the FHWA Determination of Engineering and Operational Acceptability and the schedule must be discussed with and agreed to by the FHWA liaison engineer prior to determining the target schedule. An unsigned supplemental PID or an unsigned draft project report (DPR) and supporting documentation must be attached to the request. FHWA Determination of Engineering and Operational Acceptability must be obtained prior to circulation of the draft environmental document. The evaluation, FHWA Determination of Engineering and Operational Acceptability and Caltrans' conceptual approval is documented in the approved DPR.

An unsigned PID (or other report as described previously) and the supporting documents for projects that propose new or modified interchanges must contain sufficient information to allow FHWA to independently evaluate the request and ensure that all pertinent factors have been appropriately considered and must meet the requirements identified in Chapter 27 – Access Control Modification.

Federal Aid Reimbursement - Local Agency Implementation

If federal dollars are used on any portion of the project and local agency support costs are considered a soft match for federal reimbursement, then the PID or PR must identify and discuss the local agency support cost.

Work Plan Development

All projects must have work plans that describe the amount of and the schedule for Caltrans resource needs following project initiation. Work plans must be developed with input from all appropriate functional units. The PID contains a summary of the information needed to explain the work plan (such as: assumptions, critical path activities, summary of the risk register).

For further information about the development of work plans, see the *Capital Project Workplan Handbook*.

Cooperative Features for Capital Improvements

A cooperative agreement must be required if the PA&ED phase, or another future phase will involve the exchange of funds, effort, or materials between

Caltrans and another public entity. The PID will be the authorizing document for the execution of a cooperative agreement and therefore must address:

- Why the agreement is in the best interest of the State.
- If the cooperative features are within Caltrans policy/procedure. If not, obtain and attach an exception to that policy from the appropriate policyholder.
- The work plan for the cooperative features:
  - Roles, responsibilities and funding commitments.
- Functional unit review and concurrence.
- Who is the CEQA lead agency? The decision must conform to Caltrans policy "*Department as CEQA Lead Agency for Projects on the State Highway System*" dated June 24, 2004.
- Funding limitations, if any.
- Assumptions and high-risk elements.

See Chapter 16 – Cooperative Agreements, and the *Cooperative Agreement Handbook* for additional information on cooperative agreements, cooperative agreement reports, and the cooperative features that are to be included in a PID and the cooperative agreement.

Additional information on roles and responsibilities can be found in Chapter 2 – Roles and Responsibilities.

Federal Funding Requirements

To qualify for federal funding, projects must meet FHWA and Federal Transit Administration requirements with respect to planning and programming. Projects must be:

- Included in a fiscally constrained plan that meets air quality conformity such as the regional transportation plan.
- Programmed into a fiscally constrained Federal Statewide Transportation Improvement Program/Federal Transportation Improvement Program.

Fiscal constraint is a demonstration that there will be sufficient funds to implement proposed improvements, and to operate and maintain the entire system, by comparing costs with available financial resources.

If the scope of the project is not consistent with the air quality analysis completed for the regional transportation plan, the air quality analysis must be revised before the project can be programmed.

All projects funded with federal funds must be incorporated into the Federal Transportation Improvement Program and Federal Statewide Transportation Improvement Program, as appropriate, whether programmed through the a State programming document such as the STIP or SHOPP or through the regional Surface Transportation Program or the Congestion Mitigation and Air Quality Program.

The PID must include a discussion on the long-range planning document, reasonable and reliable funding sources, and if appropriate, the actions necessary to include the project in the Federal Statewide Transportation Improvement Program and Federal Transportation Improvement Program. FHWA provides additional guidance on expectations regarding fiscal constraints and identifying "reasonably available" future funds at the *FHWA Financial Planning and Fiscal Constraint for Transportation Plans and Programs Questions & Answers* website.

Throughout the project development process, there must be consistency between the federally required planning and programming documents.

For additional information on federal programming, see Chapter 4 – Programming and the Headquarters *Division of Financial Programming-Office of Federal Transportation Management Program* website.

Project Initiation Document Approval

When a PSR is completed and approved by the District Director, the project initiation phase is complete and the project is eligible to compete for funds from the appropriate State and federal funding program.

When a PSR-PDS is completed and approved by the District Director, the project initiation phase is complete and the project is eligible to compete for the support costs of performing the PA&ED phase from the appropriate State and federal funding program. Once adequate information is available to reasonably estimate the construction and right of way cost and project schedule, a PR will be used to program the remaining phases of the project. In some rare cases,

a supplemental PID following the format of a PSR may be used. A DPR must be completed to authorize circulation of the draft environmental document. For further guidance on the DPR, see Chapter 10 – Formal Project Studies. A PR is required to document Caltrans' final approval of the project. For further guidance on the PR, see Chapter 12 – Project Approvals and Changes to Approved Projects.

The approval process for other types of PIDs is discussed in subsequent articles.

Starting Next Phase

Major Projects Start

Authorization to begin working on the PA&ED phase of a major project is its inclusion in the appropriate State and federal programming document or approval of a PID that specifically authorizes commencing to the next phase.

Minor Projects Start

Authority to proceed with the project development process of minor projects rests with the District Director. Each district is responsible for developing a process for identifying the needs of the district Minor Program and ensuring that those needs are aligned with the goals of the Ten-Year State Highway Operation and Protection Program Plan that is administered by various Headquarters program advisors.

ARTICLE 5 Additional State Highway Operation and Protection Program Procedures

General

This article describes additional procedures that are specific to projects that are funded from the SHOPP. The SHOPP is a structured process that is focused on identification of facility needs with respect to the performance measures for operation and preservation of the existing facility.

Scoping Team Field Review

All candidate resurfacing, restoration, and rehabilitation projects and capital preventive maintenance projects as described in *Design Information Bulletin 79* – Design Guidance and Standards for Roadway Rehabilitation Projects and *Design Information Bulletin 81* – Capital Preventive Maintenance Guidelines, must have a "scoping team field review" after initial development of an unsigned PID. The composition of the team will vary in accordance with the complexity of the project. Attendance on the reviews is mandatory for the Headquarters program advisors and the district program advisor.

Safety Analysis

All rehabilitation projects must include a safety analysis. The analysis should be performed early in the project development process to identify safety problems that should be considered in development of the rehabilitation project. The analysis must include both an accident record review and a safety field review. The analysis is to be documented in a separate report.

The date of the safety field review should be noted in the PID. The safety field review should be a joint effort between the district's design unit and traffic unit. The district maintenance, construction, survey, and safety units must also provide safety reviews for the project, as specified in Chapter 8 – Overview of Project Development, Section 4 "Project Development Team."

The safety analyses should be scheduled for traffic staff efficiency and consistent with the scope of the project and general condition of the existing facility.

Content of the Safety Analysis

The Safety Analysis should address such items as:

- Pavement condition.
- Existing geometrics.
- Traffic volumes.
- Accident data (typically the most recent 3-year accident history by type). Include an analysis of the causes of accidents.
- Traffic Safety devises and hardware.
- Roadside obstructions.

- Drainage features.
- Structurally deficient or functionally obsolete bridges.
- Other pertinent factors.

Alternative Safety Solutions

Where accident rates are high or there are concentrations, a determination should be made as to alternative improvements that can be accomplished within the parameters of a resurfacing, restoration, and rehabilitation project.

The safety field review report is not to be attached to the PID. The report should be briefly summarized under “Traffic Data” and should include proposals for safety enhancement. Safety enhancements not included in the project should be noted, with an explanation for their exclusion. The safety field review report may make suggestions, but the decision to include them in the project will be the responsibility of the project engineer.

While the analysis may discuss a range of possible solutions to demonstrated problems, there should be no specific project recommendations made in the analysis. Project recommendations or proposals will be decided by the scoping team after considering whether the recommendation or proposal is consistent with the degree of the safety problem, is reasonable from a cost effectiveness standpoint, and is of the type that can be accomplished within the parameters of a resurfacing, restoration, and rehabilitation project.

Safety Upgrading

Special emphasis should be placed on implementing cost-effective solutions recognizing, however, that certain upgrading for safety and operational purposes are desirable and others are necessary. Recommendations and decisions on safety improvements should be consistent with the degree of the safety problem and the reasonableness from a cost standpoint.

Maintenance Considerations

Cost-effective maintenance improvements should be considered, as appropriate, particularly if they improve safety for maintenance operations. There may be low cost improvements that will provide significant safety benefits to maintenance personnel.

Documentation

The safety analysis must be documented in writing and should be retained in the project file.

Damage Assessment Form

General

The Damage Assessment Form (DAF) is a federal form used for the FHWA Emergency Relief (ER) Program. Caltrans uses the DAF to collect information that helps define the scope of projects for both the Major Damage (Emergency Opening) Program and the Major Damage (Permanent Restoration) Program.

Damage to highway facilities that are neither Federal-aid highways nor roads on federal lands may be eligible for other federal funds authorized by the Stafford Act, administered by the Federal Emergency Management Agency (FEMA). Contact the Major Damage Restoration Program Manager in the Headquarters Division of Maintenance for instructions.

The Damage Assessment Form (DAF) is located at the Headquarters *Division of Maintenance-Major Damage and Director's Orders* website.

Time Limits

FHWA Emergency Relief (ER) Program project development work (work prior to the Ready to List milestone) must be completed by the end of the second full federal fiscal year after the declared disaster. For those projects eligible for the Federal Emergency Management Agency (FEMA) Stafford Act funding, construction must be completed within four years of the date of disaster declaration.

Major Damage Restoration Program projects, regardless of funding source, are considered to be emergency-related high priority work. Project development for these projects should be completed in a timely manner to prevent the loss of federal funds due to exceeding the required time limits.

Federal Highway Administration Review

Federal participation for the Major Damage Restoration Program requires that the FHWA liaison engineer review the major damage site as soon as possible

after occurrence, in order to determine eligibility for FHWA Emergency Relief (ER) Program participation. In the event of a finding of eligibility for the FHWA Emergency Relief (ER) Program, the FHWA will approve a DAF for eligible work. Contact the Major Damage Restoration Program Manager in the Headquarters Division of Maintenance for assistance with questions.

ARTICLE 6 Director's Order for Urgent Projects

The Director's Order is a formal document approving the use of special authority granted to the Director by State law to set aside normal procedures for the advertising, bidding and award of certain types of contracts when there is an emergency or other urgent need to protect the health and safety of the traveling public. Examples would be repairing a bridge or roadway failure or making repairs to prevent a failure.

The Director's Order with a DAF is used for initiation, programming, and approval of projects in the Major Damage (Emergency Opening) Program.

A Director's Order is administered by using the Director's Order Request - Funds Request form (MTC-0130). Additional information about Director's Orders, including the Director's Order Guidelines is located at the Headquarters *Division of Maintenance-Major Damage and Director's Orders* website.

ARTICLE 7 Minor B Projects

Minor B

Minor B projects do not need a PID or a PR except as noted in Chapter 12 – Project Approvals and Changes to Approved Projects, Section 4 "Other Caltrans Reports That Approve Projects."

ARTICLE 8 Project Initiation Process for All Projects that require an Encroachment Permit

General

Caltrans is responsible for protecting the public's investment in the State Highway System and must review all proposed projects on the State Highway System. When a local agency or a private entity develops a project, it is imperative for the sponsor to have early and continual discussions with Caltrans to establish the viability of the proposal, procedural requirements, and schedule for various project deliverables. All projects, not just those that are called "encroachment permit projects," require an encroachment permit whenever the project sponsor, its consultants, or its contractors work within the existing State highway right of way. This article discusses the processes that apply to all projects that require an encroachment permit.

Overview of the Project Initiation Process and Required Project Document

Based on the complexity of the project, the impacts, need for CTC action, need for approval by the FHWA, and the scope of work on the State Highway System, all projects that require an encroachment permit will be processed through one of the two processes, the encroachment permits office process (EPOP) or the quality management assessment process (QMAP). The EPOP will require a permit application review, and the QMAP will require either a design engineering evaluation report (DEER) or a PSR-PDS. A DEER will document both project initiation and project approval eliminating the need for separate processing of a PID.

If a project-funded-by-others qualifies for using a PSR-PDS and construction can begin during the proposed programming period, it may be appropriate to use the PSR format for programing right of way and construction dollars at the end of the PID phase. Only the district director, with a request from a project sponsor, can approve the use of the PSR format. Districts should work with their local partners to carefully consider the ability to deliver the project within the STIP programming period.

Steps to Determine the Appropriate Caltrans Review Process

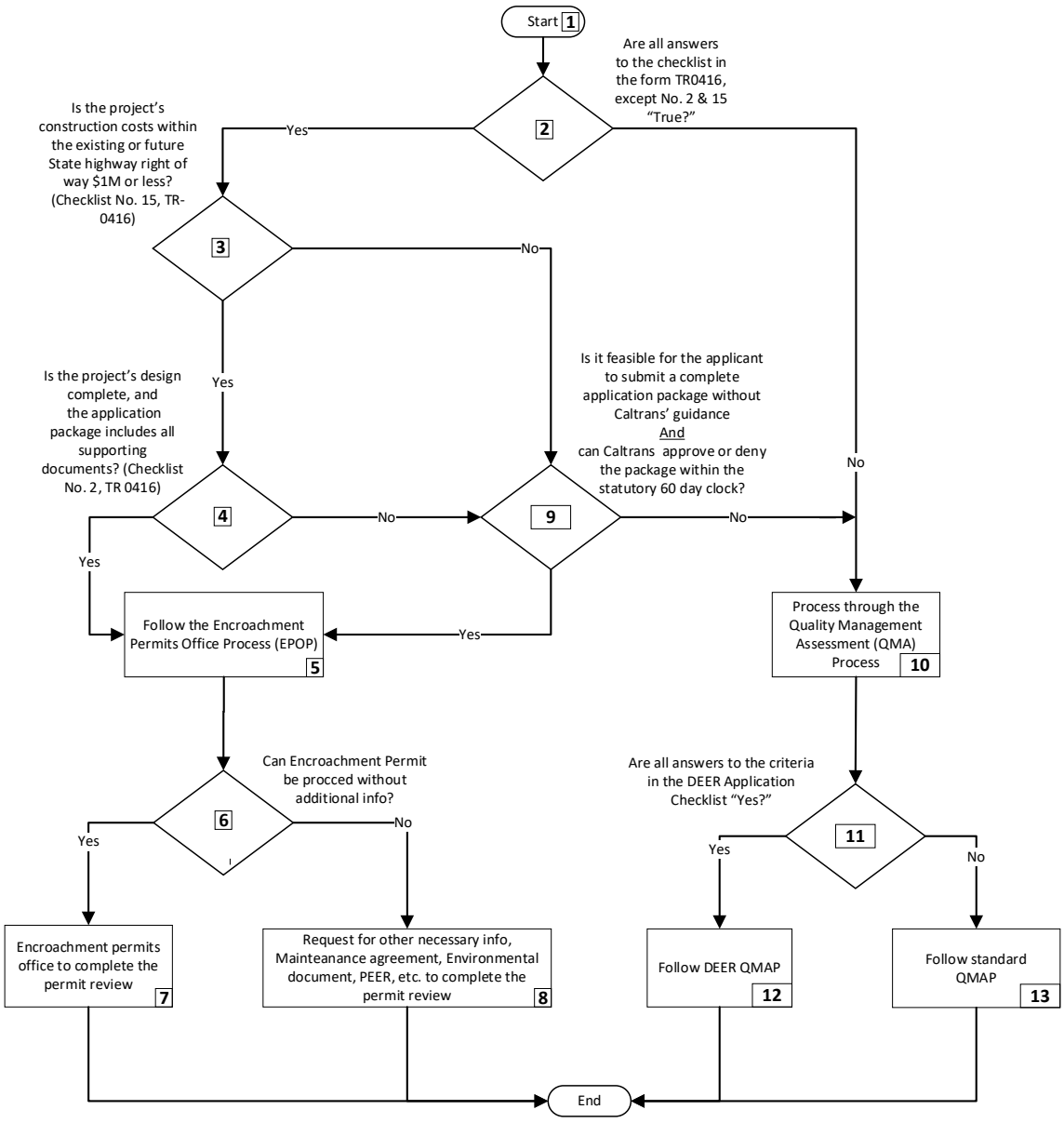
The numbered sequence of events to determine the appropriate Caltrans review process for all projects that require an encroachment permit is shown on the flowchart diagram in Figure 9-4. Descriptions of the corresponding events are listed in the following paragraphs.

1. Permit applicant to submit the encroachment permit application package (EPAP), including the *applicant's checklist to determine applicable review process (TR 0416)* and the *design engineering evaluation report application checklist* as applicable. Applicant is advised to consult with Caltrans, typically the district permit engineer, early in the planning or design phase if their project does not meet any of the criteria in the *applicants checklist to determine applicable review process form*. See *Encroachment Permit Manual* for more details about the EPAP and general application procedures.
2. The district permit engineer reviews the EPAP and confirms that all criteria in the form (*TR 0416*) is marked "true," except criteria number 2 and 15. These two criteria will be checked in the subsequent steps.
3. If the construction cost of the project within the existing or future State highway right of way is less than $1 million, continue to step 4. If not, move on to step 9. Exception: this criterion does not apply to a utility-only project. If this criterion is the only item checked "false," the district permit engineer will determine the appropriate Caltrans review process in consultation with the impacted functional units.
4. If the project design is complete and the application package includes all supporting documents, continue to step 5; If not, move on to step 9. If the project design is incomplete or supporting documents are missing (or both) for an EPAP that otherwise meets the criteria for the EPOP, the district permit engineer may return the package to the applicant for resubmittal of a complete EPAP.
5. At this point, the given project is qualified to go through the EPOP.
6. If an encroachment permit can be issued without further information, continue to step 7; If not, move on to step 8.
7. The district permit engineer will complete the permit review.
8. The district permit engineer will request revision of documents or other supporting documents needed to complete the permit review. Examples of supporting documents are construction plans, location maps, traffic control plans, stormwater permits, etcetera.
9. Confirm that it is feasible for the applicant to submit a complete application package without guidance from Caltrans, and Caltrans can approve or deny the package within the statutory 60 day timeline. If yes, back to step 5; if not, continue to step 10. The district permit engineer

will determine the appropriate review process in consultation with the impacted functional units based on the scope and level of oversight needed to deliver a quality project. In the event of a disagreement, the decision will be elevated by following the appropriate chain of command, starting with a Deputy District Director.

10. At this point, the given project is qualified to be processed through the QMAP.
11. Confirm that all answers to the criteria in the design engineering evaluation report application checklist are “yes,” and the project is not deemed to be complex. If that is the case, continue to step 12; if not, move on to step 13.
12. The given project can use the DEER as a project initiation and approval document.
13. The given project must use standard QMAP, which requires a PSR-PDS as a project initiation document.

Figure 9-4 Steps to Determine the Appropriate Caltrans Review Process



Policy Deviations to Change the Process

Policy deviations to change the process between the EPOP, DEER QMAP, and standard QMAP can be approved only by the District Director on a case-by-case basis, using the *Encroachment Project Review Process Change Approval Form (TR-0417)*.

Encroachment Permits Office Process

Encroachment Permit Application Review

A project sponsor or their representative must sign and submit an encroachment request to enter the right of way and build the improvements approved by Caltrans. Information about the encroachment permit application is located at the Headquarters *Division of Traffic Operations-Office of Encroachment Permits and Engineering Support* website.

Upon receiving the permit application package, the district permit engineer, in consultation with the impacted functional units, decides whether the project should be processed through the EPOP or QMAP based on the criteria listed in the following text.

Determining Criteria and Exceptions

The following criteria were developed in consultation with local agencies and transportation partners and will be used to determine the qualification to be processed through the EPOP. If all of the following conditions are met, the EPOP is the appropriate process for the encroachment permit project:

- The project qualifies for a categorical/statutory exemption under the CEQA and a categorical exclusion under the NEPA, or the project has a completed and approved higher-level environmental document (IS/ND/MND, EIR, EA/FONSI, or EIS). The reason for the preparation of a higher-level environmental document must not be due to transportation related effects, and the project must not result in an increase in vehicle miles traveled (VMT).
- The project design and submittals are complete, and the EPAP includes all required supporting documents, reports, etcetera.
- The project doesn't involve any right of way conveyances (for example, dedications, relinquishments, modifications to right of way limits, etc.)
- The project doesn't propose bridge widenings or constructing new structures (for example, earth retaining structures such as retaining walls, tiebacks, soil nails, sound walls, culverts, etc.) that are not per Caltrans Standard Plans.
- The project doesn't propose conduits greater than 60 inches in diameter to be installed by trenchless methods or tunneling (diameter 30 inches and above) with depth of cover less than 15ft.
- The project doesn't propose high priority utilities, or liquid and gas carrier pipes on or through bridges/structures.

- The project doesn't propose structural modifications of Caltrans structures. Exception: Certain superficial attachments are not considered structure modifications.
- The project doesn't propose new permanent stormwater treatment facilities, create 5,000 square feet or more of new non-highway impervious surfaces or create 1 acre or more of new highway impervious surface.
- The project is not proposed in known slip-slide prone areas, and the proposed work will not adversely impact geological stability.
- The project doesn't require agreements to be executed with Caltrans, or an agreement is required, but Caltrans standard templates can be used (for example, maintenance, lease, joint use agreement, etcetera).
- The project doesn't propose nonstandard roadway design features requiring a design decision document. Exception: This does not apply to utility-only projects.
- The project doesn't require CTC action other than funding approval (for example, relinquishments, new public road connections, etcetera).
- The project doesn't propose new sound walls on bridges or modifications to existing sound walls on bridges.
- The project doesn't propose increasing highway capacity or converting the operational nature of highway lanes (for example, converting to HOV, HOT, or toll lanes, etcetera).
- The total construction cost of the project within the existing or future State highway right of way is $1 million or less. Exception: this does not apply to a utility-only project. If this is the only criteria that the project does not meet, the district encroachment permit engineer will determine the appropriate Caltrans review process in consultation with impacted functional units.

Permit Engineering Evaluation Report

For a project processed through EPOP that involves a permanent traffic impact or affects the operation capacity of a State highway facility, a PEER is required.

Comprehensive details about the PEER requirements, procedures, roles and responsibilities are discussed in the *Encroachment Permit Manual* and the *PEER form*.

Preparation Timing

When the district encroachment permit office receives and accepts a complete encroachment permit application, the statutory 60-day review limit begins; however, the Caltrans Strategic Management Plan has identified a

performance target to issue or deny 95% of the application within 30 calendar days from the submittal date of a complete application. More detailed requirements and timelines are discussed in the *Encroachment Permit Manual*.

Each Permit Proposals Needs Thorough Evaluation

Permit proposals that are processed through EPOP do not require a DEER or PSR-PDS; however, the fact that a higher level project document is not prepared does not diminish the need for the responsible unit to thoroughly evaluate the permit proposal and summarize conclusions in the "Remarks" area of the *Encroachment Permit Application Review form (TR-0110)*. All permit proposals must be thoroughly reviewed by the responsible unit, and the written conclusions should be returned to the permit engineer in a timely manner.

Permit Review Charges

Time spent on reviewing the projects managed through the EPOP should be charged to the EA assigned by the district permit engineer. Charges should be reasonable. Excessive hours should be charged to the reviewing unit's overhead EA. Prior staff work not directly associated with actual permit processing or reviewing should be charged to the unit's overhead EA, and not to the permit review EA.

Quality Management Assessment Process

Design Engineering Evaluation Report

The DEER process is intended to streamline the processing of projects-funded-by-others by reducing the steps in the project development process. This is not intended to relieve the project sponsor from meeting all other Caltrans policies, standards, and practices. Caltrans may increase the level of documentation and processing for those projects that are deemed complex.

The following criteria are used to determine the qualifications to use the DEER as a project initiation and approval document. If all of the following conditions are met, and the project is not deemed to be complex by the Caltrans functional unit responsible for the oversight, the usage of the DEER is appropriate:

- The project qualifies for a categorical/statutory exemption under the CEQA and a categorical exclusion under the NEPA, or the project has a completed and approved higher-level environmental document

(IS/ND/MND, EIR, EA/FONSI, or EIS). The reason for the preparation of a higher-level environmental document must not be due to transportation related effects, and the project must not result in an increase in vehicle miles traveled (VMT).

- The project has a single-build alternative, and no other engineering analysis is required to evaluate or rule out other possible alternatives.
- The project does not require CTC action.
- The project doesn't involve any right of way conveyances from Caltrans to the local agencies (for example, dedications, relinquishments, modifications to right of way limits, etcetera).
- The project doesn't require FHWA approval for relinquishment or new public road connections involving a modification to the access control. (The new public road connection process is complex in that it requires Caltrans assess that the operations of the facilities have been protected and that the connection is in the best interest of the State. This recommendation must be formally submitted to the CTC, and if applicable, to FHWA for approval.)
- The project doesn't propose bridge widenings or constructing new structures (for example, earth retaining structures such as retaining walls, tiebacks, soil nails, sound walls, culverts, etcetera.) that are not per Caltrans Standard Plans.

The project sponsor is responsible for the preparation of the DEER and providing all supporting documentation. The Caltrans point of contact will ensure that the appropriate district units, such as design, environmental, right of way, utilities, maintenance, etcetera, review the project as needed. Other district units will not be involved in the DEER unless requested by the Caltrans point of contact. For information about the preparation of DEER, see Appendix I – Preparation Guidelines for Design Engineering Evaluation Report.

Project Study Report-Project Development Support

If a project does not meet all determining criteria for using the DEER or deemed complex, it must use the PSR-PDS as a project initiation document. Caltrans staff will provide quality management assessment for the PSR-PDS and will work with the sponsor to execute a cooperative agreement (CA) or highway improvement agreement (HIA) for cooperative elements identified in the approved PSR-PDS. Chapter 2 – Roles and Responsibilities discusses the roles and responsibilities of both Caltrans staff and other sponsors of projects on the State Highway System. Information on cooperative agreements can be found in Chapter 16 – Cooperative Agreements, and Information on PSR-PDS

can be found in Appendix S -Preparation Guidelines for Project Study Report-Project Development Support Project Initiation Document.

Quality Management Plan Requirement

Current Caltrans policy mandates all projects that qualify for the QMAP must submit Quality Management Plan (QMP). A QMP is a document prepared by the implementing agency that describes by whom, what, when and how quality control and quality assurance activities will be performed. Caltrans must approve the QMP for each project component. Work on a project component shall not commence until the corresponding QMP has been approved. For additional information about QMP, see the *Quality Assurance Program Guide for Design Products*. See the February 24, 2021 memorandum, *Quality Management Assurance Process (QMAP) Utilizing Design Engineering Evaluation (DEER) Documentation and Cooperative Agreements* for further details of the policy.

Preparation Timing

The time needed to prepare, evaluate, and finalize a DEER will depend upon the scope and complexity of the work. Once the DEER is finalized and the oversight engineer has approved the final plans and specifications, the project manager submits the encroachment permit application to the district permits office. When the district permits office receives and accepts the completed encroachment permit application, the statutory 60-day review limit begins.

The time needed to prepare, evaluate, and finalize a PSR-PDS will also depend upon the scope and complexity of the work. Once the PSR-PDS is complete, the project will follow standard project development procedures.

Approval for Deviation from Design Standards

When a project sponsor proposes nonstandard design features, the design standard decision document is prepared by the sponsor's registered civil engineer. The Caltrans functional unit responsible for oversight of the project will facilitate the coordination with the Headquarters project delivery coordinator or district approval authority, or both, for review of the draft design standard decision document. See Chapter 21 – Design Standard Decisions and Appendix BB – Design Standard Decision Documentation for more information.

Cooperative Agreements

A cooperative agreement is used to outline the responsibilities and obligations of the parties to an agreement, such as funding, roles and responsibilities of each partner, liability, ownership, right of way, utilities, maintenance, etcetera. Whenever there is an exchange of effort, funding, or materials between Caltrans and a public entity regarding the planning, design, or construction of an improvement or facility on the State Highway System, a cooperative agreement is required. See Chapter 16- Cooperative Agreements for more details.

Current Caltrans policy does not mandate a cooperative agreement when a project-funded-by-others qualifies to proceed with the oversight review using a DEER as the project documentation unless the project requires oversight reimbursement, funds transfer, or State-Furnished Materials. See Chapter 2 – Roles and Responsibilities for more details.

Cooperative agreements can be entered into only with government agencies. District must enter into either a highway improvement agreement or some other type of agreement with the private party. Every effort should be made to work through the local entity rather than directly with a private party.

Project Initiation Document Approval

The District Director or the delegate is responsible for the approval of the DEER and PSR-PDS

Early Confirmation Required for New Public Road Connection

Prior to making commitments to the requesting party, early written confirmation of the concept from the District Director is required for a proposed new connection to an expressway (controlled access highway). Early written confirmation is given only after consideration of access control policy and engineering aspects such as connection spacing, fit with local general plans, and the feasibility of potential ultimate conversion of the State highway into a full freeway. A request for a proposed new public road connection to an expressway (controlled access highway) is made by submitting to the District Director an unsigned PID that contains, at a minimum, the information required in Chapter 27 – Access Control Modification.

Right of Way Dedication Procedures

If the permit work involves dedication of additional rights of way along the access control line without any reduction in access restrictions, separate concurrence by the District Director is not needed. The involvement of the Headquarters project delivery coordinator should be sought when substantial modifications to access control position are proposed. In all cases, it is important that the dedication specifically provides for access control and that right of way record maps be updated. A map or paper shifting of the access control line is not legally binding—the restriction must be contained in a deed or quit claim.

California Environmental Quality Act /Traffic Mitigation

For permit proposals involving CEQA and traffic mitigation approvals by a local agency, it is expected that the responsible unit would have been involved in preliminary negotiations prior to final DEER or PSR-PDS preparation. If this has not been done, the permittee should be called for an immediate meeting to resolve these issues.

Project Initiation Document Process for Projects-Funded-by-Others

The project development procedures for projects-funded-by-others are generally the same as those procedures for projects that are funded through a State-programming document. In some cases, additional procedures are necessary to approve cooperative elements through a cooperative agreement or highway improvement agreement. Caltrans retains stewardship responsibility for FHWA requirements and as such makes the arrangements for project development documents to be reviewed by FHWA. Caltrans performs quality management assessment on projects-funded-by-others to ensure that the completed project conforms to established standards and policies.

The district responsible unit assigned by the district permit engineer will be notified so that a project manager will be assigned to coordinate the project approval. Communication between the project manager, the district permit engineer, the applicant, applicable FHWA units, and appropriate district functional units, such as the environmental, structures, and traffic units, is essential to expedite this process.

A meeting of the applicant and all involved units must be held to determine the type of PID, the appropriate approval process, and environmental documentation needed to complete the project. The project manager will provide a copy of the PID outline, the PR outline, and any appropriate draft language for inclusion in the cooperative agreement or highway improvement agreement. The project manager must document this meeting with a letter to the applicant.

Once the applicant completes and submits the PID (and draft cooperative agreement or highway improvement agreement if required), the project manager should distribute the document for review by all involved Caltrans and FHWA units. The time needed to review and approve engineering documents will depend on the completeness, scope, and complexity of the work. The project manager will notify the applicant of the expected completion date for the review and whether additional information is needed.

Once the PID is found to be satisfactory, the project manager recommends the PID for approval by the District Director.

The District Director's signature signifies approval of the project concept and that reasonable estimates and time frames are reflected in the report. The District Director must not approve a PSR unless there is an executable cooperative agreement or highway improvement agreement attached.

The individual in responsible charge, a registered engineer if it is an engineering report, or the appropriate licensed professional in the State of California signs the report. The appropriate stamp or seal must be applied to the report.

After approval, a copy of the final document and all associated scoping documents must be kept in the project history files.

The approved PID is the authorization to enter into a cooperative agreement or highway improvement agreement for the study, design, and construction of the State highway. For information on combining the project initiation phase and the project approval phase see the following article.

ARTICLE 9 Project Study Report-Project Report

General

The project study report-project report (PSR-PR) eliminates the separate processing of a PID and a PR, and it can be used to obtain project approval for projects-funded-by-others.

Proposals that have the consensus of key stakeholders and a clear understanding of the requirements to complete the project can be scoped early in the project development process. As such, the PDT may recommend use of a PSR-PR if a project has a well-defined purpose and need and a well-defined project scope. The District Director retains the authority to use a PSR-PR.

See Chapter 12 – Project Approvals and Changes to Approved Projects to determine if the project is eligible for using the PSR-PR and the considerations for evaluating the risk when using the PSR-PR. See Appendix A – Preparation Guidelines for Project Study Report-Project Report for the report template.

Projects-Funded-by-Others

The PDT may recommend the use of the PSR-PR for projects-funded-by-others after performing a focused risk assessment on factors that affect the project purpose and need, and the project scope. The District Director retains the authority to approve the use of the PSR-PR.

Although one report is prepared, it is expected that the PSR-PR will address issues affecting safety, environmental, drainage, operations, maintenance, and any potential tort liability on the State highway, and that the proposed work will conform to current Caltrans policies, practices, and standards. All technical information required for normal PID processing must be identified and included in the PSR-PR. Projects must follow the process identified in Article 8 “Project Initiation Process for All Projects that require an Encroachment Permit.”

For projects-funded-by-others a PSR-PR documents agreement on:

- The purpose and need,
- Project-scope,
- Estimated cost,

- Conceptual approval, and
- Cooperative elements.

The approved PSR-PR with an approved environmental document is the authorization to enter into a cooperative agreement or highway improvement agreement for the design and construction of the State highway project. A draft cooperative agreement must be attached to the PSR-PR, if a cooperative agreement is required for the project.

If a project is sponsored by a local entity, the local entity must understand that there is a risk involved in using the PSR-PR format. A focused risk assessment should be performed to ensure that all parties are aware of the risks. Early and continual consultation with Caltrans can reduce the need for additional project work and project delays.

ARTICLE 10 Ceasing Work on Programmed Projects

Request Process

District requests for approval to cease work on programmed projects should be submitted with a memorandum to the Headquarters Division of Financial Programming. The memorandum should explain the factors warranting deletion of the project and should specify the resources in personnel years (PYs) and dollars that will be made available by deletion of the project. Where applicable, the memorandum should indicate if the deletion has the concurrence of local and regional agencies.

This process was commonly known as the UNPAR process, derived from the Project Authorization Request (PAR), which is a report format that has been discontinued.

Approval Process

Before the request can be approved, the Headquarters program advisors for the appropriate programs must review and approve the memorandum from the district.

The Headquarters program advisors, in cooperation with the Headquarters Division of Financial Programming, may also initiate deletion of programmed projects because of a change in program priority.

Cease Work at Agreed Milestone

The Division of Financial Programming will notify the Division of Design Division Chief, Division of Budgets, Division of Administration, and the district of the action taken. Project activities will cease at an agreed upon milestone.