ARTICLE 4
Transportation Planning Scoping Information Sheet

Transportation planning provides the framework for selecting, scoping, and constructing projects on the State Highway System (SHS). The intent of Federal and State laws, policies, and regulations are to fund and construct projects that are consistent with State, regional, and community planning decisions. Transportation planning processes are iterative; therefore, project teams rely on the Transportation Planner or Planning representative to provide the team with transportation planning information that affects the scope, cost, and schedule of the proposed project.

The Transportation Planner has the expertise to compile, analyze, and present pre-project development efforts and decisions that must be considered when scoping the project. The Transportation Planner must identify community concerns and ensure they are adequately addressed early enough in the project development process to facilitate efficient project delivery. This information enables the team to properly define and scope the project in concert with the affected community and the alternatives previously considered.

It is important to use resources to gather and compile information that will:

- Assist district Project Nomination Scoping Teams and the Project Development Teams in developing projects that are consistent with the purpose and need identified in the long-range transportation planning process for the statewide integrated multimodal transportation system.

- Ensure that the Project Nomination Scoping Teams consider the following:

    - Consistency with Caltrans Goals and Policies
    - Consistency with planning concepts, statewide goals, and policies.
    - Transportation system throughput and efficiencies for all modes.
    - Community values, context sensitive solutions, complete streets, and climate change.
    - Consistency with State, regional, and community planning decisions.

- Improve cost estimating

- Reduce scope creep

Transportation Planners can use the planning scoping information sheet as a communication document to present the planning level purpose and need to the Project Nomination Scoping Team early in the project initiation phase. The Project Nomination Scoping Teams should use the planning scoping information sheet to verify that the proposed project remains consistent with the planning level purpose and need and is consistent with planning concepts, statewide goals, and planning decisions. The district transportation planners can use their discretion to modify the Transportation Planning Scoping Information Sheet in order to reduce redundancy or to consolidate information.

The majority of the data requested for the information sheet should be compiled and attached to the Project Project Initiation Package (PIP). **It is recognized that not every proposed project will require that each section in the Transportation Planning Scoping Information Sheet to be filled out. However, the Transportation Planning Scoping Information Sheet will have to be completed prior to the Project Nomination Scoping Team meeting**.

Section 1: System Planning

System Planning is fundamental to Caltrans' long-range planning for interregional transportation, corridor system management, and multimodal statewide travel analysis on the SHS. System Planning provides the basis for identifying current and future deficiencies on the SHS and identifies strategies and projects to address deficiencies and make improvements to meet Caltrans goals.

Information in this section should be readily available in Transportation Concept Reports (TCRs), Corridor System Management Plans (CSMPs), District System Management Plans (DSMPs) or other system planning products. The Project Nomination Coordinator in the District should help identify the Anchor Assets and Satellite needs, which should align with the State Highway System Management Plan (SHSMP). For consistency purposes, long-haul interregional freight trips are based on 5-axle+ trucks as defined in the Interregional Transportation Strategic Plan and the California Freight Mobility Plan. Truck volumes and percentages can be found on the Traffic Census Program site courtesy of Caltrans Traffic Operations.

The Surface Transportation Assistance Act (STAA) of 1982 allows large trucks, referred to as STAA trucks, to operate on routes that are part of the National Network. The Federal Highway Administration (FHWA) provides standards for STAA trucks based on the Code of Federal Regulations Title 23 Part 658. These Standards designate the minimum truck sizes that all states must allow on the National Network. Additionally, the Volume to Capacity (V/C) ratios are designated for peak hour congestion. For highly congested urban areas V/C ratios should be based by the peak period by direction.

Travel Forecasting and Analysis data can be assessed either through the System Planning Branch or through the Regional Transportation Planning Agency/Metropolitan Planning Organization's (RTPA/MPO) Regional Transportation Plans (RTPs) Sustainable Community Strategy (SCS).

Section 2: Local Development – Intergovernmental Review

Local Development-Intergovernmental Review (LD-IGR) is a mandated ongoing statewide effort focused primarily on avoiding, eliminating, or reducing to insignificance, potential adverse impacts of local development on the transportation system. Caltrans is proud to share our expertise with other jurisdictions and assist them throughout their land use planning and decision-making processes, consistent with the requirements of the National Environmental Policy Act (NEPA), California Environmental Quality Act (CEQA), Streets and Highways Code, and numerous planning and zoning laws that affect our stewardship of the SHS. LD-IGR is directed to use 'best practices' analysis methodologies that focus on: improving person-capacity of our multi-modal transportation system; efficiently moving goods and services; and accurately describing transportation tradeoffs with other community values. These values include: a sound business economy with housing near employment; a healthy 'climate change sensitive' environment, and equally safe access for pedestrians, cyclists, and motorists. The utilization of the Geo-based Tracking System reduces waste by providing electronic means of recording projects, initiates faster means of communication, and visually displays all projects to faster identify employment centers and alternate transportation modes in the vicinity.

This information should be readily available from the district LD-IGR planner. It is recognized that there may be multiple projects to review and it may be appropriate to summarize the LD-IGR information in the Transportation Planning Scoping Information Sheet.

Section 3: Smart Mobility, Complete Streets, and Regional Planning

The Smart Mobility Framework Place Types can be used as a tool for general classification of towns, cities, and larger areas to be used as a basis for making investment, planning, and management decisions. The place types below create a distinct context for transportation investments and distinct opportunities to gain Smart Mobility benefits. More information can be found on the Smart Mobility Place Types beginning on page 24, Chapter 3 of the Smart Mobility Framework.

Place types that have been identified using the Smart Mobility Framework will assist in defining the appropriate facility context for integrating a complete street elements into a project. A complete street is a transportation facility that is planned, designed, operated, and maintained to provide safe mobility for all users, including bicyclists, pedestrians, transit vehicles, truckers, and motorists, appropriate to the function and context of the facility. Every complete street looks different, according to its context, community preferences, the types of road users, and their needs. As noted in Deputy Directive 64-R2 (October 17, 2014), Caltrans "provides for the needs of travelers of all ages and abilities in all planning, programming, design, construction, operations and maintenance activities and products on the SHS."

Sections 3.1 -3.3: Pedestrian, Bicycling, and Transit Conditions

The District Bicycle and Pedestrian Coordinator should be able to provide information for Sections 3.1 – 3.3 of the Transportation Planning Scoping Information Sheet. It is important to list any special considerations as voiced from local and community groups.

Section 3.4: Local and Regional Planning

Regional transportation planning is conducted by MPOs and RTPAs in cooperation with the Federal Highway Administration, the Federal Transit Administration, Caltrans, and other stakeholders including system users. The main product of regional transportation planning is the RTP which may also be referred to as a Metropolitan Transportation Plan (MTP). The purpose of the RTP is to establish regional goals, identify present and future needs, deficiencies and constraints, analyze potential solutions, estimate available funding, and propose investments. RTPs are required pursuant to state and federal regulations, to be developed through a continuous, comprehensive and collaborative transportation planning process. This process promotes integrated, statewide multimodal and effective transportation investments as well as facilitates the efficient development and implementation of projects. Contact information for both the District and Headquarters Regional Planning staff and of the most up-to-date map of the MPOs and RTPAs can be found on Caltrans' Office of Regional Planning webpage.

Local and Regional Planners will help in identifying any commitments or concerns from local, neighborhood, or advocacy groups before starting the project will help alleviate issues raised late in PID development and prevent scope creep. This could also help identify issues and deficiencies to address in the purpose and need. If Caltrans is the lead agency and it is uncertain whether or not any groups have been contacted, please consult with your district community planning staff.

Section 4: Climate Change and Environmental Considerations

Since 2006, several laws, regulations and Executive Orders have been enacted to address California's innovative and proactive approach to reducing Greenhouse Gas Emissions (GHG) and planning for impacts due to climate change.

Most recently Governor Brown signed Executive Order B-30-15 which established a GHG reduction target of 40 percent below 1990 levels by 2030. This bill also requires consideration of climate change in all infrastructure investment decisions, to include but not limited to planning and project delivery. Many of the decisions related to project nomination and development that are expected to reduce Vehicle Miles Travelled and reduce GHG emissions are made early in the planning process. Identifying these opportunities early in the process will assist Caltrans in meeting its goals and commitments for reducing GHG emissions.

As required by Senate Bill (SB) 375, also known as the Sustainable Communities Act, each of California's Metropolitan Planning Organizations (MPOs) must prepare a "sustainable communities strategy" (SCS) as an integral part of its regional transportation plan (RTP). The SCS contains land use, housing, and transportation strategies that, if implemented, would allow the region to meet its GHG emission reduction targets. Once adopted by the MPO, the RTP/SCS guides the transportation policies and investments for the region. The California Air Resources Board (ARB) must review the adopted SCS to confirm and accept the MPO's determination that the SCS, if implemented, would meet the regional GHG targets

Caltrans is responsible for ensuring over 50,000+ lane miles of state highway and associated infrastructure are safe and reliable for the traveling public. A burgeoning challenge for Caltrans and other transportation agencies in maintaining transportation systems is the impacts from climate change and extreme weather events. Potential impacts to the SHS include flooding, landslides, sea level rise, washouts, pavement deterioration, and increased wildfires. The Caltrans Climate Change Branch coordinates mitigation and adaptation efforts to ensure the SHS is safe and efficient. Guidance on Incorporating Sea Level Rise during the planning and development of project initiation documents has been developed and Directors Policy 30 (June 22, 2012) sets the tone for future direction on climate change within Caltrans.

The Air Quality Management questions apply only to projects located in federal non-attainment or attainment-maintenance areas. This information should be available from District Air Quality Staff. Additional information can be found on the Air Quality Analysis and Coordination webpage.

Section 5: Tribal Government Coordination

Please work with your District Native American Liaison on filling out this section of the Transportation Planning Scoping Information Sheet. Federal law and policies require that Caltrans conduct meaningful coordination and consultation with Tribal Governments as early as possible in the planning process. Director's Policy-19 (June 29, 2001) specifically requires that Caltrans establish and adhere to government-to-government relationships when interacting with Tribal Governments. This includes consulting with Tribal Governments prior to making decisions, taking actions or implementing programs that may impact their communities

ARTICLE 4
Transportation Planning Scoping Information Sheet

Proposed Project Summary

The purpose of the Project Summary is for Transportation Planning to highlight the key needs/improvements from the completed sections. Transportation Planners may use their discretion to modify the Project Summary page and whether it is necessary to reiterate the information provided in Sections 1 through 5. Bring this summarized form and the completed Transportation Planning Scoping Information Sheet to the Project Nomination Scoping Team meeting. Make sure to tie these proposed needs and improvements back to Caltrans' Strategic Management Plan goals.

Project Summary Table

Districts may fill out the information below if it is readily available. The Project Summary Table is optional.

EA	
EFIS	
County-Route-PM	
Project Description	

Section 1–System Planning

Section 2–LD-IGR

Section 3–Smart Mobility, Complete Streets, and Regional Planning

Section 4–Climate Change and Environmental Considerations

Section 5–Tribal Government Coordination

Project Nomination Scoping Team Information		
Title	Name	Phone Number
District Information Sheet Point of Contact		
Project Nomination Coordinator		
Transportation Planning Project Nomination Scoping Team Representative		

Transportation Planning Stakeholder Information		
Title	Name	Phone Number
Regional Planner		
System Planner		
Local Development Intergovernmental Review (LD-IGR) Planner		
Sustainable Planning Grant Coordinator		
Freight Planner		
Transit Planner		
Bicycle and Pedestrian Coordinator		
Park and Ride Coordinator		
Native American Liaison		
Climate Change Coordinator/Liaison		
Other Coordinators		

Reviewed by:

_____

District Planning Representative (Date)

_____

Project Nomination Coordinator (Date)

It is recognized that not every proposed project will require each section or each question in the Transportation Planning Scoping Information Sheet to be filled out. Highlighted sections should be deleted.

Section 1: System Planning

ROUTE SEGMENT AND PROJECT INFORMATION			
EA	**Optional**	**EFIS**	**Optional**

Delete the EA/EFIS ID and this row if the information above if it will not be used.

	Co/Route/P.M.	Project Description
Choose Anchor Asset		
Local or Regional Planned/Programmed Project (if applicable)		

ROUTE DESIGNATIONS			
Freeway and Expressway		Scenic Highway	
National Highway System		Truck Network Designation	
Strategic Highway Network		Interregional Road System	
Federal Functional Classification		Strategic Interregional Corridor	
Other		Priority Interregional Facility	

ADT, V/C, and Speed information is required but can be deferred to the PID phase if it not readily available from System Planning.

ADT		V/C				Speeds			
Base Year 2012	Horizon Year 2040	Base Year 2012		Horizon Year 2040		Base Year 2012		Horizon Year 2040	
		NB		NB		NB		NB	
		SB		SB		SB		SB	

Truck Volumes:	Truck Percentages:

Please describe how the project will impact modal and intermodal facilities (if applicable):

Please identify if the project need has been identified within the following documents:

☐ Transportation Concept Report (TCR)
☐ District System Management Plan (DSMP)
☐ Corridor System Management Plan (CSMP)
☐ Interregional Transportation Strategic Plan (ITSP)
☐ California Freight Mobility Plan (CFMP)
☐ State Highway System Management Plan/10 Year SHOPP
☐ Other (Feasibility Study, District Bike and Ped Plan, Regional Concept of Transportation Operations etc):

Section 2: Local Development – Intergovernmental Review

LD-IGR	
Please provide the below LD-IGR information, as applicable, for current and/or future local development projects that may impact, the proposed Caltrans project. Describe the land uses along the segment. Identify major sites, destinations and trip generators within or adjacent to the corridor. These can include: residential parks, recreation centers, religious institutions, schools, town centers, shopping centers, large employment centers and so forth. *The questions proposed here serve as a sample of considerations for the project. Please use sound planning and engineering judgement to determine which questions are relevant to the development of the proposed Caltrans project.*	
Local Agency Name/Project Sponsor:	Phone Number: Email:
Project Distance to Development(s)	*Respond to the questions that are applicable to the project. District Transportation Planners may use their discretion to determine which and the type of questions that may need to be answered.*
California Environmental Quality Act (CEQA) Status and Implementation Date	
National Environmental Policy Act Status (required for projects with Federal Funding)	
All vehicular and non-vehicular unmitigated impacts and planned mitigation measures include Transportation Demand Management (TDM) and Transportation System Management (TSM) that may affect Caltrans Facilities	
Approved mitigation measures and implementing party.	
Value of constructed mitigation and/or amount of funds provided.	
Encroachment Permit, Transportation Permit, Traffic Management Plan, or California Transportation Commission (CTC) Access approvals needed	
Describe relationship to Regional Blueprint, General Plans, or County Congestion Management Plans.	
Inclusion in a Regional Transportation Plan, Sustainable Community Strategy, or Alternative Planning Strategy?	
What type of regional or local mitigation/transportation impact fee program is in place?	
Traffic Mitigation Agreement with an agency or developer to collect a "Fair Share" to offset "nexus and proportionality" traffic impacts to the SHS.	

Section 3: Smart Mobility, Complete Streets, and Regional Planning

• SMART MOBILITY FRAMEWORK PLACE TYPES			
Identify the SMF Place Type(s):			
☐ Urban Center	☐ Close-In Center	☐ Suburban Center	☐ Rural Settlement/Ag Land
☐ Urban Core	☐ Close-In Corridor	☐ Suburban Corridor	☐ Rural Towns
	☐ Close-In Neighborhood	☐ Suburban Dedicated Use Area	☐ Protected Lands
	☐ Compact Community	☐ Neighborhood	☐ Special Use Areas

3.1 Bicycle and Pedestrian Conditions

BICYCLE AND PEDESTRIAN CONDITIONS	Caltrans and Local/Regional Partner Needs/Opportunities with Project
Describe the existing bicycle and pedestrian facilities within the project limits *(e.g. bicycle/pedestrian accessibility; Class I, II, III, IV, signage; shoulder connections, sidewalks, on/off ramps, crosswalks, curb ramps; and bicycle/pedestrian counts etc.)*	*The TPSIS provides an opportunity to identify planned or programmed projects within the same potential project boundaries as our regional/local partner. The second column was created to ensure that Caltrans has communicated and coordinated with their partners*
Describe the physical and/or perceived impediments for bicyclists and pedestrians *(e.g. narrow shoulders or sidewalks, connectivity gaps, curb gutters, utility boxes, high vehicle speeds, or AADT)*	
Does the highway segment function as a "Main Street: or a "Safe Route to School"?	
Describe the bicycle and pedestrian needs as identified in an existing Bicycle/Pedestrian Plan or comprehensive planning study for the corridor, if any. *(e.g. alternate parallel routes, gap closures for bicycle, pedestrian, or ADA facilities)*	
If applicable, is the Pedestrian Plan or comprehensive planning study included in the ADA Transition Plan?	
Is the proposed project located on a corridor that accommodates or bisect recreational trails *(e.g. California Coastal Trail, backpacking, hiking, or equestrian trails)*	
Contact information for bicycle, pedestrian or disabled advisory advocates.	

3.2 Transit Conditions

TRANSIT CONDITIONS	Caltrans and Local/Regional Partner Needs/Opportunities with Project
What are the existing transit accommodations, if any? (e.g., such as transit stops or active transit line)	
Are there existing transit or proposed accommodations on intersecting local roadways?	
Where is the nearest Park and Ride Lot? Who owns/maintains?	
Describe transit facility needs identified in short-and long-range transit plans and RTP. Describe how these future plans relate to the corridor.	
Contact information for local transit provider.	

3.3 Local and Regional Planning

LOCAL AND REGIONAL PLANNING	
MPO/RTPA and Contact Name:	
Local County/City and Contact Name:	
Title and web-link to most current Regional Transportation Plan/Sustainable Community Strategy (RTP/SCS)	
Is the proposed Caltrans project consistent with local and regional plans (General Plan, RTP)? If not, please explain.	

Provide nexus between the RTP objectives and the proposed project to establish the basis for the project purpose and need.	

Section 4: Climate Change and Environmental Considerations

Districts that have not yet received this data are advised to use Cal-Adapt and local and regional governments' vulnerability assessments and/or adaptation studies of transportation infrastructure, where available, to identify potential impacts to Caltrans' assets.

CLIMATE CHANGE AND ENVIRONMENTAL CONSIDERATIONS	
Is there an adopted Climate Action Plan for the City or County in which the proposed project is located?	☐ Yes ☐ No
Is the corridor susceptibility to climate change factors such as increased flooding or sea level rise? If yes, please indicate which factors to the right. ☐ Yes ☐ No	☐ Sea Level Rise/Storm Surge ☐ Temperature Changes ☐ Precipitation ☐ Wildfire
Is there a local and/or regional climate vulnerability assessment or adaptation plan? If yes, please provide link and/or further information.	☐ Yes ☐ No
Describe assets vulnerable to changes in climate conditions, such as landscape planting, irrigation systems.	
Does the proposed project include GHG measures from the Regional RTP/SCS's Environmental Impact Report (EIR)? *Consult with District Regional or LD-IGR Planner.*	
Is the proposed project located on or near and of the following: sensitive habitat areas such as wetlands, native or sensitive species habitats, wildlife corridors, identified fish passage barrier, agricultural land?	

AIR QUALITY MANAGEMENT	
Name of Air Quality Management District (AQMD)	
Is the proposed project located in a Federal non-attainment or attainment maintenance area?	☐ Yes ☐ No

Section 5: Tribal Government Coordination

Please refer to Section 5 of the Transportation Planning Scoping Information Sheet for further guidance on AB 52 and the Tribal Employment Rights Ordinance (TERO) questions.

TRIBAL GOVERNMENT COORDINATION	
Is the proposed project within or near an Indian Reservation Rancheria, or Tribal Trust Land?	☐ Yes (Please provide name/names) ☐ No
Does the proposed project involve trust lands (including tribal and individual allotted lands) outside of a reservation or Rancheria?	☐ Yes (Please provide name/names) ☐ Nos
You may skip the following three questions below only if both questions above have been checked no.	
• *Has the Tribe or individual allotment holders been notified?*	☐ Yes (Describe concerns/topics discussed) ☐ No (Why not?)
• *Has the Bureau of Indian Affairs (BIA) been notified (if trust lands and/or a Reservation/Rancheria is involved)?*	☐ Yes (Describe concerns/topics discussed) ☐ No (Why not?)
• *Have all applicable tribal laws and regulations been reviewed for required coordination?*	☐ Yes ☐ No
Is there an AB 52 letter on file from a Native American Tribe that would affect this project?	☐ Yes (Please provide Tribal name(s) and letter details). ☐ No
Has the Tribal Government been contacted?	☐ Yes (Describe concerns/topics discussed) ☐ No (Why not)
Does the Tribe have a Tribal Employment Rights Office/Ordinance (TERO)?	☐ Yes ☐ No
• *Has the TERO been reviewed for required coordination?*	☐ Yes ☐ No
• *Is there a related Memorandum of Understanding (MOU) between the District and the Tribe?*	☐ Yes ☐ No
Does Caltrans have other MOUs with the Tribe?	☐ Yes (Provide title and description or content) ☐ No

Segment Map is Optional – Delete if not needed.

SEGMENT MAP

Place Holder to Insert Graphic of Map