

Memorandum

*Serious drought.
Help Save Water!*

To: DEPUTY DISTRICT DIRECTORS
DIVISION CHIEFS
OFFICE CHIEFS

Date: July 6, 2017

File: District 5 Streamlined
PEER Procedures

From: RICHARD ROSALES
Deputy District Director Program/Project Management
District 5

Subject: PROCEDURE FOR DISTRICT 5 PROJECTS USING "PROCESSING PROJECTS FUNDED BY OTHERS"
(Streamlined PEER)

This memo is a follow-up to the July 3, 2007, Headquarters policy memo entitled "Processing Projects Funded by Others". The policy provides guidance for projects with between \$1 million and \$3 million of encroachment within the state highway rights of way and that are not major State-funded projects. Although the Headquarters memorandum provides general statewide policy, the Districts may create individual procedures for processing these projects. The District 5 Office of Program Project Management has developed the attached District 5 Permit Engineering Evaluation Report Procedures for initiating a \$1 million to \$3 million Project Funded by Others (Streamlined PEER).

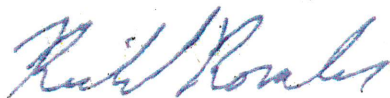
Effective immediately, all projects funded by local agencies or private entities between \$1 million and \$3 million will comply with these procedures. It is the responsibility of Project Management in consultation with Caltrans Transportation Advance Planning Senior Engineer, Project Development (Design Manager) and the District Permit Engineer to determine the appropriate Project Approval process for the project and present to the District Director for concurrence to proceed. In some cases, it may be determined that a project should follow the traditional PSR-PDS and PR process. Projects that qualify for the Streamlined PEER process will be assigned a Project Manager.

Approval of the Streamlined PEER project is the responsibility of the District Director and may be delegated. For a District 5 Streamlined PEER, signature approval is delegated to the District 5 Deputy District Director Program Project Management (Single Focal Point (SFP)).

If you have any questions or require additional information, please contact the District 5 SFP.

APPROVAL RECOMMENDED BY:

APPROVED BY:



Richard Rosales
Deputy District Director Program Project
Management (SFP)



Timothy M. Gubbins
District Director

District 5 PEER Procedures

Projects Funded by Others

**\$1 million to \$3 million
(Streamlined PEER)**

GENERAL

The purpose of this District 5 policy is to supplement the policy memorandum "Processing Projects Funded by Others" dated July 3, 2007, that provides direction and guidance for processing projects funded by others (local agencies or private entities) between \$1 million and \$3 million. While the policy memorandum provides general policy and guidance, details of the implementation of the process and approvals are left to the individual districts. This document provides additional procedures specific to District 5 projects.

For the purposes of this document, a Permit Engineering Evaluation Report may be used as the project approval document for projects funded by others between \$1 million and \$3 million (Streamlined PEER).

A Permit Engineering Evaluation Report (PEER) may be required for projects less than \$1 million, which will be resourced through Traffic Operations as per the Decision Document attached to the memorandum "Processing Projects Funded by Others" dated July 3, 2007.

PROJECT INITIATION

A local agency or private entity will initiate a consultation meeting for a proposed project on the state highway system by making contact with the Caltrans Transportation Advance Planning Senior Engineer. This contact must be written communication via letter of intent, email, etc. The Caltrans Transportation Advance Planning Senior Engineer will coordinate the consultation meeting with Capital Outlay (initially: Project Management), Encroachment Permits, and Local Assistance to discuss the proposed project and how to proceed. Once contact is made, the District 5 Single Focal Point (SFP) will be notified and will provide a Project Management contact. This person will most likely be an Oversight Project Manager, but another Capital Outlay Support person may be assigned at the discretion of the District 5 SFP.

The assigned Project Manager will coordinate with the local agency or private entity to determine scope, cost, funding and complexity of the proposed project. It is the responsibility of Project Management in consultation with Caltrans Transportation Advance Planning Senior Engineer, Project Development (Design Manager) and the District Permit Engineer to determine if the Streamlined PEER process is appropriate for the proposed project, or if the PSR-PDS and PR process should be followed and present to the District Director for concurrence to proceed.. This determination will be made utilizing the current policy and guidance for Projects Funded by Others between \$1 million and \$3 million (Streamlined PEER).

If the Streamlined PEER process is selected for the project, the assigned Project Manager will follow the current adopted procedures for opening a new Project Identifier (see attached "PROCESSING PROJECTS FUNDED BY OTHERS – D05 QUICK REFERENCE" for more information).

PROJECT REVIEW AND FUNCTIONAL APPROVALS

Chapter 9 of the Project Development Procedures Manual (PDPM) states, *"The Caltrans point of contact will ensure that the appropriate district units, such as Design, Environmental, Right of Way, Utilities, Maintenance, etc., review the project as needed."* For Streamlined PEER projects in District 5, the assigned Project Manager will be the point of contact and will determine which functional units will be involved in the project review process and the number of plan submittal iterations required.

All Streamlined PEER projects must demonstrate compliance with CEQA and, if applicable, NEPA laws governing environmental approval. As per PDPM Chapter 9, *"The Project Sponsor is responsible for preparation of the PEER and providing all supporting documentation."* as the Project Sponsor the local agency or private entity will be responsible for preparing the Encroachment Permit application, Streamlined PEER and providing all supporting documents for the Streamlined PEER as determined needed by the project team.

The Project Manager will consult with District Environmental units to review and concur with submitted environmental documentation covering the proposed project. Under this process, District 5 delegates CEQA lead agency for all Streamlined PEER projects to the responsible local agency unless otherwise documented in writing. NEPA approval has been delegated to Caltrans by FHWA.

If the proposed project includes new or modified right of way, access control¹ or utilities, District Right of Way must be included in the Streamlined PEER review process. Right of way certification may be required as determined by District Right of Way. In some cases, a cooperative agreement determining roles and responsibilities may be required. If there is no modification of right of way or utilities, District Right of Way involvement is not required.

APPROVAL

As per PDPM Chapter 9, *"The District Director is responsible for approval of the PEER."* For all Streamlined PEER projects in District 5, the District Director has delegated approval authority of the Streamlined PEER to the District 5 SFP.

The signature of the Oversight Engineer (Design Manager) on the plans will be verification that

¹ Refer to Chapter 27 of the PDPM for Access Control Modifications for when CTC action is required.

the project is ready for issuance of the encroachment permit. There is no requirement for an additional memo certifying completion of project review, as is the procedure for Highway Improvement Projects over \$3 million. The Project Manager will then submit the approved Streamlined PEER, plans and completed encroachment permit application to District 5 Encroachment Permits for issuance of the permit. For local agency projects, the permit issued will be a double permit with no fees charged to the local agency or their contractors.

PROCESS REVISIONS

As the process for Projects Funded by Others continues to evolve, this District 5 policy and procedure may be revised. The District 5 SFP has the authority to approve revisions to this document as necessary. The Project Manager is responsible for providing the local agency or private entity with the most current District 5 policy and procedure.

REFERENCES

"Processing Projects Funded by Others", Headquarters policy memo July 3, 2007 (and accompanying Decision Document)

Project Development Procedures Manual, Chapters 2, 8 and 9 and Appendix I, most current edition

Manual for Encroachment Permits on California State Highways, most current edition

Business Process Documentation for PEER Projects with Construction Capital between \$1million and \$3 million, September 2007

District 3 "New Procedure for Processing District 3 Projects Using the PEER Process, April 09, 2008

Eligibility

"...If the project does not meet the eligibility requirements for processing a combined project study report-project report (PSR-PR), it is not eligible for processing a PEER." PDPM, Chapter 9, Article 8.

Non-Complex

Locally Funded projects: Typically projects that do not expand the transportation system.

Project is exempt from California Environmental Quality Act. (CEQA) ie: Categorical Exemption.

One "Build" Alternative

Caltrans is willing to give up CEQA lead to the local Agency

Key

PDPM Chapter 9, Article 9 (02/12/2016)

PDPM Chapter 2, Section 5 (02/12/2016)

Examples

Past experience indicates this is complex

Complex

Requires action by the California Transportation Commission (CTC). Examples: Route Adoption, Allocation of Funds, New Public Road Connections, Access Control Modification*

New or modified Interstate access, as FHWA is a two-step process.

An environmental impact report (EIR) to comply with CEQA and/or requiring a environmental impact statement to comply with NEPA.

A Clean Water Act, Section 404 Individual Permit.

A Coastal Development Permit (CDP)**.

Formal Consultation under the Federal Endangered Species Act.

Railroad involvement. Example: a Construction and Maintenance (C&M) agreement

*Refer to Chapter 27 of the PDPM for Access Control Modifications for when CTC action is required.

**Condition may be waived by the District Director if the local jurisdiction developing the project is also the CDP permitting authority.

If it is determined that the project qualifies to follow the Projects Funded by Others \$1 million to \$3 million (Streamlined PEER) then proceed with these instructions for obtaining a Capital Outlay Support (COS) Project ID (EA) for a Streamlined PEER Project with Construction Capital between \$1 Million and \$3 Million for work within the state right of way.

Project Manager (PM):

- A letter documenting the determination, assumptions, constraints and risks that the project currently meets the eligibility requirements for processing a Streamlined PEER (ie: meets eligibility for a combined project study report-project report (PSR-PR)) shall be sent to the Local Agency.
- Provides support to the Local Agency, who will prepare a DRAFT Standard Encroachment Permit Application (SEPA)
- Prepares a Project Initiation Form (PIF) documenting project information.
- Completes the "CALTRANS DISTRICT 05 - SINGLE FOCAL POINT (SFP) CONCURRENCE" memo and obtains SFP signature.
- Submits PIF, signed memo and Draft SEPA to District Project Control to get a PREPID Project Identifier (PI) and Expense Authorization (EA) assigned to allow the project to transfer from AMSAdvantage to Project Resourcing and Schedule Management (PRSM).
Note: Phases cannot be opened for work yet. A workplan, Headquarters approval, categorization flags and a baseline must be established in PRSM first.
 - a. The PRSM Implementation manager will request the project be added to various databases (PRSM, Project Management Control System (PMCS)) and authorized to start the \$1M to \$3M Streamlined PEER process. Please provide the PIF, Draft SEPA and approved concurrence memo.
- Upon HQ's approval and categorization the project and appropriate phase(s) may be opened in AMS.
- Develop and manage the project workplan, expenditures, reviews and progress through the planning, design, and construction process.

In the event that the project is stopped, terminated or no longer qualifies for the \$1M-\$3M Streamlined PEER process, it is the Project Manager's responsibility to notify the PRSM Implementation manager that the project is now on-hold. The PRSM Implementation manager will notify HQ Project Management.

PROCESSING PROJECTS FUNDED BY OTHERS – D03 QUICK REFERENCE

References (some of these links are not available to those outside of Caltrans or D5 PPM)

Statutory Authority: Authority for Caltrans to control encroachments within the State highway right-of-way is contained in the [California Streets and Highways Code](#) starting with Section 660.

Caltrans Internet links – Available to everyone

[July 3, 2007 Memo - Processing Projects Funded by Others](#)

[Permit Engineering Evaluation Report \(PEER\) - Booklet](#)

[When is a PID Required?](#)

[Project Development Procedures Manual \(PDPM\)](#)

[Chapter 2 - Roles and Responsibilities - Section 5 – Special Funded Projects and Related Projects](#)

[Chapter 8 – Overview of Project Development](#)

[Chapter 9 – Project Initiation - Article 8 – Project Initiation Process for Projects-Funded-by-Others](#)

[Chapter 27 - Access Control Modification](#)

[Appendix I – Preparation Guidelines for Permit Engineering Evaluation Report](#)

[Encroachment Permits Manual](#)

[Chapter 100 The Permit Function](#)

[Chapter 200 Processing Permits](#)

D5 PPM Library links – Available to D5 PPM staff only

[Business Process Documentation for PEER projects with construction capital between \\$1M and \\$3M](#)

Emails chains are provided for history and can be found in the Library

[COOP vs PEER](#)

[PEER w-coop vs PEER no coop question](#)

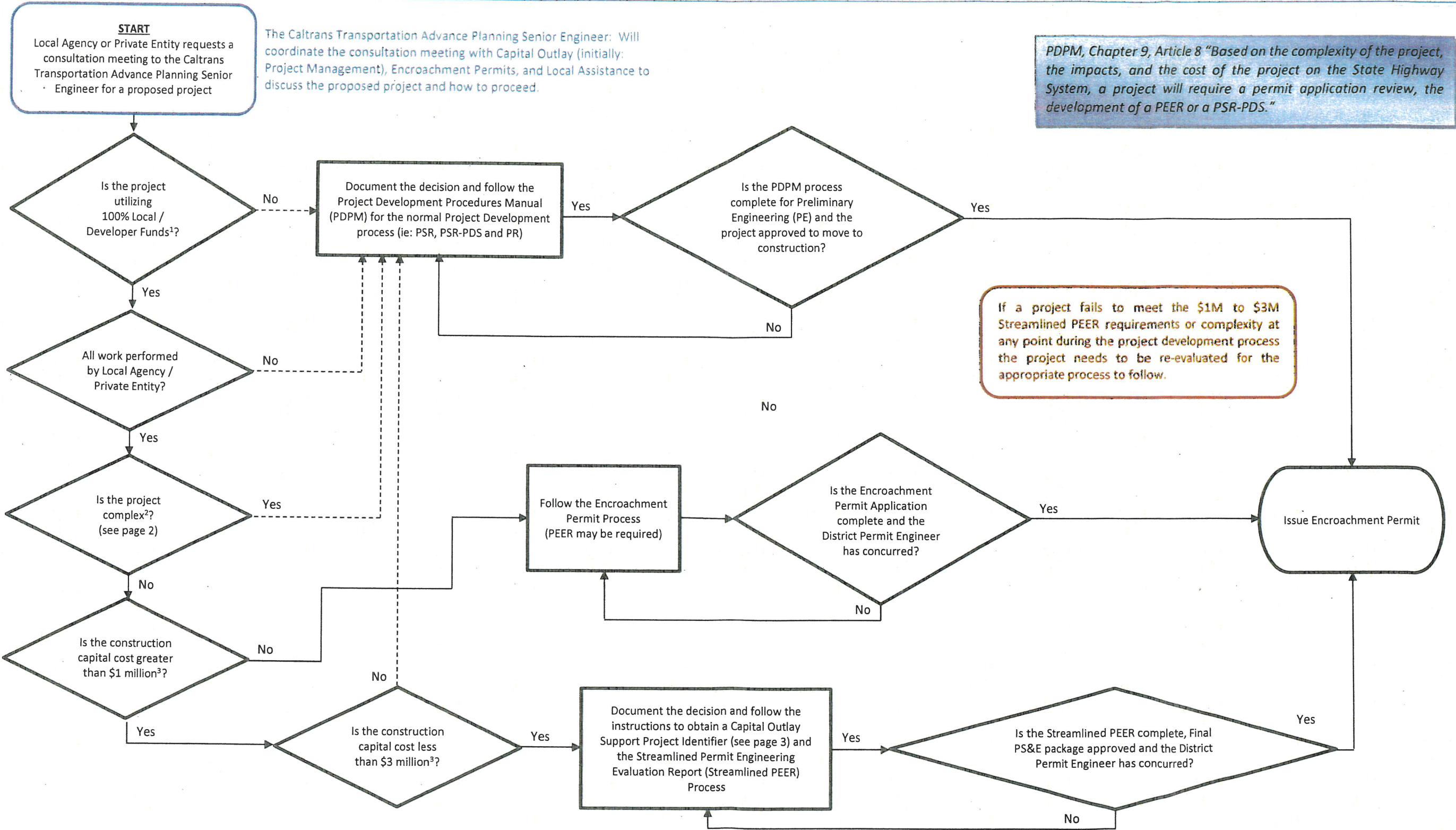
[Project w/ATP funds do not qualify for PEER process](#)

Caltrans Intranet links – Available to Caltrans staff only

Links to other Districts PEER information

[D3 PEER Procedures](#)

[D11 Business Practice Memo](#)



1. 100% Local / Developer funds: Per the PDPM, Chapter 9 "Projects-funded-by-others – projects that are sponsored by a local agency or private developer, and do not use any funds that are programmed into the STIP or SHOPP" (examples: STIP (RIP/IIP), ATP, SHOPP, SHOPP-Minor, TCRP, Federal Trust Fund, Prop 1B Bond, CMIA, etc). If you are unsure if the fund type being utilized would qualify to follow the "July 3, 2007 Memo - Processing Projects Funded by Others" memo - PLEASE CHECK!

2. "Is the project complex?": Per the Encroachment Permits Manual, Chapter 100 "A project is considered complex if it is ineligible for a combined PSR-PR. Other factors that can contribute to the complexity of a project are included in "Considerations for a Combined PSR-PR" (see PDPM Chapter 9, Article 9)."

3. Construction Capital costs are for work that is within the state right of way.