

Section	Instructions
1.1	Select your District from the Dropdown menu
1.2	Select your County from the Dropdown menu. If your project spans multiple counties, please select various.
1.3	Please place your Federal Project Number here Example: BRLS 5000(123)
1.4	Please type your Project Name here. Please include the name of the roadway that is being worked on.
1.5 PES received by Environmental	Leave this blank (Completed by Caltrans Staff)
1.5 Final Environmental Compliance Needed By	Please type the date that you would like Environmental Compliance (NEPA Completed) by. A good estimate is when you plan to move to the next phase. Note: This is just for project prioritization and does not reflect when environmental compliance will be completed.
1.5 Amended On	Leave this Blank (Completed by Caltrans Staff)
1.6	Please Type in your District Local Assistance Engineer's information. This includes their name, email address and phone number.
1.7	Please type in the information of the Local Public Agency that is submitting the PES. This includes the name of the Local Public Agency (Example: The City of Galt), Local Public Agency's Project Manager's name, Address of the Local Public Agency, email address of the Local Public Agency's Project manager, and Phone number of the Local Public Agency's Project Manager.
1.8	Indicate if the project is on or partially on the State Highway System. Note this includes any Caltrans Right of Way. Example: If a project repaves a ramp or overcrossing that is on Caltrans' Right of Way, a project is considered on the State Highway System. Please contact your District Local Assistance Engineer to discuss how to proceed.
1.9	Indicate if the project is an Emergency Relief Project. If yes, please provide the signed Damage Assessment Form
1.10	Please indicate if the project matches the project description in the FTIP. If it does not match, please explain why. Remember if the project description does not match, this may cause delays to the project.
2.1	Indicate if the Project is a Non-Infrastructure Project. If you are unsure, check yes and if you can answer all of the following questions yes, then the project is a non-Infrastructure project. If you cannot, change this answer to No and continue to 3.1
3.1	Please provide a detailed project location. This should include project limits and cross streets. In addition, describe the surrounding land uses. Example: The project is surrounded by commercial development including a shopping mall to the north.
Preliminary Design Section	Check all applicable boxes and provide as much pertinent information on engineering drawings and maps as possible. If project will involve excavation, delineate location of excavation on map and indicate maximum depth of excavation. If right of way will be acquired, provide a map of the project area with the location of each parcel to be acquired. Provide Assessor Parcel Numbers for all parcels on the Right of Way map.

Section 4 Widen Existing Roadway	Check yes in this box if you are adding pavement to an existing roadway. This includes new lanes, bike lanes, or widening the shoulder of a roadway. If yes, describe these in depth in the space provided in 5.2
Section 4 increased number of through lanes	Check yes for this box only if you are adding a through lane to a roadway. Turn lanes and bicycle lanes do not count as through lanes. If yes, describe these in depth in the space provided in 5.2
Section 4 New Alignment	Check yes if you are creating a new roadway on land that is not currently used as a roadway. Realignment may cause this to be yes if the realignment is not within the existing roadway prism. If yes, describe these in depth in the space provided in 5.2
Section 4 Capacity Increasing- Other	Check yes if your project is considered capacity increasing. An example of a capacity increasing project would be adding a general purpose lane. If yes, describe these in depth in the space provided in 5.2
Section 4 Realignment	Check yes if you are Realigning an Existing roadway. This includes realignments that occur within existing Right of Way. If yes, describe these in depth in the space provided in 5.2
Section 4 Ramp or Street Closure	Check yes if there are permanent or temporary road or ramp closures. If yes, describe these in depth in the space provided in 5.2
Section 4 Bridge Work	Check yes if any work will be done on a bridge. This includes maintenance of the bridge and bridge deck along with seismic retrofits. Please include the bridge number of the bride being worked on.
Section 4 Tree removal	Check yes if any trees will be removed.
Section 4 Road cut/fill	Check yes if any cut and fill will be needed for construction.
Section 4 Ground Disturbance /Excavation	Check yes if any ground that is not currently paved will be used by construction or if there will be digging of any depth. Excavation includes any operation in which earth, rock, or other material in the ground is moved, removed or otherwise displaced by means of tools, equipment or explosives in any of the following ways: grading, trenching, digging, ditching, drilling, auguring, tunneling, scraping, cable or pipe plowing and driving, or any other way. Consider all parts of construction including staging. In the provided field place the anticipated maximum depth. This should be the deepest point at any site in the construction area. Please describe where this will be and any other excavation depths throughout the project limits in the expanded provided in Section 5.2. Make sure to call out what the depths are going to be used for, such as abutments, utility relocation, or pole installation.
Section 4 Drainage/Culverts	Check yes if the project includes any modifications to existing or installation of new drainage elements
Section 4 Flooding Protection	Check yes if the project includes flooding protection. Flood protection can vary but includes work on levees in a floodplain. Please describe any work that will be done to existing flood protection or any additional flood protection measures that will be added by this project.
Section 4 Stream channel work	Check yes if construction will require in channel work. Stream channel work includes any waterways, such as canals, rivers or creeks, whether or not there is

	water in the waterway currently. If yes, provide detailed information on the channel you are impacting in Section 5.2
Section 4 Pile Driving/vibration	Check yes if the project will require pile driving or other work that creates intense vibrations.
Section 4 Demolition of Structures.	Check yes if there will be any demolition of structures included in this project. This includes bridges and buildings.
Section 4 Easements	Check yes if there will be any easements for this project. This includes temporary and permanent easements. Please explain in the space provided. Specific APNs can be listed in 7.19.
Section 4 Equipment Staging	Check yes if equipment staging will be needed on this project and its location is known. Please describe staging areas if known in the space provided.
Section 4 Temporary Access Road/Detour	Check yes if a temporary road will be constructed or if a detour will be required. If yes, please describe in the space provided.
Section 4 Utility Relocations	Check yes if the project requires a utility relocation, either permanent or temporary. Please describe utilities that are being relocated in the space provided. Also provide anticipated construction needed to relocate these utilities along with what utilities are currently in the project area.
Section 4 Right of way acquisition	Check yes if any new Right of Way is needed for this project. If yes use the space to describe Right of Way acquisition. Any APNs and acreages can be input in 7.19 instead of here.
Section 4 Disposal/borrow sites	Check yes if any disposal or borrow sites will be needed for the project. If yes, please describe in the space below. If you believe there may be these sites but are not sure where they are, please type that in the provided area. Also indicate if any sites being used are SARA approved.
Section 4 Part of a larger adjacent project	Check yes if the project is part of a larger project. If it is part of a larger project, please describe the larger project and how this project fits in in the space provided.
Section 4 Railroad	Check yes if work will occur on or adjacent to a railroad or railroad right of way.
Section 5.1	Please provide a purpose and Need Statement for this project here. The purpose should describe what the project is solving. The need should describe why the project is needed. This should be broad enough to allow for multiple alternatives (even if some are not reasonable or feasible). Also include any alternatives that were considered but eliminated due to not being reasonable or feasible to build.
Section 5.2	Please input a detailed project description. This should be more detailed than the description in the FSTIP.
Section 6.1	Please upload all required and applicable documents. If your file is too large then a pop up will appear stating that Filr will need to be used to submit your files to Caltrans.
6.2	These are optional attachments that may or may not be applicable or requested by districts. Please check with your districts.
Section 7	For “No” response, explain in the provided blank following each question how the mandate of federal law has been met. For “Yes” response, explain in the

	provided blank following each question how the resource could be potentially impacted.
7.1	Note: This question is designed to address independent utility and segmentation. The Council on Environmental Quality (CEQ) regulations (40 CFR 1502.13) are directed at avoiding improper segmentation, wherein the significance of the environmental impact of an action as a whole would not be evident, if the action were to be broken into component parts and the impact of those parts analyzed separately. If “No,” check the “No” box. Briefly discuss the transportation problem, traffic and transportation conditions that the project is intended to address and clearly state the rationale supporting the project’s end points. If “Yes” check the “Yes”. (Note: Projects must satisfy the provisions of 23 CFR 771.111(f) in order to be eligible for federal reimbursement.)
7.2	Consider whether there could be any public controversy associated with the project and if so, on what grounds. If “No,” check the “No” box. Indicate what steps were taken to determine the potential for public controversy. If yes, a follow up question will appear asking if the controversy is on environmental grounds. If yes, please explain which environmental issue(s) are controversial. If no, please explain why there is controversy. Also note that there are Community AMMs in this section. These can be used to help avoid, minimize, or mitigate environmental risks. If your project has the potential for a community impact, you can select one or more of our common AMMs or add your own if you need to avoid or minimize the risk. Note: These will be included in the Environmental Commitment Record
7.3	If a staging area is known, please select yes and explain in the space provided. If it is not known check no. Also note that there are Equipment Staging AMMs in this section. These can be used to help avoid, minimize, or mitigate environmental risks. If you believe you may have an equipment staging impact, you can select one of our common AMMs or add your own if you need to avoid or minimize the risk. Note: These will be included in the Environmental Commitment Record
7.4	If your project matches any of the listed types of projects, please select it from the dropdown list. If not, please select “The project does not meet any of the previous descriptions”. The list contains all Type 1 projects. Note: You must select from the dropdown not the checkboxes.
7.5	Consider whether the construction of the project will involve pile driving, structure demolition, blasting, and so forth. Will the project have the potential for adverse construction-related noise impacts? Check all applicable boxes under Preliminary Design Information (that is, bridge work, equipment staging, excavation, pile driving road cuts, stream channel work, and so forth) that could result in excessive noise. Please use the provided space for each preliminary design information category to indicate which category is anticipated to have noise impacts. Note: Bio acoustic impacts would be noted in the bio section, question number 7.13. Also note that there are Noise AMMs in this section. These can be used to help avoid, minimize, or mitigate environmental risks. If you believe you may have a Noise impact, you can select one of our common AMMs or add your own if you need to avoid or minimize the risk. Note: These will be included in the Environmental Commitment Record

7.6	<p>Check yes if the project is within a National Ambient Air Quality Standards (NAAQS) non-attainment or maintenance area. You can use the link in the question to access a map to help you determine this. If the project is in an NAAQS attainment area you can check no. Note: This section is pre-determined by location for most counties, so you may see the box filled out once you get to it. If yes was selected to the first part, please use the dropdown menu to determine if this question is a yes or a no. If you see a project type that matches your project type, select it from the list. If not select "Project does not fall under any of the 40 CFR 93.126 or 40 CFR 93.128 exemptions".</p> <p>If your project is not Exempt, please continue to see if it is exempt from regional conformity. If you see a project type that matches your project, select it from the list. If not select "Project does not fall under any of the 40 CFR 93.127 exemptions." Note: These 3 questions all must be answered via the dropdown menu not the checkbox.</p> <p>If your project is not exempt, please answer the next question that appears. Select yes if the only criteria pollutant under the status of nonattainment/maintenance in the area is ozone.</p> <p>If no three more questions will appear that need to be answered.</p>
7.7	<p>Use the geotracker printout to determine if there are any hazardous waste sites in the project area. Also consider if there will be any structure demolition as there may be hazardous waste in the structures. If you answered yes to the first question, please answer the follow up question asking if there are any open sites listed on either the geotracker or envirostor websites.</p> <p>Also note that there are Hazardous Waste AMMs in this section. These can be used to help avoid, minimize, or mitigate environmental risks. If your project has the potential for a Hazardous Waste impact, you can select one of our common AMMs or add your own if you need to avoid or minimize the risk. Note: These will be included in the Environmental Commitment Record.</p>
7.8	<p>Check yes if you have any potential to impact a water way. Review maps to determine if there are water resources (that is, rivers, streams, lakes, reservoirs, impoundments, bays, inlets, estuaries, wetlands, drainage sloughs, canals, vernal pools, swales, CWA Section 303d impaired water bodies, and so forth) within or immediately adjacent to the project area. Confirm and note presence or absence in the space provided under the question. If yes, please answer the follow up question. If you will need access to the waterway, please check yes.</p> <p>Also note that there are Water Quality AMMs in this section. These can be used to help avoid, minimize, or mitigate environmental risks. If your project has a potential for a Water Quality impact, you can select one of our common AMMs or add your own if you need to avoid or minimize the risk. Note: These will be included in the Environmental Commitment Record.</p>
7.9	<p>Check yes if your project is within a designated sole-source aquifer. Note: This question is selected based on location, so it may be filled out before you get there.</p> <p>Four (4) aquifers in California have been designated as "Sole-Source Aquifers" by the EPA. These include:</p> <ul style="list-style-type: none"> • Santa Margarita Aquifer, Scotts Valley, Santa Cruz County • Fresno Aquifer, Fresno County

	<ul style="list-style-type: none"> • Ocotillo-Coyote Wells Aquifer, Imperial County • Campo/Cottonwood Creek Aquifer, San Diego County
7.10	<p>Check yes if the project is within the coastal zone, San Francisco Bay, or Suisun Marsh. Please use the links to a map of each of these areas to determine if the project is within any of these. Note: This is also pre-determined by location, so it may be filled out before you get to this question.</p>
7.11	<p>Select yes if the project is within a floodplain or regulatory floodway. Please use the FEMA flood map to determine if the project is within the 100-year floodplain. If the project is within a 100 -year floodplain or floodway, please check yes. If yes, a new question will appear.</p> <p>If you see a project type that matches your project, select it from the list. If not select "This project does not fit in any of these categories".</p>
7.12	<p>Select yes if the project is within 1/4 mile of a portion of a river that is designated as wild and scenic. Please use the link in the question to take you to a map that will help you determine this. If yes, a new question will appear. Note: this question is determined by location, so it may be filled out before you arrive at this question.</p> <p>Check yes if the project will impact the characteristics that make the river wild and scenic. Please provide what these characteristics are and other information from the wild and scenic river plan in the space provided.</p>
7.13	<p>Consult the U.S Fish and Wildlife Service (USFWS), Division of Endangered Species website to determine whether there are any federally listed threatened or endangered species, or their designated critical habitat in the county within which the project is located. You can also use any species lists that have been pulled to help provide any possibly impacted species.</p> <p>Also note that there are Biology AMMs for questions 13-16. These can be used to help avoid, minimize, or mitigate environmental risks. If you believe you may have a biological impact, you can select one of our common AMMs or add your own if you need to avoid or minimize the risk. Note: These will be included in the Environmental Commitment Record</p>
7.14	<p>Check yes if the project includes any type of work such as vegetation removal, box culvert replacement/repair, bridge work, etc. or is near any large trees. Remember that AMMs are available to avoid impacts to nesting birds. Note: These will be included in the Environmental Commitment Record</p>
7.15	<p>Please check yes if the project is in an area that has the potential for wetlands. Please use the wetland mapper to determine this.</p> <p>https://fwsprimary.wim.usgs.gov/wetlands/apps/wetlands-mapper/</p> <p>Also note that there are Biology AMMs for questions 13-16. These can be used to help avoid, minimize, or mitigate environmental risks. If you believe you may have a biological impact, you can select one of our common AMMs or add your own if you need to avoid or minimize the risk. Note: These will be included in the Environmental Commitment Record</p>
7.16	<p>Please check yes if there is potential for introduction of an invasive plant species. The most common example of this is during landscaping.</p> <p>Note: Presidential Executive Order 13112 prohibits the use of federal aid for construction, revegetation or landscaping activities that purposely include the</p>

	<p>use of known invasive plant species This Order is concerned with plant material being used in revegetation, and with the spread of invasive from or to a project area. If the project area is infested with Star Thistle, for example, the project needs to include measures to ensure that material is not being spread to other areas by disposal off-site or by tracking seed on equipment. Also, if equipment/material is being brought in from areas of invasive plants, this must be identified to ensure that invasive plants are not inadvertently being spread to the project area.</p> <p>Also note that there are Biology AMMs for questions 13-16. These can be used to help avoid, minimize, or mitigate environmental risks. If you believe you may have a biological impact, you can select one of our common AMMs or add your own if you need to avoid or minimize the risk. Note: These will be included in the Environmental Commitment Record</p>
7.17	<p>Check yes if you know of any historic sites, publicly owned parks, recreation areas or wildlife or waterfowl refuges in the project area. If yes, an additional question will appear.</p> <p>Please use the list of Section 6(f) sites to help you determine if the Section 4(f) property in your project has received Section 6(f) funds.</p>
7.18	<p>This is the only question without a yes and no box. Instead, please input the value you received from the VIA checklist in the box provided. In addition, please provide your VIA questionnaire with the PES as an attachment.</p>
7.19	<p>Please indicate if the project will include any Right of Way acquisition. This includes both temporary and permanent. If yes, a question will appear asking if any relocations are anticipated by this project. Please provide APNs acreages and number of residents or businesses relocated.</p> <p>Note: The Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 provides important protections and assistance for people affected by federally funded projects. This law was enacted by Congress to ensure that people whose real property is acquired, or who move as a result of projects receiving federal funds, will be treated fairly and equitably and will receive assistance in moving from the property they occupy. Responsibility for the enforcement of this Act has been delegated to the FHWA and is carried out by the Office of Real Estate Services. Title 49: Transportation, Part 24—Uniform Relocation Assistance And Real Property Acquisition For Federal and Federally Assisted Programs, Section 24.205, Relocation Planning, Advisory Services and Coordination, requires that during the early stages of development, an agency must plan federal and Federally Assisted Programs or projects in such a manner that recognizes the problems associated with the displacement of individuals, families, businesses, farms, and nonprofit organizations and develop solutions to minimize the adverse impacts of displacement. Such planning, where appropriate, must precede any action by an agency which will cause displacement, and should be scoped to the complexity and nature of the anticipated displacing activity including an evaluation of program resources available to carry out timely and orderly relocations.</p>
7.20	<p>Please indicate if any relocations of public utilities are anticipated. Please include temporary relocations.</p>

7.21	<p>Note: NEPA requires that when a proposed federal action, normally classified as a CE, involves an unusual circumstance, such as “...likely to cause substantial division or disruption of an established community, disrupt orderly and planned development, or is likely to be not reasonably consistent with plans or goals that have been adopted by the community...,” the project shall be the subject of an EA or EIS. Check comprehensive development plan, general plan or community plan and goals adopted by the community.</p>
7.22	<p>Note: The U.S.DOT Order clarifies and reinforces Title VI responsibilities as well as addresses effects on low-income populations. The goal of the U.S.DOT Order is to ensure that programs, policies, and other activities do not have a disproportionately high and adverse effect on minority or low-income populations. This goal is to be achieved, in part, by implementing both Title VI and NEPA during the development and implementation of transportation activities. All reasonably foreseeable adverse social, economic, and environmental effects on minority populations and low-income populations must be identified and addressed. As defined in the Appendix of the DOT Order, adverse effects include, but are not limited to the “destruction or disruption of community cohesion or a community's economic vitality.” Consult demographic data (that is, age, ethnicity, and income) from most recent census, consider:</p> <ul style="list-style-type: none"> • sense of neighborhood and community cohesion relative to project • community resources (parks, churches, shopping, schools, emergency services, libraries) travel patterns • types of housing and businesses • employment and tax base <p>Remember to consider projects that introduce medians or remove crosswalks. If yes, please explain the impact and any ways these impacts are being minimized or mitigated.</p>
7.23	<p>Note: The U.S.DOT Order clarifies and reinforces Title VI responsibilities as well as addresses effects on low-income populations. The goal of the U.S.DOT Order is to ensure that programs, policies, and other activities do not have a disproportionately high and adverse effect on minority or low-income populations. This goal is to be achieved, in part, by implementing both Title VI and NEPA during the development and implementation of transportation activities. When the project will affect a Minority or Low-Income Community, Presidential E.O. 12898 (on Environmental Justice) requires federal agencies to assure that their actions do not result in disproportionate adverse environmental impacts on minority or low-income populations. Check the Census to see which census tracts the project goes through and see if they are identified as “minority” or “low-income.”</p> <p>If the project does have an impact a question will appear. Please indicate if your project is in a Low income or minority community.</p>
7.24	<p>Remember to include any temporary roads or detours when answering this question. If yes new questions will appear. Please indicate if the changes are permanent or temporary. Also note that there are Traffic AMMs in this section. These can be used to help avoid, minimize, or mitigate environmental risks. If your project has the potential for a traffic impact you can select one of our common AMMs or add your own if</p>

	you need to avoid or minimize the risk. Note: These will be included in the Environmental Commitment Record
7.25	<p>Check yes if the project will in any way change access to the State Highway System. A change in access control can come about from either:</p> <ul style="list-style-type: none"> • New connection to mainline freeway lanes. • Addition of entrance or exit ramps that complete basic existing interchange. • Major reconstruction where existing interchanges are being modified and/or dislocated ramps are being added or deleted. • Removal of existing connection points. <p>Note: If your project does change access to the State Highway System, an encroachment permit will be needed. Please contact your DLAE if you have further questions.</p>
7.26	Please indicate if the project will impact parking. Include both temporary and permanent impacts. If yes, please indicate the total numbers of spots impacted and total available for both temporary and permanent impacts. Also please explain how long the temporarily removed spots will be impacted.
7.27	Please indicate if the project is on or encroaches on either state or federal lands.
7.28	Please indicate if any farmlands will be changed to a different use by this project. This includes taking right of Way from an agricultural parcel, even if the portion you are taking is not currently used for agriculture. If yes, a follow up question will appear.
7.29	Please indicate if there are any known cultural, archaeological, or historical resources within or adjacent to the project area. If you are not aware of any check no. If yes, please describe in the space provided. Note: Caltrans PQS will review the project for cultural resources. By filling out this section you are helping to speed up our review.
7.30	Please indicate if the project is adjacent to or would encroach on tribal land.
7.31	Please indicate if your project will destroy an paleontological or unique geologic features. Please explain your answer in the space provided. Remember to check geologic maps and consider the depth of excavation when making this determination. If no native soils will be impacted, or the project will not have any excavation, the answer to this question will be no.
Section 8	This section will be completed by Caltrans. Some will auto populate based on your answers to help you see what areas may require studies, but you do not need to fill these areas out.
Local Public Agency Project Engineer Signature	<p>By signing here you are affirming that the PES has been completed to the best of your ability and that it is ready for Caltrans review. This is the last section of the PES that you need to complete. The rest of the form will be completed by Caltrans.</p> <p>This is the name of the LPA representative (typically the person having responsible charge for the project, that is typically, Public Works Director or City/County Engineer). They sign the PES form when they are satisfied that the form and all supporting documentation is “complete and sufficient.”</p>