

EXHIBIT 6-A PRELIMINARY ENVIRONMENTAL STUDY (PES)

Federal Project No.: _____
(Federal Program Prefix-Project No., Agreement No.)Final Design: _____
(Expected Start Date)To: _____
(District Local Assistance Engineer)_____
(District)_____
(Address)_____
(Email Address)From: _____
(Local Agency)_____
(Project Manager's Name and Telephone No.)_____
(Address)_____
(Email Address)Is this Project "ON" the
State Highway System? ☐ Yes
☐ NoIF YES, STOP HERE and contact the District Local Assistance Engineer
regarding the completion of other environmental documentation.Federal State Transportation Improvement
Program (FSTIP)_____
(Currently Adopted Plan Date)_____
(Page No. ___ attach to this form)<https://dot.ca.gov/programs/financial-programming/office-of-federal-programming-data-management-ofpdm>Programming
for FSTIP:

Preliminary Engineering

(Fiscal Year) \$ _____
(Dollars)

Right of Way

(Fiscal Year) \$ _____
(Dollars)

Construction

(Fiscal Year) \$ _____
(Dollars)

Project Description as Shown in RTP and FSTIP:

Detailed Project Description: (Describe the following, as applicable: purpose and need, project location and limits, required right of way acquisition, proposed facilities, staging areas, disposal and borrow sites, construction activities, and construction access.)

(Continue description on "Notes" sheet, last page of this Exhibit, if necessary)

Preliminary Design Information:

Does the project involve any of the following? Please check the appropriate boxes and delineate on an attached map, plan, or layout including any additional pertinent information.

Yes No

☐ ☐ Widen existing roadway
☐ ☐ Increase number of through lanes
☐ ☐ New alignment
☐ ☐ Capacity increasing—other
(e.g., channelization)

☐ ☐ Realignment
☐ ☐ Ramp or street closure
☐ ☐ Bridge work

☐ ☐ Vegetation removal
☐ ☐ Tree removal

Yes No

☐ ☐ Ground disturbance
☐ ☐ Road cut/fill
☐ ☐ Excavation: anticipated
maximum depth _____

☐ ☐ Drainage/culverts
☐ ☐ Flooding protection
☐ ☐ Stream channel work

☐ ☐ Pile driving
☐ ☐ Demolition

Yes No

☐ ☐ Easements
☐ ☐ Equipment staging
☐ ☐ Temporary access road/detour
☐ ☐ Utility relocation
☐ ☐ Right of way acquisition
(if yes, attach map with APN)

☐ ☐ Disposal/borrow sites

☐ ☐ Part of larger adjacent project

☐ ☐ Railroad

Required Attachments:

- ☐ Regional map ☐ Project location map ☐ Project footprint map (existing/proposed right of way)
- ☐ Engineering drawings (existing and proposed cross sections), if available ☐ Borrow/disposal site location map, if applicable
(Note: all maps (except project location map and regional maps) should be consistent with the project description (minimum scale: 1" = 200').)
- ☐ GeoTracker Printout for Hazardous Materials (<http://geotracker.waterboards.ca.gov/>).
- ☐ Federal Threatened and Endangered Species List from USFWS (<http://ecos.fws.gov/ipac/>).
- ☐ Federal Threatened and Endangered Species List from NMFS
(https://www.westcoast.fisheries.noaa.gov/maps_data/california_species_list_tools.html).
- ☐ Current Photos of Project Site ☐ FEMA map ☐ VIA Questionnaire

Examine the project for potential effects on the environment, direct or indirect and answer the following questions. The "construction area," as specified below, includes all areas of ground disturbance associated with the project, including staging and stockpiling areas and temporary access roads.

Each answer must be briefly documented on the "Notes" pages at the end of the PES Form.

A. Potential Environmental Effects	Yes	To Be Determined	No
General			
1. Will the project require future construction to fully utilize the design capabilities included in the proposed project?			
2. Will the project generate public controversy?			
Noise			
3. Is the project a Type I project as defined in 23 CFR 772.5(h); "construction on new location or the physical alteration of an existing highway, which significantly changes either the horizontal or vertical alignment or increases the number of through-traffic lanes"?			
4. Does the project have the potential for adverse construction-related noise impact (such as related to pile driving)?			
Air Quality			
5. Is the project in a NAAQS non-attainment or maintenance area?			
6. Is the project exempt from the requirement that a conformity determination be made? (If "Yes," state which conformity exemption per 40 CFR 93.126, or 40 CFR 93.128) (check one box below and identify the project type if applicable): 40 CFR 93.126 Project type: 40 CFR 93.128			
7. Is the project exempt from regional conformity? (If "Yes," state which conformity exemption in 40 CFR 93.127, Table 3 applies):			
8. If project is not exempt from regional conformity, (If "No" on Question #7) Is project in a metropolitan non-attainment/maintenance area? Is project in an isolated rural non-attainment area? Is project in a CO, PM10 and/or PM2.5 non-attainment/maintenance area?			
Hazardous Materials/Hazardous Waste			
9. Is there potential for hazardous materials (including underground or aboveground tanks, etc.) or hazardous waste (including oil/water separators, waste oil, asbestos-containing material, lead-based paint, ADL, etc.) within or immediately adjacent to the construction area?			
Water Quality/Resources			
10. Does the project have the potential to impact water resources (rivers, streams, bays, inlets, lakes, drainage sloughs) within or immediately adjacent to the project area?			
11. Is the project within a designated sole-source aquifer?			

Coastal Zone

12. Is the project within the State Coastal Zone, San Francisco Bay, or Suisun Marsh? ☐ ☐ ☐

Floodplain

13. Is the construction area located within a regulatory floodway or within the base floodplain (100-year elevation of a watercourse or lake)? ☐ ☐ ☐

Wild and Scenic Rivers

14. Is the project within or immediately adjacent to a Wild and Scenic River System? ☐ ☐ ☐

Biological Resources

15. Is there a potential for federally listed threatened or endangered species, or their critical habitat or essential fish habitat to occur within or adjacent to the construction area? ☐ ☐ ☐
16. Does the project have the potential to directly or indirectly affect migratory birds, or their nests or eggs (such as vegetation removal, box culvert replacement/repair, bridge work, etc.)? ☐ ☐ ☐
17. Is there a potential for wetlands to occur within or adjacent to the construction area? ☐ ☐ ☐
18. Is there a potential for agricultural wetlands to occur within or adjacent to the construction area? ☐ ☐ ☐
19. Is there a potential for the introduction or spread of invasive plant species? ☐ ☐ ☐

Sections 4(f) and 6(f)

20. Are there any historic sites or publicly owned public parks, recreation areas, wildlife or waterfowl refuges (Section 4(f)) within or immediately adjacent to the construction area? ☐ ☐ ☐
21. Does the project have the potential to affect properties acquired or improved with Land and Water Conservation Fund Act (Section 6(f)) funds? ☐ ☐ ☐

Visual Resources

22. Does the project have the potential to affect any visual or scenic resources? ☐ ☐ ☐

Relocation Impacts

23. Will the project require the relocation of residential or business properties? ☐ ☐ ☐
- (If the answer to questions 23-32 is "yes," then Title VI Implementation and outreach may be triggered)

Land Use, Community, and Farmland Impacts

24. Will the project require any right of way, including partial or full takes? Consider construction easements and utility relocations. ☐ ☐ ☐
25. Is the project inconsistent with plans and goals adopted by the community? ☐ ☐ ☐
26. Does the project have the potential to divide or disrupt neighborhoods/communities? ☐ ☐ ☐
27. Does the project have the potential to disproportionately affect low-income and minority populations? ☐ ☐ ☐
28. Will the project require the relocation of public utilities? ☐ ☐ ☐
29. Will the project affect access to properties or roadways? ☐ ☐ ☐
30. Will the project involve changes in access control to the State Highway System (SHS)? ☐ ☐ ☐
31. Will the project involve the use of a temporary road, detour, or ramp closure? ☐ ☐ ☐
32. Will the project reduce available parking? ☐ ☐ ☐
33. Will the project construction encroach on state or federal lands? ☐ ☐ ☐
34. Will the project convert any farmland to a different use or impact any farmlands? ☐ ☐ ☐

Cultural Resources

35. Is there National Register listed, or potentially eligible historic properties, or archaeological resources within or immediately adjacent to the construction area?
(Note: Caltrans PQS answers question #35) ☐ ☐ ☐
36. Is the project adjacent to, or would it encroach on Tribal land? ☐ ☐ ☐

For Sections B, C, and D, check appropriate box to indicate required technical studies, coordination, permits, or approvals.

B. Required Technical Studies and Analyses	C. Coordination	D. Anticipated Actions/Permits/Approvals
☐ Traffic <i>Check one:</i> ☐ Traffic Study ☐ Technical Memorandum ☐ Discussion in ED Only	☐ Caltrans ☐ Caltrans ☐ Caltrans	☐ Approval ☐ Approval ☐ Approval
☐ Noise <i>Check as applicable:</i> ☐ Traffic Related ☐ Construction Related <i>Check one:</i> ☐ Noise Study Report ☐ NADR ☐ Technical Memorandum ☐ Discussion in ED Only	☐ Caltrans ☐ Caltrans ☐ Caltrans ☐ Caltrans	☐ Approval ☐ Approval ☐ Approval ☐ Approval
☐ Air Quality <i>Check as applicable:</i> ☐ Traffic Related ☐ Construction Related <i>Check one:</i> ☐ Air Quality Report ☐ Technical Memorandum ☐ Discussion in ED Only	☐ Caltrans ☐ Caltrans ☐ Caltrans ☐ FHWA ☐ Caltrans ☐ Regional Agency	☐ Approval ☐ Approval ☐ Approval ☐ Conformity Finding (23 USC 327 CE, EAs, EISs) ☐ Conformity Finding (23 USC 326 CE) ☐ PM10/PM2.5 Interagency Consultation
☐ Hazardous Materials/ Hazardous Waste <i>Check as applicable:</i> ☐ Initial Site Assessment (Phase 1) ☐ Preliminary Site Assessment (Phase 2) ☐ Discussion in ED Only	☐ Caltrans ☐ Caltrans ☐ Caltrans ☐ Cal EPA DTSC ☐ Local Agency	☐ Approval ☐ Approval ☐ Approval ☐ Review Database ☐ Review Database
☐ Water Quality/Resources <i>Check as applicable:</i> ☐ Water Quality Assess. Report ☐ Technical Memorandum ☐ Discussion in ED Only	☐ Caltrans ☐ Caltrans ☐ Caltrans	☐ Approval ☐ Approval ☐ Approval
☐ Sole-Source Aquifer (Districts 5, 6 and 11)	☐ EPA (S.F. Regional Office)	☐ Approval of Analysis in ED
☐ Coastal Zone	☐ CCC	☐ Coastal Zone Consistency Determination

B. Required Technical Studies and Analyses	C. Coordination	D. Anticipated Actions/Permits/Approvals
☐ Floodplain		
<i>Check as applicable:</i>		
☐ Location Hydraulic Study	☐ Caltrans	☐ Approval
☐ Floodplain Evaluation Report	☐ Caltrans	☐ Approval
☐ Summary Floodplain Encroachment Report	☐ Caltrans	☐ Approval
	☐ Caltrans	☐ Only Practicable Alternative Finding
	☐ FHWA	☐ Approves significant encroachments and concurs in Only Practicable Alternative Findings
☐ Wild and Scenic Rivers	☐ River Managing Agency	☐ Wild and Scenic Rivers Determination
☐ Biological Resources		
<i>Check as applicable:</i>		
☐ NES, Minimal Impact	☐ Caltrans	☐ Approval
☐ NES		
☐ BA	☐ Caltrans	☐ Approves for Consultation
	☐ USFWS ☐ NOAA Fisheries	☐ Section 7 Informal/Formal Consultation
☐ EFH Evaluation	☐ NOAA Fisheries	☐ MSA Consultation
☐ Bio-Acoustic Evaluation	☐ NOAA Fisheries	☐ Approval
☐ Technical Memorandum	☐ Caltrans	☐ Approval
☐ Wetlands		
<i>Check as applicable:</i>		
☐ WD and Assessment	☐ Caltrans	☐ Approval
	☐ ACOE	☐ Wetland Verification
	☐ NRCS	☐ Agricultural Wetland Verification
	☐ Caltrans	☐ Wetlands Only Practicable Alternative Finding
☐ Invasive Plants		
☐ Discussion in ED Only	☐ Caltrans	☐ Approval
☐ Section 4(f)		
<i>Check as applicable:</i>		
	☐ Caltrans	☐ Determine Temporary Occupancy
☐ De minimis	☐ Caltrans	☐ De minimis finding
☐ Programmatic 4(f) Evaluation Type: _____	☐ Caltrans	☐ Approval
☐ Individual 4(f) Evaluation	☐ Caltrans	☐ Approval
	☐ Agency with Jurisdiction ☐ SHPO ☐ DOI ☐ HUD ☐ USDA	

B. Required Technical Studies and Analyses	C. Coordination	D. Anticipated Actions/Permits/Approvals
☐ Section 6(f)	☐ Agency with Jurisdiction ☐ NPS	☐ Determines Consistency with Long-Term Management Plan
	☐ NPS	☐ Approves Conversion
☐ Visual Resources		
☐ Technical	☐ Caltrans	☐ Approval
☐ Memorandum 8	☐ Caltrans	☐ Approval
☐ Moderate VIA	☐ Caltrans	☐ Approval
☐ Advance/Complex VIA	☐ Caltrans	☐ Approval
☐ Relocation Impacts		
<i>Check one:</i>		
☐ Relocation Impact Memo	☐ Caltrans	☐ Approval
☐ Relocation Impact Study	☐ Caltrans	☐ Approval
☐ Relocation Impact Report	☐ Caltrans	☐ Approval
☐ Land Use and Community Impacts		
<i>Check one:</i>		
☐ CIA	☐ Caltrans	☐ Approval
☐ Technical Memorandum	☐ Caltrans	☐ Approval
☐ Discussion in ED Only	☐ Caltrans	☐ Approval
☐ Construction/Encroachment on State Lands		
<i>Check as applicable:</i>		
☐ SLC Jurisdiction	☐ SLC	☐ SLC Lease
☐ Caltrans Jurisdiction	☐ Caltrans	☐ Encroachment Permit
☐ SP Jurisdiction	☐ SP	☐ Encroachment Permit
☐ Construction/Encroachment on Federal Lands	☐ Federal Agency with Jurisdiction	☐ Encroachment Permit
☐ Construction/Encroachment On Indian Trust Lands	☐ Bureau of Indian Affairs	☐ Right of Way Permit
☐ Farmlands		
<i>Check one:</i>		
☐ CIA	☐ Caltrans	☐ Approval
☐ Technical Memorandum	☐ Caltrans	☐ Approval
☐ Discussion in ED Only	☐ Caltrans	☐ Approval
<i>Check as applicable:</i>		
☐ Form AD 1006	☐ NRCS	☐ Approves Conversion
	☐ CDOC	☐ Approves Conversion
☐ Conversion to Non-Agri Use	☐ ACOE	

B. Required Technical Studies and Analyses	C. Coordination	D. Anticipated Actions/Permits/Approvals
☐ Cultural Resources (PQS completes this section)		
	☐ Caltrans PQS	Screened Undertaking
☐ APE Map	☐ Caltrans PQS and DLAE	☐ Approves APE Map
	☐ Local Preservation Groups and/or Native American Tribes	☐ Provides Comments Regarding Concerns with Project
☐ HPSR ☐ ASR ☐ HRER	☐ Caltrans	☐ Approves for Consultation
☐ Finding of Effect Report	☐ Caltrans	☐ Concurs on No Effect, No Adverse Effect with Standard Conditions
	☐ SHPO	☐ Letter of Concurrence on Eligibility, No Adverse Effect without Standard
☐ MOA	☐ Caltrans	☐ Approves MOA
	☐ SHPO	☐ Approves MOA
	☐ ACHP (if requested)	☐ Approves MOA
☐ Permits Copies of permits and a list of mitigation commitments are mandatory submittals following NEPA approval.	☐ ACOE	☐ Section 404 Nationwide Permit
	☐ ACOE	☐ Section 404 Individual Permit
	☐ Caltrans/ACOE/EPA	☐ NEPA/404 Integration MOU
	☐ USFWS	
	☐ NOAA Fisheries	
	☐ ACOE	☐ Rivers and Harbors Act Section 10 Permit
	☐ USCG	☐ USCG Bridge Permit
	☐ RWQCB	☐ Section 401 Water Quality Certification
	☐ CDFW	☐ Section 1602 Streambed Alteration Agreement
	☐ RWQCB	☐ NPDES Permit
	☐ CCC	☐ Coastal Zone Permit
	☐ Local Agency	
	☐ BCDC	☐ BCDC Permit

Notes: Additional studies may be required for other federal agencies.

ACHP	=	Advisory Council on Historic Preservation	HRER	=	Historical Resources Evaluation Report
ACOE	=	U.S. Army Corps of Engineers	HUD	=	U.S. Housing and Urban Development
ADL	=	Aerially Deposited Lead	MOA	=	Memorandum of Agreement
APE	=	Area of Potential Effect	MSA	=	Magnuson-Stevens Fishery Conservation and Management Act
APN	=	Assessor Parcel Number	NEPA	=	National Environmental Policy Act
ASR	=	Archaeological Survey Report	NADR	=	Noise Abatement Decision Report
BA	=	Biological Assessment	NES	=	Natural Environment Study
BCDC	=	Bay Conservation and Development Commission	NHPA	=	National Historic Preservation Act
BE	=	Biological Evaluation	NOAA	=	National Oceanic and Atmospheric Administration
BO	=	Biological Opinion	NMFS	=	National Marine Fisheries Service
Cal EPA	=	California Environmental Protection Agency	NPDES	=	National Pollutant Discharge Elimination System
CCC	=	California Coastal Commission	NPS	=	National Park Service
CDFW	=	California Department of Fish and Wildlife	NRCS	=	Natural Resources Conservation Service
CDOC	=	California Department of Conservation	PM10	=	Particulate Matter 10 Microns in Diameter or Less
CE	=	Categorical Exclusion	PM2.5	=	Particulate Matter 2.5 Microns in Diameter or Less
CIA	=	Community Impact Assessment	PMP	=	Project Management Plan
CWA	=	Clean Water Act	PQS	=	Professionally Qualified Staff
DLAE	=	District Local Assistance Engineer	ROD	=	Record of Decision
DOI	=	U.S. Department of Interior	RTIP	=	Regional Transportation Improvement Program
DTSC	=	Department of Toxic Substances Control	RTP	=	Regional Transportation Plan
EA	=	Environmental Assessment	RWQCB	=	Regional Water Quality Control Board
ED	=	Environmental Document	SER	=	Standard Environmental Reference
EFH	=	Essential Fish Habitat	SEP	=	Senior Environmental Planner
EIS	=	Environmental Impact Statement	SHPO	=	State Historic Preservation Officer
EPA	=	U.S. Environmental Protection Agency	SLC	=	State Lands Commission
FEMA	=	Federal Emergency Management Agency	SP	=	State Parks
FHWA	=	Federal Highway Administration	TIP	=	Transportation Improvement Program
FONSI	=	Finding of No Significant Impacted	USCG	=	U.S. Coast Guard
FTIP	=	Federal Transportation Improvement Program	USDA	=	U.S. Department of Agriculture
HPSR	=	Historic Property Survey Report	USFWS	=	U.S. Fish and Wildlife Service
			WD	=	Wetland Delineation

E. Preliminary Environmental Document Classification (NEPA)

Based on the evaluation of the project, the environmental document to be developed should be:

Check one:

- ☐ Environmental Impact Statement (*Note: Engagement with participating agencies in accordance with 23 USC 139 required*)
- ☐ Compliance with 23 USC 139 regarding Participating Agencies required
- ☐ Complex Environmental Assessment
- ☐ Routine Environmental Assessment
- ☐ Categorical Exclusion without required technical studies.
- ☐ Categorical Exclusion with required technical studies

(if Categorical Exclusion is selected, check one of the following):

- ☐ Section 23 USC 326
- ☐ 23 CFR 771 activity (c) (____)
- ☐ 23 CFR 771 activity (d) (____)
- ☐ Activity _____ listed in the Section 23 USC 326
- ☐ Section 23 USC 327

F. Public Availability and Public Hearing

Check as applicable:

- ☐ Not Required
- ☐ Notice of Availability of Environmental Document
- ☐ Public Meeting
- ☐ Notice of Opportunity for a Public Hearing
- ☐ Public Hearing Required

G. Signatures**Local Agency Staff and/or Consultant Signature**

(Signature of Preparer)

(Date)

(Telephone No.)

(Name)

Local Agency Project Engineer Signature

This document was prepared under my supervision, according to the *Local Assistance Procedures Manual*, Exhibit 6-B, "Instructions for Completing the Preliminary Environmental Study Form."

(Signature of Local Agency)

(Date)

(Telephone No.)

Caltrans District Professionally Qualified Staff (PQS) Signature

- ☐ Project does not meet definition of an “undertaking”; no further review is necessary under Section 106 (“No” Section A, #35).
- ☐ Project is limited to the type of activity listed in Attachment 2 of the Section 106 PA and based on the information provided in the PES Form, the project does not have the potential to affect historic properties (“No” Section A, #35).
- ☐ Project is limited to the type of activity listed in Attachment 2 of the Section 106 PA, but the following additional procedures or information is needed to determine the potential for effect (“To Be Determined” Section A, #35):
- ☐ Records Search ☐ _____ ☐ _____ ☐ _____
- ☐ Project meets the definition of an “undertaking”; all properties in the project area are exempt from evaluation per Attachment 4 of the Section 106 PA (“No” Section A, #35).
- ☐ The proposed undertaking is considered to have the potential to affect historic properties; further studies for 106 compliance are indicated in Sections B, C, and D of this PES Form (“Yes” Section A, #35).

(Signature of Professionally Qualified Staff)_____
(Date)_____
(Telephone No.)

The following signatures are required for all CEs, routine and complex EAs, and EISs:

Caltrans District Senior Environmental Planner (or Designee) and DLAE Signatures

I have reviewed this Preliminary Environmental Study (PES) Form and determined that the submittal is complete and sufficient. I concur with the studies to be performed and the recommended NEPA Class of Action.

(Signature of Senior Environmental Planner or Designee)_____
(Date)_____
(Telephone No.)_____
(Name)_____
(Signature of District Local Assistance Engineer or Designee)_____
(Date)_____
(Telephone No.)_____
(Name)

- ☐ HQ DEA Environmental Coordinator concurrence _____. Email concurrence attached.
(date)

**Preliminary Environmental Investigation
Notes to Support the Conclusions of the PES Form
(May Also Include Continuation of Detailed Project Description)**

Brief Explanation of How Project Complies, or Will Comply with Applicable Federal Mandate (Part A):

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Continuation of Detailed Project Description:

Distribution 1) Original - DLAE, 2) Local Agency Project Manager, 3) DLA Environmental Coordinator
4) Senior Environmental Planner (or designee), 5) District PQS