

## EXHIBIT 6-A PRELIMINARY ENVIRONMENTAL STUDY (PES)

<b>Federal Project No.:</b> _____	<b>Final Design:</b> _____
(Federal Program Prefix-Project No., Agreement No.)	
(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  No **IF 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>

<b>Programming for FSTIP:</b> _____	<b>Preliminary Engineering</b> \$ _____ <i>(Fiscal Year)</i> _____ <i>(Dollars)</i> _____	<b>Right of Way</b> \$ _____ <i>(Fiscal Year)</i> _____ <i>(Dollars)</i> _____	<b>Construction</b> \$ _____ <i>(Fiscal Year)</i> _____ <i>(Dollars)</i> _____
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**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.

<b>Yes</b> <input type="checkbox"/> <b>No</b> <input type="checkbox"/> Widen existing roadway	<b>Yes</b> <input type="checkbox"/> <b>No</b> <input type="checkbox"/> Ground disturbance	<b>Yes</b> <input type="checkbox"/> <b>No</b> <input type="checkbox"/> Easements
<input type="checkbox"/> <input type="checkbox"/> Increase number of through lanes	<input type="checkbox"/> <input type="checkbox"/> Road cut/fill	<input type="checkbox"/> <input type="checkbox"/> Equipment staging
<input type="checkbox"/> <input type="checkbox"/> New alignment	<input type="checkbox"/> <input type="checkbox"/> Excavation: anticipated maximum depth _____	<input type="checkbox"/> <input type="checkbox"/> Temporary access road/detour
<input type="checkbox"/> <input type="checkbox"/> Capacity increasing—other (e.g., channelization)	<input type="checkbox"/> <input type="checkbox"/> Drainage/culverts	<input type="checkbox"/> <input type="checkbox"/> Utility relocation
<input type="checkbox"/> <input type="checkbox"/> Realignment	<input type="checkbox"/> <input type="checkbox"/> Flooding protection	<input type="checkbox"/> <input type="checkbox"/> Right of way acquisition (if yes, attach map with APN)
<input type="checkbox"/> <input type="checkbox"/> Ramp or street closure	<input type="checkbox"/> <input type="checkbox"/> Stream channel work	<input type="checkbox"/> <input type="checkbox"/> Disposal/borrow sites
<input type="checkbox"/> <input type="checkbox"/> Bridge work	<input type="checkbox"/> <input type="checkbox"/> Pile driving	<input type="checkbox"/> <input type="checkbox"/> Part of larger adjacent project
<input type="checkbox"/> <input type="checkbox"/> Vegetation removal	<input type="checkbox"/> <input type="checkbox"/> Demolition	<input type="checkbox"/> <input type="checkbox"/> Railroad
<input type="checkbox"/> <input type="checkbox"/> Tree removal		

**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](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
<b>General</b>			
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?			
<b>Noise</b>			
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)?			
<b>Air Quality</b>			
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?			
<b>Hazardous Materials/Hazardous Waste</b>			
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?			
<b>Water Quality/Resources</b>			
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
<input type="checkbox"/> <b>Traffic</b> <i>Check one:</i> <input type="checkbox"/> Traffic Study <input type="checkbox"/> Technical Memorandum <input type="checkbox"/> Discussion in ED Only	<input type="checkbox"/> Caltrans <input type="checkbox"/> Caltrans <input type="checkbox"/> Caltrans	<input type="checkbox"/> Approval <input type="checkbox"/> Approval <input type="checkbox"/> Approval
<input type="checkbox"/> <b>Noise</b> <i>Check as applicable:</i> <input type="checkbox"/> Traffic Related <input type="checkbox"/> Construction Related  <i>Check one:</i> <input type="checkbox"/> Noise Study Report <input type="checkbox"/> NADR <input type="checkbox"/> Technical Memorandum <input type="checkbox"/> Discussion in ED Only	<input type="checkbox"/> Caltrans <input type="checkbox"/> Caltrans <input type="checkbox"/> Caltrans <input type="checkbox"/> Caltrans	<input type="checkbox"/> Approval <input type="checkbox"/> Approval <input type="checkbox"/> Approval <input type="checkbox"/> Approval
<input type="checkbox"/> <b>Air Quality</b> <i>Check as applicable:</i> <input type="checkbox"/> Traffic Related <input type="checkbox"/> Construction Related  <i>Check one:</i> <input type="checkbox"/> Air Quality Report <input type="checkbox"/> Technical Memorandum <input type="checkbox"/> Discussion in ED Only	<input type="checkbox"/> Caltrans <input type="checkbox"/> Caltrans <input type="checkbox"/> Caltrans	<input type="checkbox"/> Approval <input type="checkbox"/> Approval <input type="checkbox"/> Approval
	<input type="checkbox"/> FHWA <input type="checkbox"/> Caltrans <input type="checkbox"/> Regional Agency	<input type="checkbox"/> Conformity Finding (23 USC 327 CEs, EAs, EISs) <input type="checkbox"/> Conformity Finding ( 23 USC 326 CEs) <input type="checkbox"/> PM10/PM2.5 Interagency Consultation
<input type="checkbox"/> <b>Hazardous Materials/ Hazardous Waste</b> <i>Check as applicable:</i> <input type="checkbox"/> Initial Site Assessment (Phase 1) <input type="checkbox"/> Preliminary Site Assessment (Phase 2) <input type="checkbox"/> Discussion in ED Only	<input type="checkbox"/> Caltrans <input type="checkbox"/> Caltrans <input type="checkbox"/> Caltrans	<input type="checkbox"/> Approval <input type="checkbox"/> Approval <input type="checkbox"/> Approval
	<input type="checkbox"/> Cal EPA DTSC <input type="checkbox"/> Local Agency	<input type="checkbox"/> Review Database <input type="checkbox"/> Review Database
<input type="checkbox"/> <b>Water Quality/Resources</b> <i>Check as applicable:</i> <input type="checkbox"/> Water Quality Assess. Report <input type="checkbox"/> Technical Memorandum <input type="checkbox"/> Discussion in ED Only	<input type="checkbox"/> Caltrans <input type="checkbox"/> Caltrans <input type="checkbox"/> Caltrans	<input type="checkbox"/> Approval <input type="checkbox"/> Approval <input type="checkbox"/> Approval
<input type="checkbox"/> <b>Sole-Source Aquifer (Districts 5, 6 and 11)</b>	<input type="checkbox"/> EPA (S.F. Regional Office)	<input type="checkbox"/> Approval of Analysis in ED
<input type="checkbox"/> <b>Coastal Zone</b>	<input type="checkbox"/> CCC	<input type="checkbox"/> Coastal Zone Consistency Determination

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

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

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

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*(Signature of Preparer)*

*(Date)*

*(Telephone No.)*

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*(Name)*

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**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."

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*(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 EIIs:**

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:

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