

BUILDING A PARTNERSHIP FOR LAND USE AND TRANSPORTATION

Caltrans' role, processes and procedures for traffic analysis review and design oversight for projects that are sponsored by others on the state highway system

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Caltrans Role in Local Development Review

- Mandated statewide effort focused primarily on avoiding, eliminating, or reducing to insignificance, potential adverse impacts of local development on the transportation system
- Requirements of the National Environmental Policy Act (NEPA), California Environmental Quality Act (CEQA), Streets and Highways Code, and numerous planning and zoning laws to ensure land use decisions do not adversely affect our stewardship of the State Highway System

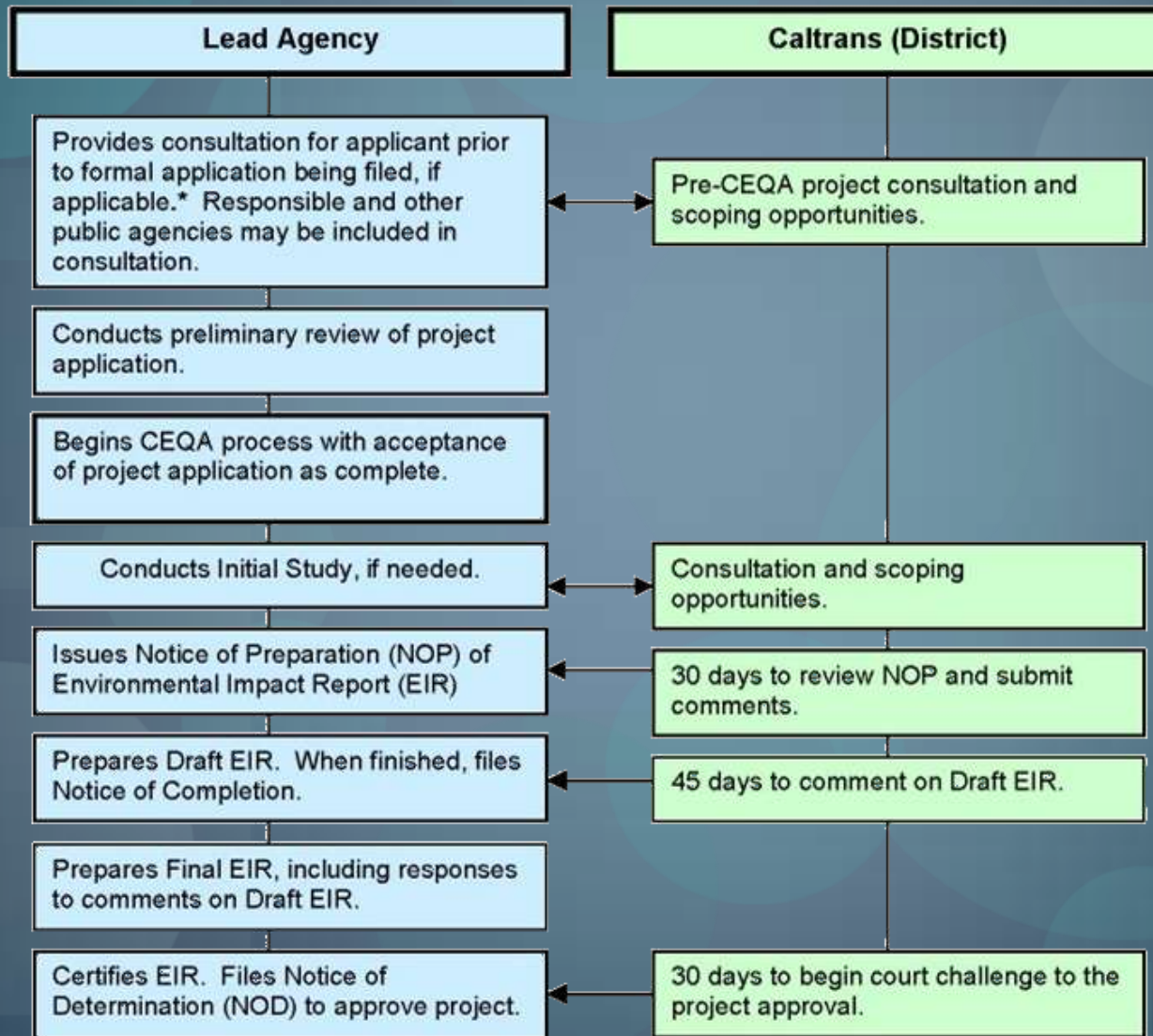
Caltrans Goals in Local Development Review

- Protect existing State Highway System (SHS)
- Maintain the operational and structural integrity and safety of SHS
- Protect our huge capital investment
- Work to ensure potential impacts to the SHS are identified and appropriate mitigation measures required - If not, taxpayers will pay (Tort, SHOPP, Minor, STIP)
- Reactive versus proactive
- Caltrans provides information for better decision making

How is Caltrans Involved?

- Local Development-Intergovernmental Review (LD-IGR) Branch
- Caltrans Traffic Engineering and Analysis Branch
- Caltrans Functional Review Teams

How is Caltrans Involved?



Traffic Analysis

- Caltrans Guide for the Preparation of Traffic Impact Studies
- Use of most appropriate analysis methodologies – HCM, HDM, Highway Capacity Software
 - Example – HCM may not be appropriate for the evaluation of queues
- Evaluation criteria – Flexibility should be given to the selection of performance measures and thresholds to consider the context of the project – may include tradeoffs between modes
- Access management

Mitigation

- **Nexus** - must have logical link between proposed mitigation and the impact
- **Proportionality** - amount of required mitigation must be roughly proportional to and not exceed magnitude of the impact (fair share fees)

Mitigation / Project Implementation

- Permit
- PEER
- PSR/PDS
- Cooperative Agreement
- Highway Improvement Agreement (HIA)
- Traffic Mitigation Agreement

Caltrans Permit Function

- Authority for Caltrans to control encroachment into the State right-of-way is contained in the Streets and Highways Code
- An Encroachment Permit must be obtained for all proposed activities for placement of encroachments within, under, or over the State highway rights-of-way
- An Encroachment Permit is not a property right – grants permissive authority to enter State highway right-of-way
- Current policy allows Highway Improvements Projects costing \$1 million or less to follow the Encroachment Permit process

Caltrans PEER (Project Engineering Evaluation Report)

- A PEER should always be prepared when new operating improvements are constructed by the Permittee that become part of the State highway
- The primary purpose of a PEER is to document the engineering rationale for Caltrans' decision in a permit action
- Highway Improvement Projects costing greater than \$1 million but less than \$3 million would be allowed to follow a streamlined process similar to the Encroachment Permit Process through the completion of a PEER.

Caltrans PSR/PDS (Project Study Report- Project Development Support)

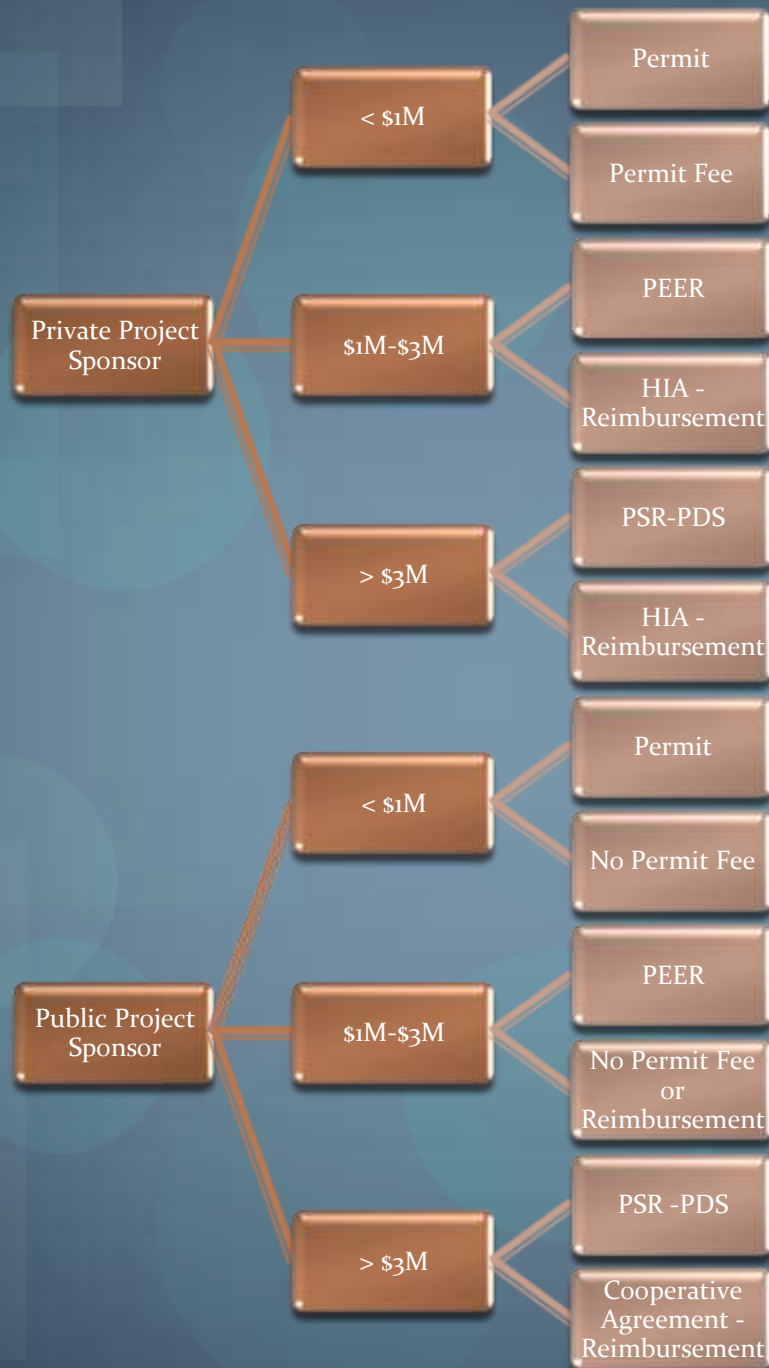
- If the project is considered to be a complex project or exceeds \$3 million, then review and approval of the project can be completed through the traditional PID (Project Initiation Document) process using the PSR-PDS template (new PID base document and streamlined PID process)
- The PSR-PDS is a streamlined PID document that does not require the same level of engineering detail as a PSR

Caltrans Oversight and Reimbursement for Highway Improvement Projects

- Resources allocated for Caltrans oversight of locally-funded projects has changed from year to year and were eliminated from Caltrans PID budget for FY 2011-12
- Specific budget action signed by Governor not to subsidize locally funded projects on the State highway system
- Caltrans is currently unable to use State resources for local oversight work
- Can provide oversight for or develop PIDS on a reimbursed basis
- Important to work closely with Caltrans and early to get PID projects in our work plans and resourced ahead of time

Caltrans Oversight and Reimbursement for Highway Improvement Projects

- Private Project Sponsors
 - Less-than \$1M – Permit Fees
 - \$1-\$3 M – Reimbursement - HIA
 - Above \$3M - Reimbursement - HIA
- Public Agency Sponsor
 - Less-than \$1M – No Permit Fees
 - \$1-\$3 M – No Reimbursement
 - Above \$3M – Reimbursement - Cooperative Agreement



District 11 Business Practice Recommendation

- IGR staff will recommend early in the local development review process that mitigation for Highway Improvement Projects on the SHS be scoped through the completion of a PEER
- When a PEER is received through the IGR process it will be assigned to the Traffic Engineering and Analysis Branch for a cursory scoping review
- PEER projects will be managed through the designated Caltrans District 11 Traffic Engineering and Analysis Branch, which resides within the Traffic Operations Division
- Subsequent reviews beyond the cursory IGR PEER scoping review for projects between \$1 million and \$3 million within the State right-of-way sponsored by private entities will require an executed HIA

Cursory Design Review

- Identify Scope of work within Caltrans right-of-way
- Estimate cost and complexity of work
- Identify that Caltrans standards are met
- Establish process for Caltrans oversight and approval


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graph LR; A[IGR receives development proposal] --> B[IGR Recommends PEER ($1-3 million) process]; B --> C[IGR receives draft PEER package and assigns to TEA Branch (if private needs an approved HIA to proceed)]; C --> D[TEA Branch coordinates PEER review and provides comments to IGR]; D --> E[IGR sends comments to project sponsor]; E --> F[Project sponsor completes PEER and submits complete Permit Application]; F --> G[TEA completes PEER review and approves Encroachment Permit];
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IGR receives development proposal

IGR Recommends PEER (\$1-3 million) process

IGR receives draft PEER package and assigns to TEA Branch (if private needs an approved HIA to proceed)

TEA Branch coordinates PEER review and provides comments to IGR

IGR sends comments to project sponsor

Project sponsor completes PEER and submits complete Permit Application

TEA completes PEER review and approves Encroachment Permit

Risks/Challenges

- Early PEER reviews involve a commitment of resources prior to an Encroachment Permit submittal by both Caltrans staff and local/private sponsors
- Privately sponsored project proponents may be apprehensive to commit resources early to develop a PEER, or to execute a HIA for Caltrans oversight prior to the local agency approval of the project
- The timing of capitalizing public agency PEER reviews to coincide with the actual work will be dependent upon the early coordination

Goals

- Improve staff efficiency and review time for projects funded by others
- Improve communication and expectations with local partners, developers, and Tribes
- Clarify processes and procedures
- Establish roles and responsibilities to assign lead departments and project managers
- Prioritize oversight responsibilities
- Allocate appropriate resources in a timely manner
- Reduce costs and delay for project sponsors
- Provide a workplan or status for projects funded by others
- Ensure Caltrans design standards are met
- Streamline Permit review and approval

QUESTIONS?

