

# California High-Speed Train Project



## TECHNICAL MEMORANDUM

### Coordination with Caltrans

#### Project Initiation Documents and Encroachment Permit Approval Process TM 0.5

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## ABSTRACT

It is anticipated that the California High-Speed Train Project (CHSTP) will encroach upon Caltrans right-of-way at locations along its alignment. At this time, alignments have not been sufficiently developed to the point where details of all such encroachments can be identified. Due to the number of anticipated encroachments and possibility of such encroachments spanning multiple districts, it is prudent to develop a system-wide plan of interaction and coordination with Caltrans.

This technical memorandum identifies the process by which Caltrans addresses and reviews encroachments and impacts on its right-of-way. The process to be followed is dependent on project complexity and cost. In general, a Project Initiation Document (PID) will be required, followed by a project approval document or Project Report (PR). The PID is generally in the form of a Project Study Report (PSR) which studies a variety of alternative alignments at a conceptual level. Minor encroachments may be approved through a simple encroachment permit application or a Permit Evaluation Engineering Report (PEER).

It is recommended that a Memorandum of Understanding (MOU) be developed with Caltrans that defines the roles and responsibilities of affected Caltrans Districts and Divisions, as well as those of the California High-Speed Rail Authority (the Authority). The MOU will also clarify the required channels of communication between the Authority and Caltrans. As the scope and limits of encroachment on Caltrans right-of-way becomes better known, it is recommended that an Interagency Agreement (IA) be signed that spans all impacted districts and divisions. The MOU may be in development for some time, during which it will provide general guidance to all parties involved. The IA is a binding document, holding each party to the commitments made in the document. The MOU and IA will become the basis of all coordination with Caltrans and will create a uniform approval process within all districts. It is understood that the approval process is already defined in the Caltrans Project Development Procedures Manual (PDPM). Deviation from the requirement of this manual, if any, will be identified in the IA.

## 1.0 INTRODUCTION

### 1.1 Purpose of Technical Memorandum

This technical memorandum discusses the process to be followed when the California High-Speed Train Project (CHSTP) encroaches on the State Highway System (SHS). It also discusses the coordination that should occur between the Authority and Caltrans in order to achieve a streamlined approval process spanning all impacted Caltrans Districts. The Caltrans Project Development Procedures Manual (PDPM) outlines the encroachment approval process to be followed by all projects, including those where the project proponent is another state agency. The encroachment approval process includes review of all proposed construction activity within the SHS, including activities that do not impact the operation of the facility. Those facilities that are located wholly outside of the SHS will not require review and approval by Caltrans. However, care must be taken to ensure all impacts to the SHS are reviewed. In particular, improvements outside of Caltrans right-of-way may have impacts on drainage systems within the SHS or traffic operations at ingress and egress points to the SHS. In such cases, close coordination with Caltrans will be required, although an encroachment permit will not be required.

### 1.2 STATEMENT OF TECHNICAL ISSUE

The crossing of, or encroachment on, State Highway right-of-way will require Caltrans approval. Caltrans is the lead state agency in charge of the SHS and is mandated to protect its right-of-way for the benefit of the state. Early and adequate coordination with Caltrans Divisions, Districts, and functional units is necessary for meeting project goals and schedules.

### 1.3 GENERAL INFORMATION

#### 1.3.1 Definition of Terms

Authority	California High-Speed Rail Authority
CHSTP	California High-Speed Train Project
EIR	Environmental Impact Report
EIS	Environmental Impact Statement
IA	Interagency Agreement
PDPM	Project Development Procedures Manual
PDT	Project Development Team
PEER	Permit Evaluation Engineering Report
PID	Project Initiation Document
PR	Project Report
PSR	Project Study Report
SHS	State Highway System

#### 1.3.2 Units

The California High-Speed Train Project is based on U.S. Customary Units consistent with guidelines prepared by the California Department of Transportation and defined by the National Institute of Standards and Technology (NIST). U.S. Customary Units are officially used in the United States, and are also known in the U.S. as “English” or “Imperial” units. In order to avoid confusion, all formal references to units of measure should be made in terms of U.S. Customary Units.

Guidance for units of measure terminology, values, and conversions can be found in the Caltrans Metric Program Transitional Plan, Appendice B U.S. Customary General Primer (<http://www.dot.ca.gov/hq/oppd/metric/TransitionPlan/Appendice-B-US-Customary-General-Primer.pdf>). Caltrans Metric Program Transitional Plan, Appendice B can also be found as an attachment to the CHSTP Mapping and Survey Technical Memorandum.

## 2.0 Not Used

## 3.0 CALTRANS APPROVAL PROCESS

### 3.1 GENERAL

It is anticipated that the alignment for the CHSTP will encroach on the SHS at several locations along its route. Although details of such locations have not been identified at this time, it is expected that these locations will span multiple districts. Figure 1 shows the preferred CHSTP alignment and Caltrans District boundaries. Through its PDPM, Caltrans has developed a structured approval process that delegates the overall project approval to its districts. Projects are first analyzed through a Project Initiation Document (PID, also referred to as Project Study Report or PSR). For highway projects funded through the state, this document is necessary before any funding can be set aside for the project. Further detailed engineering analysis of the project will be required during the environmental phase of projects. This detailed engineering study completes the preliminary engineering phase of the project and is referred to as a Project Report (PR).

### 3.2 REQUIREMENTS OF PDPM

Each district is responsible for the approval of projects that impact the SHS within its boundaries. If the CHSTP requires funding from state funds and other sources, it will be classified as a Jointly Funded Project. As such, Caltrans requires that the roles, responsibilities, and funding be identified in an Interagency Agreement (IA). The IA should clarify the portion of project development, right-of-way, and construction support costs that will be attributed to Caltrans and the Authority. Both agencies will benefit from a clear understanding of the expected support level required to achieve project goals. Depending on the cost and complexity of the project, there are several mechanisms by which these projects are approved.

Encroachment Permit Projects are the least complex and are handled by a Caltrans office of Permit Engineer. Plans, specifications, and all other pertinent data are submitted to the District Permit Engineer, together with an Encroachment Permit Application. The district has 60 calendar days to review the permit application. Should the review not be completed within this time frame, the application is presumed to be approved. This process can be used on projects that have a construction cost of less than \$1,000,000 and are determined not to be complex.

A Permit Evaluation Engineering Report (PEER) would be required on projects that the district determines to be non-complex and the estimated construction cost is \$3,000,000 or less. This process melds engineering review of the proposed improvements into the encroachment permit application process and eliminates the need for any separate processing of engineering documents.

More complex projects or those costing over the above thresholds will require a separate PID or PSR followed by a PR. Should the project have consensus of key stakeholders, clear understanding of the requirements, a well defined purpose, need, and scope, the district may allow the consolidation of the PID and PR (Project Study Report-Project Report, PSR-PR). Eligibility for a combined PSR-PR also depends on several other criteria, including the need for a Coastal Development Permit and EIR or EIS. Should these documents be required, the project is generally not eligible for a combined PSR-PR.

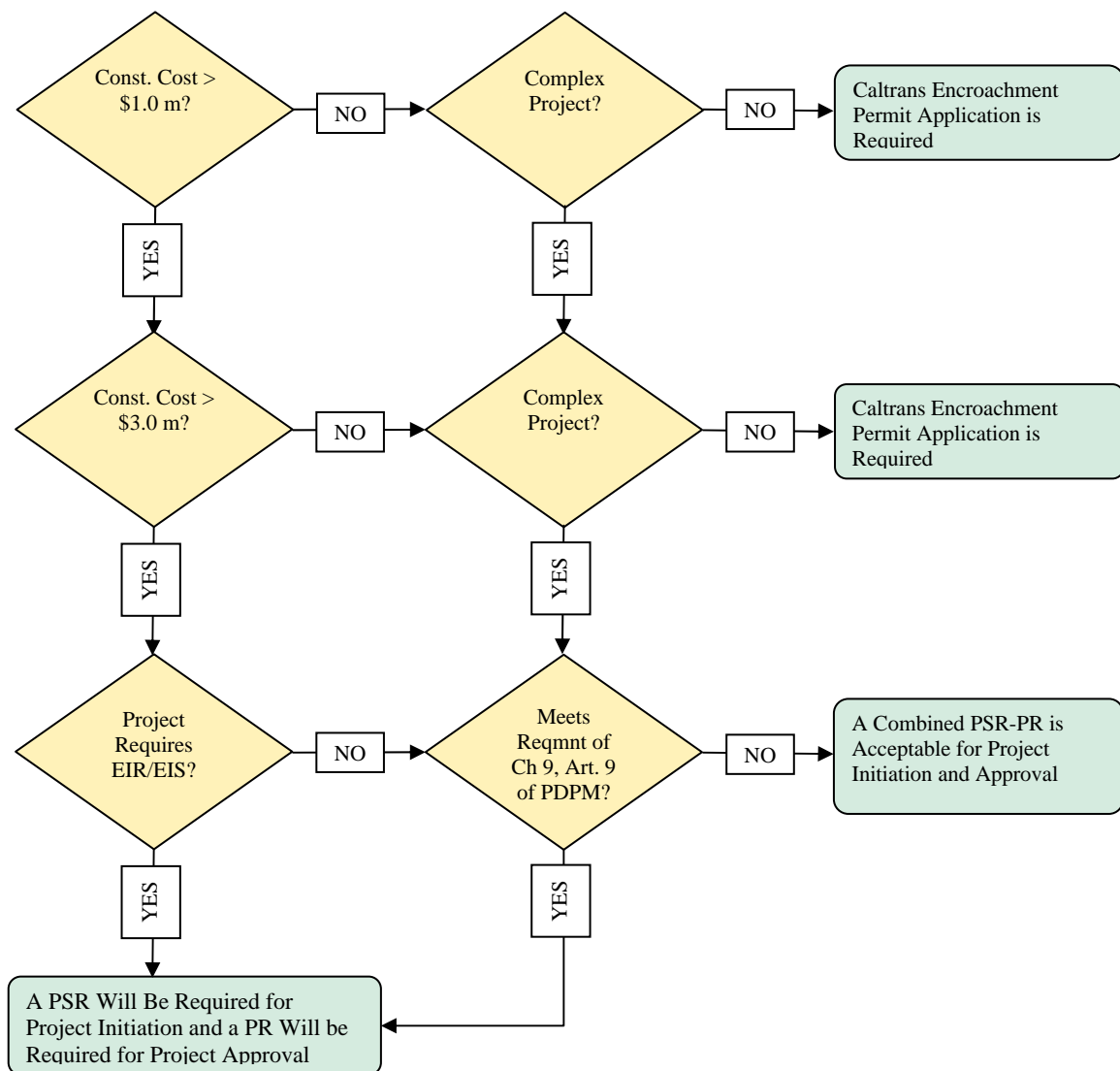
With the complexities and anticipated cost of impacts by the CHSTP to the SHS, it is expected that separate PSRs and PRs will have to be submitted to Caltrans for approval. At the present time, approval of PSRs and PRs has been delegated to the District Directors. Because the CHSTP spans multiple districts, it is improbable that one PSR and one PR submittal would be acceptable for the entire project. However, this issue and a host of others need to be resolved with Caltrans. The issues of concern are:

1. Can a combined PSR-PR be submitted on this project?
2. Would each district require a separate PSR-PR or PSR and PR?

3. For each district, would separate PSRs and PRs be required for impacts at different geographical location or corridors?
4. Can standard templates for PSRs and PRs be used for all project impacts that summarize the entire project, except those sections relating to local right-of-way impacts, which will be specific to that location? This would significantly streamline the submittal process and limit the amount of wordsmith that may occur between each district reviewer. The standardized text would generally include project descriptions and a summary of environmental impacts.
5. Request Caltrans to assign an overall project manager for all coordination with the Authority.
6. Determine the units of measure for the project.

The probable permit process that the CHSTP will most likely encounter is depicted in the flow chart below:

**CALTRANS PERMIT PROCESS**



## 4.0 Summary and RecoMMendations

In order to streamline the approval process by Caltrans for encroachment on the SHS, it is recommended that:

1. **The Caltrans process for project approval, as described in Caltrans PDPM be followed.**

This is the most familiar path to Caltrans for project approval and their familiarity with it would help expedite the overall project approval. It is recommended that design staff working on the CHSTP become familiar with this manual and be expected to follow it. Technical memorandums that may become applicable in the SHS should require the designer to follow this and other Caltrans manual.
2. **At the earliest practical time, any and all impacts to freeway interchanges be identified.**

Impacts to these facilities will require coordination with the California Transportation Commission and Federal Highway Administration. Should relinquishment or vacation of State Highway right-of-way be required, approval from these agencies will be necessary.
3. **A meeting be set up with all District Directors or their representatives.**

This should include representatives from Caltrans Division of Rail, Division of Right-of-Way and Land Surveys, Division of Structures, Division of Design, Legal Division, and any other department that Caltrans deems necessary to attend. This meeting will introduce the project to all the impacted Districts and Divisions and will lay the groundwork for their further involvement. This team should act as an executive committee for the portions of the project that impact the SHS. It can provide overall guidance for the project. The Caltrans Project Manager (see item 5 in Section 3.2) as well as a representative of the Authority should provide the executive team with input and updates. The team should meet early in the process so that adequate guidance can be developed at the early stages of project development.
4. **In addition to the executive committee, a Project Development Team (PDT) be identified for this project.**

Generally, Caltrans projects span only one district and the PDT is comprised of members of one district. In the case of the CHSTP where multiple districts are impacted, the composition of the PDT and whether it be state-wide (a single PDT) or local (one for each impacted District) or both should be determined.
5. **One MOU encompassing all the impacted Districts and Divisions be developed. The MOU should clarify issues of concern raised in Section 3.2.**
6. **The MOU be followed up with an Interagency Agreement (IA) that identifies and clarifies the following issues.**

An IA is a legally binding document that will commit both parties to the terms of the agreement. The intent of the IA would be to allow the Authority to follow the same procedures (technical and administrative) with all districts:

  - a) The extent of oversight to be provided for Caltrans during all phases of the project.
  - b) Financial responsibility of the Authority and Caltrans for all oversight effort.
  - c) Post-construction responsibility of the Authority and Caltrans.
  - d) Review periods for each submittal to Caltrans.
  - e) Clarification of issues noted in Section 3.2.

The initial request for meeting with Caltrans can begin with the Division of Rail. The Division of Rail may then provide further guidance on assembling the appropriate personnel for the meeting, or they may take the lead as the point of contact with the Authority and facilitate all initial correspondence with the District Directors. Minor discussions have taken place with the Division of Rail; however, individual districts have not been contacted. It is expected that Caltrans Districts 3, 4, 5, 6, 7, 8, 10, 11, and 12 may be impacted by the CHSTP.



## 5.0 SOURCE INFORMATION AND REFERENCES

### 5.1 GENERAL

The majority of the items in this document have been compiled from Caltrans PDPM and Encroachment Permit Manual. The project was discussed with Caltrans Division of Rail (Mr. Rick Deming, [rick.deming@dot.ca.gov](mailto:rick.deming@dot.ca.gov), Mobile 559.287.8119).

FIGURE 1



California High-Speed Train Project and Interaction with Caltrans Districts