Guidelines for Submitting Transportation Information from a Reporting or Monitoring Program to the California Department of Transportation

for a

Project of Statewide, Regional, or Areawide Significance

California Department of Transportation

July 9, 2004

GUIDELINES FOR SUBMITTING TRANSPORTATION INFORMATION FROM A REPORTING OR MONITORING PROGRAM TO THE CALIFORNIA DEPARTMENT OF TRANSPORTATION (DEPARTMENT)

INTRODUCTION

The California Environmental Quality Act (CEQA) requires, under Public Resources Code (PRC) Section 21081.6, the adoption of reporting or monitoring programs when public agencies include environmental impact mitigation as a condition of project approval. Reporting or monitoring takes place after project approval to ensure implementation of the project in accordance with mitigation adopted during the CEQA review process.

Assembly Bill 1807 (effective January 1, 2001) amended the PRC in a number of ways. Section 21080.4 was amended to add a requirement that lead agencies submit Notices of Preparation (NOPs) to the Governor's Office of Planning and Research when they determine that an environmental impact report will be required to approve a project.

Section 21081.7 was amended with two additional provisions. The first provision required that transportation information resulting from a reporting or monitoring program adopted by a public agency in accordance with Section 21081.6 be submitted to the Department of Transportation (Department) when a project has impacts that are of statewide, regional, or area-wide significance. The second provision required that the Department adopt guidelines for the submittal of those reporting or monitoring programs.

PURPOSE

The purpose of these guidelines is to establish clear and consistent statewide procedures to be used by both Department District Intergovernmental Review (IGR) Program Coordinators to identify the scope and timing of transportation information needed from lead agencies, and public agencies when submitting transportation information to the Department, in accordance with Section 21081.7.

PROCEDURES

A. The District IGR Program Managers and/or Coordinators shall:

1. Prior to implementation of mitigation measures:

   a. Notify the CEQA lead agency by letter during "early consultation," the Notice of Preparation (NOP) stage, or the Initial Study (IS) phase of the CEQA review process that the transportation information included in the reporting or monitoring program will need to be provided to the Department following project mitigation agreement.

   b. Provide the name, address, and telephone number of the District IGR contact to the lead agency.

   c. Provide, as an enclosure to the notification letter, a copy of these "Guidelines" and the Department's "CEQA Lead Agency Checklist/Certification" form. (Part 1 of the form, *Checklist*, is to be signed by the lead agency following project approval, and a copy submitted to the District along with the transportation reporting or monitoring information. Part 2 of the form, *Certificatio*n, is to be signed by the lead agency and the District upon implementation of all agreed-upon mitigation measures.)

2. Following implementation of mitigation measures as identified in Part 1, *Checklist,* of the CEQA Lead Agency Checklist/Certification form, and certification of implementation by the lead agency in Part 2, *Certification*:

   Ensure sign off of Part 2, indicating that the mitigation measures have been implemented.

   1) If the project required encroachment onto a state highway, obtain the District Permit Engineer's signature in Part 2.

   2) If the project did not involve encroachment onto a state highway, the District IGR Coordinator shall sign Part 2.

3) The District IGR Coordinator shall: (a) Retain the original document; (b) forward a copy to the District Permit Engineer (if the Permit Engineer signed Part 2); (c) forward a copy to the Department's Headquarters IGR Program Manager; and, (d) send a copy to the lead agency.

B. The CEQA lead agency shall:

1. Following project approval:

Submit the following information to the Department District IGR contact:

1) Name, address, and telephone number of the CEQA lead agency contact responsible for the mitigation reporting or monitoring program.

2) Location and custodian of the documents or other material, which constitute the record of proceedings upon which the lead agency's decision to approve the project is based.

3) Assurances that the Department can obtain copies of the aforementioned documents and materials, if needed, to clarify details or resolve issues related to the mitigation adopted.

4) Detailed information on impact assessment methods, the type of mitigation, specific location, and implementation schedule for each transportation impact mitigation measure included in the reporting or monitoring program.

5) A copy of the "CEQA Lead Agency Checklist/Certification" form, with Part 1, *Checklist,* signed and dated, and the reporting or monitoring program transportation information attached or enclosed. The CEQA lead agency, at its discretion, may submit the complete reporting or monitoring program with the required transportation information highlighted.

2. Following implementation of mitigation measures:

   a. Sign and date Part 2, *Certification,* of the "CEQA Lead Agency Checklist/Certification" form.

   b. Forward the "CEQA Lead Agency Checklist/Certification" form, with appropriate completion documents attached, to the District IGR contact, certifying that the mitigation measures agreed upon and identified in the reporting or monitoring program have been implemented, and that all other reporting requirements have been adhered to, in accordance with PRC Sections 21081.6 and 21081.7.

APPROVED:

Brian J. Smith	8 July 04	L. H. Orcutt	7-9-04
BRIAN J. SMITH	Date	LARRY ORCUTT	Date
Deputy Director		Acting Deputy Director	
Planning and Modal Programs		Maintenance and Operations	

CEQA LEAD AGENCY CHECKLIST/CERTIFICATION ♦

TRANSPORTATION INFORMATION FROM A REPORTING OR MONITORING PROGRAM

Part 1 - Checklist

Project Name: _____

Lead Agency: _____

Lead Agency Contact (Name, Title, Agency, Address & Phone): _____

_____

State Clearinghouse (SCH) File #/s: _____

Document Type/s: _____

Findings & Approval Date/s: _____

_____

Project Proponent (Name, Title, Company, Address & Phone): _____

_____

For each specific Transportation Related Mitigation Measure associated with this Project, The following information items are included in the attached materials:

Yes	No	
☐	☐	**Location/Custodian Of CEQA Documents, Proceedings, Records**
☐	☐	**Description Of How To Obtain Copies Of Above Documents**
☐	☐	**Mitigation Measure Name & Identifying Number**
☐	☐	**Detailed Description of Measure & its Purpose (attach blueprints if necessary)**
☐	☐	**Measure Location Description, Latitude/Longitude, & Vicinity Map**
☐	☐	**Location of Impacted State Highway Component (County, Route, Postmile)**
☐	☐	**Caltrans Encroachment Permit Number (if one was needed)**
☐	☐	**Copy of Other Agency Permits required for this Measure (if needed)**
☐	☐	**Completion Criteria (including detailed performance objectives)**
☐	☐	**Implementation Schedule**
☐	☐	**Estimated Monetary Value of Completed Measure & % Local Agency Funded**
☐	☐	**Responsible Contractor (Name, Company, Address & Phone)**

The above project mitigation measures will be implemented as indicated in the adopted reporting or monitoring program, and the California Department of Transportation will be notified upon implementation.

_____ _____

CEQA Lead Agency **Date**

Part 2 - Certification

We certify that the agreed upon mitigation measures have been implemented, and all other requirements have been adhered to, in accordance with PRC Sections 21081.6 and 21081.7. Attached: 1. Completion evaluation (including field inspection reports); 2. Photograph of completed measure.

Signature & Date: _____ _____

Name: _____ _____

Title: _____ _____

CEQA Lead Agency **California Department of Transportation**

♦ **This form is to be used by public agencies to submit their mitigation reporting or monitoring programs to the California Department of Transportation (Department) when a CEQA project has been found to have transportation or circulation impacts that are of statewide, regional, or area-wide significance. Copies of this form, and the Department Guidelines developed pursuant to PRC Section 21081.7, can be downloaded from our website (http://www.dot.ca.gov/hq/tpp/offices/ocp/igr_guidelines_procedures.htm). Completed form with attached materials may be post-mailed, e-mailed, or faxed to the appropriate Department District Planning Office, Attention: Intergovernmental Review (IGR) Coordinator. {Form Version 07/2004}**