

Caltrans Fish Passage Project Delivery Process

Overview of Deliverables, Responsible Divisions, Phases of Work Structure, and Coordination

I. Long-range Planning (pre-K Phase)

Deliverable	Responsible Division	Coordination	Purpose of Coordination
Transportation Concept Report	Planning	System and Advance Planning, Environmental & Design	Inform route concepts and District Project Initiation Documents.
Corridor System Management Plan	Planning	System Planning, Environmental, Design	Inform route concepts, partners.
10-Year SHOPP Plan	Maintenance	Traffic Ops, Facilities, Planning, Programming, DES	Identify future SHOPP projects.
Project Initiation Document Work Plan	Planning	Traffic Ops, Facilities, Planning, Programming, DES	Identify PIDs for next SHOPP.

II. Project Initiation (Phase K)

Deliverable	Responsible Division	Coordination	Purpose of Coordination
Preliminary Environmental Assessment Report	Environmental	Project Delivery Team (PDT ¹), Resource Inventories, PEAR Tool (includes PAD locations)	Identify level of environmental document, permits, and necessary coordination.
Project Initiation Document	Design or Planning	Project Management (PM), PDT, NMFS & CDFW biology & fish passage engineering, Structures	Agree on design solution, cost and schedule for project.

III. Project Approval and Environmental Document (Phase 0)

Deliverable	Responsible Division	Coordination	Purpose of Coordination
Perform Preliminary Engineering Studies & Draft Project Report	Design	PM, PDT, Structures, NMFS & CDFW engineering	Coordination on application, questions regarding the agreed upon solution.
Geotechnical Investigations and Foundations Recommendation	DES Structures	District Geotech, Translab, DES Structures	Structures with foundations such as bridges, arch pipe, or walls or provide info for consultation and Environmental Document.
Perform Environmental Studies & Prepare Draft Environmental Document	Environmental	PM, PDT, Structures	Identify environmental constraints.
Permits, Licenses, Agreements and Certifications (For Final ED, Section 7, Cultural)	Environmental	Agency Partners	NMFS & USFWS; Section 7 Consultation (Informal, Formal and Programmatic).
Circulate Draft Environmental Document & Select Preferred Alternative	Environmental	Internal & External Partners	CDFW and NMFS fish passage engineering review and approve of design concept, structures.
Prepare and Approve Project Report	Design	PM, PDT, Structures, NMFS & CDFW biology & fish passage engineering	CDFW fish passage engineering reviewers, structures.
Final Environmental Document	Environmental	PM, PDT, Structures, Agency Partners	Final document should reflect coordinated efforts.

¹ Project Delivery Team; Steering Committee for the project. All relevant internal functions are part in the PDT, to include Design, Environmental, Structures, Right of Way, Construction, Maintenance. External members can also be added to the PDT, such as agency representative, local government staff, public interest representative, non-profit partners, etc. Project Management leads the PDT, generally facilitates meetings and is the central point of contact for the PDT & Project. Any PDT member may request a meeting.

IV. Plans Specifications and Estimate (Phase 1)

Deliverable	Responsible Division	Coordination	Purpose of Coordination
Prepare Base Maps and Plan Sheets for Project Specifications and Estimate Development	Design	PDT	Define project limits and footprint.
Obtain Permits, Licenses, Agreements, and Certifications (PLAC's) during PS&E Component (1601, 404, CCC, 401, CESA, etc.)	Environmental	PDT, all involved permitting agencies	Coordination project design, methods and impacts.
Prepare Draft Plans, Specifications and Estimate	Design	PDT, CDFW & NMFS Fish Passage Engineering	Comment/input design and methods.
Mitigate Environmental Impacts ²	Environmental	PM, PDT, Resource Agencies, ROW	Agree on avoidance & minimization, ABMP's & Mitigation.
Prepare Draft Structures Plans, Specifications and Estimate ³	Structures (ES)	Project Management, PDT, CDFW & NMFS Fish Passage Engineering	Validate agreed on design and methods.
Circulate, Review and Prepare Final District Plans, Specifications and Estimate Package	Design	PDT, District Office of Engineering	Obtain final input on proposed design.
Final Structures Plans, Specifications and Estimate ⁴	Structures (DES)	PDT, District Office of Engineering	Ensure permit conditions are addressed in final PS&E.
Contract Bid Documents "Ready to List"	District Office of Engineering	PDT	
Awarded and Approved Construction Contract	DES	PDT, Construction, External Partners	Share award info, to verify project has been awarded and preparing to commence.

² If fish barrier work is proposed as mitigation, only full-span solutions should be proposed. Anything other is still a barrier and intended only as a short-term solution.

³ Only necessary when a structure (bridge) is part of the project.

⁴ Only necessary when a structure is part of the project.

V. Right-of-way (Phase 2)

Deliverable	Responsible Division	Coordination	Purpose of Coordination
Utility Relocation	Right of Way	PDT, Property owners	Timely relocation of conflicting utilities
Right of Way Engineering	Surveys	PDT	Identify acquisitions and easements
Obtain Right of Way Interests for ROW Certification & Post Certification	Right of Way	PDT	Timely acquisition of necessary parcels
Final Right of Way Engineering	Surveys	PDT	Easement and access approval

VI. Construction (Phase 3)

Deliverable	Responsible Division	Coordination	Purpose of Coordination
Construction Engineering & General Contract Admin	Construction	PDT, Partners	Ensure compliance with permit conditions.
Construction Engineering & General Contract Administration of Structures Work	Structures (DES)	PDT, Environmental Construction Liaison, Resource Agencies	Pre-job structures work coordination with construction, contractor, & resource agency partners.
Administration of Permits, Licenses, Agreements, and Certifications & Environmental Stewardship	Construction, Environmental Construction Liaison	PDT, Environmental Construction Liaison, Resource Agencies	Invite CDFW/NMFS Agency Partners should be invited to pre-job meeting to discuss project & PLACs with Construction & Contractor. Ensure compliance with permit conditions.
Change Order Administration	Construction	PDT, Environmental Construction Liaison, Resource Agencies	Changes to design & methodology that may affect resources must be coordinated and approved.
Accept Contract & Prepare Final Construction Estimate & Final Report	Construction	PDT, Environmental Construction Liaison, Resource Agencies	Verify that the project is constructed properly & ensure compliance with permit conditions.
Monitoring and Maintenance	Maintenance	PDT, Design Hydraulics, Environmental, NMFS, CDFW	For full-span solutions, 5 years of monitoring to ensure success or identify modifications to meet intended design solution. For SSD or Partial continued barriers, annual monitoring and maintenance for service-life of facility.

Acronyms

ADMP = Additional Best Management Practices

CDFW = California Department of Fish and Wildlife

DES = Department of Environmental Services

ED = Environmental Document

NMFS = National Marine Fisheries Service

PDT = Project Delivery Team

PEAR Tool = Preliminary Environmental Analysis Report (also known as preliminary environmental scoping - identifies resources needed to complete the environmental document or determination and the estimated costs for environmental mitigation)

PID = Project Initiation Document

PLAC = Permits, Licenses, Agreements, and Certifications

PM = Project Management

PS&E = Plans, Specifications & Estimate

ROW = Right-of-Way

SHOPP = State Highway Operation and Protection Program

SSD = Stream Simulation Design

