

INDEX FOR UNIFORM FILE SYSTEM, ENVIRONMENTAL ANALYSIS

Instructions for Using the Uniform Environmental File System

This Uniform Environmental File System must be used to file environmental analysis related materials for all State Highway System projects (including locally-sponsored projects) and Local Assistance projects, including categorical exclusions (CEs), environmental assessments (EA), and environmental impact statements (EIS). Complete and organized project records are needed for the NEPA and CEQA administrative records and to comply with performance requirements under NEPA Delegation. These requirements relate to FHWA audits under the Section 6005 Pilot Program, Caltrans' performance reports required under Section 6004, and Caltrans' Assembly Bill 2650 report to the State Legislature required as part of Caltrans' waiver of sovereign immunity. Establishing and maintaining these files is essential under NEPA Delegation, as FHWA may request Caltrans' project records at any time.

This Uniform File System for environmental analysis materials is based on the Uniform File System found in the PDPM. In most respects environmental project files will correspond with project files maintained by the Project Engineer.

The project environmental planner ("generalist") is responsible for establishing the environmental project file as soon as practical after environmental studies begin. The file organizing system of tabs may be set up at the beginning of environmental studies in its entirety, or as the project progresses and materials are generated, at the generalist's discretion. Environmental project files for projects underway when the Pilot Program began are to be converted to this Uniform Filing System. For project environmental approvals that were completed prior to the Pilot Program and require a revalidation, the materials required to complete the revalidation are to be filed in the Uniform File System format.

The table below provides a directory of file tabs that make up the Uniform Filing System. **Bolded** file tabs highlight basic environmental analysis materials that are typically established for EA and EIS projects. Since project requirements vary, not all file tabs may be needed for all projects. Tabs used for the project environmental file will depend on the materials generated as a result of project environmental issues, studies, correspondence, consultation, etc. Based on the materials generated for the project, the generalist determines which tabs to use. The generalist may also create additional sub-files or tabs as appropriate for projects with complex or unique environmental issues. The tab contents listed for each tab are intended to be illustrative rather than exhaustive.

The generalist will determine where to file materials when a location is not specified in the UFS contents. The generalist also determines what non-environmental information to include in the environmental file.

For CE projects, the following files are commonly established:

- 212: PID/PEAR/PES

- 230s: As appropriate for technical reports and coordination/correspondence and other material related to project environmental issue(s)
- 232: Final Environmental Document (CE/CE Determination form and CE Checklist);
- 270: Permits
- 275: Environmental Commitments/Mitigation Plan
- 530: Plans, Specifications, and Estimates (Environmental Certification form)

In general, the filing system has been developed so that material related to a specific technical issue (such as air quality, noise, and biology) is filed in the 230s with the appropriate technical issue. This includes compliance documents and formal correspondence (such as Section 7 letters of concurrence and biological opinions), as well as material generated after public review of the draft environmental document. The exception to this rule is that signed permits go in 270 (Permits). Miscellaneous communications related to the draft and final documents should be filed under 231.08 and 232.08, respectively. Miscellaneous communications not related to a specific technical area or other file category are typically filed under 300 (External Communications) or 400 (Internal Communications), as appropriate.

INDEX FOR UNIFORM ENVIRONMENTAL FILE SYSTEM

INDEX NUMBER	DESCRIPTION	TYPICAL FOR EA AND EIS	CONTENTS
100	Project Control	YES	Project contact information Project work plan Project funding information Risk management plans Expenditure Authorization
120	Project Description	YES	Project Description/Purpose and Need Post miles Alternatives including those considered but rejected RTIP description RTP description
210	Preliminary Studies	YES	Project scoping information Field review form Field review notes
212	PID/PEAR/PES	YES	PID/PEAR/PES Class of Action determination documentation
220	PDT	YES	Meeting minutes, memos
230	Environmental General	YES	Request to begin environmental studies Memo to specialists to begin environmental studies Right of Way/Permits to Enter Letters NOI/NOP Scoping meeting announcements Scoping meeting notes Scoping report
230.01 230.02	Rights of Entry Formal Scoping		Meeting minutes, records of conversations, informal internal and external correspondence/memos/emails Formal correspondence documenting checkpoints (use 230.33 for Conceptual Mitigation Plan and 270 for 404 permit.)
230.03	NEPA/404 MOU		Draft evaluation Final evaluation Programmatic evaluation De minimis finding documentation for all Section 4(f) resource types Agency correspondence
230.04	Section 4(f)		

INDEX NUMBER	DESCRIPTION	TYPICAL FOR EA AND EIS	CONTENTS
230.05	Miscellaneous technical studies		Cumulative analysis Energy analysis Climate change study Wild and Scenic Rivers analysis Other technical analyses
230.06	Section 6002		List of agencies requested to be Participating Agencies 6002 Coordination Plan Meeting minutes, records of conversations, informal internal and external correspondence/memos/emails Participating Agency correspondence
230.10	Air Quality	YES	Air quality technical report Monitoring and modeling data PM10/PM2.5 interregional consultation Mobile Source Air Toxics
230.12	Coordination/Correspondence		Meeting minutes, records of conversations, informal internal and external correspondence/memos/emails
230.20	Noise	YES	Noise Study Report Noise Abatement Decision Report Monitoring and modeling data
230.22	Coordination/Correspondence		Meeting minutes, records of conversations, informal internal and external correspondence/memos/emails
230.30	Biology	YES	Natural Environment Study report Wetland delineation Biological assessment/evaluation Section 7 letter of concurrence from resource agencies EFH evaluation Marine Mammal Protection Act compliance documents Wetland delineation data forms Survey notes
230.32	Coordination/Correspondence		Meeting minutes, records of conversations, informal internal and external correspondence/memos/emails
230.33	Biological Mitigation		Conceptual Mitigation Plan Final Mitigation Plan Biological Opinion Monitoring data
230.40	Water Quality/Floodplain/Hydraulics	YES	

INDEX NUMBER	DESCRIPTION	TYPICAL FOR EA AND EIS	CONTENTS
230.42	Coordination/Correspondence		Meeting minutes, records of conversations, informal internal and external correspondence/memos/emails
230.43	Water Quality		Water quality assessment report Sole source aquifer documentation
230.44	Floodplains/Hydraulics		Location Hydraulics Study Floodplain Evaluation Report Signed Summary of Floodplain Encroachment Report form
230.45	Storm Water		
230.50	Geology		Seismic studies
230.52	Coordination/Correspondence		Meeting minutes, records of conversations, informal internal and external correspondence/memos/emails
230.55	Paleontology		Paleontological Identification Report Paleontological Evaluation Report
230.56	Coordination/Correspondence		Meeting minutes, records of conversations, informal internal and external correspondence/memos/emails
230.60	Cultural Resources	YES	
230.62	Coordination/Correspondence		Meeting minutes, records of conversations, informal internal and external correspondence/memos/emails
230.63	Consultation Documents		Screening memos HPSR FOE MOA
230.64	Archaeology		ASR Phase 1.5 (Extended Phase 1) Excavation Report Phase 2 Archeological Excavation Report
230.65	History and Architecture		Survey and eligibility reports
230.66	Native American Coordination		Documentation on consultation/coordination with tribes
230.67	Mitigation-Archaeology		Phase 3 Archeological Data Recovery Report
230.68	Mitigation-Architecture		Secretary of Interior documentation Other mitigation
230.70	Community Impact/Relocation Impact	YES	

INDEX NUMBER	DESCRIPTION	TYPICAL FOR EA AND EIS	CONTENTS
230.72	Coordination/Correspondence		Meeting minutes, records of conversations, informal internal and external correspondence/memos/emails Census data
230.73	Social, Economic, and Community Analysis		
230.74	Relocation (Right-of-way)		Relocation Impact Memo Relocation Impact Study Relocation Impact Report
230.75	Growth Analyses		Form AD 1006 Land Evaluation and Site Assessment Williamson Act material
230.76	Environmental Justice		
230.77	Farmland		
230.80	Visual Resources	YES	Visual Impact Assessment Scenic Resource Evaluation Meeting minutes, records of conversations, informal internal and external correspondence/memos/emails
230.82	Coordination/Correspondence		
230.90	Hazardous Waste	YES	Initial Site Assessment Preliminary Site Investigation ADL, lead-based paint, and asbestos containing material surveys
230.92	Coordination/Correspondence		Meeting minutes, records of conversations, informal internal and external correspondence/memos/emails
231	Draft Environmental Document (Create a separate file for Recirculated DED, if applicable, using the same categories as below, as needed)	YES	Draft environmental document – signed copy
231.01	QA/QC Documentation		Administrative draft environmental document Review comments ED Preparation and Review Tool Checklist Signed QC Certification Forms Caltrans QC Local agency/consultant QC
231.02	Approval to Circulate		HQ comments and approval Legal comments (privileged) and approval Signed title page
231.03	Cover Letter and Distribution List		Cover letters to agencies and public Distribution list

INDEX NUMBER	DESCRIPTION	TYPICAL FOR EA AND EIS	CONTENTS
231.04	SCH Submittal		Notice of Completion Correspondence to SCH
231.05	CTC Submittal		Forms, letters sent to CTC
231.06	Public Review Comments		Public hearing transcript Comments on DED from agencies and public
231.07	Miscellaneous Materials		
232	Final Environmental Document	YES	Final environmental document – signed copy CE/CE Determination form CE Checklist
232.01	QA/QC Documentation		Administrative final environmental document Review comments ED Preparation and Review Tool Checklist Signed QC Certification Forms Caltrans QC
232.02	Approval to Circulate		Local agency/consultant QC HQ comments and approval Legal comments (privileged) and approval Signed title page
232.03	Cover Letter and Distribution List		Cover letters to agencies and public
232.04	SCH Submittal		Notice of Completion Notice of Determination Notice of Exemption Notice of Availability of FONSI Correspondence to SCH
232.05	CTC Submittal		Forms, letters sent to CTC
232.06	Responses to Public Review Comments		Responses to comments on DED from agencies and public
232.07	Miscellaneous Materials		
232.08	Public Comments on FED		Comments on FEIS from agencies and public
232.09	Findings and Determinations		Responses to comments on FEIS ROD/FONSI ND/MND Findings of Fact Statement of Overriding Considerations
233	Public Notices of Availability	YES	Newspaper notices Federal Register notices
240	Project Approval	YES	Draft Project Report Preferred alternative selection Project Report Other project approval materials

INDEX NUMBER	DESCRIPTION	TYPICAL FOR EA AND EIS	CONTENTS
250	Public Participation	YES	Press releases Newsletters
251	Public Informational Meetings		Sign-in sheet Meeting minutes Transcript
253	Public Meeting/Hearing Notices		Meeting materials Newspaper notices for meetings/hearings
254	Public Hearings		Sign-in sheet Meeting minutes Transcript Meeting materials
255	Environmental Reevaluations	YES	CEQA Addendum Reevaluation reports NEPA/CEQA Re-Validation Form Revised technical studies/technical memos
256	Supplemental/Subsequent Documents		Agency Coordination Supplemental/Subsequent environmental document Revised technical studies Agency coordination
261	Cooperative Agreements and Reports		
270	Permits (create a separate file tab for each permit, as needed)	YES	Permit applications Signed permits (e.g. 1602, 404, 401 water quality cert, Coastal Zone Consistency Determination, USCG bridge permit) Correspondence
275	Environmental Commitments/Mitigation Plan	YES	Documentation supporting permit Environmental Commitments Record Mitigation Monitoring and Reporting Record
300	External Communications	YES	Miscellaneous correspondence/memos/emails/records of conversations (not related to specific technical area or other category) Communications with HQ, other agencies, and public
400	Internal Communications	YES	Miscellaneous correspondence/memos/emails/records of conversations (not related to specific technical area or other category) within District/Region
480	Traffic		Traffic study Bicycle/pedestrian studies

INDEX NUMBER	DESCRIPTION	TYPICAL FOR EA AND EIS	CONTENTS
530	Plans, Specifications, and Estimates	YES	PS&E package (as appropriate) Project plans (as appropriate) Correspondence (as appropriate) Review comments (as appropriate) Environmental Certification form
600	Project Miscellaneous		Project area photos Miscellaneous newspaper articles related to project
615	Value Analysis		Completed studies and reports
700	Certificate of Environmental Compliance	YES	Certificate of Environmental Compliance Other project close-out material