

## Project Initiation Report

To

## Request Programming in the 20XX SHOPP

*(Include the following line for Long Lead SHOPP projects)*

### Long Lead SHOPP Project

On Route \_\_\_\_\_

Between \_\_\_\_\_

And \_\_\_\_\_

APPROVAL RECOMMENDED:

\_\_\_\_\_  
(Name), *PROJECT MANAGER*

APPROVAL RECOMMENDED:

\_\_\_\_\_  
(Name), *DEPUTY DISTRICT DIRECTOR, PLANNING*

APPROVED:

\_\_\_\_\_  
(Name), *DISTRICT DIRECTOR (or delegated authority)*

\_\_\_\_\_  
*DATE*

## Vicinity Map

*Insert a vicinity map, showing:*

- *Project limits*
- *Topographical features listed in report*
- *North arrow*

This report has been prepared under the direction of the following registered civil engineer. The registered civil engineer attests to the technical information contained herein and the engineering data upon which recommendations, conclusions, and decisions are based.

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REGISTERED CIVIL ENGINEER

DATE



*For civil engineering projects, delete the following:*

*For landscape architecture only projects, delete the preceding and include a seal:*

This report has been prepared under the direction of the following licensed landscape architect. The licensed landscape architect attests to the technical information contained herein and the data upon which recommendations, conclusions, and decisions are based.

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LICENSED LANDSCAPE ARCHITECT

DATE

## **PDT MEMBERS**

Name	Title	Division /Office	Phone Number
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**1. INTRODUCTION, WORK DESCRIPTION AND SUMMARY TABLE**

Project Description:

*Describe the proposed project.*

<b>Project Limits</b>	<i>District-County-Route begin post mile/end post mile</i>	
<b>Number of Alternatives</b>	<i>(Including No Build Alternative)</i>	
<b>Programmable Project Alternative</b>		
<b>Funding Source*</b>	<i>Enter anchor asset program code</i>	
<b>Funding Year</b>		
<b>Type of Facility</b>	<i>#-lane conventional highway, expressway, freeway</i>	
<b>Number of Structures</b>		
<b>Anchor Asset SHOPP Project Output</b>	<i>Refer to Supplemental Guidance for SHOPP Performance Output</i>	
<b>Anticipated Environmental Determination or Document</b>		
<b>Legal Description</b>	<i>See Plans Preparation Manual Section 2-2.2</i>	
<b>Project Development Category</b>	<i>See PDPM Chapter 8, Section 5</i>	
<b>PIR Level</b>	<i>See PIR Guidance – Guidance of Level Determination</i>	
<b>Capital Outlay Project Cost</b>	<b>Current Cost<sup>1</sup> Estimate including Risk:(\$1000)</b>	<b>Escalated Cost<sup>2</sup> Estimate:(\$1000)</b>
<b>Support</b>		
<b>PA&amp;ED</b>		
<b>PS&amp;E</b>		
<b>R/W (Right-of-Way)</b>		
<b>CONS (Construction)</b>		
<b>Capital</b>		
<b>R/W</b>		
<b>CONS</b>		

Notes:

1. Column E from Estimate Table under section 18
2. Column I from Estimate Table under section 18

## **2. PURPOSE NEED**

**Purpose:**

*State the purpose of the project. For more information refer to the PIR Guidance.*

**Need:**

*State the need of the project. For more information refer to the PIR Guidance.*

## **3. RECOMMENDATION**

*Include the following and modify as needed:*

It is recommended that this report be approved, and the project programmed using the estimate and schedule for the Programmable Project Alternative. This report was prepared to documentation Level #.

## **4. RISK SUMMARY**

*Describe the high impact risks and the risk responses of the identified threats and opportunities. Refer to the attached risk register for additional information.*

## **5. BACKGROUND**

*Discuss background.*

## **6. ASSET MANAGEMENT**

*Refer to PIR Guidance for information regarding SHOPP Asset Management.*

## **7. CORRIDOR AND SYSTEM COORDINATION**

*Discuss the corridor and system coordination. Refer to attachment as needed.*

## 8. Public Engagement

*Discuss public engagement activities and results. Refer to attachments (i.e., Public Engagement Plan) as needed.*

*A discussion of public engagement should address the following:*

- *Summarize and discuss any elements of planning-level public engagement, from the of the TPSIS or any other planning level documents, which influenced PID public engagement and/or development of the PID*
- *Describe the goal of the public engagement and why was public engagement needed. If public engagement was not conducted for the project, explain why.*
  - *If no public engagement was required, stop here.*
  - *If public engagement is being deferred to future phases, explain why.*
- *Describe the scope features which were flexible to public engagement.*
- *Describe the target audience(s) of engagement activities.*
  - *List any equity-priority communities identified within the project area.*
- *List the activities (i.e., public meetings) and methods (i.e., project webpage) used to engage target audiences(s) and when they occurred.*
  - *If applicable, list specific methods or tools that were developed to engage equity-priority communities.*
- *Analyze the key takeaways/results of the public engagement.*
- *Describe the outcomes of public engagement including:*
  - *Scope implications*
  - *Proposed scope options requiring additional study or analysis prior to making scope changes.*
  - *Level of engagement expected during future phases.*

## 9. EXISTING FACILITY CONDITION

*Discuss only the specific topics identified in the SHOPP program supplemental guidance located at <http://www.dot.ca.gov/hq/tpp/offices/opsc/shopp-guidance.html>*

*If any of the following topics are not included in the supplemental guidance then state “Not Applicable at this phase of project development”:*

*If any topics included in the supplemental guidance are not included in the list below, then include under “Others”.*

- *Corridor Geometric Information and Condition plus Topical Attributes*
  - *Earth retaining systems*
  - *Fences*
  - *Guardrail*
  - *Hydraulic facilities*
  - *Landscape*
  - *Landscape irrigation facilities*
  - *Lights*
  - *Noise barriers*



- *Railroads*
- *Right-of-way*
- *Signs*
- *Crash Data [PID Guidance - Safety](#)*
  - *Most recent 5-year crash rates, actual and statewide averages*
  - *Most recent 5-year crash frequency by injury severity*
- *Traffic management systems*
- *Traffic signals*
- *Traffic volumes*
- *Utilities*
- *Others*
  1. *Roadway Geometric Information and Condition*
  2. *Alignment*
  3. *Driveways*
  4. *Intersections*
  5. *Median*
  6. *Others conflict Points*
  7. *Pavement cross slope*
  8. *Posted and Design Speed*
  9. *Profile*
  10. *Shoulders*
  11. *Sight Distance*
  12. *Super Elevation*
  13. *Traveled way*
  14. *Others*
  15. *Structure Geometric Information*
    - *Bridge rail*
    - *Bridge approach rail*

- *Bridge approach slab*
- *Vertical clearance*
- *Width between curbs*
- *Others*

## 10. ALTERNATIVES

*The following alternatives should be investigated:*

***Alternative A1 – Programmable Project Alternative***

*Discuss program-specific topics provided below.*

***Alternative A2 – Minimum Project Alternative***

*Discuss program-specific topics.*

***Alternative A3- Stageable Alternative***

*Discuss, if applicable, staging of the project.*

***Alternative B – No Build Alternative***

*Discuss consequences of No Build alternative.*

*For the Programmable Alternative, select one of the following options:*

- a) The impact of this issue has been mitigated in the project cost, schedule and program's requirement.*
- b) The impact of this issue was not incorporated in the project's cost, schedule and program's requirement. It has been identified as a known risk in the Risk Register.*
- c) The This issue does not have a known impact on the project's cost , schedule and program's requirements.*

*Discuss program-specific topics for the Build Alternatives. Only address the topics that have a PIR level identified in the table located in the program specific Supplemental Guidance for each asset included in the project. If blank, the topic does not apply and does not need to be addressed. For information regarding PIR Levels 1-3, refer to page four of the Preparation Guidelines for SHOPP PIR located at:*

<https://dot.ca.gov/programs/transportation-planning/project-initiation-documents/project-initiation-report-pir-guidance>

*The list of topics include:*

- *California Highway Patrol (CHP) enforcement activities*
- *Earth retaining systems*
- *Erosion control*
- *High-occupancy vehicle lanes*
- *Highway planting and irrigation*
- *Interim features*
- *Noise barriers*
- *Operational improvement features*

- *Proposed engineering features*
- *Ramp metering*
- *Reversible lanes: The following statement should be included in every report.*
  - “This project (does/does not) qualify as a capacity increasing or a major street or highway realignment project and reversible lanes (have been/ not been) considered.” *Provide justification for the adopted decision.*
- *Roadside design and management*
- *Traffic analysis*
- *Design standards and deviations from design standards (Highway Design Manual, Tables 82.1A and 82.1B) and Chapter 21 of PDPM-Design Standard Decisions.*

*For the most updated guidance follow the instructions located at Chapter 21*

  - *State that the proposed project will follow all design standards or identify the existing nonstandard features that will be perpetuated and the proposed nonstandard design features.*
  - *Identify the edition of the Highway Design Manual and other standards used to identify the nonstandard features.*
  - *Include the date that the Design Standard Decision Document was approved or;*

*Example language for concurrence to delay the preparation of the Design Standard Decision Document:*

*“Preparation and approval of the Design Standard Decision Document will be deferred until the PA&ED phase when more accurate topographic, utility, environmental, and right of way information is known. The decision to defer is concurred by the approval authority, {insert name of delegated authority}, District Deputy of Design and/or {insert name of delegated authority}, Headquarters Project Delivery Coordinator on {insert month, day, & year}.”*
  - *Provide a Design Standards Risk Assessment (see table below). Determine a risk rating based on available information and project details. Describe additional studies or investigations necessary to secure approval for incorporating a nonstandard feature. Identify who the approval authority or authorities are and the date of their concurrence for postponing the approval.*

<b>Design Standards Risk Assessment Matrix</b>			
<i>Alternative</i>	<i>Standard (HDM index, DIB, TOPD, etc.)</i>	<i>Nonstandard feature and its risk of not being approved (low, medium, high)</i>	<i>Justification for the approval risk rating and additional data/studies needed for approval</i>
<i>1</i>	<i>302.1 (shoulder width)</i>	<i>Existing 2-foot left shoulder low</i>	<i>Propose that the 2-foot left shoulder remain on the ramp as project work is isolated to the right side of the ramp. The scope of work has been discussed with the PD Coordinator and they have provided preliminary concurrence. Verification of work area to be confirmed at PAED.</i>

- *Other topics as needed*

## 11. COMPLETE STREETS

*Are complete streets features included?*       Yes     No

*If yes, provide the applicable information below.*

*If no, you must provide the rationale.*

### Pedestrian facilities

*Include the following (improvements cannot impact/extend schedule of safety project):*

<u>Facility Type and Location</u> <i>(Station, post mile or other reference point)</i>	<u>Meets ADA Standards?</u> <i>(Yes or No for each listed location)</i>	<u>If Facility Does Not Meet ADA Standards, What Features Are Not ADA Compliant?</u> <i>(List features per location)</i>	<u>Status of Each Noncompliant Location</u> Use the following statements, as appropriate: <ul style="list-style-type: none"> <li>• <i>Will be corrected as part of this project;</i></li> <li>• <i>Will not be corrected to full standard. An Exception to Accessibility Design Standards has been approved.</i></li> </ul>
<i>Curb Ramps: (List locations as appropriate)</i>			
<i>Others: (List locations as appropriate)</i>			

*Other Pedestrian concerns (Shade, lighting, vegetative buffer..., refer to SHOPP Tool attachments)*

*Include the following (improvements cannot impact/extend schedule of safety project):*

Location (Station, post mile limits or other reference points)	Deficiency

*Bicycle facilities (Bike lanes, parking, boxes..., refer to SHOPP Tool attachments)*

*Include the following (improvements cannot impact/extend schedule of safety project):*

Location (Station, post mile limits or other reference points)	Deficiency

*Transit facilities (Transit access, stop improvements..., refer to SHOPP Tool attachments)*

*Include the following (improvements cannot impact/extend schedule of safety project):*

Location (Station, post mile limits or other reference points)	Deficiency

*Park-and-ride facilities*

*Include the following (improvements cannot impact/extend schedule of safety project):*

Location (Station, post mile limits or other reference points)	Deficiency

*For more information on these topics refer to the Complete Streets Guidance located in the following Caltrans webpages. General Caltrans Complete Streets Program website:*

<https://dot.ca.gov/programs/transportation-planning/office-of-smart-mobility-climate-change/smart-mobility-active-transportation/complete-streets>

*Complete Streets Elements Toolbox – resource for defining and quantifying Complete Streets Elements in the SHOPP Tool. Contact PIDHQ@dot.ca.gov 22, 2021– VERSION 2.2*

## 12. CLIMATE CHANGE CONSIDERATION

The State Highway System (SHS) and other transportation infrastructure in the state are at increasing risk of damage and impacts from climate change and associated extreme weather events. To respond to both Executive Orders and legislation (See EO B-30-15, SB1, and Assembly Bill 2800) Caltrans must account for climate change in planning and investment decisions. This section must be completed for all projects. Climate change mitigation to reduce greenhouse gas (GHG) emissions, as well as adaptation measures that respond to climate change risks shall be implemented where appropriate.

### GHG Reduction Measures:

*A preliminary estimate of GHG emissions attributed to the proposed project was calculated using the Federal Highways Infrastructure Carbon Estimator (ICE) Tool (Version 2.X).*

*The project is estimated to generate XX annual MTCO<sub>2e</sub>. As indicated on the output data generated from the tool inputs, the primary source of emissions is anticipated to be from (choose one: Materials Use, Operation or Construction).*

*As all projects are required to implement measures to reduce GHG emissions, potential GHG reduction measures have been reviewed and the following are to be considered for this project. Note: these measures may be refined as the project progresses through project development.*

*Proposed GHG reduction measures that will be included/ and or considered for this project include:*

### Climate Change Risk and Adaptation Measures:

*A screening must be performed to assess climate risk for all project areas. This screening is located on the title page of the Climate Change Risk and Adaptation Report. If the data demonstrates that there are climate risk(s) at the proposed project location, the Climate Change Risk and Adaptation Report is required to be completed in close partnership with climate change subject matter expert(s) (SME) in the district. The PID Preparer should then summarize findings from the Report below and attach completed Report. Example approaches to summarize findings can be found in the PIR Guidance.*

### [Climate Change Risk and Adaptation Report Summary](#)

## 13. ENVIRONMENTAL COMPLIANCE

*Indicate what was completed for this report and what is anticipated. Discuss environmental issues. Information on the Preliminary Environmental Analysis Report (PEAR) and Mini-Preliminary Environmental Analysis Report (Mini-PEAR) can be accessed at:*

*[Chapter 5 - Preliminary Environmental Scoping](#)*

#### **14. RIGHT-OF-WAY**

*Describe the requirements and restrictions enumerated in the Right-of-Way Conceptual Cost Estimate (CCE) or RW Data Sheet based on project complexity. Refer to Chapter 4 of the Caltrans RW Manual for guidance and preparation of both the RW Data Sheet (4-EX-1) and Right-of-Way Conceptual Cost Estimate form (4-EX-8) as well as guidance, located at <https://row.onramp.dot.ca.gov/estimating>*

#### **15. STORMWATER**

*The PIR Storm Water Data Report (PIR SWDR) process addresses specific information in the Storm Water Data Report. Refer to the PIR SWDR Storm Water process located at: <https://design.onramp.dot.ca.gov/storm-water-data-report-swdr>*

*To ensure early incorporation of stormwater treatment in the project development process to comply with the National Pollutant Discharge Elimination System (NPDES) Permit, projects located within a Total Maximum Daily Load (TMDL) watershed and areas identified as a Significant Trash Generating Area (STGA) should investigate, through collaboration with the District NPDES Coordinator and Asset Management, the feasibility of incorporating a stormwater treatment into the project.*

## 16. TRANSPORTATION MANAGEMENT PLAN

*Discuss transportation management plan issues. Refer to attachment as needed.*

## 17. ADVANCE TECHNOLOGIES & COMMUNICATION SYSTEMS

*Describe the anticipated accommodation for;*

- A. Wired broadband*
- B. Fueling or charging opportunities for zero-emission vehicles*
- C. Vehicle to infrastructure (V2I) communications for transitional or full autonomous vehicle and supporting high speed data infrastructure*

*Are each of the above mentioned features included? Please respond by*

Yes     No            *If no, you must provide a rationale for each.*

*Refer to the following link for additional Guidance:*

- 1. Broadband at <http://dot.ca.gov/wiredbroadband/>*
- 2. Zero-emission vehicle (ZEV) Program at <https://sustainability.onramp.dot.ca.gov/zero-emission-vehicles>*
- 3. Vehicle to Infrastructure (V2I) at <https://traffic.onramp.dot.ca.gov/cav>*

## 18. ADDITIONAL CONSIDERATIONS

*For the programmable alternative, select one of the following options:*

- a) The impact of this issue has been mitigated in the project cost, schedule and program's requirement.*
- b) The impact of this issue was not incorporated in the project's cost schedule and program's requirement. It has been identified as a Known Risk in the Risk Register.*
- c) This issue does not have a known impact on the project's cost schedule or program's requirements.*

*The relevant topics for the alternative discussion should be obtained from the SHOPP asset supplemental guidance for the specific program. The following topics should be investigated for applicability:*

- Accommodation of oversize loads*
- Airports or emergency related helipads*
- Air quality conformity*



- *Contaminated material including regulated, designated and hazardous waste*  
[https://admin.onramp.dot.ca.gov/downloads/admin/deputy\\_directives/dd\\_16.pdf](https://admin.onramp.dot.ca.gov/downloads/admin/deputy_directives/dd_16.pdf)
- *Constructability issues*
- *Construction staging*
- *Environmental-justice (Title VI considerations)*
- *Floodplain issues*
- *Graffiti control*
- *Maintenance and Cooperative Agreements*
- *Maintenance and Worker Safety*  
*Safety for all workers is a critical component of all activities performed on the State Highway System (SHS) by the California Department of Transportation (Caltrans) and its partners. For policy and general design guidance on Worker Safety, refer to Deputy Directive 103-Worker Safety on the State Highway System and the following website:*  
[https://admin.onramp.dot.ca.gov/downloads/admin/deputy\\_directives/dd\\_103.pdf](https://admin.onramp.dot.ca.gov/downloads/admin/deputy_directives/dd_103.pdf) <https://design.onramp.dot.ca.gov/landscape-architecture-program/roadside-transportation-asset-management>
- *To meet the requirements of SB 1's Sustainability Provision 2030 (c), Caltrans shall use advanced technologies and material recycling techniques that reduce the cost of maintaining and rehabilitating the streets and highways, and that exhibit reduced levels of greenhouse gas emissions through material choice and construction method. Related topic information to consider includes:*
  - *Material and/or disposal site*  
[https://admin.onramp.dot.ca.gov/downloads/admin/deputy\\_directives/dd\\_16.pdf](https://admin.onramp.dot.ca.gov/downloads/admin/deputy_directives/dd_16.pdf)
  - *Material disposal, staging and borrow sites*  
<https://dot.ca.gov/-/media/dot-media/programs/design/documents/f0005285-dib85-a11y.pdf>
  - *Recycled materials. See Appendix (E) of the PIR Guidance*
- *Noise abatement decision report*  
*Reversible Lanes AB2542. Refer to Section 9 –Alternatives*  
[https://transplanning.onramp.dot.ca.gov/downloads/transplanning/files/ppplan/PIR%20Guidance/Reversible%20Lanes%20Guidance%20\(Interim\).pdf](https://transplanning.onramp.dot.ca.gov/downloads/transplanning/files/ppplan/PIR%20Guidance/Reversible%20Lanes%20Guidance%20(Interim).pdf)
- *Resource conservation*
- *Report on feasibility of providing access to navigable rivers*
- *Route adoptions, freeway agreements, relinquishments and modification of access control*
- *Salvaging and recycling of hardware and other non-renewable resources*
- *Sea level rise*  
[http://www.dot.ca.gov/ser/downloads/sealevel/guide\\_incorp\\_slr.pdf](http://www.dot.ca.gov/ser/downloads/sealevel/guide_incorp_slr.pdf)

- *Tribal Employment Rights Ordinance (TERO)*
- *Value analysis*
- *Other topics as needed*

**19. ESTIMATE, FUNDING AND PROGRAMMING**

Estimate

*The optimistic, pessimistic, and most realistic cost estimates are obtained from the use of good engineering judgement applied to each of the components plus the added contingencies from the Risk Register. Escalation is per current policy as specified in the SHOPP Guidelines. Reference the Caltrans project cost estimate component graphic illustration in Appendix (A) for definitions of cost estimating components and their sources.*

*Depending up project complexity, the PDT will decide the best approach for determining the Optimistic, Pessimistic, and Risk Adjusted costs. Professional judgement will always be the basis for estimates. Risk contingency amounts will typically be generated using the Risk Register/Risk Management Tool which used Program Evaluation and Review Technique (PERT) and may incorporate a Monte Carlo method using @Risk software for complex projects. The manageable risk events associated with the different aspects of the projects are broken down and converted to Risk Contingencies and applied to both the Capital and Support Cost Estimates described below by the Project Development team (PDT) for the programmable Alternative.*

*The Risk Contingency amounts are applied appropriately to the capital and support amounts and summarized in the table below.*

Estimated Capital & Support Cost (\$1,000s)- Programmable Alternative									
Component	(A) <sup>1</sup> Total Optimistic	(B) <sup>1</sup> Total Pessimistic	(C) Total Most Likely	(D) Risk Amount	(E) Total including Risk (C+D)	(F) # Years to Mid Yr of Component	(G) Escalation Rate	(H) Escalation Amount	(I) Total Escalate d Cost (E + H)
Support									
PA&ED <sup>2</sup>									
PS&E									
Right of Way									
Construction									
Capital									
Right of Way <sup>1</sup>									
Construction									
Totals									

Notes:

1. *Providing a cost range is optional, the optimistic and pessimistic provides the opportunity to offer a range of cost to account for confidence in the most likely estimated components for programmable alternative. Both Columns A & B are in place to accommodate range estimates per the new CTC minimum PIR requirements for SHOPP Projects. Cost ranges are established by the PDT using professional judgement. Currently, only PIR R/W Conceptual Cost Estimate and DES Structure PIR Cost Estimates provides capital cost estimates in a range format. Quantified Risk Register tools provide ranges for cost impacts and can assist with establishing cost ranges in conjunction with professional judgement. Most of the other deliverables are not able to generate cost range estimates, therefore a single Cost estimate or most likely estimate can be used. In that case, it is acceptable to leave these columns blank and proceed to Column C.*
2. *PA&ED support estimates is a bottom-up cost estimate.*

*As illustrated in the Table above,*

*C = PRSM Work Plan for Support and 11-Page Preliminary Cost & R/W Conceptual Cost Estimates for Capital. This applies to the Programmable Alternative.*

*D = Risk Amount ( from the Risk Register ) may need to adjust the Capital Cost Contingency in the 11-page Estimate to account for Added Risk Amount.*

*E = C+ D = Total including Risk*

*F = Number of Years from current date of estimate to midpoint of the duration of component*

*G = Escalation rate in %*

*H = E [ ( 1 + i )<sup>n</sup> - 1 ] = Escalation Amount where, i = Escalation rate per year (%)*

*n = number of years from current date of estimate to midpoint of the duration of component*

*I = E + H = Total Escalated Cost = Program Amount input into the Funding Table for Programmable Alternative.*

*Projects shall incorporate escalation in Capital Outlay Support (COS) estimates at time of programming to more accurately estimate future support costs (Project Management Directive 011 R1).*

*To help ensure the quality and accuracy of COS estimates, labor costs must address future cost increases. Hourly labor costs can escalate over time due to several factors such as:*

- *Employee Salary – This includes merit salary adjustments, bargained raises, and cost of living adjustments.*
- *Payroll Reserve Assessment Rate (PRAR) – Caltrans employee benefits are applied using an additive percentage.*
- *Indirect Cost Rate Proposal (ICRP) – Per SB 45 (1997) Caltrans must include functional indirect costs when calculating COS project costs. If a project's work is reimbursed by others, State Administrative Manual Section 8752 requires the administrative ICRP rate to also be included. These costs are applied using an additive percentage.*
- *Operating Costs – The projected unit costs normally accounted-for in PRSM are based on the average of prior three fiscal years' usage of operating costs for each unit. Higher support costs may need to be built into the estimate for projects that will have extraordinary operating expenses such as specialized equipment or significant travel.*
- *Right-of-way capital cost estimates are already escalated.*

Funding

*Discuss the project funding.*

*Special Funding: If the project has special funding, identify the source of funding, the dollar amount, and when funding will be available.*

*Cooperative Agreement: If a project requires cooperative agreements, they must be identified in the Risk Register and, their resolution dates identified. The Cooperative Agreements must be executed before beginning any work or exchange of funds covered in the Cooperative Agreement.*

*State-Only Funding: If the project will use State-only funding, fully explain the need for the exception and discuss why the project does not qualify for federal participation.*

*Federal-aid Funding: Determine if the project is eligible for Federal-aid funding and include one of the following statements:*

*“It has been determined that this project is or is not eligible for Federal-aid funding.”*

Programming

*If the project is already programmed, include the data for comparison and discuss how the proposed estimates compare to the current programmed amounts.*

*Complete the table for each funding source, such as SHOPP and Local Funding. Consult with the project manager to determine the fiscal funding year, the escalated estimates, and the escalation rates. Enter funding source, estimates, adjust fiscal year designations as needed, and state any key assumptions including the escalation rates used for the Programmable Project Alternative.*

Fund Source	Fiscal Year Estimate for the Programmable Alternative									
	20.XX.###.###	Current	###/##	###/##	###/##	###/##	###/##	###/##	Future	Total
Component	In thousands of dollars (\$1,000)									
PA&ED Support										
PS&E Support										
Right-of-Way Support										
Construction Support										
Right-of-Way										
Construction										
Total										

\*Values are escalated to mid-point of the duration of each component.

*State the support to capital cost ratio. Consult with the project manager to determine the support cost ratio. The support to capital cost ratio is ##.## %.*

*State the escalation rates applied to both Capital & Support components.*

**20. DELIVERY SCHEDULE**

Project Milestones	Milestone Date (Month/Day/Year)	Milestone Designation (Target/Actual)
PROGRAM PROJECT	M015	
BEGIN ENVIRONMENTAL	M020	
NOTICE OF PREPARATION (NOP)	M030	
NOTICE OF INTENT (NOI)	M035	
CIRCULATE DED EXTERNALLY	M120	
PA & ED	M200	
PS&E TO DOE	M377	
DRAFT STRUCTURES PS&E	M378	
RIGHT OF WAY CERTIFICATION	M410	
READY TO LIST	M460	
FUND ALLOCATION	M470	
HEADQUARTERS ADVERTISE	M480	
AWARD	M495	
APPROVE CONTRACT	M500	
CONTRACT ACCEPTANCE	M600	
END PROJECT	M800	

- A. M030 is only required when there is an environmental impact report*
- B. M035 is only required when there is an environmental impact statement*
- C. M120 is only required if there is a draft environmental document that will be released to the public*
- D. M378 is not required, but optional if there are structures*

**21. EXTERNAL AGENCY COORDINATION**

Federal Highway Administration (FHWA)

*See the [Stewardship and Oversight Agreement on Project Assumption and Program Oversight](#) between the Federal Highway Administration, California Division and Caltrans for the project actions assumed by Caltrans and the project actions where FHWA has retained their authority as well as the detail associated with the various oversight responsibilities. Project actions are identified in the “Project Action Responsibility Matrix” within the stewardship agreement.*

*Discuss if the project has been identified as a “Project of Division Interest” or “Project of Corporate Interest, as defined in Section of the Stewardship Agreement.”*

*Discuss project actions, as appropriate, assumed by Caltrans and any coordination with the FHWA for review and approval of project actions. If the project proposes new or modified Interstate access, include a discussion of any issues and the proposed or actual dates for the Determination of Engineering and Operational Acceptability and Final Approval. See PDPM Chapter 27 – New Public Road Connections, for more information.*

*Identify potential involvement with outside agencies for necessary coordination, agreements, or permits required for the project. The district environmental division is a resource for determining some of the required permits*

*The following is a list of common entities that Caltrans coordinates with on projects, delete and add to the list as appropriate.*

The project requires the following coordination:

*The following is a list of common entities that Caltrans coordinates with on projects, delete and add to the list as appropriate.*

California Department of Fish and Wildlife

California Fish and Game Code Section 1602

Lake or Streambed Alteration Agreement

California Coastal Commission and/or Local Coastal Program

California Public Resources Code Division 20 (California Coastal Act)

Coastal Development Permit

California State Lands Commission

California Public Resources Code Division 6

Permit

Central Valley Flood Protection Board

California Water Code Division 5, Part 4

Encroachment Permit

Local Agency

Cooperative Agreements with \_\_\_\_\_

Local Agency

Agreements with \_\_\_\_\_

Regional Water Quality Control Board

Clean Water Act Section 401

Water Quality Certification

Railroads

Railroad Agreement for at-grade or separated-grade crossings

US Army Corps of Engineers

Department of Army Permit for:

Clean Water Act Section 404

Rivers and Harbors Act of 1899 Section 9

Rivers and Harbors Act of 1899 Section 10

General Permits (Regional Permit, Nationwide Permit or Programmatic Permit)

Standard Permits (Individual Permit or Letter of Permission)

Section 9 Permit

United States Coast Guard

Rivers and Harbors Act of 1899 Section 9

Bridge Permit

San Francisco Bay Conservation and Development Commission

California Government Code Title 7.2

California Public Resources Code Division 19

Major Permit, Administrative Permit, or Region wide Permit

Tribal Highway Construction Permit (THCP)

This permit allows construction of a project on tribal land. For THCP requirements refer to TERO office.

For a complete list of agencies and permits see PDPM [Chapter 13](#) – Project Related Permits, Licenses, Agreements, Certifications, and Approvals.

**22. PROJECT REVIEWS**

*The list to reflect district review procedures. Include “Completed” or “Not applicable” or the reviewer’s name along with the review completion date. Depending on the project aspects and phase, some of the reviews are mandatory. Requirements should be obtained from the SHOPP asset supplemental guidance for the specific program.*

Scoping team field review \_\_\_\_\_ Date \_\_\_\_\_

List participants of the scoping team field review.

Safety field review \_\_\_\_\_ Date \_\_\_\_\_

List participants of the safety field review.

District Program Advisor \_\_\_\_\_ *Enter Name* \_\_\_\_\_ Date \_\_\_\_\_

Headquarters SHOPP Program Advisor \_\_\_\_\_ *Enter Name* \_\_\_\_\_ Date \_\_\_\_\_

District Maintenance \_\_\_\_\_ *Enter Name* \_\_\_\_\_ Date \_\_\_\_\_

Headquarters Project Delivery Coordinator \_\_\_\_\_ *Enter Name* \_\_\_\_\_ Date \_\_\_\_\_

Project Manager \_\_\_\_\_ *Enter Name* \_\_\_\_\_ Date \_\_\_\_\_

FHWA \_\_\_\_\_ *Enter Name* \_\_\_\_\_ Date \_\_\_\_\_

District Safety Review \_\_\_\_\_ Date \_\_\_\_\_

Constructability Review \_\_\_\_\_ Date \_\_\_\_\_  
Other \_\_\_\_\_ Date \_\_\_\_\_

**23. PROJECT PERSONNEL**

*List the project personnel, such as:*

*Name, Title, Functional Area, Phone #*

**24. ATTACHMENTS (Number of Pages)**

*List attachments with the number of pages, **such as:***

- a. Location map (1)*
- b. PIR Storm Water Data Report-signed cover sheet (1)*

*Refer to SHOPP PIR and Specific Program Supplemental Guidance located at:*

<https://transplanning.onramp.dot.ca.gov/shopp-project-initiation-report-pir-guidance>