

Supplemental Preparation Guidelines for SHOPP Facilities Program Project Initiation Report

OVERVIEW

The report should be prepared using the guidance provided in the Interim SHOPP PIR Guidance along with the State Highway Operation and Protection Program (SHOPP) program specific information found here. Consult with the district program advisor and the Headquarters SHOPP program manager to determine how to handle individual project aspects.

This guidance is for completing the project initiation report and not for developing the project. While there is obvious overlap between the information needed in the report and project development requirements, the purpose of the report is to provide enough information for management to approve programming subsequent phases of the project.

Properly determining the report documentation level is intended to maintain simplicity in the documentation process and to properly define the scope, cost and schedule of the project being initiated. This decision should be based on the necessity to describe the project's specific issues and identify the risks associated with excluded information.

Regardless of which SHOPP program the project is being developed for, the goal is to begin at the lowest level (Level 1) of detail needed in each section and only provide additional detail when warranted by the project's unique characteristics.

This supplemental guidance applies to the following SHOPP Facilities Programs:

Equipment Facilities (20.XX.201.351)

Maintenance Facilities (20.XX.201.352)

Materials Labs (20.XX.201.354)

The SHOPP program manager has determined that all projects are subject to varying documentation level and shall include discussion for some of the outline topics from Interim SHOPP PIR Guidance as designated within this document. Differentiation of the documentation level also matters for determining the attachments. Guidance to supplement each topic from Interim SHOPP PIR Guidance is as follows.

MAIN BODY OF REPORT

1. Introduction, Work Description and Summary Table

Funding Source	20.XX.201.351 or 20.XX.201.352 or 20.XX.201.354
SHOPP Project Output	<i>Number of Locations</i>

Use Interim SHOPP PIR Guidance for the rest of this section.

2. Purpose and Need

The purpose is a statement of goals and objectives that Caltrans intends to fulfill by taking action with a project. These goals can come from Caltrans’ mission, vision, goals; management objectives; legislation; a corridor plan or local transportation plan; standards and guidelines for pedestrian infrastructure; public or staff input; and other sources. Some of these objectives may also resolve needs, so there may be overlap between purpose and need. A typical purpose statement for the Facilities Program should be prompted by the following:

Only include for:

20.XX.201.351 – Maintenance Facilities

- The Facility Project Study Report proposes to reconstruct the existing maintenance facilities at
- This Facility Project Study Report proposes to replace the existing maintenance building located on
- The Facility Project Study Report proposes to relocate the existing “___” Maintenance Station

The need is a discussion of specific existing conditions that have to be changed and problems that must be remedied. In other words, it explains why your project is proposing this action at this time. It may have elements you would otherwise include in a discussion of project “background.” A typical need statement should contain the following:

Only include for:

20.XX.201.351 – Maintenance Facilities

- The purpose of this project is to improve the structural safety, functional capacity, and operational efficiency of
- The Need Statement should address facility deficiencies: operational, service, safety, site, and environmental.

3. Recommendation

Use Interim SHOPP PIR Guidance.

4. Risk Summary

Use Interim SHOPP PIR Guidance.

5. Background

Use Interim SHOPP PIR Guidance.

6. Asset Management

Use Interim SHOPP PIR Guidance.

7. Corridor and System Coordination

The SHOPP program manager has determined that this topic does not need to be discussed in the report for projects addressing facilities. Include the following in the report:

Discussion for this topic is not required by the guidelines.

Use Interim SHOPP PIR Guidance for the rest of this section.

8. Existing Facility Condition

Use Interim SHOPP PIR Guidance for the rest of this section.

9. Alternatives

Use Interim SHOPP PIR Guidance for the rest of this section.

10. Complete Streets

Use Interim SHOPP PIR Guidance for more information.

11. Climate Change Considerations

Use Interim SHOPP PIR Guidance.

12. Environmental Compliance

Use Interim SHOPP PIR Guidance.

13. Right-of-Way

The SHOPP program manager has determined that this topic does not need to be discussed in the report for projects addressing facilities unless new location. Include the following in the report if it is not a new location:

Discussion for this topic is not required by the guidelines.

Use Interim SHOPP PIR Guidance if it is a new location.

14. Stormwater

The SHOPP program manager has determined that this topic does not need to be discussed in the report for projects addressing Facilities unless new location. Include the following in the report if it is not a new location:

Discussion for this topic is not required by the guidelines.

Use Interim SHOPP PIR Guidance if it is a new location.

15. Transportation Management Plan

The SHOPP program manager has determined that this topic does not need to be discussed in the report for projects addressing facilities. Include the following in the report:

Discussion for this topic is not required by the guidelines.

Use Interim SHOPP PIR Guidance for the rest of this section.

16. Broadband And Advance Technologies

Describe the anticipated accommodation for:

- A. Wired broadband facility
- B. Fueling opportunities for zero-emission vehicles.
- C. Provision of infrastructure-to-vehicle communications for transitional or full autonomous vehicle.

For more information refer to Interim SHOPP PIR Guidance.

17. Additional Considerations

The SHOPP program manager has determined that some of the topics need to be discussed in the report. Include the topics designated by the SHOPP program manager and provide information as appropriate.

The topics listed for the specific SHOPP program may not apply to some projects. When this occurs, include the topic and state that the project does not involve the topic or that the project has no effect on the topic. The list of topics includes:

Required for Levels:	Topic
1, 2, & 3	Maintenance and worker safety
1, 2, & 3	Contaminated material including regulated, designated and hazardous waste
1, 2, & 3	Material and/or disposal site
1, 2, & 3	Salvaging and recycling of hardware and other non-renewable resources
1, 2, & 3	Recycled materials
1, 2, & 3	Resource conservation
1, 2, & 3	Value analysis
1, 2, & 3	Air quality conformity
1, 2, & 3	Environmental Justice (Title VI considerations)
1, 2, & 3	Noise abatement decision report
1, 2, & 3	Public hearing process
	Route adoptions, freeway agreements, relinquishments & modification of access control
	Report on feasibility of providing access to navigable rivers
	Public boat ramps
1, 2, & 3	Floodplain issues
1, 2, & 3	Constructability issues
1, 2, & 3	Construction staging
	Accommodation of oversize loads
1, 2, & 3	Graffiti control
1, 2, & 3	Other – LEED Silver Compliance, Swing space during construction or renovation, and start-up/commissioning and ongoing costs

18. Estimate, Funding and Programming

For the project initiation phase, use the SHOPP program manager has designated the contingency should start at 5 percent. Any contingency higher than 5 percent must be justified by risk elements listed in the risk register.

Use Interim SHOPP PIR Guidance for the rest of this section.

19. Delivery Schedule .

Use Interim SHOPP PIR Guidance.

20. External Agency Coordination

Coordination with the Fire Marshall and other local agencies should be included.

Use Interim SHOPP PIR Guidance.

21. Project Reviews

Use Interim SHOPP PIR Guidance.

22. Project Personnel

Use Interim SHOPP PIR Guidance.

23. Attachments (Number of Pages)

Use Interim SHOPP PIR Guidance.