

APPENDIX A - Preparation Guidelines for Combined Project Study Report-Project Report

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APPENDIX A - Preparation Guidelines for Combined Project Study Report-Project Report

CHAPTER 1 – Overview

Use of Combined Project Study Report-Project Report

A project must meet the criteria specified in [Chapter 9](#), Article 9 of the Project Development Procedures Manual (PDPM) to use a combined Project Study-Project Report (PSR-PR). The combined PSR-PR satisfies the requirements for both the project initiation document (PID) and the project report (PR) and, as such, must meet the requirements in [Chapter 9](#) and [Chapter 10](#) of the PDPM.

Both Headquarters and the district use the combined PSR-PR as the primary project reference document and, as such, the need for accurate and complete project information is essential.

Guidance for Preparing a Combined Project Study Report-Project Report

[Chapter 2](#) of this appendix presents two templates that can be used for the combined PSR-PR, a template for SHOPP projects and a template for projects-funded- by-others. Use [Appendix L](#) – Preparation Guidelines for Project Study Report and [Appendix K](#) – Preparation Guidelines for Project Report for guidance in preparing the combined PSR-PR. Use checklists found in Appendix L to properly scope the project.

The templates are created for broad application and, as such, portions of the template may not strictly apply to all transportation projects. The template should be modified to include or exclude sections so that pertinent project deficiencies, issues or coordination are clearly presented. The preparer of the report should evaluate the number of the alternatives and the complexity of the issues to determine whether to organize the information by alternatives or issues. The space for filling in various sections of the template is condensed for practical viewing of the template. As appropriate, each section can be expanded to accommodate necessary information.

For a detailed sequence of the PID activities see the [Project Development Workflow Tasks](#).

PID Approval

The District Director (or Deputy District Director if identified in Caltrans Delegation of Authority) is responsible for approval of the PSR-PR.

PID Distribution

Two copies of the approved report shall be sent to:

Division of Design
Office of Project Development Procedures
Attention: Design Report Routing
Mail Station #28

For SHOPP projects:

One copy of the draft report shall be sent to the appropriate [HQ SHOPP program advisor](#).

One copy of the approved report shall be sent to the appropriate [HQ SHOPP program advisor](#).

Five copies of the approved report shall be sent to:

HQ Division of Engineering Services
Program/Project & Resource Management
MS 9-5/11g

CHAPTER 2 – Template

ARTICLE 1 – Template for Combined Project Study Report-Project Report for a SHOPP Project

This article is a template for the PSR-PR for SHOPP projects. If applicable and approved by the Headquarters Manager, the preparer may modify an existing PSSR form to use as a combined document.

Dist – Co - Rte, PM
Program Code
EA
Month/Year

Project Study Report-Project Report

To

Request Programming in the 20XX SHOPP And Approve Circulation of the Draft Environmental Document or Provide Project Approval

(Delete Either "Approve Circulation of the Draft Environmental Document or" or "Or Provide Project Approval")

On Route _____

Between _____

And _____

I have reviewed the right of way information contained in this Project Study Report-Project Report and the R/W Data Sheet attached hereto, and find the data to be complete, current and accurate:

DISTRICT DIVISION CHIEF – RIGHT OF WAY

APPROVAL RECOMMENDED:

PROJECT MANAGER

APPROVED:

DISTRICT DIRECTOR

DATE

Dist. - Co. - Rte. - PM
EA
Month/Year

Vicinity Map

Show:

- Project
- Topographical Features Listed in Report
- North Arrow

On Route _____

Between _____

And _____

Dist. - Co. - Rte. - PM

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

REGISTERED CIVIL ENGINEER

DATE



Table of Contents

Fill in as Appropriate

1. INTRODUCTION

Brief Project Description:

See the Cost Estimate for specific work items included in this project.

Project Limits Dist., Co., Rte., PM	
Capital Costs:	
Right of Way Costs:	
Funding Source:	
Number of Alternatives:	
Recommended for Programming or Approved Alternative	
Type of Facility (conventional, expressway, freeway):	
Number of Structures:	
Anticipated Environmental Determination/Document:	
Legal Description	

2. RECOMMENDATION/PROPOSAL

3. BACKGROUND

4. PURPOSE AND NEED STATEMENT

Need:

Purpose:

5. DEFICIENCIES

6. CORRIDOR AND SYSTEM COORDINATION

7. ALTERNATIVES

A. VIABLE ALTERNATIVES

B. REJECTED ALTERNATIVES

8. CONSIDERATIONS REQUIRING DISCUSSION

See Appendix K and Appendix L.

9. OTHER CONSIDERATIONS AS APPROPRIATE

See Appendix K and Appendix L.

10. COMMUNITY INVOLVEMENT

11. ENVIRONMENTAL DETERMINATION/DOCUMENT

12. FUNDING

A. Capital Cost

Capital Cost Estimate for 20XX SHOPP

Fiscal Year	Right of Way Capital	Construction Capital
FY01		
FY02		
FY03		
FY04		

B. Capital Support Estimate

	PROJECT SUPPORT COMPONENTS								
	PA&ED 0 Phase		Design 1 Phase		Right of Way 2 Phase		Construction 3 Phase		Total
	Dist	DES	Dist	DES	Dist	DES	Dist	DES	
Estimated PY's									
Estimated PS \$'s									
Estimated PYE \$'s (\$1000's)									
Total \$'s									

13. SCHEDULE

HQ Milestones	Delivery Date (Month, Day, Year)
Begin Environmental	
Notice of Intent (NOI)	
Circulate DED	
PA & ED	
Regular Right of Way	
Project PS&E	
Right of Way Certification	
Ready to List	
Approve Contract	
Contract Acceptance	
End Project	

14. FHWA COORDINATION

This Report has been reviewed by *(Name and title of the FHWA Liaison Engineer)* reviewing on *(date)*. Per *(latest federal Transportation Act)*, this project is eligible for federal-aid funding and is considered to be *(STATE-AUTHORIZED or FULL-OVERSIGHT)* under current FHWA-Caltrans Stewardship Agreements. *(If either no federal-aid funding will be used or no FHWA approval required, delete the above statement and replace with the statement: "No federal-aid funding anticipated or no FHWA action required for this project.")*.

CMAQ Eligibility _____ *(Delete this statement if not applicable.)*

15. PROJECT PERSONNEL

16. PROJECT REVIEWS

Field Review_____	Date_____
District Maintenance_____	Date_____
District Safety Review_____	Date_____
HQ Design Coordinator/Reviewer_____	Date_____
Project Manager District Safety Review_____	Date_____
District SHOPP Program Advisor_____	Date_____
HQ SHOPP Program Advisor_____	Date_____

ATTACHMENTS:

ARTICLE 2 – Template for Combined Project Study Report – Project Report for Projects-funded-by-others

This article is a template for the PSR-PR for projects-funded-by-others.

Dist – Co – Rte. - PM
Month/Year

Project Study Report – Project Report

**To
Provide Conceptual Approval
and
Approve Circulation of the
Draft Environmental Document
or
Provide Project Approval**

*(Delete Either "Approve Circulation of the Draft Environmental Document or" or "Or
Provide Project Approval")*

On Route _____

Between _____

And _____

*I have reviewed the right of way information contained in this Project Study Report-
Project Report and the R/W Data Sheet attached hereto, and find the data to be complete,
current and accurate:*

DISTRICT DIVISION CHIEF – RIGHT OF WAY

APPROVAL RECOMMENDED:

PROJECT MANAGER

APPROVED:

DISTRICT DIRECTOR

DATE

Dist. - Co. - Rte. -PM
Month/Year

Vicinity Map

Show:

- Project
- Topographical Features Listed in Report
- North Arrow

On Route _____

Between _____

And _____

Dist. - Co. - Rte. - PM

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

REGISTERED CIVIL ENGINEER

DATE



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Brief Project Description:

See the Cost Estimate for specific work items included in this project.

Project Limits Dist., Co., Rte., PM	
Capital Costs:	
Right of Way Costs:	
Funding Source:	
Number of Alternatives:	
Alternative Recommended for Funding	
Type of Facility (conventional, expressway, freeway):	
Number of Structures:	
Environmental Determination/Document	
Legal Description	

2. RECOMMENDATION/PROPOSAL

3. BACKGROUND

4. PURPOSE AND NEED STATEMENT

Need:

Purpose:

5. DEFICIENCIES

6. CORRIDOR AND SYSTEM COORDINATION

7. ALTERNATIVES

A. VIABLE ALTERNATIVES

B. REJECTED ALTERNATIVES

8. CONSIDERATIONS REQUIRING DISCUSSION

See Appendix K and Appendix L.

9. OTHER CONSIDERATIONS AS APPROPRIATE

See Appendix K and Appendix L.

10. COMMUNITY INVOLVEMENT

11. ENVIRONMENTAL DETERMINATION/DOCUMENT

12. FUNDING

A. Capital Cost

Capital Cost Estimate

Funding Source:

Fiscal Year	Right of Way Capital	Construction Capital

See attached "ready to sign" cooperative agreement for cooperative features. *(Delete this statement if the project does not have cooperative features)*

B. Capital Support Estimate for Caltrans Personnel

	PROJECT SUPPORT COMPONENTS								
	PA & ED 0 Phase		Design 1 Phase		Right of Way 2 Phase		Construction 3 Phase		Total
	Dist	DES	Dist	DES	Dist	DES	Dis t	DES	
Estimated PY's									
Estimated PS \$'s									
Total \$'s									

13. SCHEDULE

HQ Milestones	Delivery Date (Month, Day, Year)
Begin Environmental	
Notice of Intent (NOI)	
Circulate DED	
PA & ED	
Regular Right of Way	
Project PS&E	
Right of Way Certification	
Ready to List	
Approve Contract	
Contract Acceptance	
End Project	

14. FHWA COORDINATION

This Report has been reviewed by *(Name and title of the FHWA Liaison Engineer)* reviewing on *(date)*. Per *(latest federal Transportation Act)*, this project is eligible for federal-aid funding and is considered to be (STATE-AUTHORIZED or FULL-OVERSIGHT) under current FHWA-Caltrans Stewardship Agreements. *(If either no federal-aid funding will be used or no FHWA approval required, delete the above statement and replace with the statement: "No federal-aid funding anticipated or no FHWA action required for this project.")*.

Federal "engineering and operational acceptability" determination was received on _____. *(Delete this statement if not applicable.)*

CMAQ Eligibility _____ *(Delete this statement if not applicable.)*

15. PROJECT PERSONNEL

16. PROJECT REVIEWS

Field Review_____	Date_____
District Maintenance_____	Date_____
District Safety Review_____	Date_____
HQ Design Coordinator_____	Date_____
Project Manager District Safety Review_____	Date_____

ATTACHMENTS: