APPENDIX T – Preparation Guidelines for Bridge Maintenance Project Scope Summary Report

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APPENDIX T – Preparation Guidelines for Bridge Maintenance Project Scope Summary Report

ARTICLE 1 Overview

Use of Bridge Maintenance Project Scope Summary Report

The following guidance is tailored to bridge projects where the primary scope is maintenance work designed to delay or prevent conditions from progressing into the rehabilitation stage. These bridge maintenance projects address damage caused by traffic accidents, place and maintain protective wearing surfaces and coating systems and perform minor maintenance repairs.

The bridge maintenance project scope summary report (PSSR) is the project planning, scoping, and programming document for preventative maintenance State Highway Operation and Protection Program (SHOPP) projects in the:

- 20.XX.201.119 – Capital Bridge Preventative Maintenance Program.

The bridge maintenance project scope summary report is also used for planning and scoping non-SHOPP projects to be funded from the following Bridge Maintenance Programs:

- 20.80.030.080 – Bridges
- 20.80.030.100 – Other Structures
- 20.80.030.115 – Bridge Preservation

The outline and template provided in this appendix were developed to be used primarily for SHOPP projects. Consult with the Headquarters bridge program advisor for guidance on using the outline and template for non-SHOPP projects. For more detailed information, see the Bridge Preservation Program topic on the Structures Maintenance & Investigations intranet page at: [http://smi.dot.ca.gov/](http://smi.dot.ca.gov/)
Guidance for Preparing Bridge Maintenance Project Scope Summary Report

Consult with the district program advisor and the Headquarters bridge program advisor to determine if the project will be funded from the Capital Bridge Preventative Maintenance Program or one of the Bridge Maintenance Programs and to ensure that the information needed to secure a programming commitment is included in the PSSR.

The bridge maintenance PSSR should be prepared using the template provided on the following pages. This is a “fill-in the blank” type of format. If a section is not applicable to a specific project, fill in section as “Not Applicable”. Modify the format to include information that is pertinent to the scope, cost and schedule of project.

The project scope summary report (PSSR) format was developed to combine the project initiation and project approval phases and satisfies the requirements for both the project initiation document (PID) and the project report (PR) depending on the environmental approval criteria as follows:

- The PSSR serves as a PID when a preliminary environmental analysis report (PEAR) is attached and subsequently:
  - A supplemental PSSR serves as a PR for project approval when an approved categorical exemption/exclusion (CE/CE) determination form is attached.
  - A supplemental PSSR serves as a draft project report (DPR) to approve circulation of a draft environmental document. Project approval is documented in a second supplemental PSSR.
- The PSSR serves as a PID and a PR when an approved categorical exemption/exclusion (CE/CE) determination form is attached.
- The PSSR serves as a PID and the approving document for circulation of the draft environmental document when a draft environmental document is attached. Project approval is documented in a supplemental PSSR.

See Appendix K – Preparation Guidelines for Project Report, for discussion of the DPR requirements. Supplemental PSSRs shall follow the same requirements described in “Content of Supplemental PR,” in Chapter 12, Section 6.
ARTICLE 2    Outline

General

The purpose of this outline is to identify the key elements to document in a bridge maintenance project scope summary report (PSSR). All headings presented in the template shall be included in the PSSR. See Chapter 9 – Project Initiation, and Chapter 12 – Project Approvals and Changes to Approved Projects, for essential procedures and Appendix L – Preparation Guidelines for Project Study Report, as well as Appendix K – Preparation Guidelines for Project Report, for discussion of individual topics and discuss any specific issues with the Headquarters bridge program advisor. Even though topics such as transportation management plans (TMPs), storm water data reports (SWDRs), and Americans with Disabilities Act (ADA) of 1990 issues are not in the standard outline, they are to be addressed as guidance in other locations may dictate and should be discussed in the report as needed.

Outline

Cover Sheet

The cover sheet provides the project identifiers, in the header, such as the district, county, route, and post mile range, as well as the expenditure authorization (EA), project number, planning program number (PPNO), program code, and month and year of report approval.

The beginning and ending post miles should be rounded to the nearest 0.1 mile that encompasses all of the proposed construction. The project location should be listed as a spot location to the nearest 0.1 mile if the project is less than 0.2 mile in length.

The project number is the 10 digit number used for reporting labor charges.

When entering the program code, place XX in the capital support/capital projects shared use location, such as 20.XX.201.119.

Modify the type of report to “Supplemental Project Scope Summary Report” as needed. Modify the purpose of report as needed and enter the appropriate programming year for State Highway Operation and Protection Program (SHOPP) projects. Typical entries for the purpose include:
Appendices
Project Development Initiation and Approval Reports

- To Request Programming in the 20XX SHOPP And For Project Initiation
- To Request Programming in the 20XX SHOPP And For Project Approval
- To Authorize Public Release of the Draft Environmental Document
- To Request Non-SHOPP Project Approval

See the *Plans Preparation Manual*, Section 2-2.2 for guidance in developing the project description.

If the purpose for the report does not include project approval, delete the phrase: “I have reviewed the right of way information contained in this report and the R/W Data Sheet attached hereto, and find the data to be complete, current and accurate:”, along with the associated signature block.

For SHOPP projects, the cover sheet must include endorsement by the project manager and approval by the District Director.

For non-SHOPP projects, the cover sheet must include endorsement by the project manager and approval by the Maintenance Deputy District Director. Edit the cover sheet as needed.

**Vicinity Map**

The vicinity map is a district, county, or city map showing all State highways and major local roads when pertinent. It should be placed on a separate page and should include the study limits, major topographic limits listed in the report, and a north arrow.

**Registered Professional Stamp**

The registered professional stamp or seal and number with signature shall be placed on a separate sheet, which shall be part of the report. Also included on this sheet shall be a statement indicating that the registered professional is attesting to the technical information contained therein and the engineering data upon which recommendations, conclusions, and decisions are based. This seal does not constitute approval of the report. Approval of the report is a management decision and is separate from this technical signature of the person in responsible charge.
Main Body of PSSR

1. Introduction

Provide a brief description of the work proposed by the project and fill out the table. If appropriate, discuss the risk factors affecting the scope, cost, and schedule. If known, include issues or commitments such as construction windows.

In most cases, bridge maintenance projects should not materially change existing geometric features nor require design exception fact sheets for deviations from mandatory and advisory design standards. Discuss the need for design exceptions with the Headquarters bridge program advisor and the Division of Design, Design Coordinator. Discuss the need for any exceptions to design standards in the report; see section 3.3 of design information bulletin, \textit{DIB 79-03}, for discussion of applicable standards and \textbf{Chapter 21} – Exceptions to Design Standards.

Do not list individual bridge locations, but provide general location description and general project scope. The bridge information and work description is entered in the “Structure Location and Cost Estimate” table in section 6.

The SHOPP performance measure for the Capital Bridge Preventative Maintenance Program is the number of bridges that are included in the project and should be entered in the SHOPP program output row of the information table in the introduction section of the template. Delete this row for non-SHOPP projects.

2. Purpose and Need

For assistance on developing the \textit{purpose and need}, see: \url{http://www.dot.ca.gov/hq/env/emo/purpose_need.htm}

3. Right-of-Way

Discuss potential right-of-way issues related to property acquisition, easements, permits to enter, utility conflicts resulting in protection or relocation, railroad coordination and environmental mitigation that involves right-of-way.

4. Environmental Determination/Documentation

Discuss potential environmental issues such as contamination, historic landscapes, endangered species, permits, and mitigation.
Consult with the district environmental unit for a determination on the type of environmental documentation anticipated for the project and check the appropriate box. Attach the preliminary environmental analysis report (PEAR), categorical exemption/exclusion (CE/CE) determination form, or draft environmental document as needed.

5. Other Agency Involvement

Identify potential involvement with outside agencies or 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 list of agencies and permits in the template is not comprehensive; see Chapter 13 – Project Related Permits, Licenses, Agreements, Certifications (PLAC), and Approvals for more information.

6. Estimate

Include a cost breakdown for each of the major elements of the project by providing the information to complete the tables in the template.

To minimize future cost increases, a thorough scoping of the project needs to be completed during the design field review and a reliable estimate needs to be prepared. Realistic evaluations as to the final concept, scope, and cost of each project are to be established as early as possible and should be based on the results of the field review. All anticipated work should be included. The project cost estimate should be prepared using the methodology presented in this outline. If appropriate, address risks that are not typical for preventative maintenance work that will potentially impact the cost, scope or schedule.

The cost estimate section is divided into three sections. Use a maximum of 10 percent for the contingency factor unless written permission to use a higher percentage is obtained from the SHOPP Bridge Preservation Program manager.

A. Structure Location and Cost Estimate

Fill out the table listing the bridge information, proposed bridge work, and associated cost. Bridge work and costs are directly the result of the Area Bridge Maintenance Engineers work recommendations entered into the Structure Maintenance and Investigations Bridge Database known as SMART. The district must work with the Headquarters bridge program advisor to compile this information. The list of Headquarters bridge program
advisors can be found in the current Bridge Maintenance Program Guidelines under the Bridge Preservation Program topic on the Structures Maintenance & Investigations intranet page at: http://smi.dot.ca.gov/

The district may elect to provide a summary under this section and attach the Bridge Project EA Report that is created during the coordination with the Headquarters bridge program advisor in lieu of recreating the information in the table.

B. District Cost Estimate

The district portion of the cost estimate includes all non-bridge items except supplemental work and state furnished materials and expenses. The district cost estimate includes items such as: construction site management; prepare water pollution control program; construction area signs; traffic control system; various traffic signs, striping, markings and markers; mobilization; and any other additional work that may be required.

Districts should base their cost estimates on experience with similar projects and available historical data. See Chapter 20 – Project Development Cost Estimates and Appendix AA – Cost Estimates for further details on estimating project costs.

C. Supplemental Work and State Furnished Materials and Expenses Cost Estimate

This section includes items that are not paid directly to a contractor or included as part of a bid package. These items include maintain traffic, California Highway Patrol (CHP) enhanced enforcement, and resident engineers office.

7. Funding/Programming

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 eligible for federal-aid funding.”

Or

“It has been determined that this project is not eligible for federal-aid funding.”
Support Estimate

**SHOPP Projects**

Enter the escalated capital outlay support estimates, in thousands of dollars, for Project Approval & Environmental Document (PA&ED), Plans Specifications & Estimate (PS&E), Right-of-way, and Construction components in the appropriate fiscal funding year column. Consult with the project manager to determine the fiscal funding year, the escalated support estimates and the escalation rates used.

State the support cost ratio. The support cost ratio is the sum of the capital outlay support component estimates (PA&ED, PS&E, Right-of-way, and Construction) divided by the sum of the capital outlay project component estimates (Right-of-way and Construction).

**Non-SHOPP Projects**

Enter the support estimate in personnel years (PYs). Bridge Maintenance Program projects are not resourced in the same manner as Capital Bridge Preventative Maintenance Program projects. A reasonable estimate of PYs is all that is required for these projects. The resource estimate will be evaluated by the Headquarters bridge program advisor in an effort to balance the statewide allocation. However, projects funded from 20.80.030.115 are included on the annual Contract for Delivery and; therefore, the schedule must be entered into the authorized Capital project scheduling tool which is currently XPM. A one hour resource may be entered in order to prevent a resource error code.

Project Estimate

**SHOPP Projects**

Enter the escalated capital outlay project estimates, in thousands of dollars, for Construction and Right-of-way components in the appropriate fiscal funding year column. Consult with the project manager to determine the fiscal funding year, the escalated project estimates and the escalation rates used.

**Non-SHOPP Projects**

Enter the project estimates, in thousands of dollars, for Construction and Right-of-way components. Do not include costs from section “C. Supplemental Work and State Furnished Materials and Expenses Cost Estimate” in the determination of the current year project cost estimate. The items found in this section are funded from other Maintenance Program funds.
8. Schedule

The project schedule should be based on functional unit input, available resources, and funding constraints. Consult with the project manager to determine the project schedule. The milestones shown in the table are mandatory for SHOPP projects, except for Milestone M480. Milestone M120 is only required if there is a draft environmental document that will be released to the public; delete row as needed. Milestone M480 is only required for non-SHOPP projects; delete row as needed.

9. Risks

*Project Delivery Directive PD-09* requires that risk management be applied to all capital outlay projects and major maintenance projects delivered by Caltrans. Refer to the *Project Risk Management Handbook: A Scalable Approach* for the requirements and procedures. Contact the Headquarters bridge program advisor for a standardized risk register template.

Discuss the risks and include the risk register as an attachment.

10. FHWA Coordination

Review the latest Federal Highway Administration (FHWA) and Department of Transportation (Caltrans) Joint Stewardship and Oversight Agreement and Record of FHWA Involvement form at: [http://www.dot.ca.gov/hq/oppd/stewardship/index.htm](http://www.dot.ca.gov/hq/oppd/stewardship/index.htm)

Determine if the project is an Assigned Project or High Profile Project (HPP). Consult with the FHWA Transportation Engineer and the project manager and complete the Record of FHWA Involvement form as needed. Discuss any coordination with FHWA and include the appropriate statement in the report:

“
This project is considered to be an Assigned Project in accordance with the current Federal Highway Administration (FHWA) and Department of Transportation (Caltrans) Joint Stewardship and Oversight Agreement.”

Or

“This project is considered to be a High Profile Project (HPP) in accordance with the current Federal Highway Administration (FHWA) and Department of Transportation (Caltrans) Joint Stewardship and Oversight Agreement.”

11. Project Reviews

Document appropriate project reviews. Enter name of individual and date as needed.
12. Attachments

Include attachments that provide greater detail for development of the project. Possible attachments are:

- Location map
- Preliminary environmental analysis report (PEAR) or environmental determination form or draft environmental document
- Right-of-way data sheet
- Bridge Project EA Report
- Risk register

The location map is only needed if the vicinity map does not adequately show the characteristics of the project area. Pertinent project features may be shown on the location map as needed to understand the proposed work.

Bridge Inspection Reports do not need to be attached for distribution to the Headquarters bridge program advisor or SHOPP Bridge Preservation Program manager.

ARTICLE 3 Template

This article is a template for the bridge maintenance project scope summary report. When using the template, delete any italicized text within the body of the document. The italicized text provides instructions for template users and does not provide any value to the final document.

The template is available at:

http://www.dot.ca.gov/hq/oppd/pdpm/templates/apdx-t-template.docx