

# Supplemental Preparation Guidelines for SHOPP Mobility (Americans with Disabilities Act) Program Project Initiation Report

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## 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 Mobility Program:

ADA Curb Ramps (program code 20.XX.201.361)

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

<b>Funding Source</b>	20.XX.201.361
<b>SHOPP Project Output</b>	<i>Curb ramps</i>

Use Interim SHOPP PIR Guidance instructions 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 could include:

The purpose of this project is to remove identified access barriers within the pedestrian path of travel and bring the facilities into compliance with federal, State and departmental standards for accessibility.

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.” There may be one or several needs that an action will resolve. The need is not a discussion of the need for Americans with *Disabilities Act of 1990* compliance, but rather reasons why Caltrans must take action at this time and in this place. A typical purpose statement could include:

Sidewalks with cross slopes in excess of 2 percent and broken sidewalk sections with vertical lips in excess of ¼” restrict the pedestrian access for persons with disabilities between (bus stop, park-and-ride lot, house, etc.) to (bus stop, school, city hall, etc.). No alternative path of travel is available.

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

## 3. Recommendation

Use Interim SHOPP PIR Guidance.

## 4. Risk Summary

Any risks should be discussed within the project development team (PDT) and brought to the Headquarters Delivery Coordinator as necessary, to determine appropriate resolution. If the resolution will delay delivery of the project, the Headquarters Americans with Disabilities Act (ADA) Infrastructure Program Advisor should be consulted. A decision will need to be made regarding delaying the project or programming a follow-up project. The following are the most common risks that affect ADA project delivery:

### Right-of-way

Since the Caltrans right-of-way is often at the back of sidewalk, almost all projects require some type of right-of-way to construct the project, such as a permit-to-enter or temporary construction easement. Any location which would require full parcel take involving a structure or major property improvement, or require condemnation should be evaluated to determine if an exception to accessibility design standards would be an appropriate alternative. Delayed acknowledgement of right-of-way requirements, as well as utility relocation, are currently the leading causes of scope reduction and project delays for ADA projects. The project initiation report should contain enough information to estimate how many parcels will require which type of right-of-way, based on preliminary design requirements.

### Utilities

The other common right-of-way need is utility relocation. It is common practice to run utilities under sidewalks. Readily available evidence of utilities should be identified in a field review. Impact to existing utilities should be identified in the risk register individually per utility type or by location.

### Railroads

Any railroad involvement required by the project will delay normal project schedules since most railroads won't review or start the process of a construction and maintenance agreement until plans are complete.

### Environmental

Soil contaminated with hydrocarbon or lead is the primary environmental risk in urban areas. Excavation for sidewalks and curb ramp construction may be shallow, but other project features such as foundations for signs or signal poles require deeper soil disruption that should also be considered. Known contaminated sites within the project limits should be identified and listed in the project initiation report. In rural areas schedule impacts due to potential archeological investigations should also be considered.

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

## 5. Background

The background works in partnership and provides additional detail to information already presented in the purpose statement and need statement. The background helps to define the proposed project and the benefits it provides. Examples of background discussions are as follows:

Access barriers at this location have been identified in the Department's ADA Transition as being noncompliant with current accessibility standards. These barriers include noncompliant (and/or missing) (curb ramps, sidewalk, pedestrian signals, etc.) that prevent persons with (mobility, vision, auditory) challenges to access (transit, school, public facilities, local stores or restaurants, medical offices, etc.) on a (daily, regular, seasonal) basis.

Access barriers within the limits of the proposed project have been identified in ADA grievance *enter number* submitted on *enter date* to Caltrans. The grievance locations have been investigated and determined to be noncompliant with current accessibility standards. The recommended resolution for the grievance developed by the District and approved by the Caltrans Statewide ADA Coordinator states that Caltrans will remove the barrier by *enter method*.

Access barriers within the limits of the proposed project have been identified in ADA grievance *enter number* submitted on *enter date* to Caltrans. The grievance locations have been investigated and determined to be noncompliant with current accessibility standards. The recommended resolution for the grievance developed by the District and approved by the Caltrans Statewide ADA Coordinator states that Caltrans will remove the barrier by *enter method*. In addition, other access barriers within the limits of the proposed project that have been identified in the Department's ADA Transition as being noncompliant with current accessibility standards will be made compliant.

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

## 6. Asset Management

Use Interim SHOPP PIR Guidance instructions for this section.

## 7. Corridor and System Coordination

Document that the anticipated performance life of the recommended strategy is consistent with the corridor needs (freight movement, traffic volumes, etc.) and any future planned or upcoming (programmed) projects.

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

## 8. Existing Facility Condition

The SHOPP program manager has determined that the strikethrough items do not need to be discussed in the report. Include the topics designated by the SHOPP program manager and provide information as appropriate.

Include an overall general description of the facility and setting for roadway conditions.

Copy and paste the following into the report template; delete strikethrough topics and delete italicized text.

### **Corridor Geometric Information and Condition**

#### Right-of-way

*Include the width and whether or not there is controlled access.*

#### Fences

~~*Include the location, height and type.*~~

#### Noise barriers

~~*Include the location, height and type.*~~

#### Earth retaining systems

~~*Include the location, height and type.*~~

#### Utilities

*Include the location and type.*

#### Landscape

*Include the location and type.*

#### Landscape irrigation facilities

*Include the location and type.*

#### Hydraulic facilities

*Include the location and type.*

#### Traffic management systems

~~*Include the location and type.*~~

#### Traffic signals

*Include the location and type.*

#### Lights

*Include the location and type.*

Signs

*Include the location and type.*

Metal beam guardrail

*Include the location and type.*

Traffic volumes

*Include the information discussed in [Highway Design Manual \(HDM\) Topic 104—Design Designation](#).  
Include bicycle, pedestrian, and transit volumes.*

Traffic collisions

*Include the latest 3-year collision data for the length of the facility and any concentrated locations as needed, including bicycle and pedestrian collisions, fatalities, and injury.*

Collision Rates:

Land uses, destinations, and services surrounding the project vicinity

**Roadway Geometric Information and Condition**

Please refer to Supplemental Preparation Guidelines for SHOPP Pavement Program PIR

[Supplemental Preparation Guidelines for SHOPP Pavement Program Project Initiation Report](#)

**Structure Geometric Information and Condition**

Include the following:

Structures Name Number	Width Between Curbs			Sidewalk Width  (inches)	Bridge Rail Height  (inches)	Approach Rail Height  (inches)
	Exist (ft)	RRR Std (ft)	Prop (ft)			

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

**9. Alternatives**

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	Proposed engineering features
1, 2, & 3	Design standards and deviations from mandatory and advisory design standards ( <i>Highway Design Manual</i> , Tables 82.1A and 82.1B)
1, 2, & 3	<del>Interim features</del>
1, 2, & 3	<del>High occupancy vehicle lanes</del>
1, 2, & 3	<del>Ramp metering</del>
1, 2, & 3	<del>California Highway Patrol (CHP) enforcement activities</del>
1, 2, & 3	<del>Park and ride facilities</del>
1, 2, & 3	<del>Highway planting and irrigation</del>
1, 2, & 3	<del>Erosion control</del>
1, 2, & 3	<del>Roadside design and management</del>
1, 2, & 3	<del>Noise barriers</del>
1, 2, & 3	<del>Earth retaining systems</del>
1, 2, & 3	<del>Non-motorized and pedestrian features</del>
1, 2, & 3	<del>Context sensitive solutions and complete streets</del>
3	Traffic analysis
1, 2, & 3	Current construction and right-of-way cost estimates
1, 2, & 3	Other – Pedestrian traffic analysis

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

## **10. Complete Streets**

List all the Complete Street elements that are included in this project. All complete street facilities and proposed new ones must be shown on the plans. Lack of new complete street elements in the project requires valid justification presented as a narrative.

For general information on Complete Streets policy and planning guidance, refer to the general Caltrans Complete Streets Program website. <http://www.dot.ca.gov/transplanning/ocp/complete-streets.html>

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

## **11. Climate Change Considerations**

Use Interim SHOPP PIR Guidance.

## **12. Environmental Compliance**

Use Interim SHOPP PIR Guidance.

## **13. Right-of-Way**

All projects may not need a right-of-way data sheet, but some discussion is still needed.

Use Interim SHOPP PIR Guidance.

## **14. Stormwater**

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

Discussion for this topic is not required by the guidelines.

Use Interim SHOPP PIR Guidance instructions.

## **15. Transportation Management Plan**

The SHOPP program manager has determined that this topic does not need to be discussed in the report. Include the following in the report unless there are proposed lane closures or pedestrian detours. Include the following in the report as applicable:

Discussion for this topic is not required by the guidelines.

Use Interim SHOPP PIR Guidance instructions for 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
	Maintenance and worker safety
	Contaminated material including regulated, designated and hazardous waste
	Material and/or disposal site
	Salvaging and recycling of hardware and other non-renewable resources
	Recycled materials
	Resource conservation
	Value analysis
	Air quality conformity
	Environmental Justice (Title VI considerations)
	Noise abatement decision report
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
	Floodplain issues
	Constructability issues
	Construction staging
	Accommodation of oversize loads
	Graffiti control
	Other

Note that public outreach may be needed to notify local agencies, business, and residents about the proposed work.

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

## **18. Estimate, Funding and Programming**

For the project initiation phase, use the SHOPP program manager has designated the contingency should start at 15 percent. Any contingency higher than 15 percent must be justified by risk elements listed in the risk register.

Use Interim SHOPP PIR Guidance instructions for this section.

## **19. Delivery Schedule**

The SHOPP program manager recommends no designation of ready-to-list (RTL) target date in the 4<sup>th</sup> quarter.

Use Interim SHOPP PIR Guidance.

## **20. External Agency Coordination**

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.