

Supplemental Preparation Guidelines for SHOPP Advance Mitigation 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 Roadside Advance Mitigation Program:

Advance Mitigation (program code 20.XX.201.240)

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.201.240
SHOPP Project Output	<i>Locations</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 for this program could include:

This project will provide compliance with legal mitigation requirements as a result of road construction (commitments, regulatory requirements, and/or deficiencies).

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 could include:

This project will provide planting removed during road construction as required by the environmental document to mitigate the visual degradation as a result of the road construction.

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

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

Use Interim SHOPP PIR Guidance.

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.

Land uses, destinations, and services surrounding the project vicinity

Pedestrian facilities
Include the location and type.

Median
Include the location and type.

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	Interim features
1, 2, & 3	High-occupancy vehicle lanes

1, 2, & 3	Ramp metering
1, 2, & 3	California Highway Patrol (CHP) enforcement activities
1, 2, & 3	Park and ride facilities
1, 2, & 3	Highway planting and irrigation
1, 2, & 3	Erosion control
1, 2, & 3	Roadside design and management
1, 2, & 3	Noise barriers
1, 2, & 3	Earth retaining systems
1, 2, & 3	Non-motorized and pedestrian features
1, 2, & 3	Context sensitive solutions and complete streets
1, 2, & 3	Traffic analysis
1, 2, & 3	Current construction and right-of-way cost estimates
1, 2, & 3	Other – Design for Safety

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 more information

11. Climate Change Considerations

Use Interim SHOPP PIR Guidance.

12. Environmental Compliance

Use Interim SHOPP PIR Guidance.

13. Right-of-Way

Use Interim SHOPP PIR Guidance.

14. Stormwater

Use Interim SHOPP PIR Guidance.

15. Transportation Management Plan

Use Interim SHOPP PIR Guidance.

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
1, 2, & 3	Route adoptions, freeway agreements, relinquishments & modification of access control
1, 2, & 3	Report on feasibility of providing access to navigable rivers
1, 2, & 3	Public boat ramps
1, 2, & 3	Floodplain issues
1, 2, & 3	Constructability issues
1, 2, & 3	Construction staging
1, 2, & 3	Accommodation of oversize loads

1, 2, & 3	Graffiti control
1, 2, & 3	Other

Use Interim SHOPP PIR Guidance instructions for this section.

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 instructions for the rest this section.

19. Delivery Schedule

Use Interim SHOPP PIR Guidance.

20. External Agency Coordination

Use Interim SHOPP PIR Guidance.

21. Project Reviews

- Required reviews:
1. Constructability
 2. Safety

Scoping team field review _____ Date _____
 Scoping team field review attendance roster attached.
 District Program Advisor _____ *Enter Name* _____ Date _____
 Headquarters SHOPP Program Manager _____ *Enter Name* _____ Date _____
 District Landscape Architect _____ *Enter Name* _____ Date _____
 District Landscape Specialist _____ *Enter Name* _____ Date _____
 District Maintenance _____ *Enter Name* _____ Date _____
 District Maintenance Landscape Architect _____ *Enter Name* _____ Date _____
 Headquarters Design Coordinator _____ *Enter Name* _____ Date _____
 Project Manager _____ *Enter Name* _____ Date _____
 FHWA _____ *Enter Name* _____ Date _____
 District Safety Review _____ Date _____
 Constructability Review _____ Date _____
 Other _____ Date _____

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

22. Project Personnel

Use Interim SHOPP PIR Guidance.

23. Attachments (Number of Pages)

Use Interim SHOPP PIR Guidance.