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 Office Buildings Program:

Office Buildings (program code 20.XX.201.353)

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

<table>
<thead>
<tr>
<th>Funding Source</th>
<th>20.XX.201.353</th>
</tr>
</thead>
<tbody>
<tr>
<td>SHOPP Project Output</td>
<td>Office Buildings (X Locations)</td>
</tr>
</tbody>
</table>

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 should be prompted by the following:

- Provide description of the proposed repair, replacement, rehabilitation, relocation, modernization, new construction, etc. (Note: New construction projects need approval through the Department of Finance (DOF); these projects are constructed by the Department of General Services (DGS). Contact your headquarters program manager for Office Buildings for clarification.)

- Provide brief description of the site facility attributes such as proposed location, proposed site address, square footage, etc.

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:

- Provide brief synopsis of critical infrastructure deficiencies such as: fire and life safety, seismic, building code, building system, space, or operational deficiencies.

- Provide information related to any potential hazards to buildings occupants such as: security, asbestos, or lead exposure.

- Refer to findings in Facility Infrastructure Study, Facility Assessments, or relevant documentation when available.
• Discuss facility condition or service life, e.g. poor condition, exhausted service life.

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

3. Recommendation

Discuss how the proposed would best address the need. Reference findings in reports by DGS or others such as Facility Infrastructure Study, Economic Analysis, Feasibility Study Report or other relevant documentation, when available.

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

4. Risk Summary

• Provide risk register.
• Identify impact to building occupants, business operations and/or services rendered. Examples: Interruption to power, plumbing, heating, ventilation and air conditioning (HVAC), excessive noise, dust or debris disturbance, environmental hazards (asbestos, lead, mold or other), etc.
• Identify any interruption to essential services such as Transportation Management Centers (TMC), Emergency Operation Centers (EOC), Information Technology (IT) server rooms.
• Identify possible impacts to project cost, scope or budget.
• Identify potential CALOSHA, California building code (CBC) or other violations that may arise during the course of this project.

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

5. Background

Provide the following information regarding the facility background: Existing address, square footage, year of construction, number of building occupants, any special tenants or uses the building may have (TMCs, EOCs, Equipment Shops, Material Laboratory, California Building Comission (CTC), California Highway Patrol (CHP), etc.) any modifications to facilities since original construction, history of complaints, malfunctions, building occupant injury, code violation or any other relevant information.

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

6. Asset Management

Use Interim SHOPP PIR Guidance.
7. Corridor and System Coordination

Not Applicable to Office Buildings

8. Existing Facility Condition

Reference any reports, facility assessments, maintenance records, or relevant information that describe existing condition. Provide a Facility Condition Index rating, if applicable.

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

9. Alternatives

- Discuss the viable alternatives that address the identified deficiency (building code violation, seismic, life-safety, operational, American with Disabilities Act (ADA) compliance, etc.).

- Identify any portion of existing facility that will be closed or used for contractor staging areas during construction.

- Discuss the competitive cost of each alternative. Cost analysis should include:
  - Construction Costs:
    - Include any costs identified by Department of General Services, Headquarters Division of Engineering Services – Structures Design, Office of Transportation Architecture, or other consultant or contractor services.
    - Include any site development costs: access, utilities, environmental, etc.
    - Identify specific LEED, Zero Net Energy, Energy efficiency, water conservation costs or any other Caltrans Resource conservation Efforts. (Reference Executive Order B-16-12, B-18-12, B-37-16 or other).
    - Include any other construction cost relevant to the project.
  - Swing Space Costs:
    - Identify any cost associated with temporary leasing, moving costs, etc.
  - Land Costs:
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](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

- Identify specific LEED, Zero Net Energy (ZNE), energy efficiency, water conservation efforts or any other Caltrans resource conservation efforts that this project would meet. (Reference Executive Order B-16-12, B-18-12, B-37-16 or other).
- Provide LEED Credit Checklist for selected alternative, when applicable.

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

13. Right-of-Way

- Discuss any new right-of-way for expansion or relocation
- If Caltrans owned property is being considered as a new site
- Discuss any exchange efforts.
- Provide Right of way Data Sheet, if applicable.
Use Interim SHOPP PIR Guidance for the rest of this section.

14. **Stormwater**

- Consideration should be given to include drainage and storm water attributes when applicable. Refer to Storm Water Guidelines.

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

15. **Transportation Management Plan**

Not applicable to Office Building projects.

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**

- Consideration should be given to include complete-streets attributes whenever possible.

- Discuss Hazardous Material Plan to address asbestos, lead and mold, when applicable.

Use Interim SHOPP PIR Guidance instructions for this section.

18. **Estimate, Funding and Programming**

Provide estimates when available.

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

19. **Delivery Schedule**

Use Interim SHOPP PIR Guidance.
20. **External Agency Coordination**
   
   - Identify and explain coordination with external Agencies such as DGS

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

21. **Project Reviews**

   Use Interim SHOPP PIR Guidance.

22. **Project Personnel**

   Use Interim SHOPP PIR Guidance.

23. **Attachments (Number of Pages)**

   - Detailed Cost estimate for selected alternative. Provide quotes if applicable.
   
   - Proposed project schedule.
   
   - Project Development team roster
   
   - Risk Register
   
   - Right of way Data Sheet, if applicable.
   
   - Life Cycle Cost Analysis
   
   - LEED Credit Checklist for selected alternative, if applicable.
   
   - Hazardous Material Plan, when applicable.

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