

Memorandum

*Serious drought.
Help save water!*

To: DISTRICT DIRECTORS

Date: June 3, 2015

Attention: District Program Management

From: BRUCE DE TERRA
Acting Division Chief
Transportation Programming



Subject: **2016 State Highway Operation and Protection Program Development Guidelines**

The biennial programming update cycle is commencing for the State Highway Operation and Protection Program (SHOPP). This memorandum and the accompanying attachments provide the guidelines for development of the 2016 SHOPP, which is a listing of individual projects proposed for allocation in Fiscal Year (FY) 2016/17 through FY 2019/20.

The critical milestones in the development cycle are completion of Project Initiation Documents (PID), the distribution of the Proposed 2016 SHOPP to Regional Transportation Planning Agencies (RTPA) for review and comment in November 2015 and District in-person consultation with RTPA representatives regarding the proposal, delivery of the Final Draft 2016 SHOPP to the California Transportation Commission (Commission) in January 2016, and adoption of the Final SHOPP by the Commission by April 1, 2016.

The 2016 SHOPP is being developed under the auspices of continuing and new legislative and policy directions that not only address the State's "fix-it-first" approach but also reflect Caltrans' new Mission Statement and overarching issues of sustainability, partnership, and accountability. As projects are selected and developed, they will need to incorporate priorities such as American Disabilities Act (ADA) and fish passage, as appropriate, and not develop the project in a manner that avoids addressing such mandates. The 2016 SHOPP will begin the movement of SHOPP project prioritization to an Asset Management paradigm that will be fully implemented with the 2020 SHOPP.

Project Capital Outlay and Capital Outlay Support Budgets

Accurate project capital outlay and capital outlay support budgets are essential for the successful delivery of the SHOPP program. Districts shall review and confirm programmed capital outlay and capital outlay support budgets on all currently programmed projects.

DISTRICT DIRECTORS

June 3, 2015

Page 2

For consistency with established project development procedures, capital outlay estimates used for updating programming budgets must be current, no more than one-year old.¹

The programmed capital outlay support budget for each programmed component shall be equal to that support component's estimate at completion.²

All changes to current programmed projects shall be documented in an approved Programming Change Request (PCR) prior to inclusion in the 2016 SHOPP.

Relation to 10-Year SHOPP Plan

Development of the 2016 SHOPP must be consistent with the goals and policies in the 2015 10-Year SHOPP Plan. Projects proposed for programming must contribute to achieving the performance goals identified in the 2015 10-Year SHOPP Plan.

Relation to 2016 State Highway Account (SHA) Fund Estimate

The 2016 SHA Fund Estimate is currently under development. A draft will be presented to the Commission at their June 2015 meeting. Following adoption by the Commission, the SHA Fund Estimate will define the annual funding available for each year of the 2016 SHOPP.

The cost of all projects, required reservations, and capital outlay support costs are limited annually to SHOPP programming capacity defined in the Fund Estimate.

If the adopted Fund Estimate differs from the assumed targets, supplemental instructions will be developed.

New Projects

All new projects must have a completed PID by June 30, 2015, to be included in the 2016 DRAFT SHOPP. All new projects must be in the SHOPP Tool with Headquarters Program Manager concurrence. Districts should consult the respective Headquarters Program Managers to identify 2016 SHOPP candidate projects to be funded with reservations. Non-reservation funded projects must fall within the districts' programming targets.

As stated earlier, it is essential that new projects, where appropriate and practicable, implement **Directors Policy on Climate Change (DP-30)** and the **Deputy Directive on Complete Streets - Integrating the Transportation System (DD-64-R2)** as well as addressing ADA and fish passage. Caltrans' Complete Streets policy recognizes that "...all transportation improvements as opportunities to improve safety, access and mobility for all travelers in California." In fact, roadway maintenance and rehabilitation is often the most cost-effective opportunity to restripe for protected bike lanes, add high-visibility crosswalks, extend sidewalks, improve crossings with bulb-outs, install traffic calming measures, incorporate urban greening and green infrastructure

Footnote:

¹ Project Development Procedures Manual, Chapter 20 – Project Development Cost Estimates, Section 1 – Project Cost Estimating, December 15, 2007.

² Estimate at complete is equal to the actual cost of work already performed plus the estimate to complete for all of the remaining work.

DISTRICT DIRECTORS

June 3, 2015

Page 3

solutions, and improve signage, among other mobility and access improvements for non-auto modes.

Currently Programmed Projects

All currently programmed projects should be reviewed to ensure they are consistent with the goals, policies, and performance measures in the 2015 SHOPP 10-Year Plan. If a project is found to be inconsistent, the district should consult the respective HQ Program Manager to determine if the programmed project should be recommended for deletion to fund higher priority projects.

Consultation with External Stakeholders

Given the substantial sum of funding for this SHOPP program, continued consultation and coordination between District and external stakeholders is paramount. This ongoing coordination will help ensure SHOPP projects address the safety and mobility needs of all road users, including low-income, disadvantaged users and help facilitate mode shift to active transportation and transit.

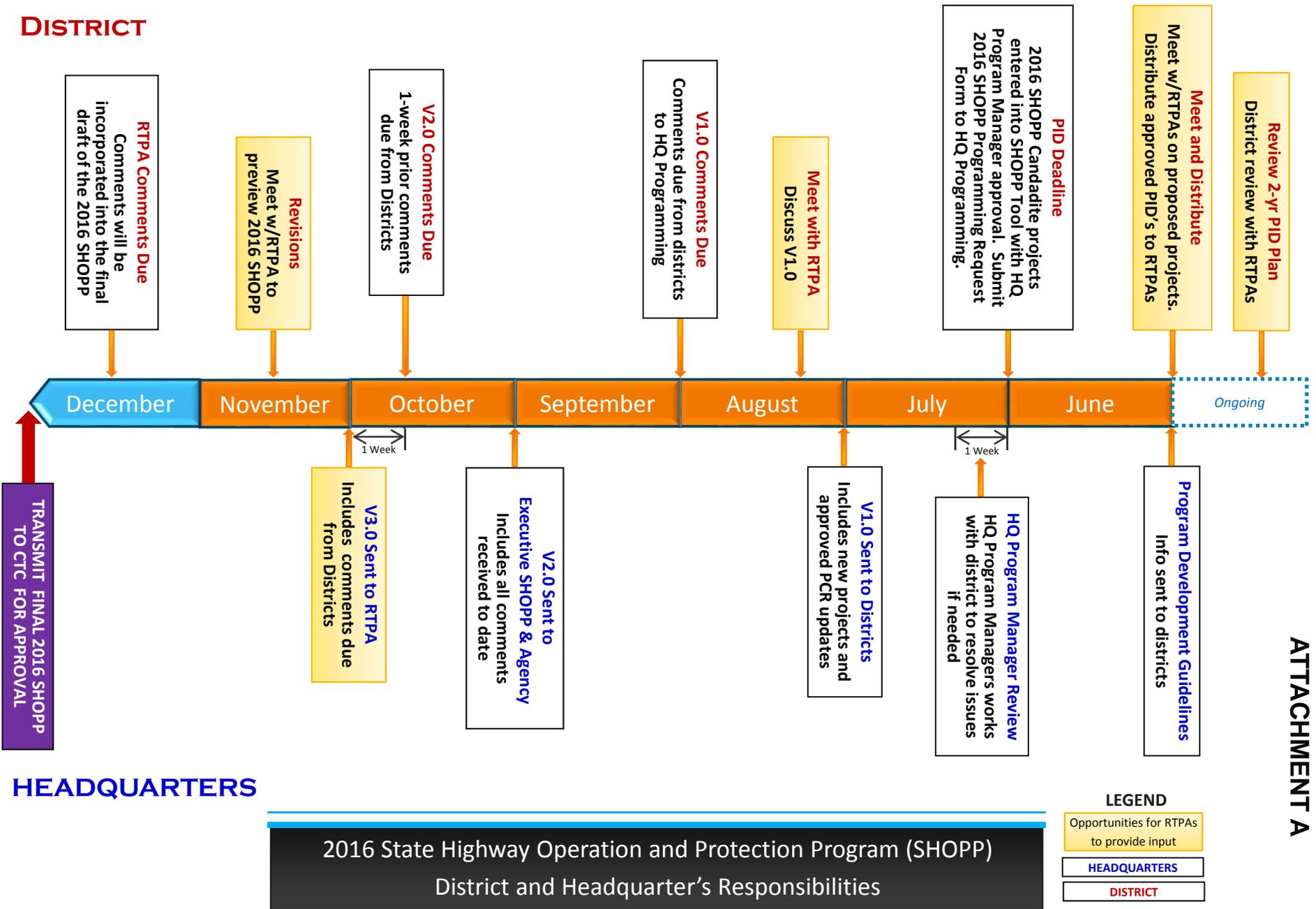
If you have questions concerning development of the 2016 SHOPP, please call Rick Guevel at (916) 654-4327.

List of Attachments

Attachment A	2016 SHOPP Development Timeline
Attachment B	2016 SHOPP Development Schedule
Attachment C	2016 SHOPP Candidate List Instructions
Attachment D	2016 SHOPP New Project Programming Request form

c: Norma Ortega, Chief Financial Officer
Steven Keck, Chief of Budgets
HQ Deputy Directors
HQ Division Chiefs
HQ Program Managers
HQ SHOPP Programming Staff

2016 SHOPP DEVELOPMENT TIMELINE



2016 STATE HIGHWAY OPERATION AND PROTECTION PROGRAM (SHOPP)

DEVELOPMENT SCHEDULE

Ongoing	<p>Ongoing activities listed below are independent of the development of the 2016 SHOPP:</p> <ul style="list-style-type: none"> • Districts submit Programming Change Requests (PCR) to Headquarters (HQ) Project Management. • HQ Project Management takes action on district submitted SHOPP PCRs. • Districts share PCR requests with Regional Transportation Planning Agencies (RTPAs). • Districts update changes in project management systems. • Districts select projects from constrained district 10-Year SHOPP Plans for Project Initiation Document (PID) development. • HQ Program Managers approve projects selected for PID development. • Districts develop PIDs for SHOPP candidate projects.
DEVELOPMENT OF THE 2016 SHOPP	
May 2015	<ul style="list-style-type: none"> • 2016 SHOPP Program Development Guidelines including priorities available to districts.
June 30, 2015	<ul style="list-style-type: none"> • Cut-off date for signed (completed) PIDS for 2016 SHOPP Candidate projects. • 2016 SHOPP Candidate projects entered into SHOPP Tool
July 1, 2015	<ul style="list-style-type: none"> • HQ Program Managers continue review of 2016 SHOPP candidate project PIDs. Review includes scope, cost, and schedules. • HQ Program Managers and districts work together to resolve any issues and adjust project data if necessary.
July 8, 2015	<ul style="list-style-type: none"> • 2016 SHOPP Candidate Programming Request form from Districts due to HQ Division of Transportation Programming (HQ Programming).
August 2015	<ul style="list-style-type: none"> • First version of 2016 SHOPP (including new projects) sent to districts for comments (V1.0).
August 2015	<ul style="list-style-type: none"> • 2016 SHA Fund Estimate adopted by California Transportation Commission (Commission) <i>sets 2016 SHOPP funding levels</i>.
September 16, 2015	<ul style="list-style-type: none"> • Districts provide comments on first version of the 2016 SHOPP to HQ Programming. • Districts should discuss recommended schedule or project trade-offs with the respective HQ Program Managers. • Districts should update support costs and recommend changes to rebalance their districts capital plus support cost by fiscal year (all changes must be supported by an approved PCR).
October 2015	<ul style="list-style-type: none"> • HQ Programming sends First Draft of 2016 SHOPP with District comments to HQ Program Managers for review (V2.0). • HQ Program Managers work with districts to resolve issues.
October 20, 2015	<ul style="list-style-type: none"> • HQ Program Managers complete review and resolve any 2016 SHOPP issues. • HQ Program Managers submit comments to HQ Programming. • VTC with districts to discuss HQ Program Manger comments.
November 2015	<ul style="list-style-type: none"> • Final draft of 2016 SHOPP completed by the HQ Programming and sent to districts and HQ Program Managers for review (V3.0).

FINAL DRAFT 2016 SHOPP	
November 2015	<ul style="list-style-type: none"> Final draft of 2016 SHOPP sent by HQ Programming to RTPAs for review as required by Government Code Section 14526.5.(c).
December 2015	<ul style="list-style-type: none"> District and HQ Program Manager comments due on final draft of 2016 SHOPP.
December 2015	<ul style="list-style-type: none"> Last date to receive follow-up comments from districts and HQ Program Managers on final draft of 2016 SHOPP.
January 2016	<ul style="list-style-type: none"> Comments due from RTPAs on the final draft 2016 SHOPP sent to RTPAs.
January 2016	<ul style="list-style-type: none"> SHOPP data base lockdown (no more changes).
No later than January 31, 2016	<ul style="list-style-type: none"> HQ Programming submits 2016 SHOPP to California Transportation Commission (CTC) (V4.0).
No later than April 1, 2016	<ul style="list-style-type: none"> CTC approves 2016 SHOPP and submits to Legislature and Governor.
May 2016	<ul style="list-style-type: none"> 2016 SHOPP document available on Internet.
July 1, 2016	<ul style="list-style-type: none"> 2016 SHOPP document is archived (FINAL).

**2016 State Highway Operation and Protection Program (SHOPP)
District Candidate List Instructions**

Overview

The 2016 SHOPP will be developed based on the following:

- 1) The programming capacity included in the adopted 2016 Fund Estimate.
- 2) The approved 2015 SHOPP Ten-Year Plan¹

Project Information

Districts should review project information for currently programmed projects. This includes all non-allocated projects carried over from the 2014 SHOPP, primarily programmed in FYs 2016/17 through 2017/18. Changes to the project information must be supported by an approved PCR.

Updating Capital Outlay and Capital Outlay Support Costs

Districts should review and recommend cost changes to both the capital and support cost of all projects. Cost changes must have an approved PCR.

Fiscal Year Changes

Fiscal year changes must be agreed to by the responsible HQ Program Manager with an approved PCR and will be balanced on a statewide basis.

Reservations

Reservations in 2016/17 through 2019/20 have been adjusted to reflect projects already programmed against the reservation.

New Projects

District can recommend new projects for programming which fall within their district programming targets by using the **2016 SHOPP New Project Programming Request** form (see Attachment D). Districts must get the responsible HQ Program Manager approval before adding new projects. All new projects must have a Project Initiation Document (PID) completed by June 30, 2015 and all must be entered into the SHOPP Tool with Headquarter Program Manager approval. To add a new project submit a **2016 SHOPP New Project Programming Request** form and approved PID to the "SHOPP-Amendment Request" email group account.

Questions

If you have any questions concerning development of the 2016 SHOPP, the 2016 SHOPP development process, please call Donna Berry at 916-654-6722 or Rick Guevel at 916-654-4327.

¹

http://www.dot.ca.gov/hq/transprog/SHOPP/prior_shopp_documents/10yr_SHOPP_Plan/2015_Ten_Year_SHOPP_Plan_Final.pdf



2016 SHOPP NEW PROJECT PROGRAMMING REQUEST FORM

(05/2015)

Submittal Date

Revision (Numeric only)

District	County	Route	Prefix	PM	Prefix	PM	EA	PPNO	Project ID
<input type="text"/>									

Includes Multiple Locations (Complete Page 2 of this Form)

Performance Measure			RTL	PAED	Project in PID Work Plan Y/N	PID Approval Date *	K-Phase Expenditures (\$1,000)
Program Code	Num	Unit Type	R/W Cert	CCA			
<input type="text"/>	<input type="text"/>	<input type="text"/>					

Project Location/Description (Include the nearest city, town or landmark)

MPO :

Need for Project and Proposed Improvements (Elaborate using PID language)

PROGRAM ADVISOR APPROVAL (Date)

Requested Program FY	Support (\$1,000)	Legislative District Numbers (Separate multiple Districts with a comma)
<input type="text"/>	PA & ED <input type="text"/>	State Assembly <input type="text"/>
Capital (\$1,000) (Escalated to FY of Programming)	PS & E <input type="text"/>	State Senate <input type="text"/>
R/W <input type="text"/>	R/W <input type="text"/>	Congressional <input type="text"/>
Construction <input type="text"/>	Construction <input type="text"/>	CAPITAL CONSTRUCTION COST ESCALATION RATE <input type="text" value="0%"/>
Total Capital <input type="text" value="\$0"/>	Total Support <input type="text" value="\$0"/>	

(For Programming purposes, all support cost will be placed in the same FY as Capital Construction)

Project Manager (Print) <input type="text"/>	Project Manager (Sign) <input type="text"/>	Date <input type="text"/>
Single Focal Point (Print) <input type="text"/>	Single Focal Point (Sign) <input type="text"/>	Date <input type="text"/>

* Email a Scanned copy of the signed Amendment Request form and approved PID to: SHOPP_Amendment_Requests@dot.ca.gov

