SHOPP Guidelines Workshop

January 21, 2022
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To participate in our live polls, please go to slido.com and enter the event code: **SHOPP**

Our first poll:

Tell us what city you are joining us from today.

Join at [slido.com](http://slido.com) #SHOPP
Who do you represent today?

- Caltrans
- Transportation Planning Agency
- Federal Government
- Local Government
- Private Industry/Business
- Private Citizen
- Non-governmental Organization
- Other
SHOPP Guidelines Workshop

1. Development Timelines
   • Adoption timeline for the SHOPP Guidelines
   • Adoption Timeline for the 2022 SHOPP

2. Amendments to the SHOPP Guidelines
   • Purpose/Need (Why)
   • Amendments (What)

3. Feedback
   • Input/Questions/Comments

4. Closing
   • Recap and Next Steps
Development Timelines

Current SHOPP Guidelines

Guideline Development | Review | NEW SHOPP Guidelines

Dec 22nd Draft SHOPP Distribution | We Are Here | Feb 16th North/South 2022 SHOPP

Current 2020 SHOPP

SHOPP Development | RTPA Review | CTC Review | 2022 SHOPP

January 2022 CTC Meeting (26th/27th)

March 2022 CTC Meeting (16th/17th)
## Roles and responsibilities

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<thead>
<tr>
<th><strong>Caltrans</strong></th>
<th><strong>CTC</strong></th>
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<tr>
<td>• Identify transportation needs</td>
<td>• Prepare Guidelines consistent with legislation</td>
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<td>• Develop project initiation documents</td>
<td>• Gather stakeholder input</td>
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<td>• Ensure SHOPP projects are consistent with Asset Management, Guidelines, Policies</td>
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<td>• Prepare the SHOPP document</td>
<td>• Adopt SHOPP</td>
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<td>• Project Delivery</td>
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Amendments to SHOPP Guidelines

3. Guidelines Objectives

These guidelines were developed and adopted with the following basic objectives:

a. Develop the SHOPP as a resource management document that is consistent with the Transportation Asset Management Plan (TAMP) and the State Highway System Management Plan.

b. Encourage engagement with diverse partners, stakeholders, and the public through a transparent development and selection process.

c. Accelerate project delivery, to ensure efficient use of funds, and to address deferred maintenance on the state highway system.

d. Establish allocation thresholds that the Commission determines are necessary to ensure efficiency and provide exceptions as needed so that projects are not unnecessarily delayed.

e. Recognize that accountability, flexibility, and simplicity are key components to the objectives of the Guidelines.
7. **Amendments to the Guidelines**

The Commission may amend the adopted SHOPP guidelines after first giving notice of the proposed amendment and conducting at least one public hearingworkshop.
Amendments to SHOPP Guidelines

12. **Eligibility**

Projects eligible for SHOPP funds as defined by Government Code Section 14526.5 include major capital improvements that are necessary to preserve and protect the state highway system and are consistent with the TAMP. Projects included in the program shall be limited to improvements relative to the maintenance, safety, operation, and rehabilitation of state highways and bridges that do not add a new traffic lane to the system.

For the purposes of the SHOPP Guidelines, a new traffic lane, as prohibited by Government Code Section 14526.5, shall be defined as the portion of the traveled way for the through movement of a single line of motor vehicles. For example, the addition of a lane that would increase the overall route’s capacity, such as an express lane, would not be eligible.

Examples of SHOPP-eligible operation improvement projects include, but are not limited to the following:

a. Auxiliary lanes near ramps and interchanges to allow for safe acceleration and deceleration of entering and exiting vehicles.

b. Intersection modifications including traffic signals.

b-c. Bike and pedestrian facilities.
Amendments to SHOPP Guidelines

17. **Transportation Asset Management Plan**

Caltrans shall take Climate Action Plan for Transportation Infrastructure (CAPTI) strategies as well as the Caltrans Equity Statement into consideration in the development and implementation of the Transportation Asset Management Plan.

18. **State Highway System Management Plan**

Caltrans shall take Climate Action Plan for Transportation Infrastructure (CAPTI) strategies as well as the Caltrans Equity Statement into consideration in the development and implementation of the State Highway System Management Plan.
Amendments to SHOFP Guidelines

40. Allocation of Construction Management/General Contractor Alternative Delivery Method Projects

For Construction Manager / General Contractor projects during the design phase, the Construction Management contract costs during the design phase are considered design phase expenditures. Upon award of the construction contract, the contractor shifts to the General Contractor role, and expenditures will be reported as construction phase expenditures. The

For Design-Build projects, the allocation for the Plans Specifications and Estimate phase funds up to 30% of the Plans Specifications and Estimate effort, right of way requirement determination, and development of the Request for Qualifications and Request for Proposal. Contingency projects using the Design-Build delivery method should be fully funded before the
41. **Nondiscrimination**

Caltrans assumes responsibility and accountability for the use and expenditure of program funds. Caltrans must comply with all relevant federal and state laws, regulations, policies, and procedures.

Caltrans will ensure that no person or group(s) of persons shall, on the grounds of race, color, national origin, sex, age, disability, limited English proficiency, or income status, be excluded, or otherwise subject to discrimination, related to projects programmed and allocated by the Commission, regardless of whether the programs and activities are federally funded. Caltrans will comply with all Federal and State statutes and implementing regulations relating to nondiscrimination.

A current list of current Title VI/nondiscrimination and related authorities is available on the Commission’s website at: www.catc.ca.gov.
## Amendments to SHOPP Guidelines

### 48.49. Timely Use of Funds – Extension

- **Allocation Time Extension** – An extension of the allowable time for a phase to be allocated beyond the end of the fiscal year in which the phase is programmed.

- **Project Expenditure SHOPP Pre-Construction Completion Time Extension** – An extension of the allowable time for a pre-construction phase (PA&ED, PS&E, or Right of Way Support) to complete expenditures beyond the required 36 months or longer as approved at the time of allocation.

- **Contract Award Time Extension** – An extension of the allowable time to award the construction contract beyond the required six months.

- **SHOPP Construction Completion Time Extension** – An extension of the allowable time to complete the construction contract beyond the required 36 months or longer as approved at the time of allocation. Approval of a SHOPP Construction Completion Time Extension shall serve as approval to extend both Construction Capital and Construction Support.
Amendments to SHOOPP Guidelines

54.55. **SB 1 SHOOPP Baseline Agreements**

a. SB 1 SHOOPP Baseline Agreements are required for projects with a total project cost of $40-50 million or greater adopted in the 2018-SHOOPP and subsequent program amendments and adoptions. This requirement is retroactive to July 1, 2018.
Feedback?
Recap & Next Steps