
Deputy Directive

Number: DD-62-R1

Refer to
Director's Policy: DP-07
Project Delivery
DP-08
Freeway Management

Effective Date: September 2009

Supersedes: DD-62 (05-21-01)

TITLE The Ten-Year State Highway Operation and Protection Program (SHOPP) Plan

POLICY

The purpose of the Ten-Year SHOPP Plan is to satisfy the requirement of Streets and Highways Code section 164.6. The Ten-Year SHOPP Plan consists of a goal constrained system needs plan and financially constrained plan containing specific projects.

The Ten-Year SHOPP Plan is coordinated with the State Transportation Improvement Program (STIP), the five-year maintenance plan, locally funded projects, system planning documents, and modal plans. The goal constrained system needs plan provides timely information for developing budget requests and fund estimates. The financially constrained plan includes specific projects for funding from the State Highway Account.

DEFINITION/BACKGROUND

The State Highway System (SHS) is the foundation on which the vitality of California's economy is built. The SHS provides mobility for people, goods, and services throughout California.

Streets and Highways Code section 164.6 requires the California Department of Transportation (Department) to prepare a Ten-Year State rehabilitation plan for the rehabilitation and reconstruction of all highways and bridges owned by the State. The plan shall be submitted to the California Transportation Commission (CTC) for review and comment by January 31 of each odd-number year, and shall be transmitted to the Governor and the Legislature by May 1 of each odd-numbered year.

Streets and Highways Code section 167 and Government Code section 14526.5 require the Department to develop and program specific capital improvement projects relative to the maintenance, safety, and rehabilitation of State highways and bridges that do not add capacity to the system.

The Ten-Year SHOPP Plan fulfills the requirements of the above codes.

RESPONSIBILITIES

Deputy Director, Maintenance and Operations:

- Appoints the Ten-Year SHOPP Coordinator.
- Issues guidelines for the preparation of the Ten-Year SHOPP Plan.

Deputy Director, Project Delivery:

- Ensures quality projects are developed and constructed within programmed scope, cost, schedule, and budgeted capital outlay support resources.

Deputy Director, Finance:

- Recommends SHOPP funding levels for the STIP Fund Estimate.

Deputy Director, Planning and Modal Programs:

- Ensures the Ten-Year SHOPP Plan coordinates with the STIP, modal plans, and system planning documents.

Division Chiefs, Maintenance, Traffic Operations, Design, Pavement Management, and Environmental Analysis:

- Establish statewide and district quantifiable performance goals, priority criteria, and guidelines for each SHOPP.
- Evaluate and report on progress in meeting performance goals for the SHOPP.
- Review and recommend SHOPP amendments, project change requests, and unprogrammed project approval requests (UN-PARS).

Division Chief, Transportation Planning:

- Allocates and reports on resources for the preparation of the district's Financially Constrained Ten-Year SHOPP Plan, project investigations, and project initiation documents (PID), based on statewide SHOPP goals.

Division Chief, Project Management:

- Coordinates the Project Delivery Plans with the Programmed SHOPP and the financially constrained Ten-Year SHOPP Plan.
- Reports on SHOPP delivery including scope, cost schedule, and budgeted capital outlay support resources.

Division Chief, Programming:

- Represents the Department at CTC meetings on all issues regarding the SHOPP.
- Prepares and distributes the Ten-Year SHOPP Plans and programming documents.
- Coordinates with Division Chiefs and districts in managing programmed projects, including SHOPP amendments, and UN-PARS.

Division Chief, Budgets:

- Obtains approval of the SHOPP Executive Committee prior to including SHOPP funding levels in the STIP Fund Estimate.
- Approves funding for programmed SHOPP projects.

District Directors:

- One each from an urban, rural, and regional district participates as members to the SHOPP Executive Committee to represent all districts.
- Appoint three Deputy District Directors, one each from an urban, rural, and regional district, as members to the SHOPP Division Chief Committee to represent all districts.
- Establish District SHOPP Committee to coordinate and manage the SHOPP programs.
- Develop and submit district Financially Constrained Ten-Year SHOPP Plan that satisfy district performance goals for all SHOPP programs to the SHOPP Executive Committee.
- Develop and recommend the district four-year listing of SHOPP projects to be programmed by the CTC.
- Ensure cost-effective PID are prepared in accordance with the approved district Financially Constrained Ten-Year SHOPP Plan, PID work programs, and that expenditures do not exceed allocation.
- Ensure the major and minor programmed SHOPP projects are coordinated with the STIP, major maintenance, other local program projects, modal plans, and system planning documents.
- Ensure the delivery of quality, cost effective major and minor SHOPP projects that accomplish their intended performance goals within programmed scope, capital and support costs, and schedule.

Ten-Year SHOPP Coordinator:

- Coordinates with Division Chiefs and district staff to ensure consistency in the preparation of performance goals and measures, guidelines, priorities and other documents for the Ten-Year SHOPP Plan.
- Prepares action items and reports on progress at the next meeting, for the SHOPP Division Chief Committee and the SHOPP Executive Committee.
- Conducts weekly SHOPP Managers meetings.

SHOPP Executive Committee:

The committee is chaired by the Deputy Director Maintenance and Operations and includes the Deputy Director Project Delivery, Deputy Director of Finance, Deputy Director for Planning and Modal Programs, and three District Directors, one each from an urban, rural, and regional district.

- Approves or modifies recommendations submitted by the SHOPP Division Chief Committee.
- Resolves SHOPP conflicts between districts and divisions.

SHOPP Division Chief Committee:

"Caltrans improves mobility across California"

The committee is chaired by the Chief, Division of Maintenance and includes the following Division Chiefs: Traffic Operations, Design, Pavement Management, Environmental Analysis, Project Management, Planning, Programming, and three Deputy District Directors, one each from an urban, rural, and regional district.

- Recommends approval of the following to the SHOPP Executive Committee:
 - Policies and guidelines for the Ten-Year SHOPP Plan and the Four-Year Programmed SHOPP.
 - Statewide performance goals and funding levels for each component of SHOPP.
 - Statewide Ten-Year SHOPP goal constrained system needs plan and financially constrained Ten-Year SHOPP Plan.
 - District financially constrained Ten-Year SHOPP Plan.
 - SHOPP funding levels for the STIP Fund Estimate presentation to the CTC.
 - Priority criteria for projects across programs.
 - The four-year listing of SHOPP projects to be programmed by the CTC.
- Resolves SHOPP conflicts between SHOPP Managers and districts.

SHOPP Managers Committee:

The committee is chaired by the Ten-Year SHOPP Coordinator and includes Managers responsible for emergency response, collision reduction, mandates, mobility improvements, bridge preservation, roadway preservation, roadside preservation, facilities improvements, and representatives from programming and planning. The committee works on assignments as directed by the SHOPP Division Chief Committee.

APPLICABILITY

All departmental employees involved in initiating, planning, programming, designing, and constructing SHOPP projects.

Cindy McKim

CINDY McKIM
Chief Deputy Director (Interim)

9/24/2009

Date Signed