

CALTRANS IMPROVEMENT PROJECT

AUGUST 4, 2015

MID-YEAR REPORT 2015

This report updates the January 2015 progress report to highlight key recent workgroups achievements and main areas for further improvement this year.

INTRODUCTION

The purpose of the Caltrans Improvement Project (CIP) is to incorporate consistent practices and procedures that support the department's modernized mission, vision and goals. Five workgroups broke up the specifically identified tasks to tackle key issues including: (1) management, (2) transportation investments, (3) partnerships, (4) innovation and risk, and (5) communication. This report updates the January 2015 progress report¹ to highlight (A) key recent workgroups achievements and (B) main areas for further improvement this year.

STRATEGIC DIRECTION GROUP | COORDINATE AND SUPERVISE WORKGROUPS

Caltrans, together with the California State Transportation Agency (CalSTA), is committed to improving communication, building stronger partnerships and fostering a culture of performance and innovation. Through the workgroups, Caltrans will build on the Strategic Management Plan to ensure that the planned improvements become an integral part of daily Caltrans operations.

A | 2015 Achievements to Date

1. Coordinated with the new Caltrans Director of Sustainability to add sustainability to the Strategic Management Plan, performance measures to track progress, develop partnerships with other state agencies and external partners, and draft a sustainability policy.
2. Provided leadership and direction on the Strategic Management Plan completed in March 2015.

B | Areas to Further Improve in 2015

1. Finalize the sustainability policy to define the framework of Sustainability consistent with the Strategic Management Plan, and develop a Sustainability Implementation Plan.
2. Integrate performance measures with asset management to establish system condition baselines and operational targets.

¹ http://www.dot.ca.gov/CIP/docs/CIP_RecommendationOutcomes012015.pdf

WORKGROUP 1 | PERFORMANCE MANAGEMENT AND HUMAN RESOURCES

Caltrans began streamlining business processes and measuring system performance this year by finalizing the Strategic Management Plan. To measure success and hold itself accountable, Caltrans will use the Plan to set forth performance measures that must be met.

A | 2015 Achievements to Date

1. To begin measuring progress toward reaching new goals, Caltrans finalized the strategic management plan, which lists performance requirements for each of the department's goals.
2. To invigorate employee training, Caltrans expanded the Management and Leadership Training program by providing training, coaching and management support for 212 managers and supervisors.
3. To systematically improve management, Caltrans trained five employees on Lean 6-Sigma management methodologies, which were able to streamline five internal processes this year. These employees will be "green belts" in July and eligible to start training others in this highly recognized business practice.

B | Areas to Further Work in 2015

1. Train eight more employees in Lean 6-Sigma in 2015 for a total of 13 employees trained this year.
2. Develop enterprise risk management policy, training curriculum, and ongoing communication plan that will be presented to the Strategic Direction Group by the end of 2015.
3. Write program and district-level goals and measures by December 2015 that are aligned with the statewide goals and measures to provide direction for and assess management, supervisor and staff performance.
4. Establish a specific timeline by October 2015 for designing and implementing a performance management and reporting system.
5. To further the goal of accountability throughout Caltrans, progress on the submission of signed employee expectation memos will be reported by the end of August 2015.
6. Begin draft of "Caltrans Organizational Road Map" showing flow of authority by the end of 2015.
7. Rebrand the Employee Suggestion and Superior Accomplishment award program to track and encourage innovation by September 2015.
8. Submit draft risk management policy by December 2015 to encourage innovation and ethical behavior.

9. A task force of staff from Division of Human Resources, Department of Human Resources, and Labor will meet in August 2015 to continue the process of implementing new Individual Development Plans by 2017.

WORKGROUP 2 | SMART INVESTMENT AND RESOURCE ALIGNMENT

Caltrans is committed to matching its investments with its stated goals, including sustainability and a “fix-it-first” approach to transportation. By measurably reducing greenhouse gas emissions that cause climate change and fixing the existing system first, Caltrans will support a multimodal transportation system that gives travelers more choices.

A | 2015 Achievements to Date

1. To use proceeds from the state’s cap-and-trade program for transformative climate investments, Caltrans has dispersed approximately \$24 million through the Low Carbon Transit Operations Program.
2. To better track and prioritize the repair of existing transportation infrastructure, Caltrans appointed a State Transportation Asset Manager to develop a multi-objective State Highway Operations and Protection Program (SHOPP) program and project set to test many principles of a new method of defining and prioritizing transportation projects aligned with the department's strategic plan.
3. Caltrans included intelligent transportation systems and pavement, culvert, and bridge repair in the 2016 SHOPP Phase-I implementation and completed the pilot project of the new asset management program.
4. To improve the multi-modal transportation system to meet mobility, safety and greenhouse-gas reduction mandates, Caltrans hosted seven public workshops and met with stakeholders to help write the first draft of the California Transportation Plan 2040.
5. To help California lead the way in connecting disparate transportation systems into a more cohesive, statewide system, Caltrans published the first draft of the Interregional Transportation Strategic Plan with the final plan released in early July 2015.
6. To explore potential new transportation revenue options, Caltrans and its contractor are helping the California Transportation Commission design a Road User Charge pilot program, including five public workshops this year, where drivers would pay to help maintain the roads based on the distance they travel rather than the amount of gasoline they consume.
7. CalSTA and Caltrans have announced \$224 million in grants for the Transit and Intercity Rail Capital Program to help integrate and modernize the state’s transit systems, including integration with the future high-speed rail system.

8. Caltrans completed a pilot study using the Smart Mobility framework and established a new planning team to help bring the best multi-modal design and investment practices into department projects. Through this effort, Caltrans partnered with the Metropolitan Transportation Commission to implement a “smart corridor” along Interstate 80 in the Bay Area.
9. To generate new revenue for fix-it-first investments on the highway system and address priority freight corridors, the Governor called a special session of the Legislature. Caltrans is working to support this effort.

B | Areas to Further Work in 2015

1. Present to the public and California Transportation Commission a new way of selecting SHOPP priorities across the pavement, culvert, bridge, and intelligent transportation system assets classes, rather than only comparing within a particular asset class.
2. Work with CalSTA to complete the final draft of the California Transportation Plan 2040 by December 31, 2015.
3. Use the final Interregional Transportation Strategic Plan to develop the 2016 Interregional Transportation Investment Plan draft by October 15, 2015.
4. Initiate California Vehicle Inventory and Use Survey (VIUS) for trucks by building upon the National VIUS that was last updated in 2002. The survey will focus on collection data for the operational characteristics of trucks statewide.
5. Assist the California Transportation Commission’s Road Charge Advisory Committee to develop recommendations for the pilot by December 2015, and initiate procurement and other activities to quickly start the pilot.
6. Work with the Controller and the California Transportation Commission to allocate funds to recipients of the Low Carbon Transit and Intercity Rail Capital Program, and the Transit and Intercity Rail Capital Program by August 30, 2015.
7. Operationalize the Caltrans Smart Mobility plan, including coordinated transportation and land use planning practices, into Caltrans modal plans, guidance, and manuals.
8. Support the Administration during the special session on infrastructure finance through testimony and other data and analysis.

GROUP 3 | STRATEGIC PARTNERSHIPS

Caltrans is continuing to collaborate with industry partners, including highway, road, transit, freight, high-speed rail, and other transportation modes. The objective is to build better relationships with transportation partners and seize opportunities to demonstrate leadership and statewide planning.

A | 2015 Achievements to Date

1. To streamline permitting and maximize efficiency in planning, Caltrans joined with San Diego Association of Governments and the California Coastal Commission to issue the largest consolidated permit for multi-modal improvements on Interstate 5.
2. To help build a multi-modal transportation system that links largely unconnected transportation systems, Caltrans planning and right-of-way experts are helping the California High Speed Rail Authority to design and build the nation's first high-speed rail system.
3. To foster the types of planning and projects that will lead California to more efficient land use and more multi-modal transportation options, Caltrans completed the Smart Mobility Framework Implementation Pilot study.
4. Caltrans created the California Statewide Modeling Advisory Committee which is a forum to bring state and regional agencies together to discuss statewide and interregional travel issues and priorities, recommend solutions and action items, and advance analytic tools to support planning and project development. The committee meets quarterly and had two meetings in 2015.
5. To facilitate the implementation of Senate Bill 743, and to be consistent with the new Caltrans mission and goals, Caltrans has revised the Local Development – Intergovernmental Review comment letter content to explicitly indicate support for infill development and multi-modal goals.
6. To improve rail coordination in California, on June 29 Director Dougherty signed separate agreements with the San Joaquin Joint Powers Authority and the San Diego, Los Angeles and San Luis Obispo Joint Powers Authority to transfer management responsibilities for the state-supported Amtrak intercity rail services to these joint powers authorities. The transfers will allow regional management to better-integrate these services with local and commuter transit options, while at the same time, maintaining a Caltrans coordinating role to best integrate all these transit options interregionally and to the high-speed rail system.
7. To help maintain affordability for homes originally purchased for the State Route 710 project, and to implement the Roberti Law, Caltrans published updated regulations on July 1, and has signed memorandums of understanding with the Department of Housing and Community Development and the California Housing Finance Agency. Through these actions, Caltrans is closer to being able to sell these more than 400 properties to low-income buyers and other buyers as specified in the Roberti Law.
8. To relinquish highways that do not serve a strong interregional benefit and may be better managed at the local level, Caltrans included a proposal in the January budget to streamline the relinquishment process. While that proposal did not pass as part of the 2015-16 budget, Caltrans is still pursuing this approach through policy legislation.
9. Caltrans has met with the California Coastal Trail Association as a first step in better understanding how Caltrans can best partner on improvement and completion of the California Coast Trail.

10. Completed the Statewide Freight Forecasting Model.
11. To support the implementation of SB 743, Caltrans executed a contract to develop a Transportation Analysis Guide for projects on the State Highway System which updated the Transportation Impact Study Guide.

B | Areas to Further Work in 2015

1. Join with the California Coastal Trail Association and appropriate state resource departments to refine mapping, and define the scope of Phase I activities Caltrans can perform to help complete the Trail. The Phase I implementation plan will be completed by February 2016.
2. Update the California Travel Demand Model deployed in 2014 to provide Caltrans with the state-of-the-art tool to analyze state and interregional travel issues and linkage with regional models.
3. Develop list of advanced mitigation projects in the SHOPP 240 program by August 2015 and the Work Plan for Advanced Mitigation by September 30, 2015.
4. Implement the intercity workgroups as specified in the transfer agreements with the San Joaquin Joint Powers Authority and the San Diego, Los Angeles and San Luis Obispo Joint Powers Authority.
5. Complete regulations to implement the Roberti Law, also known as the Affordable Sales Program. Additionally, Caltrans will complete the environmental review and begin the sale of these homes.

WORKGROUP 4 | INNOVATION, FLEXIBILITY AND RISK MANAGEMENT

To effectively manage transportation investments and meet department goals, Caltrans must continually assess and adapt employee assignments and organizational structures. By delegating some responsibilities to local districts, Caltrans is taking more responsibility for achieving department goals with flexibility and innovation.

A | 2015 Achievements to Date

1. To provide local districts with more flexibility - and greater accountability - Caltrans shifted additional authority from Sacramento to local districts for making design decisions through Design Delegation Agreements as of March 2015.
2. To allow for greater local innovation and flexibility in highway designs, Caltrans updated three chapters, including four sections and six figures within those chapters, of the California Manual on Uniform Traffic Control Devices to include innovations like buffered bike lanes and high visibility crosswalks.

3. To support engineers using their engineering judgment in creative and innovative ways, Caltrans clarified that its policy on highway design and project development allows engineers flexibility to design decisions on a case-by-case basis, rather than follow a “one-size-fits-all” approach.
4. To support multimodal and sustainable transportation, Caltrans hosted a Bike Summit to help develop new standards and guidelines for designing cycle tracks or separated bikeways. The summit offered various focus groups the opportunity to listen to diverse perspectives and engage in thoughtful discussions of future projects.
5. To foster local collaboration and innovation, Caltrans reiterated and clarified guidance regarding local entities decision-making authority of bike facilities on locally owned streets.

B | Areas to Further Work in 2015

1. Continue to meet with district staff - both legal and engineering - to explain the flexibility provided by the design decisions process by September 2015.
2. Publish the results of an ongoing process improvement study by August 2015 that evaluates the current design exception process and the move to a design decision process.

WORKGROUP 5 | COMMUNICATION

Caltrans is committed to better communication with stakeholders, the legislature, its internal and administration partners, the media and the public at large. To better communicate, Caltrans embraces social media, plans to revamp its website, and will draft a "best practices" guide for community engagement at the district level.

A | 2015 Achievements to Date

1. To connect with all employees and communicate the department’s new strategic management plan, Caltrans hosted the first-ever town hall webcast meeting on March 11, 2015, with all employees.
2. To improve communication about performance and transparency, Caltrans has produced 15 weekly news flash videos this year (34 to date.)
3. To communicate about performance requirements in the Strategic Management Plan, Caltrans published two issues of Mile Marker, in March and June 2015.
4. To show how Caltrans is embracing reform and a new Mission, Caltrans published three “reform”-based news releases and nine news releases highlighting sustainability and leadership.
5. To track and measure how stakeholders and the public feel about the department, Caltrans created an internal document called, “What They Said About Caltrans Improvement,” and will continually update it with qualitative quotes and public feedback upon receipt.

6. To measure internal employee satisfaction and compare it to 2008 benchmark measurements, Caltrans distributed an employee satisfaction survey in June 2015 and received over 4,000 comments.

B | Areas to Further Work in 2015

1. Approve social media guidelines to connect with all employees and stakeholders, and to improve performance and transparency.
2. Distribute the Caltrans Communications Plan to district PIOs by October 2015 to establish clear expectations for communications department-wide.
3. Ensure all districts are sending the media outlets at least one performance journalism story per month by distributing a tracking sheet by December 2015.
4. Publish a simpler, cleaner website that highlights the department's mission vision and goals by August 2015.
5. Distribute an external partner survey by end of December 2015 to measure how stakeholders and the public feel about the department.
6. Continue finding ways for Caltrans to engage with media in a positive way on traffic reporting.