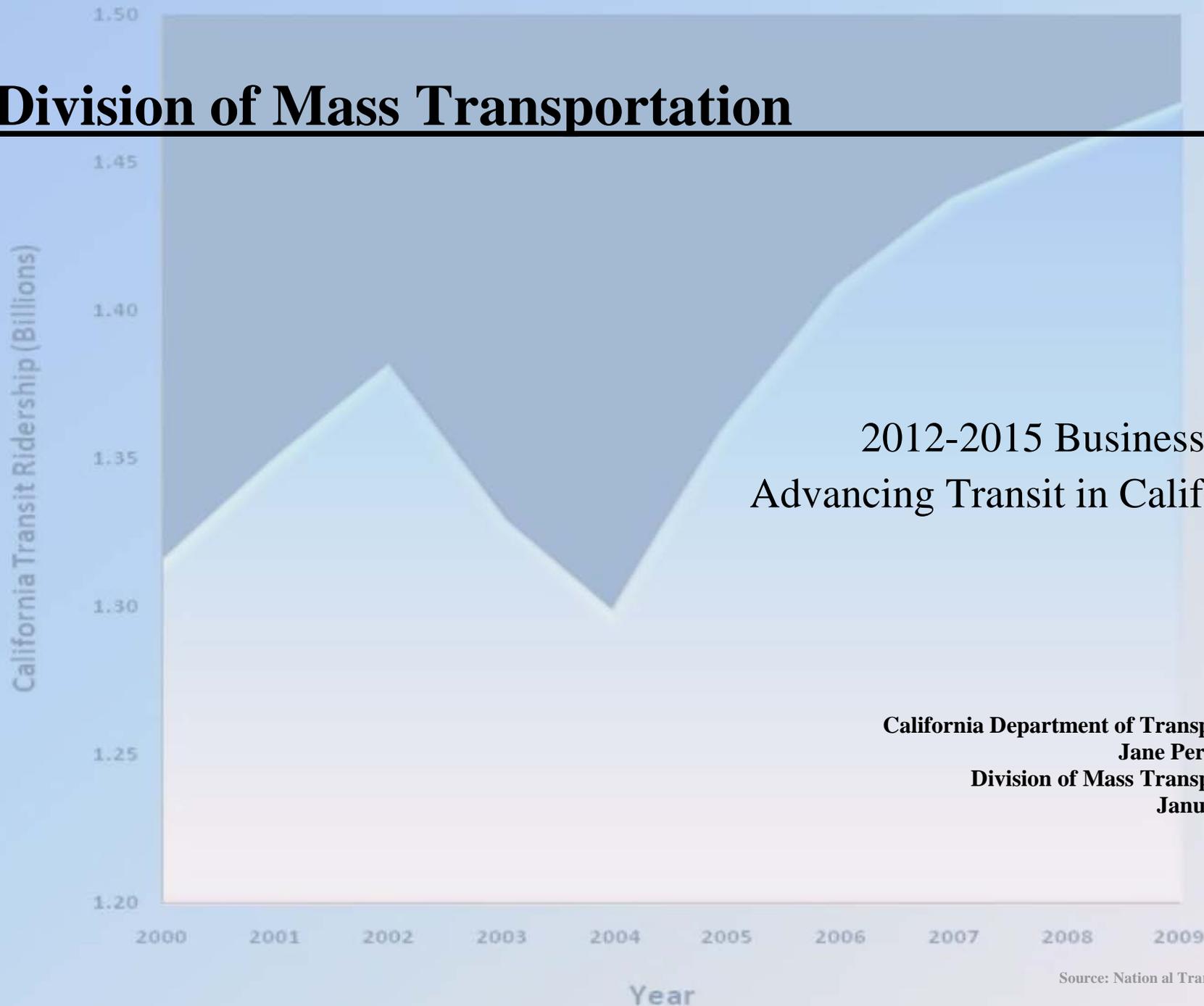


Division of Mass Transportation



2012-2015 Business Plan
Advancing Transit in California

California Department of Transportation
Jane Perez, Chief
Division of Mass Transportation
January 2012

Source: National Transit Database

Advancing Transit in California

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FOREWORD

The concepts contained in this Plan were derived through staff interaction. This Plan has been compiled to help identify and guide the Division's short term strategic business direction. It is a written commitment that enables measureable progress towards product oriented objectives. It is meant to be transparent so that all Department staff, our partners, and our stakeholders understand the direction the Division is taking. The Plan exemplifies our conviction to foster efficient, effective mobility through a consistent approach to professional service. The core elements of this Plan can be found in Appendix D.

This Division of Mass Transportation Business Plan may also be viewed online at: <<http://www.dot.ca.gov/hq/MassTrans/>>.

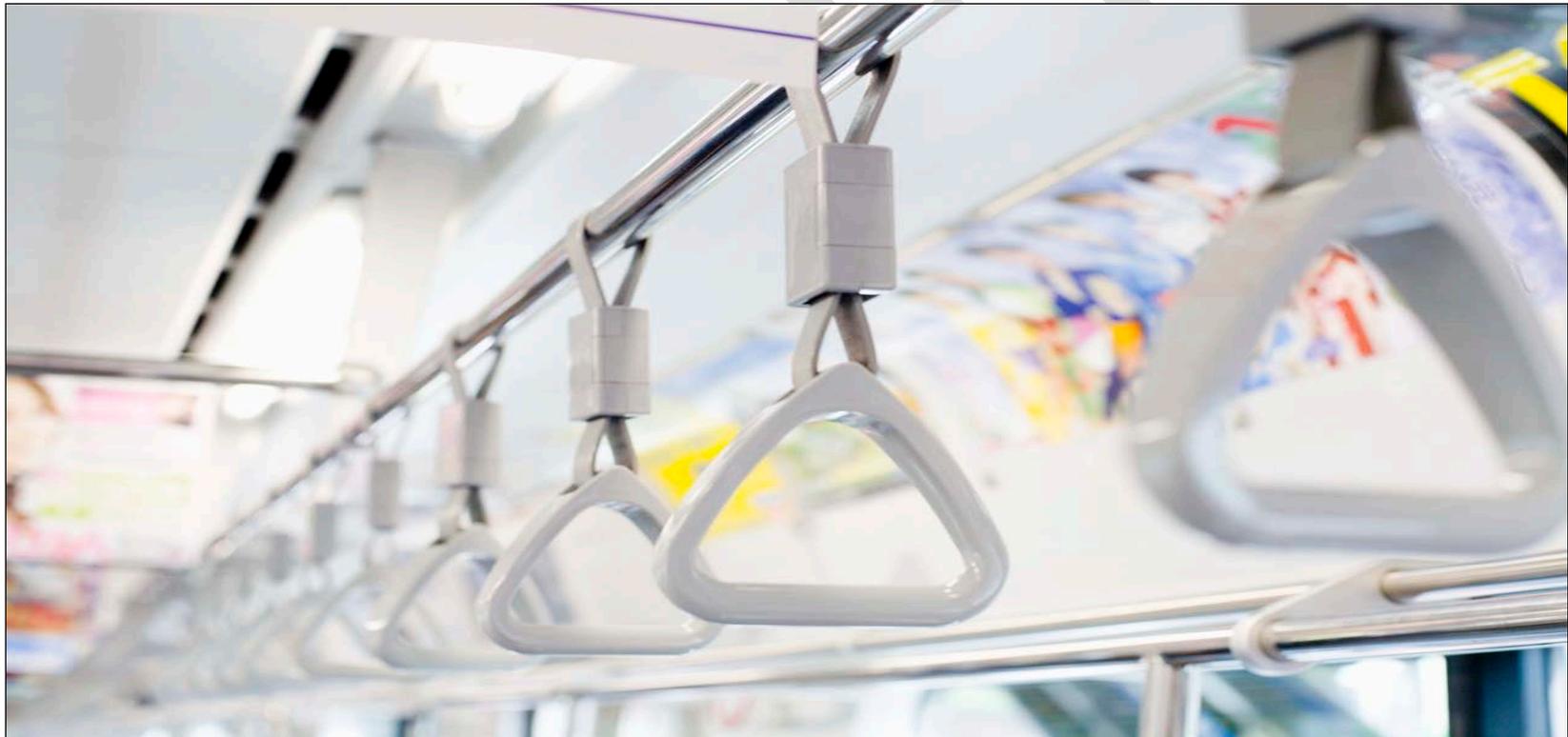


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Division Chief Message

Dear fellow Mass Transportation stakeholder,

I am pleased to present the 2012-2015 Business Plan for the Division of Mass Transportation (DMT). This Plan focuses on the professional concepts that set the stage for the Division's future. It lays a foundation that continuously reminds us of who we are, and why we are so very important to the Department's overall Mission and Vision...to "*Improve Mobility Across California.*"

As you are all most certainly aware, continuing budget deficits hinder the Department's ability to conduct business as usual. Therefore, the Department must find innovative ways to conduct business. There are many tools that both the Department and our stakeholders will seek to implement in order to facilitate improved mobility, but transit is being championed as one of the most robust transportation management tools that can be utilized. In this light, the opportunity is now for the Division to strengthen its position, and improve its role so that we can advance mass transportation as a common means under which the Department conducts business. The Division is currently meeting this challenge through the development of a Statewide Transit Strategic Plan (STSP). This planning effort will identify widely supported long-term goals and short-term strategies for improving public transit over the next 10 to 20 years. This document's focus will help us embrace the higher standards that evoke a transition to our future transportation system. This will require DMT to remain vigilant. We will continue assisting our stakeholders in the development and operation of California's quality transportation system and as you will see in the pages that follow, we are setting the stage for DMT's future.

DMT will be a credible resource for internal and external peers, partners, stakeholders and the public. We will continue to support the Department vision for improved mobility by bringing focus back to DMT as the statewide transit leader. We will intermittently refer to this Plan to remind ourselves to develop our professional qualities, seek cohesion, and continuously interact with others inside and outside of the Division to strengthen partnerships. These actions and business strategies we pursue will foster a more strategic approach to the integration of mass transportation for transportation planning and project development process, leading Caltrans into the business of 21st century mobility.

Sincerely,

Jane Perez, Division Chief

Executive Summary

The Division of Mass Transportation (DMT) is responsible for the administration of State and federal grant programs. These programs provide funding for operating assistance and capital improvement projects. DMT also conducts statewide transit planning, and provides technical assistance to agencies responsible for public transportation services. These efforts advance the development of California's multi-modal transportation system, which increases mobility for the traveling public.

The purpose in developing this Plan is for management to set forth a short term strategic business direction for the Division so that we can assist in the successful advancement of transit in California. This concept is reflected throughout the document, but displayed succinctly in Appendix D as Objectives, Strategies, and Actions. Completion of the actions outlined will position the Division to engage the multimodal vision that's been set forth by all transportation stakeholders, while helping to measure our progress in fostering efficient, effective professional services for both internal and external partners.

This Plan is organized in five sections to help display our proposed path to success. The Sections are:

Section 1 ~ Strategic Workforce Planning and Development: This section summarizes the continuous and systematic business process that the Division will employ to

meet new business demands while sustaining existing programs. This will be done by analyzing our organizational structure, and further developing our staff knowledge, skill and ability.

Section 2 ~ Program Delivery: This section contains new strategies and activities that will be employed to make State and federal program delivery more efficient.

Section 3 ~ District Coordination: This section identifies the formal roles the Division engages with the Department's twelve districts to encourage and stimulate the development of urban and interregional mass transportation.

Section 4 ~ Partnerships: This section describes the internal and external communication and collaboration that the Division seeks to establish common, mutually beneficial goals for the efficient and effective delivery of the mass transportation program.

Section 5 ~ Communication: This section describes an objective for sharing information beyond our conventional limits. It displays ideas that could be employed to exchange information efficiently and effectively – a key component for transit's future success.

DMT Overview and Background

Division Mission and Vision

The Division of Mass Transportation supports the Department's Mission and Vision "Caltrans Improves Mobility Across California" through a consistent approach to professional customer service. We are:

- *The Department's transit expert for internal and external partners*
- *Integrating transit in Department processes*
- *Knowledgeable, skilled, able*
- *Accountable, respectful and responsible*

We challenge, inspire and enable others, while fostering change, creativity, active communication, teamwork and sound business ethics.

Division History

In 1968 Governor Ronald Regan created a 24-member task force for the purpose of defining the State's role in transportation planning. This Task Force was also directed to recommend an organizational structure that could more effectively deliver the State's future transportation infrastructure needs. This task force was called the State Transportation Board. It was established in 1969 and met for the first time in 1970. Then, in September 1972 the Task Force released a Policy Memorandum titled: *Maintaining California's Leadership in Transportation*. This document describes how there was a growing and compelling need for bold leadership to reshape California's transportation organization. It also suggested a new organization that could build a basis for solving transportation problems. In January 1972 the Task Force began working on legislation that would create the California Department of Transportation from departments that resided within the "Business and Transportation Agency" of that time. These departments were Public Works, Aeronautics, and the Office of Transportation Planning and Research. Later on that same year Assembly Bill (AB) 69 became law, which established the core framework of Caltrans. This framework included DMT.

AB 69 captured the State Transportation Board's findings. The Bill also provided a snapshot of California's great cultural and physical geographic diversity. This diversity is the foundation upon which many of the State's transportation dilemmas continue to challenge Caltrans today. Growing public concern about a lack of transportation alternatives, and factors such as demography, housing choice,

density, growth patterns and their associated social impacts, topography, climate/weather and other environmental niches have, and continue to be contributing factors in determining a direction for transportation in California. Therefore, clear solutions to transportation problems, as described in AB 69, must embody multiple approaches– a mix of transportation modes, and balance between them all.

It was AB 69 that brought about the foresight for statewide transportation planning, integrated with urban/regional planning, while calling for the crafting of a California Transportation Plan. This promoted the need for stronger partnerships between State, regional and local transportation stakeholders. Authors of AB 69 recognized a local conviction to transportation, tempered however by larger statewide interests. Therefore, the role of the State in mass transportation as described in AB 69 was, and perhaps still is to: *“Encourage and stimulate the development of urban mass transportation and interregional high-speed transportation where found appropriate as a means of carrying out the policy of providing balanced transportation in the State.”*

Mass Transportation Today

Mass Transportation is at the forefront of California’s changing transportation culture. Mass Transportation supports improved mobility, congestion relief, environmental stewardship, and sustainability. Many Regional Transportation Planning Agencies in California have focused planning efforts on mass transportation and other alternative modes. Support for their efforts can be seen through recently enacted State laws, and through the Federal Transit Administration’s (FTA) new policy priorities. Caltrans policy has supported alternative modes of transportation and a balanced transportation system since the 1992 Director’s Policy # DP-05 – *Multimodal Alternatives Analysis*.

The Mass Transportation Program

The Mass Transportation Program improves mobility by providing State and federal capital and operating financial resources, statewide transit planning and program guidance, and technical expertise to local agencies that build, operate and maintain transit systems in accordance with local, State and federal statutory requirements. The Division is responsible for ensuring these roles and responsibilities are fulfilled. Federal and State transit program descriptions, and core services and activities that the Division oversees and delivers are listed in Appendix A.

Those that help the Division deliver its Program are displayed in the picture on the next page. An organization chart can be located at this web link: http://admin.dot.ca.gov/bfams/admin_svcs/functional_orgchart/64masstrans.pdf.

Information listing Division management and district Mass Transportation contact information can be found in Appendix B.

Division of Mass Transportation 2011-2012



Business Plan Organization

This Business Plan is composed of five sections and the appendices. Each of the sections begins with a matrix that identifies Objectives, Strategies, and implementable Actions that aim to accomplish the Division's Mission and Vision. A compilation of these sections can be viewed in Appendix D. This table is the defining key.

Key:

An **OBJECTIVE** is a means to an end that can be achieved within an expected timeframe and with available resources. Objectives are broad in scope. They are basic tools that underlie all strategic activities. They serve as the basis for DMT policy and performance management.

A **STRATEGY** is the proposed direction that DMT will take to achieve a specific objective.

An **ACTION** is any activity or event that brings positive material change to DMT and/or its stakeholders.



*~ We recognize it is vitally important to strike the right balance between good stewardship and the need to advance capital transportation projects ~
Peter Rogoff, FTA*

Section 1~ Strategic Workforce Planning & Development

This Section identifies the Strategic Workforce Planning and Development activities that set a professional path for the Division.

DMT Strategic Objective	Strategic Objective Definition	Strategies	Actions
Strategic Workforce Planning and Development	A continuous and systematic business process that progresses new business demands while sustaining existing program goals by growing staff knowledge, skill, and ability.	1) Performance Management 2) Succession Planning 3) Staff Development	1) Performance Management Plan - Execute Management/Staff Expectations - Execute Office Performance Contracts - Initiate HQ/DMT Quarterly Reports - Initiate Branch Briefings - Complete All Staff IDP's 2) Strategic Succession Plan - Conduct Staffing Needs Assessment - Conduct Classification Analysis - Update Duty Statements - Develop/Update Short Term Staffing Contingency Plan 3) Strategic Staff Development Plan

Performance Management

Our staff is our most important resource. Managing their performance is critical to successful Program delivery. Performance management includes processes that effectively evaluate employee performance while recognizing them for work done well. Senior management will develop and implement a *Performance Management Plan* that fosters:

- Management/Staff Expectations
- Office Performance Contracts
- Headquarters/DMT Quarterly Reporting
- Branch Briefings
- Complete Individual Development Plans



Management/Staff Expectations

The Division defines professionalism as: “conducting business with the highest level of leadership excellence, ethical standard, discipline, integrity, respect, courtesy and accountability.” All employees strive to obtain and demonstrate these qualities so that our knowledge, skills and abilities naturally facilitate Division roles and responsibilities. Division management will establish *Management/Staff Expectation Agreements* that clarify responsibilities for staff so that performance standards can be developed and the Division’s program activities fulfilled.

Office Performance Contracts

Both Office chiefs and the Division’s Resource manager will work with the Division chief to develop annual *Office Performance Contracts*. These Contracts will establish annual goals, and set targets for activities that deliver and improve the Division’s core program. These Contracts are an essential tool for enhancing the Division’s accountability.

Headquarters DMT Reporting

Both Office chiefs will work with their senior staff and the Division’s Resource manager to develop an *Office Quarterly Report*. These reports will be completed quarterly or semi-annually by each Branch chief, and be used to track performance by documenting quarterly progress for the goals and activities identified in the Office Performance Contracts noted above. Quarterly Reports will capture the status of each effort, significant changes or events that occurred during the quarter that may impact product delivery - also an essential tool for enhancing the Division’s accountability.

Branch Briefings

Each Branch chief will provide a monthly briefing to their Office chief and the Division chief. These briefings will offer senior staff the opportunity to report a high level status of critical issues for the Office Performance Contract goals and activities that have been assigned.

Senior/Staff Individual Development Plans (IDPs)

All supervisors will conduct an annual IDP with each of their employees. As part of the IDP, supervisors will interview individual staff to discuss performance, which includes a discussion of the employee’s career objectives, goals, and plan for achievement.

Succession Planning

The Division will establish an effective business succession structure that aligns the right people, in the right position, at the right time. It will focus succession to forecasted customer needs by developing employee knowledge, skills, and abilities. The Division will endorse this structure through development of a *Strategic Succession Plan (SSP)*. This activity is of utmost importance when factoring subjects like attrition rates, budgetary hiring constraints, limited-term positions, and unexpected staff absences/departures. A SSP represents one of the most robust workforce planning initiatives the Division can offer the Department. The SSP may employ:

- A staffing needs assessment
- A classification analysis
- Accurate, updated duty statements
- A short-term staffing contingency plan(s)
- A staffing (hiring) management – quality control plan

Staff Development

The Division will pursue staff development through a *Strategic Staff Development Plan (SSDP)*. This activity will offer employees the opportunity to engage training, which sharpens performance and fosters upward mobility. The SSDP also represents a robust, workforce planning activity, but offers both the employee and the Division mutual benefits. The SSDP will include the following:

New Employee Orientation Protocol

Senior managers who hire staff will strive to welcome and orient new employees. An appropriate introduction to DMT can ultimately assist new employee motivation, productivity and job satisfaction. The Division will develop a *New Employee Orientation/Welcome Package* to make new staff feel welcome, meet expectations, and aid them in general DMT protocol.

Guidance for Training

The California Department of Transportation has a very robust training and skills development program for the Transportation Planner classification series. This Program is offered through the Office of Workforce Development (OWD) within the Division of Transportation Planning (DOTP). Each year this Office supplies divisions with information that encourage division and employee predisposition of their training needs. They also offer a Transportation Planner Academy, Field Academy, and an interactive “Planning Horizons” venue for staff to engage. However, DMT will be taking these efforts a few steps further. Senior management will promote:

- *Training protocol.*
- *Training opportunities/needs.*
- *A schedule for developing a transit academy and a local transit tour/field academy.*
- *Cross-training and shadowing opportunities.*
- *Opportunities for internal/external rotations and acting assignments.*
- *Criteria for employee conference and workshop engagement.*
- *Information sharing sessions.*
- *Leadership strategies identified in the Department’s Management Training Program (MTP).*

~Knowledge, Skill, Ability

Leadership Strategies

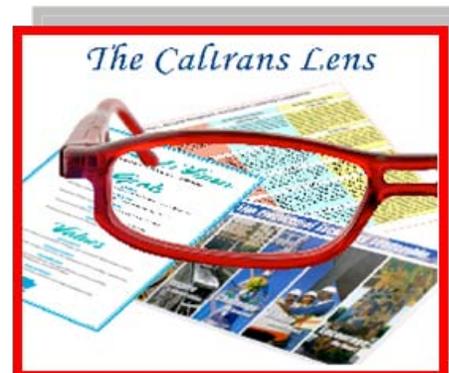
Division management strives to practice a path to successful leadership as part of all mentoring opportunities. There are many mid-level management core competencies that the Division seeks in our leaders. These qualities are all iterated through the Department's MTP. They include:



- ~Team-Building and Motivation*
- ~Communication*
- ~Self-awareness and Personal Growth*
- ~Change Management*
- ~Strategic Implementation*

The Department's current generation of leaders is also taught to look through "The Caltrans Lens" and practice these five leadership examples:

- ~Model the way*
- ~Inspire a shared vision*
- ~Challenge the process*
- ~Enable others to act*
- ~Encourage the heart*



Section 2 ~ Program Delivery

This Section identifies the activities that will enable the Division to efficiently and effectively deliver its program responsibilities.

DMT Strategic Objective	Strategic Objective Definition	Strategies	Actions
Program Delivery	<i>Efficient, effective delivery of established state and federal programs and associated activities.</i>	1) Organizational Structure Analysis 2) State and Federal Resource Delivery 3) Statewide Strategic Planning 4) Research and Technology Deployment	1) DMT Organizational Structure Study 2) Develop Resource Management Guide - Confirm District Service Level Agreements - Develop/Initiate District Quarterly Reports 3) Statewide Transit Strategic Plan 4) DMT Strategic Research and Technology Plan - Real Time Multi-Modal Travler Information

Organizational Structure Study

The business processes carried out by the Division reflect State and federal legislation. When these change, the Division’s business practices may change too. For example, the Federal Transit Administration’s (FTA) description of policy priorities for the next federal reauthorization – **Moving Ahead for Progress in the 21st Century (MAP 21)** or the annual State budget could suggest change for current Division practice. The FTA priority “Program Streamlining and Delivery” may suggest changes to the Division’s federal program administration. The Division may therefore embrace an *Organizational Structure Study* to determine whether or not the Division should be organized differently. Fostering this activity will require the Division to remain vigilant. We will continue assisting our stakeholders in the development and operation of California’s quality transportation system, and move forward to embrace potential change if study recommendations warrant management decisions.

~Our Top Priority - Program Delivery~

State and Federal Resource Delivery

The Division will develop a *Resource Management Guide* to help district and Division management accurately assess workload so that resources can be distributed to match need. This Guide will promote the use of *District Service Level Agreements* and *District Quarterly Reports*, which will also be improved so that monitoring activities can be carried out appropriately.

The following State and federal program process improvement efforts have been planned or are being implemented by the Division to help improve and streamline program delivery.

- A State Management Review (SMR) is an audit conducted every three years by FTA. The April 2010 SMR identified the need to update the Division's *State Management Plan* (SMP). It was updated in December 2011. This document provides essential direction for the FTA grant programs administered by the Division – FTA sections 5310, 5311, 5316 and 5317. It is organized for Division, district and local agency staff, and is being utilized to develop and implement improved policies and procedures so the federal programs are administered as efficiently and effectively as possible. The Plan was created through FTA guidance and reflects input offered by our partners and stakeholders.
- A *Mobility Action Plan* (MAP) was developed in 2005 with the assistance of transportation providers throughout California. Following the MAP study, the Division released a *MAP Strategic Implementation Plan* (SIP). This Plan serves as a blueprint for implementing strategies that can improve coordination among human service transportation providers. The Division will implement these strategies with assistance from our partners.
- *Desk guidance manuals* will be developed or updated for each program to allow seamless workload transition when positions are vacated.
- A *TransIT Database* is being studied to determine feasibility. It would be used by all State and federal grant programs to help support overall business process by centralizing grant program and project data repositories. This action will help staff administer, monitor, query, and respond holistically to program information requests.
- A *Website Improvement Process* will be implemented through formation of a Division website committee. Their goal will be to ensure clear, accurate, and up-to-date Program information posted to the Division's web pages.
- The Division is pursuing a *DMT Master Calendar* to foster transparency, coordination, and adherence to Division events, activities, and Program deadlines. It will include information on federal and State grant/funding cycles, training and technical assistance schedules, planned conferences and workshops, and any anticipated audits which the Division may be involved.

Examples of other recent products and accomplishments supported by the Division are listed on the next page.

Supported Products

- Fixed route and Demand responsive service
- Rural transit service
- Commuter and Urban Rail service
- Grade separations
- Ferry service
- Ferry terminals
- Bus and rail car purchase/replacement
- Intermodal station/stop construction/rehabilitation
- Maintenance/operation facility construction/rehabilitation
- Vehicle storage facilities
- Fueling and solar charging stations
- Park and Ride lot construction/rehabilitation
- Pedestrian-transit facilities
- Fare collection systems
- Bicycle bus racks
- Intelligent Transportation Systems (ITS)

Samples of Program support products we have completed in the past year are listed below.

- Completed Phase I – the Baseline Conditions Report, for a Statewide Transit Strategic Plan (STSP).
- Completed the State Management Plan (SMP).
- Executed a three year Rural Transit Assistance Program (RTAP) contract.
- Implemented an American Recovery and Reinvestment Act (ARRA) on-line reporting system.
- Completed the Mobility Action Plan (MAP) study with the assistance of transportation and human service transportation providers throughout California.
- Completed Phase I of the Google Transit Trip Planner.
- Supported efforts to identify Statewide Unfunded Transit Needs for the California Transportation Commission's Statewide Transportation Needs Assessment.
- Completed Guidelines for the State Transit Programs.
- Administered a combined \$178 million for all State transit capital programs (\$122 million pending).
- Administered \$214 million in Proposition 1B Public Transportation Modernization, Improvement, Service Enhancement Account funding to eligible applicants for 138 projects.
- Administered \$18 million in Section 5311 and CMAQ grants.
- Administered \$1.2 million in Section 5311(f) intercity bus grants.
- Implemented use of Transportation Development Credits for FFY 2011 and 2012.
- Completed administrative duties for the Agriculture Worker Transportation Program.

Statewide Planning

The Department is spearheading an effort to update the *2007-2012 Caltrans Strategic Plan (CSP)*. Through this Plan, management will strive to enhance Caltrans' leadership role. This effort has identified four strategic priorities that inform the objectives identified in this Business Plan. The CSP strategic priorities are:



1. Effectively manage partnerships to maximize funding available for transportation services.
2. Provide a safe and efficient highway system using effective business processes that reduce the cost of doing business.
3. Develop and maintain an informed and engaged workforce that is empowered to effectively deliver our projects and programs.
4. Consistently communicate as one Department both internally and externally leading to improved Department credibility.

Statewide planning is one tool the Division will use to engage these four CSP priorities. The Division is currently engaging transportation stakeholders for the development of a *Statewide Transit Strategic Plan (STSP)*. The STSP will integrate with the California Interregional Blueprint (CIB), and ultimately the California Transportation Plan (CTP). Through this collaborative process, the STSP will develop support for efficient, effective public transportation moving into the future. All components of the STSP are projected to be complete by March of 2012. Upon STSP completion, we will continue engaging the CIB and CTP efforts until their completion. To date, the STSP has identified several widely supported long-term and short-term strategies that the Division could embrace to help transit agencies advance transit in California. These include:

- Process improvements to streamline State and federal funding applications and reporting requirements.
- The identification and dissemination of best practice for transit.
- Facilitating interagency or inter-jurisdictional partnerships through model agreements and procedures.
- Educating the public and stakeholders about the importance of mass transportation in achieving other statewide goals.
- Filling gaps in local transit planning to help fulfill long-range transit planning goals.

~Transit Planning is Collaborative ~

Research and Technology Deployment

The Division will work collaboratively with the modal programs and other divisions to define mass transportation research and technology concepts that are realistic and help achieve transportation goals through the deployment of technology. This will be done by developing a *DMT Strategic Research and Technology Plan* with the assistance of research and technology committees that the Division of Research and Innovation (DRI) sponsor – the *Research and Deployment Steering Committee* and the *Research and Deployment Advisory Committee*. There are several research project families that the Division pursues with DRI to improve transit and our Program’s efficiency and effectiveness. DMT has identified several projects for each family. The project families are:

- *Real-time multimodal traveler information* - To advance technology that can collect and make available real-time traveler information to transportation decision makers and the traveling public.
- *Bus Transit* - To advance technology that improves transit operational efficiency.
- *Intermodal Connectivity* – To advance technologies that encourage mode shift, and transit performance.

Two projects currently being deployed are:

- The *Google Transit On-Line Trip Planner* is a growing effort. It is enhancing partnering opportunities, helping meet regional and interregional mobility goals, enabling coordination of services, and promoting single occupant vehicle use reductions by encouraging mode shift through easy on-line access to transit information.
- The *Transit Pass Payroll Deduction Program* has been studied to determine feasibility for enhanced security and upgrades that allow broader participation. The security improvements will be implemented. Upgrades to broaden participation are still being studied.



Section 3 ~ District Coordination

The Division, district, and local agencies all work together to foster the evolution of transit in California. This section identifies the formal roles the Division engages with the Department's twelve districts to encourage and stimulate the development of urban and interregional mass transportation. These roles help support a balanced, multimodal transportation network in the State.

DMT Strategic Objective	Strategic Objective Definition	Strategies	Actions
District Coordination	<i>Collaborative interaction between Headquarters district transit staff and local agency staff to share and promote constructive solutions to local mass transportation issues.</i>	1) Technical Assistance 2) State and Federal Grant Administration	1) Comprehensive Coordination <ul style="list-style-type: none"> - Continuous Interaction - Local/District/HQ - Conduct Quarterly VTC meetings - District Roles/Responsibilities Comprehensive Review 2) Execute Contracts/Agreements

*~ Continuous, Comprehensive
Collaboration ~*

District Technical Assistance

Successful promotion of a transit project occurs when comprehensive efforts are continuously coordinated between the Department's districts and local agencies. Districts engage this collaborative process with local/regional agencies to propagate transit projects that fit local context. Our District Transit Representatives encourage interagency coordination by comparing and contrasting Department plans and programs with local/regional plans or planning processes to help reveal and promote opportunities for transit integration. These plans and processes include:

Department Plans/Products

The California Transportation Plan
California Interregional Blueprint
Statewide Transit Strategic Plan
System Plans
Programmed Projects (STIP/SHOPP)

< COORDINATE >

Local/Regional Plans/Processes

Overall Work Programs
Regional Transportation Plans
Long Range Transit Plans
Local Land Use Proposals (CEQA)
Unmet Transit Needs Process

Transit projects can also be revealed through early interagency activities or studies. The Division of Transportation Planning offers several grant programs that can be used to plan and foster local transit projects. These programs can be located at the following website: <<http://www.dot.ca.gov/hq/tpp/#>>.

Interaction between Headquarters and district transit staff is an encouraged, mandatory activity. It is conducted as needed on a daily basis to share and promote constructive solutions to issues that affect the progression of mass transportation. The Division also conducts a *District Quarterly Roundtable* with all 12 districts to share the more complicated issues that need to be addressed statewide. This platform will provide opportunity for the Division to engage a *Comprehensive Review of District Roles and Responsibilities*.

State and Federal Grant Administration

Planned transit projects can be funded using a combination of many different federal, State or local resources. However, projects that receive allocations through the State and federal grant programs administered by the Division trigger shared headquarters-district responsibilities to ensure project contracts/agreements are initiated appropriately. Specific project oversight duties may also reside with district or headquarters staff depending on the program's structure. Programs administered by the Division are listed in Appendix A. Descriptions for each program are detailed at the following web site <<http://www.dot.ca.gov/hq/MassTrans/>>.

Section 4 ~ Partnerships

The Division conducts business with many different people and organizations. These entities are transit stakeholders, and may be our partners. We value transit stakeholders and our partners because they are our customers. Partners have been defined by staff and management and are listed in Appendix C. This Section identifies the strategies and actions that will drive partnership enhancements.

DMT Strategic Objective	Strategic Objective Definition	Strategies	Actions
Partnerships	<i>Business engagements formed by two or more internal and/or external organizations that have common professional goals and work together to provide professional services to mutual stakeholders and the public.</i>	1) Enhance Stakeholder Interaction - Build External Partnerships - Assist Stakeholders 2) Enhance Stakeholder Interaction - Build Internal Partnerships	1) External Partnership Engagement Plan - Develop Customer Service Guidelines - APTA, CTA, CalAct - Rural Counties Task Force - Small Operators Working Group 2) Internal Partnership Engagement Plan - Traveler Information Working Group - Budgets, Programming, CTC

~Planning the partnership is as important as planning the project ~

Enhance Stakeholder Interaction

Build External Partnerships

Partnering is an essential Division practice. Today, transportation decisions are built on open, active information exchange, trust, understanding and teamwork. Partnerships help the Division and our transit stakeholders stay informed about federal, State and local perspective and new industry standards. Partnerships have:

- Promoted a coordinated expansion of transit knowledge, skill and ability.
- Built knowledge sharing venues to solve mutual issues.
- Helped research, develop, design, produce, deploy, and distribute product.
- Enhanced project/product delivery - scale, scope, speed, and reduced costs.
- Promoted future opportunity.

The list below represents examples of external partner groups the Division has engaged.

- Department of Finance, Legislative Analyst Office, Business Transportation & Housing Agency
- APTA, CTA and CalAct
- Rural Counties Task Force
- Transit Agencies
- Small Operators Working Group
- Intercity Bus Advisory Committee
- TDA Working Group
- FHWA/FTA/Caltrans Interagency Working Group
- MAP Advisory Committee

The Division will continue enhancing communication with our existing external partners, while engaging new external relationships that enable the Division to assist stakeholders in our mutual pursuit of high quality mass transportation services. We will develop *Customer Service Guidelines* to help promote partnering engagements, and improve information exchange.

Build Internal Partnerships

If we want to create an environment within the Department that is populated by people who are working toward common mobility goals, strategic partnering strategies will be the key to bringing that about. The Division must be proactive, and convey consistent, compatible messages that provide guidance to our internal partners. Building upon internal partnerships will be a productive approach to foster a Mass Transportation program that efficiently and effectively promotes mass transportation projects and activities on the State highway system. Success will help the Department recognize transit as a key component to the larger multimodal transportation system. The Division will continue seeking and sharing information among internal partners to help the Department integrate, and therefore advance transit elements so that a more robust multimodal project development process can be championed. The list below describes examples of internal partnering opportunities the Division has and will continue engaging.

- The Division engages cross-functional coordination with the divisions of Planning, Transportation System Information, Research and Innovation, Design, and Traffic Operations to facilitate solutions for mutual issues.
- A Real-Time Multimodal Transit Information Working Group has been established to coordinate several research efforts that may help engage transit data in Department project development activities.
- The Division meets several times each month with staff from Budgets, Programming, and the CTC to coordinate federal and State grants/funding items that are heard at monthly CTC meetings.

Section 5 ~ Communication

This Section identifies the strategies and actions that will encourage the Division to provide outreach beyond our conventional means.

DMT Strategic Objective	Strategic Objective Definition	Strategies	Actions
Communication	A systematic attempt to foster the Division's services beyond conventional limits, actively seeking potential customers by sharing information, networking and engaging professional activity.	1) Engage Active, Effective Communication	1) Program Communication Plan: - Webinar and Video Conferencing Framework - Website Postings - Workshops and Conferences - RTAP/Training - Statewide Plans, Surveys, Studies

Engage Active, Effective Communication

Continued success with all of our stakeholders depends greatly on active, effective communication. This serves to preserve and enhance our professional relationships by ensuring accurate information exchange. The Division's program is designed to focus on the needs of our partners and customers, so our communications strategies must do the same. This will be done by pursuing a *Communications Plan*. This Plan will seek to improve and deploy new venues that forward strategic Program information exchange, or announce conferences, workshops, and training. These venues might include:

- The Division's website
- Semi-annual newsletters
- Video messages
- Web based surveys
- Webinars

~Communication is key~

Appendix A - Core Programs and Services

Federal Funding Programs:

- FTA Section 5310 – Elderly and Disabled Transit
- FTA Section 5311 - Rural and Small Transit
- FTA Section 5311(f) – Intercity Bus
- FTA Section 5316 – Job Access Reverse Commute (JARC)
- FTA Section 5317 – New Freedom
- FTA’s Rural Transit Assistance Program (RTAP)

State Funding Programs:

- The Transportation Development Act (TDA)
- Proposition 1B - Public Transportation Modernization, Improvement, and Service Enhancement Account (PTMISEA)
- State Transportation Improvement Program (STIP)
- Proposition 116 – Clean Air and Transportation Improvement Act
- Traffic Congestion Relief Program (TCRP)
- Proposition 1B - State-Local Partnership Program (SLPP)
- Proposition 1A - Commuter and Urban Rail High-Speed Train Connectivity Program
- Agricultural Worker Transportation Program (AWTP)

Efficient, effective delivery of State and federal operating assistance and capital improvement resources to partner transit agencies through Program Administration is the Division’s top priority.

- Federal programs administered a combined total of \$49,634,000 to local transit partners in fiscal year 2010-2011.
- State programs allocated or provided oversight for a combined total of \$1,991,448 administered to local transit partners in fiscal year 2010-2011.

Complete program descriptions and guidance can be found at: <http://onramp.dot.ca.gov/hq/masstrans/>

Services and Activities:

- Statewide Transit Strategic Plan development
- Departmental Transit Integration support
- Bus Rapid Transit/High Occupancy Vehicle (HOV) support
- Park and Ride support
- Transit Oriented Development (TOD) support
- Transit vehicle/equipment procurement
- Transit safety and security support
- Transit Research
- Transit training and technical assistance



Appendix B – District Contact Information

<u>District 1</u> 1656 Union Street, Eureka, CA 95502 (707) 445-6600	<u>DISTRICT 3</u> 703 "B" Street Marysville, CA 95901 (530) 634-7640	<u>DISTRICT 5</u> 50 Higuera Street San Luis Obispo CA 93401-5415 (805) 549-3111
<u>DISTRICT 2</u> 1657 Riverside Drive Redding CA 96049-6073 (530) 225-3013	<u>DISTRICT 4</u> 111 Grand Avenue Oakland CA 94612 (510) 286-4444	<u>DISTRICT 6</u> 1352 W. Olive Avenue Fresno CA 93728-2616 (559) 488-4038
<u>DISTRICT 7</u> 100 S. Main Street Los Angeles CA 90012 (213) 897-3656	<u>DISTRICT 9</u> 500 South Main Street Bishop CA 93514 (760) 872-0601	<u>DISTRICT 11</u> 4050 Taylor Street San Diego, CA 92110 (619) 688-6670
<u>DISTRICT 8</u> 464 W. 4th St. San Bernardino CA 92401-1400 (909) 383-4561	<u>DISTRICT 10</u> 1976 E. Dr. Martin Luther King Blvd. Stockton CA 95201 (209) 948-7543	<u>DISTRICT 12</u> 3347 Michelson Dr. Irvine CA 92612 (949) 724-2000



Division Executive Management Team

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Appendix C - Partners

- U.S. Department of Transportation
- Federal Highway Administration
- Federal Transit Administration
- Native American Tribal Governments
- State Departments of Transportation
- State Departments (BT&H, DOF, LAO)
- Caltrans Divisions and Districts
- Metropolitan Planning Organizations (MPO's)
- Regional Transportation Planning Agencies (RTPA's)
- Cities and Counties
- Advocacy Groups (CTA and CalAct, NRDC, Transform)
- Transit Agencies
- California High-Speed Rail Authority (CHSRA)
- Consolidated Transportation Service Agencies (CTSA)
- Universities
- Non-Profit Organization
- The Public

Appendix D – Three Year Plan

DMT Strategic Objective	Strategic Objective Definition	Strategies	Actions	3-Year Plan																																			
				2012-13												2013-14												2014-15											
				J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D
Strategic Workforce Planning and Development	<i>A continuous and systematic business process that progresses new business demands while sustaining existing program goals by growing staff knowledge, skill, and ability.</i>	1) Performance Management 2) Succession Planning 3) Staff Development	1) Performance Management Plan - Execute Management/Staff Expectations - Execute Office Performance Contracts - Initiate HQ/DMT Quarterly Reports - Initiate Branch Briefings - Complete All Staff IDP's 2) Strategic Succession Plan - Conduct Staffing Needs Assessment - Conduct Classification Analysis - Update Duty Statements - Develop/Update Short Term Staffing Contingency Plan 3) Strategic Staff Development Plan	[Gantt chart grid showing activity bars for Strategic Workforce Planning and Development across 2012-13, 2013-14, and 2014-15]																																			
Program Delivery	<i>Efficient, effective delivery of established state and federal programs and associated activities.</i>	1) Organizational Structure Analysis 2) State and Federal Resource Delivery 3) Statewide Strategic Planning 4) Research and Technology Deployment	1) DMT Organizational Structure Study 2) Develop Resource Management Guide - Confirm District Service Level Agreements - Develop/Initiate District Quarterly Reports 3) Statewide Transit Strategic Plan 4) DMT Strategic Research and Technology Plan - Real Time Multi-Modal Traveler Information	[Gantt chart grid showing activity bars for Program Delivery across 2012-13, 2013-14, and 2014-15]																																			
District Coordination	<i>Collaborative interaction between Headquarters district transit staff and local agency staff to share and promote constructive solutions to local mass transportation issues.</i>	1) Technical Assistance 2) State and Federal Grant Administration	1) Comprehensive Coordination - Continuous Interaction - Local/District/HQ - Conduct Quarterly VTC meetings - District Roles/Responsibilities Comprehensive Review 2) Execute Contracts/Agreements	[Gantt chart grid showing activity bars for District Coordination across 2012-13, 2013-14, and 2014-15]																																			
Partnerships	<i>Business engagements formed by two or more internal and/or external organizations that have common professional goals and work together to provide professional services to mutual stakeholders and the public.</i>	1) Enhance Stakeholder Interaction - Build External Partnerships - Assist Stakeholders 2) Enhance Stakeholder Interaction - Build Internal Partnerships	1) External Partnership Engagement Plan - Develop Customer Service Guidelines - APTA, CTA, CalAct - Rural Counties Task Force - Small Operators Working Group 2) Internal Partnership Engagement Plan - Traveler Information Working Group - Budgets, Programming, CTC	[Gantt chart grid showing activity bars for Partnerships across 2012-13, 2013-14, and 2014-15]																																			
Communication	<i>A systematic attempt to foster the Division's services beyond conventional limits, actively seeking potential customers by sharing information, networking and engaging professional activity.</i>	1) Engage Active, Effective Communication	1) Program Communication Plan: - Webinar and Video Conferencing Framework - Website Postings - Workshops and Conferences - RTAP/Training - Statewide Plans, Surveys, Studies	[Gantt chart grid showing activity bars for Communication across 2012-13, 2013-14, and 2014-15]																																			

Key:
An **OBJECTIVE** is a means to an end that can be achieved within an expected timeframe and with available resources. Objectives are broad in scope. They are basic tools that underlie all strategic activities. They serve as the basis for DMT policy and performance management.
A **STRATEGY** is the proposed direction that DMT will take to achieve a specific objective.
An **ACTION** is any activity or event that brings positive material change to DMT and/or its stakeholders.

Notes:

