

CALIFORNIA DEPARTMENT OF TRANSPORTATION

DIVISION OF TRANSPORTATION PLANNING

PROJECT INITIATION DOCUMENT (PID)

STRATEGIC PLAN

**A PLAN FOR
STREAMLINING THE PID PROCESS**

DRAFT



SEPTEMBER 2012

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**MALCOLM DOUGHERTY, DIRECTOR
CALIFORNIA DEPARTMENT OF TRANSPORTATION**

FISCAL YEAR 2012-13

EXECUTIVE SUMMARY

The California Department of Transportation (Caltrans) initiated the Project Initiation Document (PID) Strategic Plan in 2009 as the framework for the efficient management of PID resources and to streamline the process for developing PIDs. It is developed in collaboration with regional and local transportation partners and is updated annually in September.

The **Mission** of this plan is to:

- Efficiently and collaboratively utilize PID resources to maximize project delivery on the State Highway System (SHS).

The **Vision** of this plan is to:

- Create a consistent, transparent, and fiscally-efficient process for delivering PIDs for priority candidate projects identified in state and regional transportation plans.

The PID Strategic Plan provides an action plan to implement key goals, objectives, and strategies to improve the PID program. A PID committee comprised of representatives from Caltrans headquarters divisions, Caltrans district offices, and local and regional transportation partners oversee the annual updates and implementation of this plan.

Implementation of PID Program Improvements

Over the past year, several recommendations from the January 2010 and March 2011 PID Strategic Plans have been implemented to streamline the PID development process and to reduce the resources needed to develop PIDs (refer to Appendix B). Major accomplishments include Caltrans:

- Working with regional and local partners have expanded the use of the Project Study Report-Project Development Support (PSR-PDS) streamlined PID for STIP and locally-funded projects.
- Expanding the Small Capital Value Project (SCVP) PID, a streamlined PID, to include SHOPP projects valued at \$3.0 million or less resulting in the significant reduction of resources needed to develop SHOPP PIDs.
- Streamlining reimbursement agreements for independent quality assurance (IQA) for locally funded SHS projects.

Caltrans will continue to work with regional and local partners to monitor the effectiveness of these streamlined processes, identify additional opportunities to improve the PID program and report findings in future updates of this plan.

Mission

- Efficiently utilize PID resources to maximize delivery on the State Highway System

Vision

- Create a consistent, transparent, and fiscally-efficient process for delivering PIDs for priority candidate projects identified in state and regional transportation plans

Guiding Principles

- Integrity, Commitment, Teamwork, Innovation

Values

- Partner with regional and local agencies to maximize anticipated State and local transportation funding
- Prepare quality PIDs to effectively and efficiently deliver projects

Strategic Goals 2012-13

Goal 1 Caltrans will continue to improve efficiencies throughout the PID process.

Goal 2 Caltrans will continue to improve the management of the PID program and PID resources.

Goal 3 Caltrans will continue to provide transparent communication with internal and external PID Stakeholders.

Goal 1: Caltrans will continue to improve efficiencies throughout the PID process.

Objective 1.1: Caltrans will establish a conflict resolution process.

Objective 1.2: Caltrans will streamline PID review procedures for PID oversight activities.

Strategy 1.1.1:
Develop a conflict resolution process and update the PDPM and policy documents to include conflict resolution.

Due Date: TBD

Strategy 1.1.2:
Convene an Executive Review Committee in the event that conflict over the necessary content of the PID arises.

Due Date: TBD

Strategy 1.1.3:
Implement and communicate the processes, guidelines, and policies for the conflict resolution process.

Due Date: TBD

Strategy 1.2.1:
Develop process to streamline PID review procedures and oversight activities.

Due Date: TBD

Strategy 1.2.2:
Provide training to District staff to guide the work of PID oversight activities.

Due Date: TBD

Strategy 1.2.3:
Caltrans staff will only review completed PID sections or return the PID with comments indicating what must be done to make the PID reviewable. Priority of review will be to complete PIDs.

Due Date: TBD

Goal 2: Caltrans will continue to improve management of the PID program and PID resources.

Objective 2.1: Caltrans will develop and use performance measures to manage the PID program.

Strategy 2.1.1: Develop and reassess performance measures to manage PID program.

Due Date: TBD

Strategy 2.1.2: Continue the PID Committee, including internal and external stakeholders, to continuously evaluate the effectiveness of the PID program and the PID Strategic Plan.

Due Date: TBD

Strategy 2.1.3: The PID Committee will recommend further improvements related to cost sharing, reducing costs and delays, and streamlining procedures associated with PID oversight.

Due Date: TBD

Strategy 2.1.4: The PID committee will meet quarterly, or as needed, to report its findings in annual September 1 updates of the PID Strategic Plan.

Due Date: TBD

Goal 3: Caltrans will continue to provide transparent communication with internal and external PID Stakeholders.

Objective 3.1: Caltrans will provide training for new and existing procedures.

Strategy 3.1.1: Hold a statewide meeting in Sacramento to provide training to key Caltrans PID staff on new and existing guidance and procedures.

Due Date: October 8-10, 2012

Objective 3.2: Caltrans will maintain a PID Committee made up of Caltrans staff and local PID stakeholders.

Strategy 3.2.1: Quarterly PID Committee meetings will be held to continuously evaluate the effectiveness of the PID program and recommend further improvements related to cost reductions and streamlining opportunities.

Due Date: TBD

Measuring Success

In order to accomplish the goals identified in this year's Strategic Plan, the strategies have been prioritized for implementation in fiscal year (FY) 2012-13 through FY2013-14. Key factors for achieving success include:

- **Communication**

Regular communication about the Strategic Goals, Objectives and Strategies is needed to maintain focus on achieving results.

- **Action Plans**

Project leads will implement action plans to develop and achieve deliverables for each strategy (refer to Attachment A).

- **Monitoring Progress**

The Caltrans Division of Transportation Planning, Office of Projects/Plan Coordination will coordinate with identified strategy owners to monitor progress and report to the PID Committee on a regular basis.

Over the past year, Caltrans has taken several actions to improve the PID program. To reduce the resources needed to develop PIDs, Caltrans working with regional and local partners have implemented the PSR-PDS and SCVP streamlined PIDs, and introduced the streamlined reimbursement agreement for locally funded SHS projects. Caltrans will continue to work with regional and local partners to monitor the effectiveness of these streamlined processes, identify additional opportunities to improve the PID program, and report findings in future updates of this plan.

Attachment A

PID Strategic Plan – Action Plan

Priority	Goals for Fiscal Year (Objectives and Strategies)	Lead	Year End Target	% Completed YTD	Due Dates	Comment
High	Goal 1: Caltrans will continue to improve efficiencies throughout the PID process.	Planning	100%	0%	TBD	
High	Objective 1: Caltrans will establish a conflict resolution process.	Planning	100%	0%	TBD	
High	Strategy 1.1.1: Develop a conflict resolution process and update the PDPM and policy documents to include conflict resolution.	Planning	100%	0%	TBD	
High	Strategy 1.1.2: Convene an Executive Review Committee in the event that conflict over the necessary content of the PID arises.	Planning	100%	0%	TBD	
High	Strategy 1.1.3: Implement and communicate the processes, guidelines, and policies for the conflict resolution process.	Planning	100%	0%	TBD	
High	Objective 1.2: Caltrans will streamline PID review procedures for PID oversight activities.	Planning and Design	100%	90%	TBD	
High	Strategy 1.2.1: Develop process to streamline PID review procedures and oversight activities.	Planning and Design	100%	90%	TBD	
High	Strategy 1.2.2: Provide training to District staff to guide the work of PID oversight activities.	Planning and Design	100%	90%	TBD	
High	Strategy 1.2.3: Caltrans staff will only review completed PID sections or return the PID with comments indicating what must be done to make the PID reviewable. Priority of review will be for complete PIDs.	Planning and Design	100%	90%	TBD	

PID Strategic Plan – Action Plan

Priority	Goals for Fiscal Year (Objectives and Strategies)	Lead	Year End Target	% Completed YTD	Due Dates	Comment
High	Goal 2: Caltrans will continue to improve management of the PID program and PID resources.	Planning	100%	0%	TBD	
High	Objective 2.1: Caltrans will develop and use performance measures to manage the PID program.	Planning	100%	0%	TBD	
High	Strategy 2.1.1: Develop and reassess performance measures to manage PID program.	Planning	100%	0%	TBD	
High	Strategy 2.1.2: Continue the PID Committee, including internal and external stakeholders, to continuously evaluate the effectiveness of the PID program and the PID Strategic Plan.	Planning	100%	0%	TBD	
High	Strategy 2.1.3: The PID Committee will recommend further improvements related to cost sharing, reducing costs and delays, and streamlining procedures associated with PID oversight.	Planning	100%	0%	TBD	
High	Strategy 2.1.4: The PID committee will meet quarterly, or as needed, to report its findings in annual December 1 updates of the PID Strategic Plan.	Planning	100%	0%	TBD	
High	Goal 3: Caltrans will continue to provide transparent communication with internal and external PID Stakeholders.	Planning	100%	0%	TBD	
High	Objective 3.1: Caltrans will provide training for new and existing procedures.	Planning	100%	0%	October 8-10, 2012	
High	Strategy 3.1.1: Hold a statewide meeting in Sacramento to provide training to key Caltrans PID staff on new and existing guidance and procedures.	Planning	100%	0%	October 8-10, 2012	
High	Objective 3.2: Caltrans will maintain a PID Committee made up of Caltrans staff and local PID stakeholders.	Planning	100%	0%	TBD	
High	Strategy 3.2.1: Quarterly PID Committee meetings will be held to continuously evaluate the effectiveness of the PID program and recommend further improvements related to cost reductions and streamlining opportunities.	Planning	100%	0%	TBD	

Attachment B

	Recommendation	Due Date	Status
Complete			
#1	Improve risk management process by documenting risks and risk owners in the project risk register.	Incorporated into PSR-PDS Guidance 9/30/11	Complete
#2	Improve risk management process by developing a clear and concise PID scope of work.		
#3	Develop a PID conflict resolution process and incorporate into Project Development Procedures Manual (PDPM).	Incorporated into PSR-PDS Guidance 9/30/11	Complete
#4	Pre-PID meeting with stakeholders to document the project purpose and need in the project charter.	Incorporated into PSR-PDS Guidance 9/30/11	Complete
#5	Develop and implement a PID reimbursement program for <u>Caltrans (CT) PID development</u> .	7/1/2011	Complete
#6	Develop and implement a PID reimbursement program for <u>PID oversight and CT pre-PID activities</u> .	7/1/2011	Complete
#7	Amend PDPM to clarify the appropriate level of detail necessary in PID development.	Incorporated into PSR-PDS Guidance 9/30/2011 7/1/2011	Complete
Ongoing			
#1	Annually develop the Three-Year PID Strategic Plan by August due January.	1/1/13	Ongoing
#2	Annually assess and determine the viability of the inventory of completed PIDs.	7/1/2013	Ongoing
#3	Annually develop and correlate PID work program to funding sources.	7/1/2013	Ongoing
#4	Continuously review and update the SHOPP PID inventory and ensure it is consistent with the 10-Year SHOPP Plan.	7/1/2013	Ongoing
#5	Coordinate with regional agencies to prepare variety of State Transportation Improvement Program (STIP) candidate projects for funding opportunities.	7/1/2013	Ongoing
#6	Enhance PID education and outreach activities for existing guidance and procedures.	Ongoing	Ongoing
#7	Hold a statewide PID training program available to all PID stakeholders.	Ongoing	Ongoing
#8	Ensure that each CT district has well-trained staff to guide the work of PID oversight activities	Ongoing	Ongoing
#9	PID committee made up of CT staff and local PID stakeholders.	Ongoing	Ongoing
#10	Define expectations and work estimates and schedules for Preliminary Environmental Analysis Report	7/1/2013	Ongoing
To Be Completed			
#1	Establish a PID conflict resolution process	Summer 2013	Pending
#2	Streamline PID review procedures for PID oversight activities	Summer 2013	Pending
#3	Develop and use performance measures to manage the PID program.	Summer 2013	Pending