



Project Study Report – Project Development Support (PSR-PDS) Process and Preparation Procedures – Part One

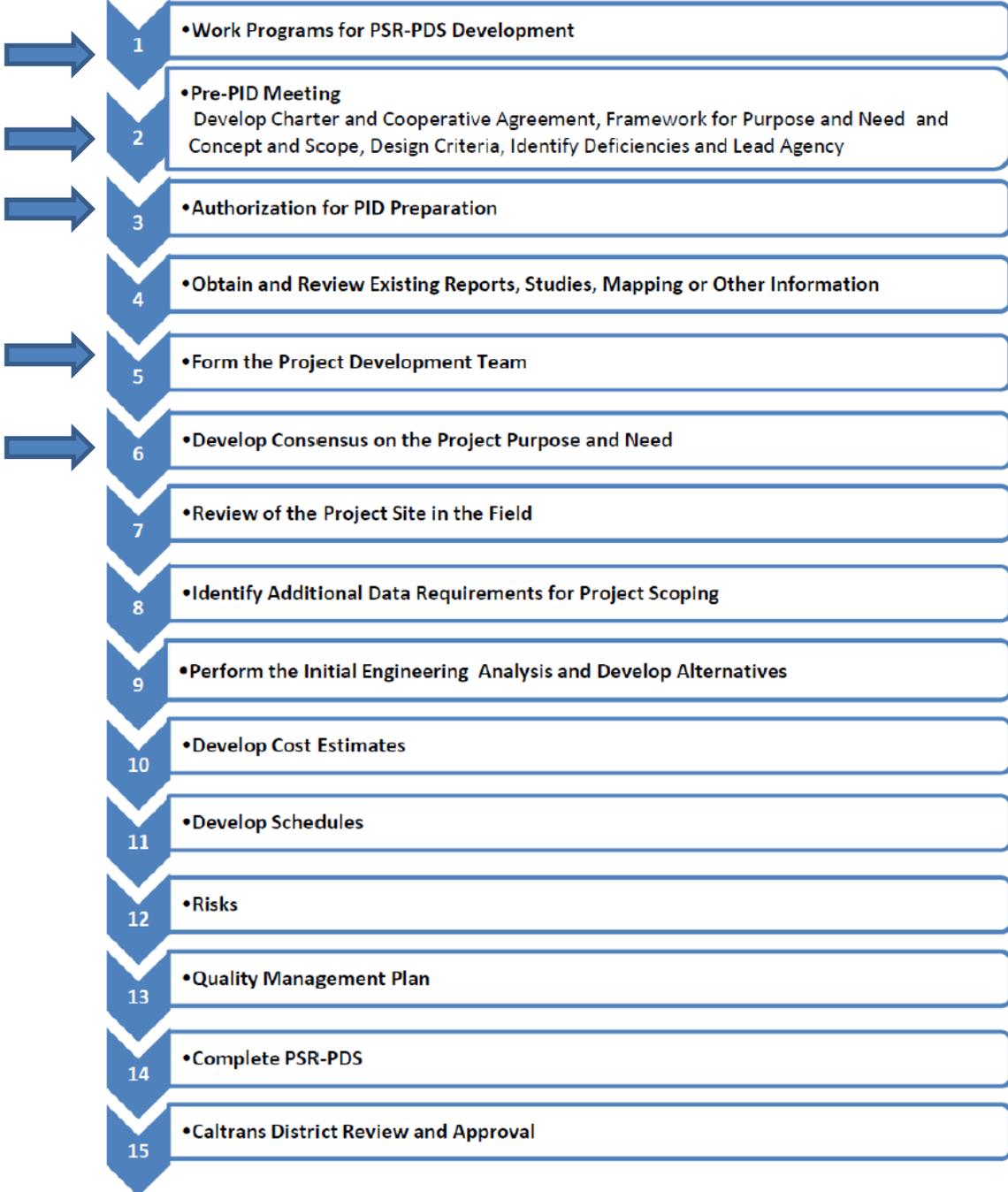
California Department of Transportation
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Overview

- Develop Work Programs for PSR-PDS Development
- Authorization for PID Preparation
- Pre-PID Meeting
- Form the Project Development Team
- Develop Consensus on the Project Purpose and Need



PSR-PDS Preparation Process



Develop Work Programs for PSR-PDS Development

- Deputy District Directors (DDD) for Planning develop PID work programs on an annual basis
- Work programs are a listing and schedule of proposed projects requiring resources
- Work program for the State Transportation Improvement Program (STIP) (includes projects-funded by others as defined in Chapter 9 of the Project Development Procedures Manual (PDPM)) and the State Highway Operations and Protection Program (SHOPP)

Develop Work Programs for PSR-PDS Development

- DDDs submit the work programs to Caltrans Headquarters Division of Planning, Office of Projects/Plan Coordination (OPPC) for approval
- OPPC establishes the procedures for opening an expenditure authorization for either the preparation of all PID work to include PSR-PDS PIDs or independent quality assurance (IQA) work
- OPPC monitors the resources and the delivery of PIDs listed in the work program

Develop Work Programs for PSR-PDS Development

- Work programs for STIP projects are developed in partnership with local and regional transportation agencies
- Caltrans or a local agency may prepare a PSR-PDS for STIP projects
- Caltrans has 30 days to determine whether it can complete the requested report in a timely fashion
- If Caltrans determines that the report cannot be prepared in a timely fashion, the requesting entity may prepare the report

Develop Work Programs for PSR-PDS Development

- Work programs for projects funded by others are developed in partnership with local agencies, regional agencies, or developers. Caltrans is responsible for providing IQA on all projects funded by others
- Projects identified in work programs must be included in a financially constrained Regional Transportation Plan
- Due to budget time constraints, the work program must be developed 18 months prior to the Fiscal Year needed

Authorization for PID Preparation

- The project initiation phase begins with the opening of an expenditure authorization. The project manager obtains an expenditure authorization to begin the projecting initiation process.
 - Task P01 of the Project Development Workflow Task

Questions



Pre-PID Meeting

- This is a required meeting - before the PID phase begins - regardless of who is preparing the PID
- The purpose of the meeting is to:
 - Communicate a shared view of the project
 - Establish an understanding of the process
 - Define roles and responsibilities

Pre-PID Meeting

- Develop the Draft Project Charter, which is the “roadmap” of the PID development process
- Outline the Cooperative Agreement for reimbursed features (if applicable)
- Set the framework for the concept and the scope of the project (major features of work)
- Review the PSR-PDS guidelines and required components

Pre-PID Meeting

- Agree on the Design Criteria (not the design standards)
- Identify known deficiencies
- Discuss National Environmental Policy Act/California Environmental Quality Act (NEPA/CEQA) Lead Agency
 - Caltrans is always the NEPA lead agency. Caltrans may delegate CEQA lead agency status.
 - This will be formalized in Project Approval and Environmental Document (PA&ED) with the cooperative agreement
- Develop the communication plan

Charter

- Required for all Capital Projects, and highly recommended for all others
- Documents agreement on the key elements of the project phase, specifically roles and responsibilities
- Documents consensus on the Purpose and Need
- Identifies any assumptions and risks
- Charter outline is drafted at pre-PID meeting, and finalized over a period of time

Cooperative Agreement

- Required for any project where there is an exchange of money or services
- Reimbursement cooperative agreement must be executed prior to performing any oversight activity on locally implemented PIDs
- Utilize Exhibit A Scope Summary Checklist as a guide during pre-PID meeting to identify responsibilities
 - <http://onramp.dot.ca.gov/hq/design/coop/pid-template.php>

Form the PDT

- Project Development Procedures Manual (PDPM) Chapter 8, Section 4
 - “The project development team (PDT) is directly involved with the implementation of a transportation project.”

Form the PDT

- Provides a multi-disciplinary approach to project development
- The PDT is responsible for conducting the studies throughout the project development process

Form the PDT

- The PDT leader is typically the Project Manager (PM)
- The leader should have an overall understanding of the project development process and be able to effectively manage a team
- PDT members may be full-time or part-time

Form the PDT

- At a minimum, members should include:
 - Project Management
 - Design
 - Environmental
 - Planning
 - Traffic
 - Safety
 - Surveys
 - Construction
 - Maintenance
 - Right of Way

Form the PDT

- For locally-implemented projects, the Local Agency PM or consultant will lead the PDT and provide a list of members to the Caltrans PM
- The Caltrans PM will then determine the appropriate members from internal functions
- Additional members may include Federal Highway Administration (FHWA), other local or regional agencies, or members of the public

Develop Consensus on the Project Purpose and Need

- A quality Purpose and Need statement is critical as the foundation that the components of the project will be built upon
- Many Caltrans and FHWA resources available to guide in development of the purpose and need
- Will be refined and developed in more detail throughout the project development process, but will remain essentially unchanged

Develop Consensus on the Project Purpose and Need

- The project sponsor (Caltrans, local agency) will identify the system deficiency that will define the “need” of the project
- The need will justify the environmental impacts of the project
- The “purpose” is defined by the objectives of the project

Develop Consensus on the Project Purpose and Need

- Development of the purpose and need will be based on the framework indentified in the pre-PID meeting
- May be developed by the project sponsor, but must have consensus of all key stakeholders
- Alternatives developed must satisfy the purpose and need

Questions?



Resources

- Project Development Procedures Manual
 - <http://www.dot.ca.gov/hq/oppd/pdpm/pdpmn.htm>
- Office of Projects Plan Coordination
 - <http://www.dot.ca.gov/hq/tpp/offices/oppc/index.html>

PSR-PDS Training Schedule



Session	Chapter	Topic	Nov 2011	Dec 2011	Jan 2012
One	One	Introduction	10		
Two	Two	PSR-PDS Process and Preparation Procedures Develop Work Programs, Authorization for PID Preparation, Pre-PID Meeting, Form the PDT, Develop Consensus on the Project Purpose and Need	17		
Three	Two	Obtain and Review Existing Reports..., Review of the Project Site in the Field, Identify Additional Data Requirements for Project Scoping		1	
Four	Two	Perform the Initial Engineering Analysis and Develop Alternatives - Environmental, Design, Structures		8	
Five	Two	Perform the Initial Engineering Analysis and Develop Alternatives - Traffic Engineering Performance Assessment, Stormwater, Right of Way, Local and Regional Input		15	
Six	Two	Develop Cost Estimates, Develop Schedules, Risk, Quality Management Plan and Independent Quality Assurance			5
Seven	Two	Complete PSR-PDS, Caltrans District Review and Approval			12
	Three	Outline for PSR-PDS			
	Four	PSR-PDS Estimates			
	Five	Scoping Tools			
	Six	PSR-PDS Templates			