

M e m o r a n d u m

To: ALL DISTRICT DIRECTORS
ALL PROJECT MANAGERS
JOHN ALLISON, ESC

Date: July 28, 2000

File:

From: DEPARTMENT OF TRANSPORTATION
DIRECTOR'S OFFICE

Subject: Implementation of Change Control

The Department currently has the opportunity to provide mobility across the State through enhanced transportation financing. This calls on us to improve our processes to enhance delivery and project quality by taking advantage of improved project processing.

A recent team effort "change control team" provided recommendations which move us in that direction. The goal of this team was to determine how to reduce design changes that occur after project approval. These changes can result in significant delays especially if they impact right of way requirements or environmental approval. At project approval the project shall have sufficient detail to firmly establish permit requirements, right of way requirements and environmental impacts. Delivering the promised project on time for the committed cost is crucial to maintain the Department's credibility.

The following actions are to be implemented immediately:

1. Establish District Change Control Teams to coordinate project lock-in process to manage scope changes after Project Approval and Environmental Document.
2. Implement attached changes in work breakdown structures (WBS).
3. Project Study Report-Project Development Support (PSR-PDS) shall be used to program all projects requiring an environmental document (non-CE).

These changes in practice are to increase the efficiency of the Project Development organization.

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This process shall be implemented on all new projects being programmed. STIP and SHOPP projects in the Environmental/Project Approval phase shall be evaluated for inclusion on a project by project basis. The concepts of this process, specifically scope control, should be applied to all projects.

A presentation and training on this process will be provided during August. Attached are Change Control Implementation Guidelines and the team's recommended changes to WBS.

If you have questions, please contact Bob Buckley at (916) 654-3858 or Terry Abbott at (916) 653-0253.

Original Signed by
BRENT FELKER

BRENT FELKER
Deputy Director

Attachments

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(C:\Work Folders\Misc memos & ltrs\Change Control 7-00.doc)

WBS Changes Required

The following summarizes the changes required to implement the Recommendations from the Change Control VA Team.

WBS changes are generally described to Level 6 unless Specific Level 7 items need to be moved before Project Approval or to the PID Phase. Some level 5 descriptions are used to complete the identification of what is included in the specific phase.

Teal color is used to identify added tasks to be done during the PID Phase.

Blue is used to identify added tasks to be done during the Project Decision Phase.

Black is used to identify tasks that do not change phases.

It is important that the WBS be changed to represent these changes as this represents fundamental change in the Caltrans Project Delivery Process and when these tasks are to be done. Performing these tasks at a later Phase would be considered doing "At Risk" design.

		PID/Programming		Project Decision Phase		Construction Documents
PM	150.xx	<i>Management Review</i>	<u>160.xx</u>	<u>Management Review</u>		
Environmental			<u>205.25</u>	<u>Prepare Agreements for Material Sites(needs level 7)</u>	235.20 235.25	Prepare Hazardous Waste PS&E Perform Hazardous Waste Clean-up
			<u>235.10.10</u>	<u>Perform Surveys to Locate Hazardous Waste Sites</u>	235.30	Certify Freedom from Hazardous Waste
			<u>235.10.15</u>	<u>Conduct Detailed Investigation</u>		Perform Long Term Mitigation Monitoring
			<u>235.15</u>	<u>Develop Hazardous Waste Management Plan</u>	235.35	Obtain Permits
Design	150	Develop Project Initiation Document (PID)	160	Perform Preliminary Engineering Studies and Prepare Draft PR	205.10 205.20.20	Execute Freeway Agreement
	150.05.30	Perform Surveys and Mapping for PID	165	Perform Environmental Studies and Prepare Draft ED	205.30	Prepare and Execute Maintenance Agreement (Execute Only)
	160.10.05	<i>Perform Surveys and Mapping for Project Report</i>	175	Circulate Draft Environmental Document and Select Preferred Alternative (ND and EIR only)	205.45	Obtain MOU from Tribal Employment Rights Office (TERO)
	160.10.15	<i>Prepare Geometric Plans for Project Alternatives</i>	180	Prepare and Approve Final PR& ED	205.50	Prepare and Execute Cooperative Agreement for Relinquishment (Execute Only)
	160.15.10	<i>Prepare Fact Sheet Exceptions to Design Standards</i>	<u>185.05</u>	<u>Review and Update Project Information</u>	230.35	Prepare Draft Specifications
	160.15.15	<i>Obtain Approval of Exceptions to Encroachment Policy</i>	<u>185.15</u>	<u>Prepare Request for Exceptions to Design Standards</u>	230.40	Prepare Draft PS&E Quantities and Estimates
	165.20.25.05	<i>Prepare Final Area of Potential Effects (Federal) / Study Area Maps (State Only)</i>	<u>185.20</u>	<u>Prepare Engineering Reports</u>	230.55	Incorporate Structures Draft PS&E
	150 New	<i>Identify possible packaging opportunities with other projects</i>	<u>185.25</u>	<u>Determine Right of Way Requirements</u>	235.05	Perform Environmental Mitigation
		<i>Initiate Mapping for Project Alternatives</i>	<u>190.10</u>	<u>Prepare Site Plans for Retaining Walls and Non-Standard Earth Retention Systems</u>	255.05	Circulate & Review Draft District PS&E Package

150 New	Formalize SO Process	190.15	Prepare Site Plans for Soundwalls	255.10	Update PS&E Package
150 New	More thorough analysis and risk assessment by Functional Groups		<u>on Retaining Systems or Structures</u>	255.15	Perform Environmental Reevaluation
		190.20	Prepare Site Plans for Pumping Plants	255.20	Prepare Final District PS&E Package
		190.25	Prepare Site Plans Special Design Culverts	255.30	Prepare Materials Information Handout
		190.30	Prepare Site Plans Bridges and Structures	260.10	Produce Check Prints
				260.15	Prepare Draft Contract Documents
		200.10	Determine Utility Locations (Potholing) and Prepare Conflict Maps		
		200.15	Utility Conflict Resolution		
		205.05	Determine Permit Requirements		
		205.10	Obtain Permits (Permit Prep)		
		205.20.05-15	Prepare Draft, Review Draft and Prepare Final Freeway Agreement		
		205.25	Prepare Agreement for Material Sites (needs level 7)		
		205.30	Prepare and Execute Maintenance Agreement (Prepare Only)		
		205.35	Prepare and Execute Cooperative Agreement		
		205.40	Obtain Route Adoptions		
		205.50	Prepare and Execute Cooperative Agreement for Relinquishment (Prepare)		
		230.30	Prepare Draft Drainage Plans		
		230.10	Prepare Draft Highway Planting Plans		
		230.05	Prepare Draft Roadway Plans		
		230.	Note Change 230 title to Prepare Draft Project Decision Plans		
		160.New	Finalize packaging opportunities with other projects		
		205.15	Obtain Railroad Agreements (Except PUC Approval)	240.xx	Prepare Draft Structure PS&E for Structures 1 through n.
		210.xx	Prepare Preliminary Structures Design Data	240.90	Prepare Draft Structure PS&E for "Overall" Project
		210.95	Prepare Preliminary Structures Design Data for "Other" Structures	240.95	Prepare Draft Structure PS&E for "Other" Structures
				250.10	Finalize Structures PS&E

Structures

	<u>215.xx</u>	<u>Prepare Structures General Plan</u>		Package
	<u>215.90</u>	<u>Prepare General Plan for Overall Project</u>	250.15	External Review of Structures PS&E Package
	<u>215.95</u>	<u>Prepare Preliminary Structures Design Data for "Other" Structures</u>		
Surveys and Right of Way Engineering	<u>185.10</u>	<u>Perform Design Surveys and Photogrammetric Mapping</u>	220.20*	Prepare Acquisition Document
	<u>220.05</u>	<u>Retrace and Perpetuate Existing Land Net</u>	220.25*	Prepare Deeds Package to Fulfill Contract Obligations
	<u>220.10</u>	<u>Prepare Land Net Map</u>	220.30	Perform Right of Way Revisions (Avoid)
	<u>220.15</u>	<u>Prepare Right of Way Maps</u>	225.05*	Appraise Right of Way
			225.10*	Acquire Right of Way
			225.15	Relocate Occupants/Personalty
			225.20	Prepare R/W Certification Documents
			225.25*	Process Federal Aid Documents
			225.30	Clear Right of Way
			225.35	Perform Continuing Condemnation Activities
R/W / Utilities			225.40*	Property Management
			225.45	Excess Land
	<u>200.05</u>	<u>Perform Preliminary Utility Verification</u>	200.20	Implement Utility Relocation Plan
	<u>200.10</u>	<u>Determine Utility Locations (Potholing) and Prepare Conflict Maps</u>	200.25	Manage the Utility Relocation
	<u>200.15</u>	<u>Utility Conflict Resolution</u>		
	<u>205.15</u>	<u>Obtain Railroad Agreements</u>		
	<u>205.25</u>	<u>Prepare Agreement for Material Sites(needs level 7)</u>		
	<u>230.25</u>	<u>Prepare Draft Utility Plans</u>		
	<u>235.10.05</u>	<u>Obtain Right or Permit for Hazardous Waste Site Investigation</u>		
	<u>230.15</u>	<u>Prepare Detailed Traffic Plans</u>		
Traffic Maintenance	<u>205.30</u>	<u>Prepare and Execute Maintenance Agreement (Prepare Only)</u>	205.30	Prepare and Execute Maintenance Agreement (Execute Only)
Construction				

* Activities that can be performed after completion of studies and selection of the Preferred Alternative to accelerate delivery.