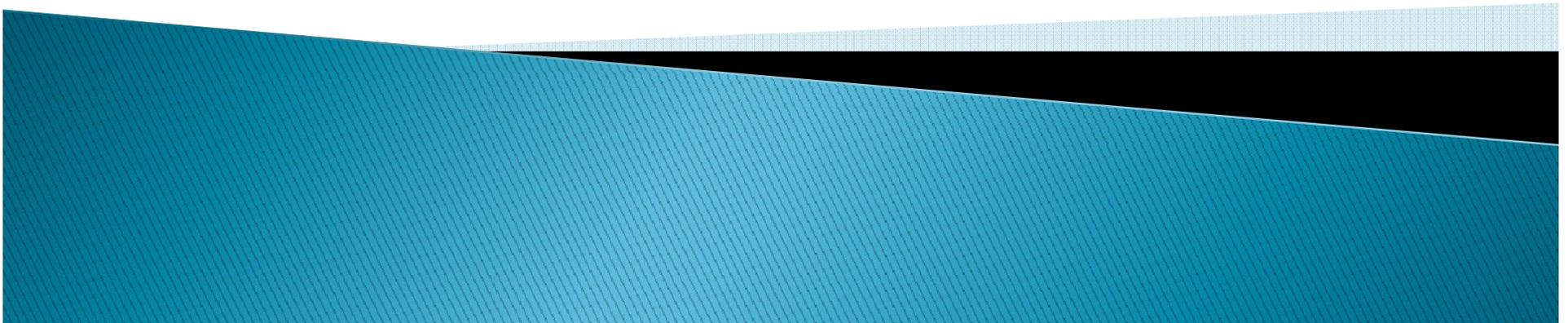




# Update on Caltrans Improvement Efforts

August 2014



# STARTING POINTS: INTERNAL AND EXTERNAL REVIEWS OF CALTRANS

## ▶ Internal Caltrans Program Review

- July 2012 report cited the primary objective as identifying cost-reducing efficiencies through re-organization opportunities, process streamlining, greater flexibility, appropriate internal delegation, and partnership
- January 28, 2014 final report captured major outcomes of internal review
- Concurrent discussion between the Self Help Counties (SHCC) and CalSTA resulted in SHCC's January 2013 ten initiatives and related workgroup

## ▶ External Review by the State Smart Transportation Initiative (SSTI)

- January 2014 report called for modernizing Caltrans in the areas of mission and goals, alignment of resources and skills, and management systems

# SHORT –TERM SSTI RECOMMENDATION:

- ▶ New Mission, Vision, Goals
- ▶ Modernize Design Guidance
- ▶ Work with the Office of Planning and Research to effectively implement SB 743
- ▶ Establish implementation teams to address the other recommendations of the report

# PLAN FOR REVIEW AND IMPLEMENTATION – FIVE TEAMS

- ▶ Performance Management and Human Resources
- ▶ Smart Investment and Resource Alignment
- ▶ Strategic Partnerships
- ▶ Innovation, Flexibility and Risk Management
- ▶ Communications

All the above coordinated by the Strategic Direction Group lead by Brian Kelly and Malcolm Dougherty.

The Project Manager is Christine Inouye.

# TEAM 1: PERFORMANCE MANAGEMENT AND HUMAN RESOURCES.

- ▶ **Team Leads:** Cris Rojas (CT), Bill Davidson (CalSTA), Michael Tritz (CalSTA)
- ▶ **Team Members:** Sharri Bender-Ehlert (CT), Michelle Tucker (CT), Rosemary Sidley (CalHR)
- ▶ **SSTI Advisor:** Brian Smith
- ▶ **Ad Hoc participation (as needed):** CHP, DMV, DOF, Employees Union(s), FHWA

# TEAM 1: PERFORMANCE MANAGEMENT AND HUMAN RESOURCES.

## PURPOSE

- ▶ Improve Caltrans employee policies for clarity and accountability
- ▶ Responsible for the review, consideration, and implementation of the “*Managing Performance*” and “*Foster Innovation and Continuing Evolution*” recommendations in the SSTI report.
- ▶ Propose steps the department can take to:
  - 1) Further performance-based management strategies
  - 2) Develop a culture of continuous improvement
  - 3) Implement a system of employee incentives linked to improved performance and accountability
  - 4) Recommend a comprehensive succession planning program

# TEAM 1: PERFORMANCE MANAGEMENT AND HUMAN RESOURCES.

## KEY DELIVERABLES

- ▶ Proposed revised policy documents that clearly increase Caltrans employee accountability.
- ▶ Proposed performance improvement methodology that incorporates LEAN, or a like program, to eliminate work that does not add value.
- ▶ Proposed revisions to policies and procedures related to training and workforce development.
- ▶ List of goals for each project relative to the CIP, with each goal identifying level of expected accomplishment and timeframe.
- ▶ Identification of, and a proposed multi-year plan for national re-engagement in those activities with the highest potential benefit to Caltrans.

# TEAM 2: SMART INVESTMENT AND RESOURCE ALIGNMENT.

- ▶ **Team Leads:** Norma Ortega (CT), Brian Annis (CalSTA)
- ▶ **Team 1, *Smart Investment and Asset Management*:** Brian Annis, Norma Ortega, Steve Takigawa (CT), Ryan Chamberlain (CT)
- ▶ **Team 2, *Planning and Freight*:** Kate White (CalSTA), Kome Ajise (CT), Ben DeAlba (CalSTA)
- ▶ **SSTI Advisors:** Michael Meyer, Brian Smith, Gene Conti, Doug Foy

# TEAM 2: SMART INVESTMENT AND RESOURCE ALIGNMENT.

## PURPOSE

- ▶ Expedite the implementation of an Asset Management plan to improve system planning, management, operations, and preservation with a “fix it first” policy.
- ▶ Ensure capital and resources are being invested in ways that maximize return on investment.
- ▶ Recommend how to implement asset management, emphasizing preservation and operations, followed by targeted expansion.
- ▶ Recommend improvements to the planning area – staffing, modeling, and application.

# TEAM 2: SMART INVESTMENT AND RESOURCE ALIGNMENT.

## KEY DELIVERABLES

- ▶ Recommend a new investment plan that will improve the state's transportation system.
- ▶ Recommend strategies, including legislation, to enable the department to lead on freight network issues in California.
- ▶ Recommend how to improve deficient functions and realign department resources to meet broader policy goals and objectives.

# TEAM 3: STRATEGIC PARTNERSHIPS

- ▶ **Team Leads:** Kome Ajise (CT), Brian Annis (CalSTA)
- ▶ **Team Members:** Kate White (CalSTA), Gareth Lacy (CalSTA), Steve Takigawa (CT), Laurie Berman (CT)
- ▶ **SSTI Advisors:** Al Beihler, Gene Conti

# TEAM 3: STRATEGIC PARTNERSHIPS

## PURPOSE

- ▶ Address recommendation #6 from the SSTI report to “*Strengthen Strategic Partnerships.*”
- ▶ The group will look beyond the specific recommendations under this section of the SSTI report and really consider how the department can improve relations with all of its strategic partners, including those from local government, industry, legislative, and other state and federal agencies.

# TEAM 3: STRATEGIC PARTNERSHIPS

## KEY DELIVERABLES

- ▶ This group should broadly seek to re-establish the department as a leader in transportation, not only by its design and construction of infrastructure, but by its role as an organizer and facilitator of multiple public and private entities toward a sound transportation vision of California.

# TEAM 4: INNOVATION, DESIGN FLEXIBILITY, AND RISK MANAGEMENT

- ▶ **Team Leads:** Kate White (CalSTA), Karla Sutliff (CT)
- ▶ **Members** (*Steering Committee*): AJ Jimenez (CalSTA), Tim Craggs (CT), Jeanne Scherer (CT), Bijan Sartipi (CT), Self-Help Counties Coalition Representative (tba)
- ▶ **Members** (*Team Leads*): Tim Craggs, Sean Nozzari (CT), Rhui Zhang (CT), Coco Briseno (CT)
- ▶ **SSTI Advisors:** Eric Sundquist, Luisa Paiewonski, Gary Toth
- ▶ **Other Suggested Advisors:** Jennifer Toth, Renee Sigel, William G. Petit, Barbara McCann

# TEAM 4: INNOVATION, DESIGN FLEXIBILITY, AND RISK MANAGEMENT

## PURPOSE

- ▶ Recommendation #5 in the SSTI report: “Reform critical guidance documents and standard operating procedures.”
- ▶ Focus on issues surrounding liability, risk, design flexibility, and challenges to increased local autonomy that have led many to see the department as “risk averse” and having a “culture of fear”

# TEAM 4: INNOVATION, DESIGN FLEXIBILITY, AND RISK MANAGEMENT

## KEY DELIVERABLES

- ▶ Recommendations to increase innovation, design flexibility, and local or district autonomy for decision making within the department.
- ▶ Recommended actions that help transform the department into a more nimble, adaptable, and responsive organization, creatively addressing new goals and policy demands, by revising its risk assessment and encouraging innovation.

# TEAM 5: COMMUNICATIONS

- ▶ **Team Leads:** Dara Wheeler (CT), Gareth Lacy (CalSTA)
- ▶ **Members:** Ronda Paschal (CalSTA), Tamie McGowen (CT), Melanie Perron (CT), Basem Muallem (CT)
- ▶ **External Advisors:** (tba)
- ▶ **SSTI Advisors:** Eric Sundquist

# TEAM 5: COMMUNICATIONS

## PURPOSE

- ▶ Workgroup #5 will tackle the broad recommendation which calls on the department to “communicate more effectively”

# TEAM 5: COMMUNICATIONS

## KEY DELIVERABLES

- ▶ Formal roll out strategy of tasks necessary to disseminate the new mission, vision, and goals internally.
- ▶ Ensure Mile Marker and other Caltrans reports contain topics aligned with the new mission, vision, and goals.
- ▶ Develop a “best practices” for community engagement
- ▶ Work with legislative staff to reduce redundancy
- ▶ Implement a “performance journalism” system
- ▶ Press releases, public events, and other activities that show how Caltrans is modernizing

# SCHEDULE

- ▶ Bi-monthly Strategic Direction Group meetings from July through October
- ▶ Bi-monthly workgroup meeting updates with Project Manager
- ▶ Update report delivered to Strategic Direction Group by September 1