

Division of Transportation Planning
Project Initiation Document (PID) STRATEGIC PLAN - ACTION PLAN

July 2013

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

Objective 1.1: Caltrans will establish a PID conflict resolution process.	Lead	Due	Status (Complete In Progress Pending)	Status of Progress/Comment
Strategy 1.1.1: Coordinate with other Caltrans divisions to develop a PID conflict resolution process.	Planning	Summer 2013		
Task: Use Caltrans Project Management, Project Communication Handbook, Sample Conflict Management Plan (Appendix B) in PID development. Incorporate, by reference, in Coop Agreements for very large and complex projects.				
Strategy 1.1.2: Implement and communicate the guidelines for the PID conflict resolution process.	Planning	Summer 2013		
Task:				
Objective 1.2: Caltrans will streamline PID review procedures for PID activities.	Lead	Due	Status (Complete In Progress Pending)	Status of Progress/Comment
Strategy 1.2.1: Develop process to streamline PID review procedures activities. <ul style="list-style-type: none"> Evaluate the use of the Quality Management Plan developed by local agencies for the Project Study Report-Project Development Support (PSR-PDS) PID document for Non-SHOPP projects. 	Planning and Design	October 2013		
Task: The Office of Project Scoping and Coordination is currently evaluating how to implement the Quality Management System (QMS) currently under development by the Division of Design for use in the PID Program. The QMS will be the framework for how Caltrans reviews PIDs. A pilot program will be established to test select local PIDs.				
Strategy 1.2.2: Provide training to District staff to guide the work of PID activities, as needed.	Planning and Design	Ongoing		
Task:				

<p>Strategy 1.2.3: Caltrans staff will only review completed PID sections from local agencies or return the PID with comments indicating what must be done to make the PID reviewable. Priority of review will be for complete PIDs.</p>	<p>Planning and Design</p>	<p>Summer 2013</p>		
<p>Task:</p>				
<p>Strategy 1.2.4: Continue to provide PID guidance to local agencies to improve quality of documents received and efficiency of Caltrans review, and monitor effectiveness.</p> <ul style="list-style-type: none"> • Online training course will be available to internal and external partners (ie. PSR-PDS). • Districts communicate availability of on-line training to local partners. 	<p>Planning</p>	<p>Ongoing</p>		
<p>Task:</p>				
<p>Objective 1.3 Caltrans will continue to identify opportunities to streamline PIDs.</p>	<p>Lead</p>	<p>Due</p>	<p>Status (Complete In Progress Pending)</p>	<p>Status of Progress/Comment</p>
<p>Strategy 1.3.1: Caltrans will examine the PEER policy to explore opportunities to expand and define the parameters for which a PEER can be used.</p> <ul style="list-style-type: none"> • Caltrans will communicate PEER criteria with local agencies for use as a tool in the project development process. 	<p>Planning and Design</p>	<p>Summer 2013</p>		
<p>Task:</p>				
<p>Strategy 1.3.2: Caltrans will initiate a Value Analysis study that will evaluate current SHOPP PID policies, procedures, and practices and seek out process improvements to make SHOPP PIDs more efficient and cost effective.</p>	<p>Planning and Design</p>	<p>Spring 2013</p>		
<p>Task:</p>				

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.	Lead	Due	Status (Complete In Progress Pending)	Status of Progress/Comment/Comment
Strategy 2.1.1: Assess performance measures annually to manage PID program. <ul style="list-style-type: none"> Measure how many PIDs were completed within the total resource allocation per the District Agreement with Headquarters. 	Planning	Quarterly		
Task: Use annual district agreements and quarterly reports to measure the number of PIDs completed within the total resource allocation.	OPSC	March 2013	In Progress	
Strategy 2.1.2: Reassess workload norms on an annual basis <ul style="list-style-type: none"> Assess norms by program 	Planning	Ongoing		
Task: Incorporate into annual statewide guidance.	OPSC	April 2013	Pending	
Strategy 2.1.3: Ensure coordination between Headquarters and District SHOPP Coordinators and PID staff. <ul style="list-style-type: none"> Quarterly teleconference meetings with District SHOPP Coordinators and PID staff. Biannual teleconference meetings with HQ SHOPP Managers. 	Planning	Ongoing		Incorporate statewide video conference meeting into SHOPP guidance process.
Task: Incorporate into annual statewide guidance (enhance communication)	OPSC	April 2013	Pending	
Strategy 2.1.4: Implement a process to assess the quality of completed PIDs (i.e. Did PID meet the anticipated scope, cost and schedule and allocation? Is the PID adequate for future phases?).	Planning and Design	Summer 2013		Incorporate into PCR process. (Should PM assess whether PID could have addressed issue)
Task: Coordinate with Programming, Design, Project Delivery	OPSC	Summer 2013	Pending	

Strategy 2.1.5: Annually evaluate adherence to the PID Work Program.	Planning	Ongoing		
Task: Track project change requests made to work program.	OPSC	Summer 2013	In Progress	Track from project initiation to construction.
Strategy 2.1.6: Implement a process to monitor the time it takes from the initiation of the PID cooperative agreement to approval/signature of the PID cooperative agreement.	Planning	Spring 2013		
Task: Coordinate with Design, HQs Cooperative Agreements	OPSC	Spring 2013	Pending	
Objective 2.2: Caltrans will develop and use process improvement tools to manage PID resources.	Lead	Due	Status (Complete In Progress Pending)	Status of Progress/Comment
Strategy 2.2.1: Districts will evaluate by project PID expenditures compared to PID allocation on a quarterly basis.	Planning	Summer 2013		
Task: Incorporate into PID quarterly report.	Districts OPSC	Summer 2013	Pending	
Strategy 2.2.2: On a project basis, monitor the percent complete compared to the percent of resources expended on a quarterly basis.	Planning	Spring 2013		
Task: Incorporate into PID quarterly report.	Districts OPSC	Summer 2013	Pending	
Strategy 2.2.3: Conduct SHOPP PID Status Meetings with project managers, Headquarters and district SHOPP advisors, and Design representative every six weeks. (Frequency to be determined)	Planning, PPM, SHOPP, Design	Quarterly		
Task: Coordinate SHOPP PID Status Meetings in coordination with completed quarterly reports.	OPSC	June 2013	Pending	
Strategy 2.2.4: Review and streamline the Project Control process <ul style="list-style-type: none"> • Measure the length of time it takes to open and close a Project ID. • Close Project ID four weeks after a PID is complete. • Investigate opportunities to improve efficiencies in the Safety (010) project approval process. • Document the impact of headquarters (HQ) priority assignments on Project Control. • Track approval process to open a Project ID. • Develop common terminology for tracking projects in the tracking system (Advantage). 	Planning	Fall 2013		

Task: Evaluate project control process	OPSC	Fall 2013	Pending	
Strategy 2.2.5: Reassess the number of copies made for distribution after PID is completed. <ul style="list-style-type: none"> Utilize web-based PID library. Determine common storage and location policy 	Planning	Summer 2013		
Task: Investigate common storage location.	OPSC	Summer 2013		
Strategy 2.2.6: Caltrans HQ to provide expenditure reports on a quarterly basis. <ul style="list-style-type: none"> Expenditures vs. allocations by program 	Planning	Ongoing		
Task: Post on OPSC website within one week after close of quarterly period.	OPSC	Quarterly		
Strategy 2.2.7: Implement a process to develop work programs based on district planning documents, 10-Year SHOPP and Regional Transportation Plans.	Planning	Ongoing		
Task: Implement work program process.	OPSC	Spring 2013		
Task: Evaluate feasibility of developing/maintaining a strategic SHOPP PID shelf in order to program unanticipated SHOPP funds that become available	OPSC	Fall 2013		

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.	Lead	Due	Status (Complete In Progress Pending)	Status of Progress/Comment
Strategy 3.1.1: Caltrans HQ PID staff to conduct statewide and district meetings to provide training to key Caltrans PID staff on new and existing guidance and procedures.	Planning	Ongoing		
Task: Conduct as needed.	OPSC	Ongoing		

<p>Strategy 3.1.2: Caltrans will provide training for new streamlined PIDs (i.e. similar to training provided for the PSR-PDS).</p>	<p>Planning, HQ SHOPP</p>	<p>Ongoing</p>		
<p>Task: Conduct as needed.</p>	<p>OPSC</p>	<p>Ongoing</p>		
<p>Strategy 3.1.3: Caltrans will ensure PID guidance is available online.</p>	<p>Planning</p>	<p>Ongoing</p>		
<p>Task: Post as needed.</p>	<p>OPSC</p>	<p>Ongoing</p>		
<p>Strategy 3.1.4: Caltrans will attend partner meetings with local agencies to provide program updates quarterly, or as needed.</p>	<p>Planning</p>	<p>Ongoing</p>		
<p>Task: Coordinate with District Regional Planning Representative</p>	<p>Districts</p>	<p>Ongoing</p>		<p>OPSC discuss with HQs Regional Planning</p>
<p>Objective 3.2: Caltrans will maintain a PID Committee made up of Caltrans staff and local PID stakeholders.</p>	<p>Lead</p>	<p>Due</p>	<p>Status (Complete In Progress Pending)</p>	<p>Status of Progress/Comment</p>
<p>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.</p>	<p>Planning</p>	<p>Ongoing</p>		
<p>Task: Conduct quarterly PID Committee meetings.</p>	<p>OPSC</p>	<p>Quarterly</p>		

Objective 3.3: Caltrans will provide early dissemination of information to districts and local agencies through electronic communication and online tools.	Lead	Due	Status (Complete In Progress Pending)	Status of Progress/Comment
Strategy 3.3.1: Caltrans HQ PID staff will compose a quarterly newsletter for internal and external staff to provide current guidance.	Planning	Summer 2013		
Task: Develop quarterly newsletter.	OPSC	Ongoing		
Strategy 3.3.2: Establish automated email notification when new information is posted to the OPSC website.	Planning	Fall 2013		
Task: Develop and maintain automated email notification system for OPSC website.	OPSC	Fall 2013		
Strategy 3.3.3: Establish central location for posting new PID program information to the Inter/Intranet.	Planning	Fall 2013		
Task: Develop central location for posting new PID program information to Inter/Intranet.	OPSC	Fall 2013		