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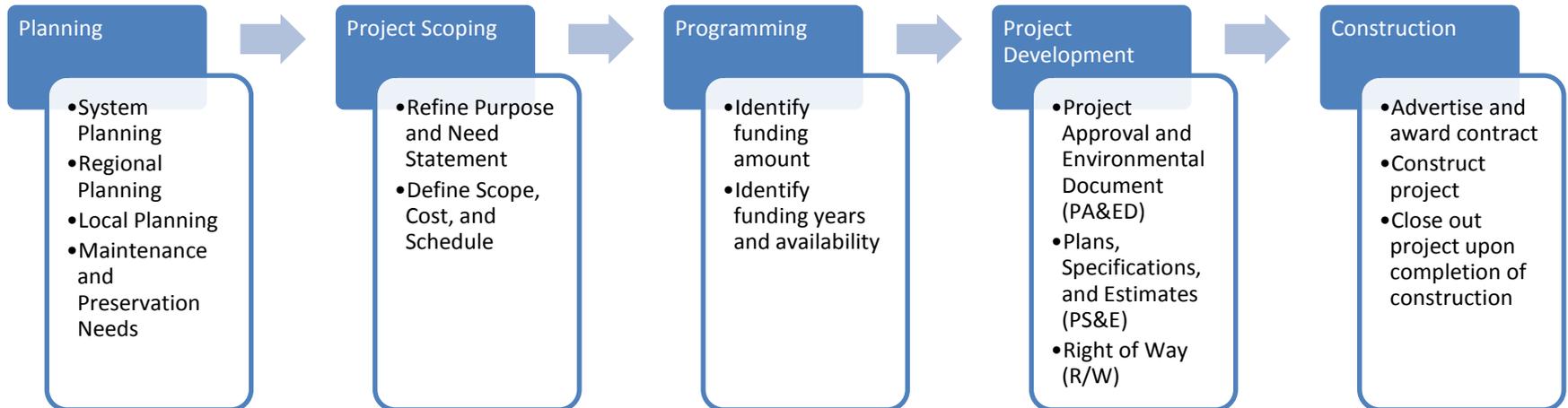
Project Initiation Documents

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Project Initiation Document (PID) Overview

- Project Development Process
- Overview of PIDs
- PID Workload Development
- Different Types of PIDs
- Challenges
- Moving Forward
- Resources

How Projects are Built?



How Projects are Funded?

Project
Scoping

Programming

PID

Project
Approval and
Environmental
Document
(PA&ED)

Plans,
Specifications,
and Estimates
(PS&E)

Right of Way
(R/W)

Construction
(Const)

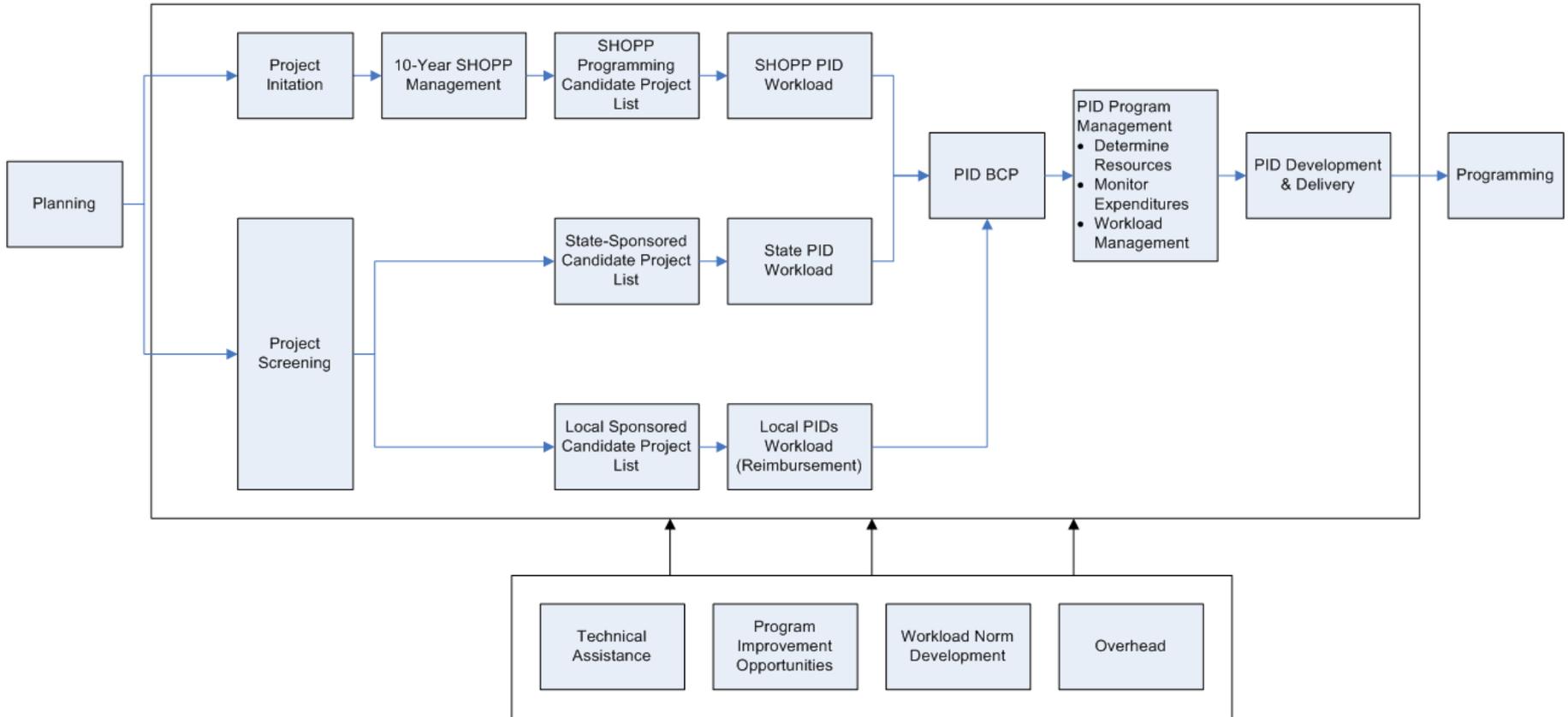
STIP Components and Project Development Programming Phases

| CTC State Transportation Improvement Program (STIP) Components | Corresponding Project Development Programming Phases |
|--|--|
| Support costs for environmental studies and permits | Project Approval & Environmental Document (PA&ED) |
| Support costs for preparation of plans, specifications and estimates | Plans, Specifications & Estimates (PS&E) |
| Support costs for right of way acquisition | Right of Way – Support |
| Capital costs for acquisition of right of way | Right of Way – Capital |
| Support costs for construction | Construction Project – Support |
| Capital costs for construction | Construction Project – Capital |

Source: Project Development Procedures Manual – Chapter 9

Project Scoping Process

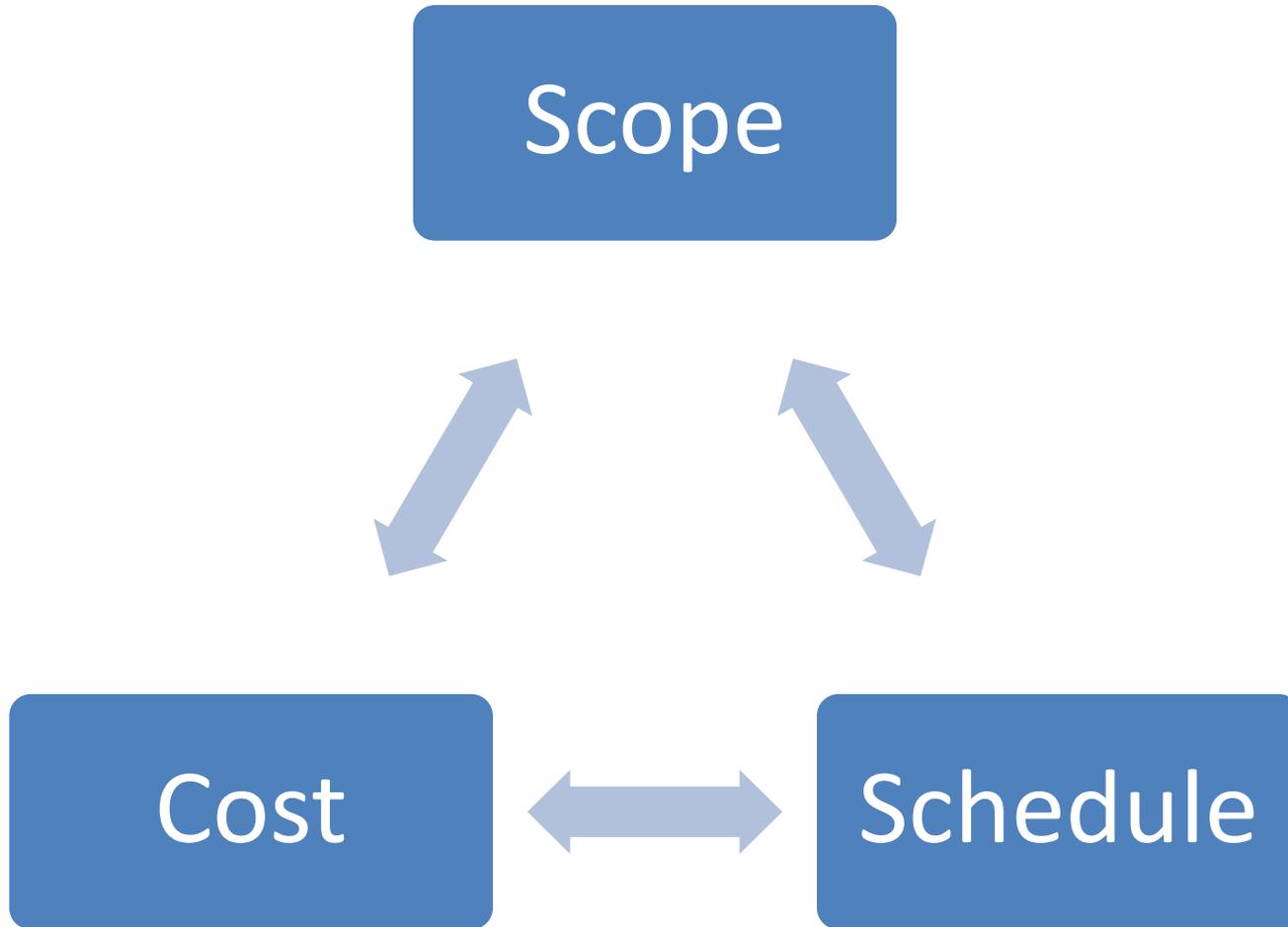
MAJOR PID TASKS



What is a PID?

- Engineering or technical document that documents scope, cost, and schedule for transportation projects.
- Outcome of the project scoping effort.
- Both Caltrans and local entities prepare PIDs for projects on the State Highway System (SHS).

Relationship Between Scope, Cost, and Schedule



More About the PID

- PID documents the purpose and need.
 - Need (transportation deficiency)
 - Purpose (objectives that will be met to address the transportation deficiency)
- Existing information, initial assumptions, identified risks, and constraints.
- Approach (i.e. scope) including alternatives that will be taken to meet or reduce transportation deficiencies and address the purpose and need.
- Narrows down the number of project alternatives to be studied, which allows PA&ED to be more efficient.
- The scope is tied to realistic cost estimates and schedules to fund the project.

Purpose of a PID

- State-sponsored (e.g. SHOPP) projects, PID represents approval for the projects to be funds in the SHOPP Program.
- For local-sponsored projects on SHS, PID represents
 - Scope approval—general agreement on purpose and need statement and range of alternatives and their associated risks to be studied during PA&ED,
 - Conceptual approval—no known fatal flaws (e.g. design exceptions, etc.) and the proposed project is viable for additional study.
- PIDs ensure that the right projects move forward.

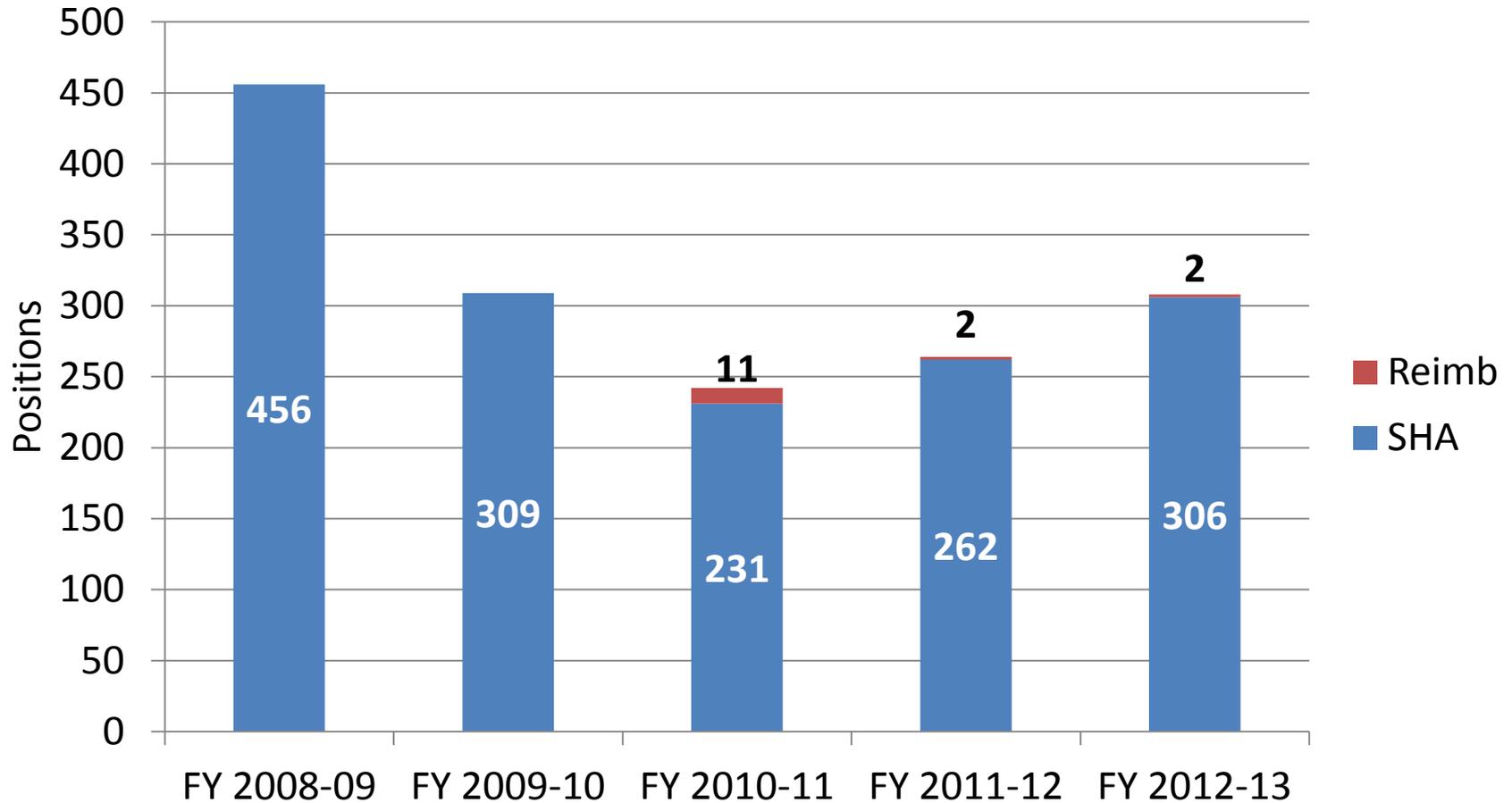
Why are PIDs so Important?

- PIDs (i.e. project scoping) provide:
 - a sound basis for commitment of future funding; and
 - a key opportunity to achieve consensus on project scope, schedule, and proposed cost.
- Projects inadequately defined or scoped carry additional project risks (i.e. scope, cost, and schedule) to Caltrans and local entities.
 - Caltrans wants to limit duplication of work for local agencies and reduce the cost of performing oversight in the capital phase.
 - As owner/operator of the SHS, Caltrans wants to limit exposure to issues related to safety, ADA, maintenance, etc.
- Funding programs are financially constrained.
 - Cost overruns on projects can translate into a reduction of funds allocated to other projects.
 - Cost underruns on projects can translate into funds not being maximized.
 - PIDs enable Caltrans and local agencies to maximize available funding.

When is a PID Required?

- Government Code requires
 - PIDs for projects programmed in the STIP.
 - Caltrans review and approve PIDs prepared by local entities.
 - Caltrans can develop PIDs for local entities depending on resource availability.
 - Caltrans to ensure that all projects on the SHS comply with applicable state and federal standards.
 - Caltrans to establish standards, procedures, and a review process to ensure compliance.
- Streets and Highways Code requires
 - Caltrans to develop a rehabilitation and maintenance plan (i.e. SHOPP Plan).
 - Caltrans to determine the kind, quality, and extent of all highway work done under its control.
- California Transportation Commission (CTC) Guidelines for the Preparation of Project Study Reports for all State and locally funded vehicle capacity-increasing projects on the State highway system.

History of PID Positions*



* Based on Approved State Budgets

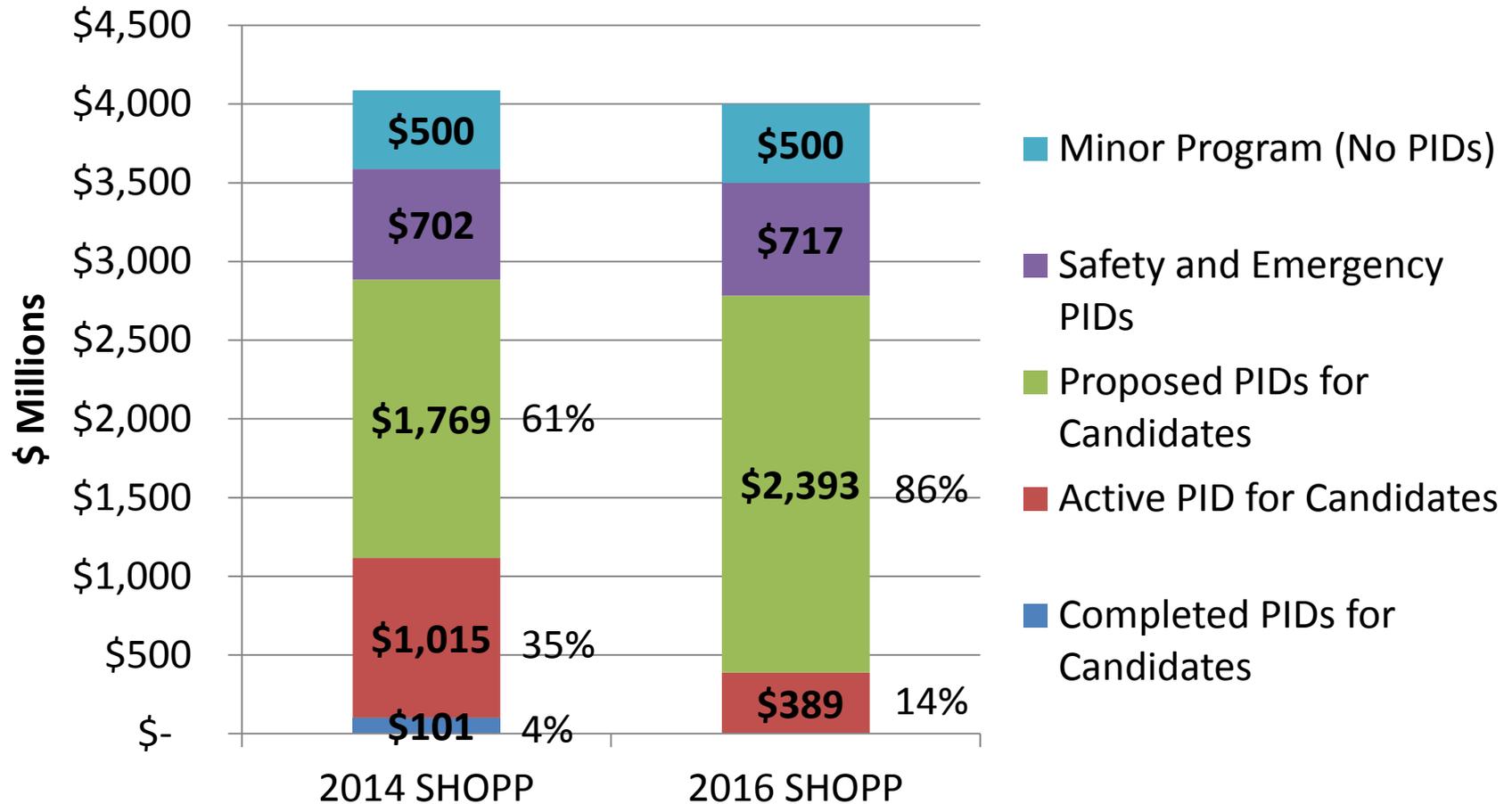
PID Workload Development

- Non-SHOPP PIDs
 - Tying projects in PID workload to financially constrained state and regional plans.
 - Focus on PIDs for projects that can reasonably be funded and moved into PA&ED
- SHOPP PIDs
 - Matching projects to funding targets and priorities for future SHOPP cycles
 - Assign PID resources to projects and develop the PIDs at the right time.

Developing and Completing SHOPP PIDs at the Right Time

- 2014 SHOPP
 - PID development in FYs 2011-12 and 2012-13
 - PIDs due to HQ Programming (July 2013)
 - 2014 SHOPP Approved by CTC (March 2014)
 - 2014 SHOPP Projects Programmed (July 2014)
- 2016 SHOPP
 - PID development in FYs 2013-14 and 2014-15
 - PIDs due to HQ Programming (July 2015)
 - 2014 SHOPP Approved by CTC (March 2016)
 - 2016 SHOPP Projects programmed (July 2016)

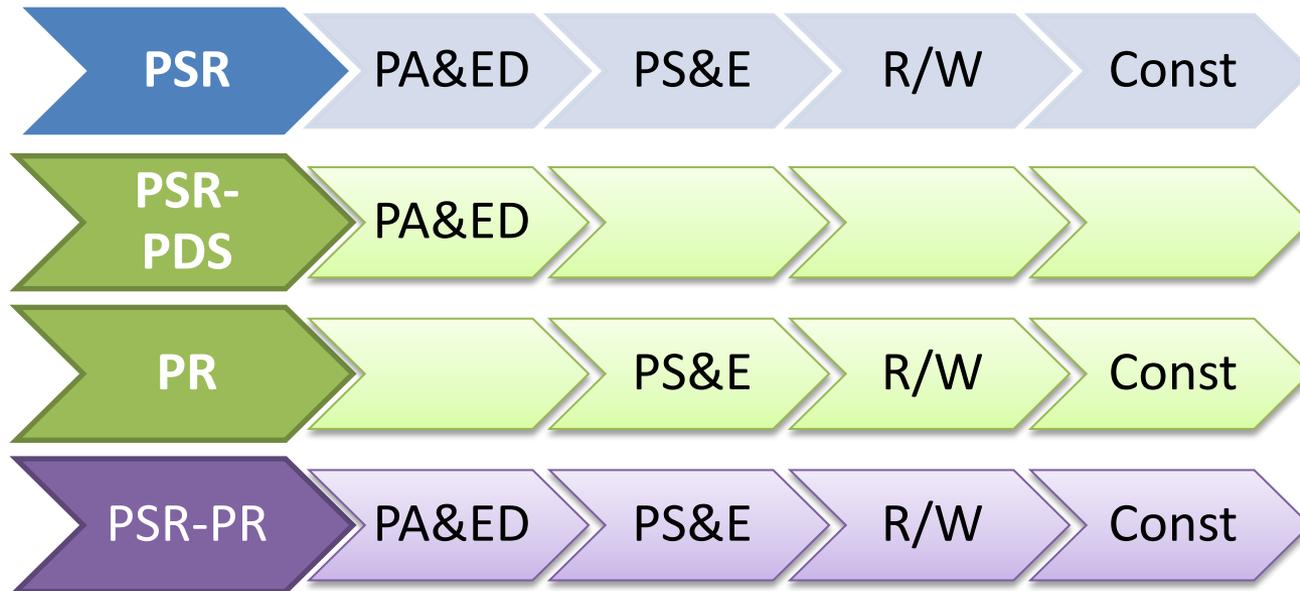
Value of SHOPP Projects in PID Workload



Different Types of STIP and Local PIDs

- **Project Study Reports (PSR)**
 - Program all project phases.
 - Require more detail.
- **Project Study Report-Project Development Support (PSR-PDS)**
 - Streamlines the PID phase.
 - Used to only program PA&ED phase and requires only enough detail to fund PA&ED.
 - Order-of-magnitude estimate for PS&E, R/W, and Const.
 - Approved Project Report (PR), the outcome of PA&ED, used to program remaining phases (PS&E, RW, and Const).
- **Project Study Report-Project Report (PSR-PR)**
 - Although more resources are required to develop the PID, the PSR-PR streamlines project delivery by combining the PID and PAED phases.
 - Used for projects with well-defined purpose and need and a well-defined project scope.
 - Should be used for categorical exemptions and not be used for projects that require an environment impact report or environmental permits.

PID Types and Programming



State Highway Operation Protection Program (SHOPP) PIDs

- The 10-Year SHOPP Plan drives the need to develop PIDs for SHOPP projects.
- There are more than 30 SHOPP programs—each with very specific objectives.
- All SHOPP PIDs are driven by the SHOPP priorities and funding targets.
- No longer building a large shelf of PIDs.
- Vast majority of SHOPP projects are programmed through construction with one SHOPP cycle.
- Different types of PIDs are used depending on the project.
 - PSR used for more complex and high risk projects.
 - PIDs that streamline the PID phase. Used for single alternative low risk projects that are \$3 million and less.
 - PIDs that streamline project delivery by combining the PID and PAED phases.

Challenges

- Streamlining but Striking a Balance
 - Providing the right amount of information in the PID
 - Don't want to streamline too much or too little
- Tying all PIDs to known funding creates potential risks—may miss funding opportunities for SHS projects.

Moving Forward

- Continue to streamline processes and procedures where appropriate and define the appropriate level of effort
- Continue to improve the management of the program
- Continue to improve workload development internally and externally

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>

Guidelines for the Preparation of Project Study Reports

<http://www.dot.ca.gov/hq/oppd/design/psr12-8.htm>

2011 10-Year SHOPP Plan

http://www.dot.ca.gov/docs/reports/2011_Ten_%20Year_Shop_Plan.pdf

Conclusions

- PIDs are a very important project scoping tool.
- PIDs add a lot of value to the project development process.

Questions

