CALIFORNIA DEPARTMENT OF TRANSPORTATION

DIVISION OF TRANSPORTATION PLANNING

PROJECT INITIATION DOCUMENT (PID) STRATEGIC PLAN

JANUARY 2013

Caltrans

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CALIFORNIA DEPARTMENT OF TRANSPORTATION

FISCAL YEAR 2012-13

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EXECUTIVE SUMMARY

The California Department of Transportation (Caltrans) initiated the Project Initiation Document (PID) Strategic Plan in 2009 as the framework for the efficient management of PID resources and to streamline the process for developing PIDs. It is developed in collaboration with regional and local transportation partners and is updated annually in January.

The **Mission** of this plan is to:

- Efficiently and collaboratively utilize PID resources to maximize project delivery on the State Highway System (SHS).

The **Vision** of this plan is to:

- Create a consistent, transparent, and fiscally-efficient process for delivering PIDs for priority candidate projects identified in state and regional transportation plans.

The **Goals** of this plan are to:

- Continue to improve efficiencies throughout the PID process for successful programming and project delivery.
- Improve the management of the PID program and PID resources.
- Provide transparent communication with internal and external PID stakeholders.

The PID Strategic Plan provides an action plan to implement key goals, objectives, and strategies to improve the PID program. A PID committee comprised of representatives from Caltrans headquarters divisions, Caltrans district offices, and local and regional transportation partners oversee the annual updates and implementation of this plan.

Implementation of PID Program Improvements

Over the past year, several recommendations from the January 2010 and March 2011 PID Strategic Plans have been implemented to streamline the PID development process and to reduce the resources needed to develop PIDs. Major accomplishments include:

- Working with regional and local partners, Caltrans has expanded the use of the Project Study Report-Project Development Support (PSR-PDS) streamlined PID for State Transportation Improvement Program (STIP) and locally-funded projects.

- Expanding the streamlined Small Capital Value Project (SCVP) PID to include State Highway Operation and Protection Program (SHOPP) projects valued at $3.0 million or less resulting in the significant savings in the SHOPP PID program.

- Streamlining reimbursement agreements for locally funded projects on the SHS.

PID Strategic Plan Update

To guide the next phase of strategies to improve the PID Program, Caltrans solicited input from Caltrans headquarters divisions, Caltrans district offices, and local and regional transportation partners. Based on this process, an action plan was developed to implement new objectives and strategies to improve the PID program. Some key objectives and strategies to improve the PID program include:

- Caltrans will establish and implement a conflict resolution process to improve efficiencies throughout the PID process.
- Caltrans will develop a plan to implement the Quality Management System (QMS) currently under development by the Caltrans Division of Design for use in the PID Program to streamline PID review procedures.
- To identify opportunities to streamline SHOPP PIDs, 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.
- Examine the Permit Engineering Evaluation Report (PEER) policy to explore opportunities to expand and better define the parameters for which a PEER can be used for local projects on the SHS.

Other objectives and strategies were also identified to improve management of the PID program and PID resources including the development of performance measures and process improvement tools. In addition, to continue to provide transparent communication with internal and external PID stakeholders, training and early dissemination of information to districts and local agencies will be implemented through the use of an improved internet web site and on-line meeting tools.

Measuring Success

In order to accomplish the goals identified in this year's Strategic Plan, the strategies have been prioritized for implementation in fiscal year (FY) 2012-13 through FY 2013-14. Key factors for achieving success include:

- **Communication -** Regular communication about the Strategic Goals, Objectives and Strategies is needed to maintain focus on achieving results.
- **Action Plan -** Project leads will implement action plans to develop and achieve deliverables for each strategy (refer to http://www.dot.ca.gov/hq/tpp/offices/opsc/strategic_plan.html).
- **Monitoring Progress -** The Caltrans Division of Transportation Planning (DOTP), Office of Project Scoping Coordination (OPSC) will coordinate with identified strategy owners to monitor progress and report to the PID Committee on a regular basis.

Caltrans will continue to work with regional and local partners to monitor the effectiveness of these streamlined processes, identify additional opportunities to improve the PID program, and report findings in future updates of this plan.

PID STRATEGIC PLAN

Mission

- Efficiently utilize PID resources to maximize delivery on the State Highway System

Vision

- Create a consistent, transparent, and fiscally-efficient process for delivering PIDs for priority candidate projects identified in state and regional transportation plans

Guiding Principles

- Integrity, Committment, Teamwork, Innovation

Values

- Partner with regional and local agencies to maximize anticipated State and local transproation funding
- Prepare quality PIDs to effectively and efficiently deliver projects

Strategic Goals 2012-13

Goal 1 Continue to improve efficiencies throughout the PID process.

Goal 2 Caltrans will continue to improve the management of the PID program and PID resources.

Goal 3 Caltrans will continue to provide transparent communication with internal and external PID Stakeholders.

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

Objective 1.1: Caltrans will establish a PID conflict resolution process.

Strategy 1.1.1: Coordinate with other Caltrans divisions and local and regional agencies to develop a PID conflict resolution process.

Strategy 1.1.2: Implement and communicate the processes and guidelines for the PID conflict resolution process.

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

Objective 1.2: Caltrans will streamline PID review procedures for PID activities.

Strategy 1.2.1: Develop process to streamline PID review procedures and activities.

- Evaluate the Quality Management System (QMS) currently under development by Design for use in the PID Program.

Strategy 1.2.2: Provide QMS training to District staff to guide the work of PID activities, as needed.

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 to complete PIDs.

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.

- Online training courses will be available to internal and external partners (ie. PSR-PDS)
- Districts communicate availability of on-line training to local partners.

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

Objective 1.3: Caltrans will continue to identify opportunities to streamline PIDs.

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.

- Caltrans will communicate PEER criteria with local agencies as a tool in the project development process.

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.

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.

Strategy 2.1.1: Assess performance measures quarterly to manage PID program and determine readiness for SHOPP programming.

- Measure how many PIDs were completed within the total resource allocation per the District Agreement with Headquarters.

Strategy 2.1.2: Reassess workload norms on an annual basis.

- Assess norms by program.

Strategy 2.1.3: Ensure coordination between Headquarters and District SHOPP Coordinators and PID staff.

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?).

Strategy 2.1.5: Annually evaluate adherence to the PID Work Program.

Strategy 2.1.6: Implement a process to monitor the time it takes from initiation of the PID cooperative agreement to signature of the PID cooperative agreement.

Goal 2: Caltrans will continue to improve management of the PID program and PID resources.

Objective 2.2: Caltrans will develop and use process improvement tools to manage PID resources.

Strategy 2.2.1: Districts will evaluate, by project, PID expenditures compared to PID allocation on a quarterly basis.

Strategy 2.2.2: On a project basis, monitor the percent complete compared to the percent of resources expended on a quarterly basis.

Strategy 2.2.3: Conduct SHOPP PID Status Meetings with project managers, Headquarters and district SHOPP advisors, and Design representative on a quarterly basis.

Strategy 2.2.4: Review and streamline the Project Control process.

- Measure the length of time it takes to open and close a Project Identifier (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).

Strategy 2.2.5: Reassess the number of copies made for distribution after PID is completed.

- Utilize web-based PID library.
- Determine common storage and location policy.

Strategy 2.2.6: Caltrans HQ to provide expenditure reports on a quarterly basis.

Strategy 2.2.7: Implement a process to develop work programs based on district planning documents, 10-Year SHOPP and Regional Transportation Plans.

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.

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.

Strategy 3.1.2: Caltrans will provide training for new streamlined PIDs (i.e. similar to training provided for the. PSR-PDS).

Strategy 3.1.3: Caltrans will ensure PID guidance is available online.

Strategy 3.1.4: Caltrans will attend partner meetings with local agencies to provide program updates quarterly, or as needed.

Goal 3: Caltrans will continue to provide transparent communication with internal and external PID Stakeholders.

Objective 3.2: Caltrans will maintain a PID Committee made up of Caltrans staff and local PID stakeholders.

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.

Goal 3: Caltrans will continue to provide transparent communication with internal and external PID Stakeholders.

Objective 3.3: Caltrans will provide early dissemination of information to districts and local agencies through electronic communication and online tools.

Strategy 3.3.1: Caltrans HQ PID staff will compose a quarterly newsletter for internal and external staff to provide current guidance.

Strategy 3.3.2: Establish an automated email notification when new information is posted to the OPSC website.

Strategy 3.3.3: Central location for posting new PID program information to the Inter/Intranet.

Appendix A: ACRONYMS

Caltrans	California Department of Transportation Planning
DOTP	Department of Transportation Planning
DSMP	District System Management Plan
FY	Fiscal Year
HQ	Headquarters (Caltrans)
ID	Identifier
OPSC	Office of Project Scoping Coordination
PDPM	Project Development Procedures Manual
PDT	Project Development Team
PEER	Permit Engineering Evaluation Report
PID	Project Initiation Document
PSR-PDS	Project Study Report-Project Development Support
QMS	Quality Management System
SCVP	Small Capital Value Project
SHOPP	State Highway Operations and Protection Program
SHS	State Highway System
STIP	State Transportation Improvement Program