

Appendix G
Implementation of the PID Strategic Plan Recommendations

#		Recommendations	Task Owner(s)	Priority	Planned Implementation Dates/Timeframes
1	Key Recommendation	<p><u>PID Program Management: Shelf Management</u></p> <p>Develop three-year PID Strategic Plan to be updated annually by Caltrans by January 10 of every year, in coordination with the California Transportation Commission (CTC), Caltrans' Office of Projects and Plans Coordination, and the regional agencies.</p>	HQ Planning Districts	High	Completed May 2010 Next Scheduled Update January 10, 2011
2	Key Recommendation	<p><u>PID Program Management: Shelf Management</u></p> <p>Caltrans and regional agencies will collaborate using defined criteria to maintain a shelf inventory that supports the level of available funding. They will carefully review the existing shelf to determine which projects should remain; looking at:</p> <ul style="list-style-type: none"> • Validity of the original purpose and need. • Strategy and prospects for funding the project. • If not imminently fundable, whether the project is a regional priority. 	HQ Planning Districts Regions	High	Completed August 2010 Next Scheduled Update January 2011
3	Key Recommendation	<p><u>PID Program Management: Workload Management</u></p> <p>The number of PIDs should not necessarily be limited to near-term STIP or SHOPP programming capacity, in order to be ready for funding opportunities, to build a long-term programming strategy, and to be responsive to developer or local-fee program proposals. Criteria for selecting new projects and developing PID workload includes:</p> <ul style="list-style-type: none"> • Correlate PIDs developed to likely funding sources. • Projects that address deficiencies identified on the transportation system (including safety and mandates). • Project included in a long-range plan. 	HQ Planning Districts Regions	High	Completed June 2010
6	Key Recommendation	<p><u>PID Program Improvements: Education and Outreach on Existing PID Processes and Procedures</u></p> <p>For internal and external stakeholders, enhance PID outreach activities for existing guidance and procedures that can be used to streamline the PID development process and reduce costs and delays. Caltrans is working with other State DOTs to do a comparison of PIDs and reimbursement. Information and ideas on how other DOTs develop PIDs or other similar documents will be investigated, specifically, how to better streamline the PID process, and implement PID reimbursement.</p>	HQ Planning Districts	High	September 2010 - August 2011

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8	Key Recommendation	<p><u>PID Program Improvements: Risk Management Process</u></p> <p>If project sponsors concur with the risk analysis, they must accept ownership and ramifications for the risks associated with their respective projects. All identified risks and risk owners should be documented in the project's risk register.</p>	<p>HQ Planning</p> <p>HQ Project Management</p> <p>HQ Design</p> <p>Project Sponsors</p>	High	March 2011
9	Key Recommendation	<p><u>PID Program Improvements: Risk Management Process</u></p> <p>Project sponsors must document the purpose and need, funding strategy, project deliverables, known constraints, assumptions, potential fatal flaws, applicable cost sharing terms, and risks in the PID charter developed by concurrence between Caltrans and the project sponsor at the pre-PID meeting. This provides the necessary framework for developing a clear and concise PID scope of work.</p>	<p>Districts</p> <p>Project Sponsors</p>	High	October 2010
10	Key Recommendation	<p><u>PID Program Improvements: Conflict Resolution</u></p> <p>Caltrans' district director will convene an Executive Review Committee in the event that conflict over the necessary content of the PID arises. The members of the Committee shall include the Caltrans' headquarters (HQ) Design coordinator, the HQ Project Management Liaison, the District's Deputy Director responsible for PIDs, and a local agency representative. The Committee will make a final recommendation to the district director. This activity will be coordinated with the PID Committee.</p>	<p>HQ Design</p> <p>Districts</p>	High	March 2011
14	Key Recommendation	<p><u>PID Program Improvements: Cost Sharing & Reimbursement</u></p> <p>As stated in the Governor's January 2011 proposed budget for FY 2011-12, Caltrans intends to develop and implement a PID reimbursement program beginning FY 2011-12 whereby regional and local agencies would reimburse Caltrans for developing streamlined PID documents. Caltrans will use the existing Project Study Report-Project Development Support (PSR-PDS) document as the basis for the streamlined document until Caltrans and the regions agree on an approach to streamline PID documents for STIP candidate projects. The project sponsor and Caltrans district staff may negotiate cost-sharing terms for any additional work that may be agreed to at the pre-PID meeting (or may become necessary later).</p>	<p>HQ Planning</p> <p>HQ Design</p>	High	July 2011

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15	Key Recommendation	<p><u>PID Program Improvements: Cost Sharing & Reimbursement</u></p> <p>As stated in the Governor's January 2011 proposed budget for FY 2011-12, Caltrans intends to develop and implement a PID reimbursement program for PID oversight and pre-PID activities beginning FY 2011-12. Under the program, project sponsors will reimburse Caltrans districts for all of the costs associated with Independent Quality Assurance (IQA), and the development of feasibility studies, major investment studies, and technical studies. In regards to studies, reimbursement will only apply to studies that Caltrans develops on behalf of regional and local agencies. Districts and project sponsors should have early and continual discussions to establish the viability of the project proposals, procedural requirements, and the schedule for various project deliverables. All agreements between Caltrans districts and the project sponsors should clearly identify cost-sharing terms and procedures.</p>	<p>HQ Planning</p> <p>HQ Design</p>	High	July 2011
16	Key Recommendation	<p><u>PID Program Improvements: Improving PID Guidance and Estimating Costs</u></p> <p>Caltrans will proceed to use the Project Study Report-Project Development Support (PSR-PDS) to move locally-funded STIP candidate projects into the environmental phase. Amend Chapter 9 (Project Initiation) and Appendix L (Project Study Report) of the Project Development Procedures Manual (PDPM) to clarify the appropriate level of detail necessary to develop PIDs. The guidance should also clarify the use of "ballpark" and/or order of magnitude estimates and discuss the need to regularly update cost estimates prior to approval of the project report.</p>	<p>HQ Planning</p> <p>HQ Design</p> <p>PID Committee</p>	High	December 2010
18	Key Recommendation	<p><u>PID Program Improvements: Caltrans PID Oversight</u></p> <p>Caltrans intends to streamline PID review procedures for PID oversight activities. Caltrans is working in-house to develop a process that will standardize the review and approval of PIDs. The process will include a pilot program that will be implemented FY 2011-12 with full implementation FY 2012-13.</p>	<p>HQ Planning</p> <p>HQ Design</p>	High	July 2011
21	Key Recommendation	<p><u>PID Program Improvements: PID Committee</u></p> <p>Caltrans will form a PID Committee, including internal and external stakeholders, to continuously evaluate the effectiveness of the PID Program and the PID Strategic Plan. The PID Committee will also recommend further improvements related to cost sharing, reducing costs and delays, and streamlining procedures associated with the development and oversight of PIDs. The PID Committee will meet quarterly, or as needed, and report its findings in annual December 1 updates of the PID Strategic Plan.</p>	<p>HQ Planning</p>	High	October 2010

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4	<p><u>PID Program Management: Workload Management</u></p> <p>Review the SHOPP PID inventory annually as part of the update of the 10-Year SHOPP.</p>	<p>HQ Planning</p> <p>Districts</p>	Medium	<p>Completed June 2010</p> <p>Next Scheduled Update June 2011</p>
5	<p><u>PID Program Management: Workload Management</u></p> <p>Caltrans districts and regional agencies work together to prepare a variety of STIP candidate projects to be ready for programming opportunities.</p>	<p>Districts</p> <p>Regions</p>	Medium	June 2011
7	<p><u>PID Program Improvements: Education and Outreach on Existing PID Processes and Procedures</u></p> <p>Hold a statewide PID training program. The training will be available for all PID stakeholders. The conferences will be designed to educate all PID stakeholders on existing PID policies and procedures and developing more effective PIDs.</p>	<p>HQ Planning</p> <p>HQ Design</p> <p>Districts</p>	Medium	June 2011
11	<p><u>PID Program Improvements: Conflict Resolution</u></p> <p>Develop a conflict resolution process that incorporates Caltrans and project sponsor concurrence on purpose and need, and update the PDPM and policy documents to include conflict resolution.</p>	<p>HQ Planning</p> <p>HQ Design</p>	Medium	March 2011
12	<p><u>PID Program Improvements: Pre-PID and Pre-PEAR Meetings</u></p> <p>Hold pre-PID meeting with stakeholders. The Project Development Team (PDT) should assess the quality of existing data, document the project's purpose and need, discuss the scope of the PID, and determine roles and responsibilities. All of this information should be documented in the project charter. Checklists for risk management and other technical issues (e.g., geotechnical, stormwater, etc.) should be used to help assess the need to report or investigate potentially significant and likely risks and prescribe specific studies for the PID. All discussions should be documented and used as a basis for any future agreements.</p>	<p>HQ Planning</p> <p>HQ Design</p>	Medium	June 2011
13	<p><u>PID Program Improvements: Pre-PID and Pre-PEAR Meetings</u></p> <p>When appropriate, hold a pre-PEAR meeting to review the PEAR checklist, focus environmental work, improve communications, define expectations, and estimate environmental work schedules.</p>	<p>HQ Environmental</p>	Medium	June 2011

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17	<p><u>PID Program Improvements: Different Guidelines for SHOPP and STIP PIDs</u></p> <p>Evaluate the feasibility of maintaining separate procedures and guidance for STIP and SHOPP projects.</p>	<p>HQ Planning</p> <p>HQ Design</p> <p>PID Committee</p>	Medium	June 2011
19	<p><u>PID Program Improvements: Caltrans PID Oversight</u></p> <p>Ensure that each Caltrans district has well-trained staff to guide the work of PID oversight activities.</p>	<p>HQ Planning</p> <p>HQ Design</p>	Medium	July 2012
20	<p><u>PID Program Improvements: Performance Measures</u></p> <p>Caltrans should develop and use performance measures to manage the PID Program and reassess the PID Strategic Plan on a continuous basis.</p>	<p>HQ Planning</p> <p>PID Committee</p>	Medium	June 2011