

Overview of Project Initiation Document Program

California Department of Transportation

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Background

- Over 20 years ago, almost an entire STIP cycle was consumed with project cost increases. The CTC requested that Caltrans develop Project Initiation Documents (PIDs) that describe a project's conceptual scope, cost and schedule to provide a better basis for funding decisions.
- Caltrans, local agencies and consultants develop PIDs for projects on the State transportation system.

Regional Transportation Plans
(RTP)

10-Year State Highway Operation
Protection Program (SHOPP)
Plan

Project Priority, Purpose and Need

3-Year Project Initiation Document (PID) Strategic Plan

Conceptual Project Scope, Schedule and Cost
PID Preparation

Projects Pending Funding
(PID Shelf)

Project Funded

State Transportation Improvement Program
(STIP)

SHOPP

Project Development
Environmental, Design, Right-of-Way Acquisition, Construction

Streamline Project Delivery

- “PID creep” –The size, complexity and length of time to develop and review PIDs has increased.
- Caltrans and partner agencies have initiated streamlining measures to ensure sufficient levels of information - facilitating sound, cost effective and timely decisions.



Next Steps – Completed by July 1

- Streamline the PID process using the Project Study Report – Project Development Support (PSR-PDS) as the baseline PID.
 - Expedites the funding of projects through Project Approval – Environmental Document (PA-ED)
 - Clarifies PID guidance for STIP and locally-funded projects
 - Identifies potential project risks early
 - Uses “ballpark” estimates
- Eliminates redundancies
- Improves communication between Caltrans and local agencies
- Links projects to funding sources

Next Steps – Long Term

- Work with local agencies to assess the use of a Project Study Report – Project Report for projects that do not require CTC allocation for PA-ED to allow sponsors greater flexibility.
 - Risk Assessment
 - Under-staffing
- Create standard expectations, roles and responsibilities for PID oversight by Caltrans, project sponsors and consultants for quality control vs. quality assurance and timelines for review.

Changes may require revisions to existing CTC and Caltrans guidance.

Conclusion

Verify streamlined project delivery by the following performance measures:

- Quality of documents and reviews
- Timeliness
- Customer/stakeholder satisfaction
- Best use of staff time and funds
- Meets requirements
- Effective risk management