

**DEPARTMENT OF TRANSPORTATION**

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*Flex your power!  
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March 6, 2014

The Honorable Mark Leno  
Chair, Joint Legislative Budget Committee  
California State Senate  
1020 N Street, Room 553  
Sacramento, CA 95814

Dear Senator Leno:

I am pleased to submit the California Department of Transportation's (Caltrans) first of five reports on the Project Initiation Document (PID) Program. Caltrans is legislatively mandated through supplemental reporting language in the Supplemental Report of the 2013–14 Budget Package (Item 2660-001-0042) to provide a report on Caltrans' PID Program workload to the Senate Budget and Fiscal Review Committee, Assembly Committee on Budget, Legislative Analyst's Office, and Department of Finance no later than January 31 of each year for five years beginning in 2014. This report provides a summary of the PID Program through the first quarter of Fiscal Year (FY) 2013–14 from July 1, 2013, through September 30, 2013. A full report documenting the complete fiscal year will be provided on January 31, 2015.

For additional information on the progress that Caltrans has made on PIDs through the first quarter of FY 2013–14, please reference the attached "FY 2013–14 Project Initiation Document Program Report: FY 2013–14 First Quarter Update."

Distribution to the California State Legislature has been made by Caltrans pursuant to California Government Code section 9795. This report can also be found at [www.dot.ca.gov/reports-legislature.htm](http://www.dot.ca.gov/reports-legislature.htm).

Sincerely,

A handwritten signature in black ink, appearing to read "Malcolm Dougherty".

MALCOLM DOUGHERTY  
Director

Attachments

- (1) Project Initiation Document Program Report Fiscal Year 2013–14 First Quarter Update
- (2) Complete Project Lists

c: Mr. Gregory Schmidt, Mr. E. Dotson Wilson, Ms. Diane Boyer-Vine, Mr. Michael Cohen

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March 6, 2014

Mr. Gregory Schmidt  
Secretary of the Senate  
1020 N Street, Room 400  
Sacramento, CA 95814

Mr. Dotson Wilson  
Chief Clerk of the Assembly  
1315 10th Street, Room 3196  
Sacramento, CA 95814

Ms. Diane Boyer-Vine  
Legislative Counsel  
925 L Street, Suite 900  
Sacramento, CA 95814

Dear Ms. Boyer-Vine, and Messrs. Schmidt, and Wilson:

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Mr. Michael Cohen  
925 L Street, Suite 1000  
Sacramento, CA 95814

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c: Mr. Gregory Schmidt, Mr. E. Dotson Wilson, Ms. Diane Boyer-Vine, The Honorable Mark Leno



**PROJECT INITIATION DOCUMENT PROGRAM REPORT:  
FISCAL YEAR 2013-14 FIRST QUARTER UPDATE**

**Prepared by:**

**California Department of Transportation**

**Submitted to:**

**Senate Budget and Fiscal Review Committee and Assembly Committee on Budget**

**January 2014**

## **Table of Contents**

|  |   |
|--|---|
| Executive Summary .....                    | 1 |
| PID Program Background.....                | 3 |
| PID Program Accomplishments.....           | 3 |
| PID Program Summary .....                  | 4 |
| SHOPP PID Summary .....                    | 4 |
| State and Local Non-SHOPP PID Summary..... | 6 |
| Conclusion .....                           | 7 |
| Appendix A: Summary of PID Types .....     | 8 |

## **Tables**

**Table 1: Summary of SHOPP PIDs by Program (Two-Year Workload)**

**Table 2: Summary of Completed PIDs by SHOPP Program - First Quarter FY 2013–14**

**Table 3: Summary of Completed PIDs by PID Type - First Quarter FY 2013–14**

**Table 4: Summary of State-Sponsored and Local-Sponsored Non-SHOPP PIDs (Two-Year Workload)**

**Table 5: Summary of Completed Local-Sponsored and State-Sponsored Non-SHOPP PIDs - 1st Quarter FY 2013–14**

**Table 6: Summary of Completed Local-Sponsored PIDs by PID Type - 1st Quarter FY 2013–14**

## Executive Summary

As part of the commitment to provide transparent communication with its stakeholders and through the Supplemental Reporting Language (SRL) in the 2013–14 Budget Package (Item 2660-001-0042), the California Department of Transportation (Caltrans) is pleased to provide a report to the Senate Budget and Fiscal Review Committee, Assembly Committee on Budget, Legislative Analyst Office, and Department of Finance on the Project Initiation Document (PID) Program workload.

Caltrans is committed to effectively and efficiently managing PID Program resources and to continue to identify strategies to improve PID development. These strategies have resulted in overall savings to program resources by:

- Reducing the time to negotiate a signature ready cooperative agreement with regional and local entities by an average of 53 days in 2011 to 32 days in 2013.
- Reducing the scope of PIDs for non-complex American Disability Act and safety projects with costs under \$3 million, to achieve ongoing annual savings of approximately \$2.1 million.
- Continuously monitoring of program resources and delivery progress.
- Implementing of a formal change request process to highlight changes to the program Work Plan.

Additionally, Caltrans continues to seek innovative ways to improve the value and effectiveness of the PIDs. A team is working to develop a single, three-tier PID that will replace several PID documents being used today. The level of effort for each tier will be based on complexity and level of risk.

For the next two fiscal years (2013–14 and 2014–15), Caltrans will use 271 positions to develop approximately 807 PIDs for projects valued more than \$16.3 billion. This includes 710 PIDs to program more than \$4 billion in State Highway Operation Protection Program (SHOPP) funding to deliver high priority bridge, roadway, roadside preservation, collision reduction, and legal and regulatory mandate projects identified in the Caltrans Ten-Year SHOPP Plan. Caltrans is also working in collaboration with regional and local partners to develop 97 PIDs for state and local-sponsored projects on the State Highway System (SHS) valued at more than \$12.2 billion. These projects will preserve and enhance the SHS, improve safety and mobility, and improve the State's economy.

PIDs are essential to successful project delivery because they help Caltrans and local agencies to limit risks, cost-overruns, and project delays; to optimize funding; and to ensure that only feasible projects move forward. As of the first quarter of FY 2013–14, Caltrans completed 42 PIDs; 41 PIDs are for projects that will be funded through the SHOPP and one PID for a locally-sponsored project. Prior to PID development, initial project costs for the 41 projects were estimated at \$605 million, whereas the total project cost estimates identified in the completed PIDs were \$704 million. The difference of \$99 million validates the importance of PIDs because they help minimize risks, and more efficiently and efficiently deliver the projects once funded. Similarly, the initial project costs for the one locally-sponsored project were estimated at \$54 million. The total project cost in the completed PID was estimated at \$68 million. The differences between the project cost estimates before the PID and after PID completion validates the importance of the PID. The PID ensures a smooth transition from planning concept to project delivery.

This report provides a summary of the PID Program through the first quarter of Fiscal Year (FY) 2013–14. As part of this report, tables which include the above information will be made available on a compact disk. A report documenting the complete fiscal year will be provided to the Legislature beginning on January 31, 2015 and continue annually for five years.

The report provides:

- Type of PID produced.
- Level of work effort estimated to develop the PID by fiscal year and the associated costs.
- Actual level of work effort expended by fiscal year to develop the PID and the associated costs.
- Estimated total capital and support costs of the project prior to development of the PID.
- Estimated total capital and support costs of the project estimated in the completed PID document.

## PID Program Background

A PID is required to be developed and approved by Caltrans before any major project can be programmed (or funded), and constructed on the State Highway System (SHS). A PID is an engineering report that documents the scope, cost, and schedule of a project and is essential to the successful delivery of critically needed transportation projects. PIDs are essential to successful project delivery because they help Caltrans limit risks, cost-overruns, and project delays. PIDs are also used to optimize transportation funds and to ensure only feasible projects move forward. Caltrans' PID workload is divided into two areas: (1) SHOPP PIDs and (2) state and locally-sponsored PIDs.

Caltrans is responsible for maintaining and operating the approximately 50,000 lane-mile SHS, which is the backbone of California's transportation infrastructure. SHOPP PIDs are developed to deliver priority projects with the purpose of addressing collision reduction, major damage restoration, bridge preservation, roadway preservation, roadside preservation, mobility enhancement, and preservation needs on the SHS. All SHOPP PIDs must be documented in the approved financially-constrained Ten-Year SHOPP Plan. Once the PIDs are completed, the projects are programmed into the four-year SHOPP Program (e.g. funds are committed) and delivered through the Capital Outlay Support Program.

Caltrans also develops, reviews, and approves PIDs for state and local-sponsored projects on the SHS. The workload includes a variety of projects that address transportation management systems, increasing highway capacity operational improvements, and increasing non-capacity highway operational improvements. All state and local-sponsored projects must be documented in an approved Regional Transportation Plan and have an identified funding source.

## PID Program Accomplishments

Caltrans is committed to effectively and efficiently managing PID Program resources and identifying strategies to improve and streamline PID development. Caltrans' PID Strategic Plan provides a framework for the efficient management of PID resources and the PID development process. It is developed in collaboration with Caltrans districts, regional and local transportation partners, and is updated every two years. The Plan includes three major goals: (1) improving efficiencies throughout the PID process for successful programming and project delivery, (2) improving management of the PID program, and (3) providing transparent communication with internal and external PID stakeholders. Of the 27 strategies that have been identified, 15 strategies have been implemented and 12 are currently in progress.

Some of the PID Program's major accomplishments include:

- **Streamlining Cooperative Agreements:** Caltrans has reduced the time frame needed to negotiate a signature ready cooperative agreement with regional and local partners from an average of 53 days in 2011 to 32 days in 2013.

**Streamlining SHOPP PIDs:** To make SHOPP PIDs more efficient, the use of the streamlined Small Capital Value Project (SCVP) PID was expanded in FY 2012–13 by increasing the project cost threshold from \$1 million to \$3 million for non-complex American Disability Act and safety projects. This reform is expected to result in annual savings of approximately \$2.1 million. Caltrans is in the process of further expanding the use of the SCVP PID to projects over \$3 million based on project risk and complexity.



**Streamlining PIDs for State and Locally-Sponsored Projects:** Caltrans also streamlined the Project Study Report-Project Development Support (PSR-PDS) PID for state and locally-sponsored projects. Since the implementation of new PSR-PDS guidance in November 2011, Caltrans has seen a cost savings of approximately \$67,000 for the development of each PSR-PDS document. Caltrans continues to find opportunities to work with local agencies to reduce the cost of PIDs for projects on the SHS.

- **Performance Agreements and Quarterly Reporting:** The annual District Agreement and Quarterly Report monitoring process has been updated to improve management of the PID Program, and to document the commitment of the district to the development and delivery of PIDs.
- **PID Change Management Process:** To better track and manage project changes, Caltrans has recently implemented a new process that formalizes the documentation and justification of projects being added and removed from the PID workload.

Caltrans will identify additional accomplishments and program trends in the next report once data from the full year has been collected and analyzed. This report is due to the Legislature at the end of January 2015.

## **PID Program Summary**

For FYs 2013–14 and 2014–15, Caltrans will use 271 positions in each fiscal year to develop approximately 807 PIDs for projects valued more than \$16.3 billion. The 807 PIDs includes 710 PIDs for SHOPP projects and 97 PIDs for State and locally-sponsored Non-SHOPP projects. The PIDs will ultimately lead to projects that will preserve and enhance the SHS, improve safety and mobility, improve the State's economy, and ensure a smooth transition from planning concept to project delivery.

## **SHOPP PID Summary**

Based on the FY 2013–14 two-year zero-based budget (ZBB) and Caltrans' 2013 Ten-Year SHOPP Plan, Caltrans was allocated 214 State Highway Account (SHA) positions for each of the next two fiscal years to work on 740 PIDs identified in the Ten-Year SHOPP Plan, targeted for programming in the 2014 and 2016 SHOPP. Caltrans uses three years of historical data to determine PID and resource needs.

Caltrans later reprioritized the projects in the Ten-Year SHOPP Plan to address newly identified maintenance and preservation needs. Although the workload was re-prioritized, the PID Program was able to maintain the approved 214 positions while not significantly changing the types of projects or PIDs planned to be developed (refer to Attachment 2 for additional detail on the projects that were added to and removed from the SHOPP workload). Based on the re-prioritized workload, Caltrans plans to work on 710 SHOPP PIDs during the next two

FYs (2013–14 and 2014–15). The 710 PIDs include 41 PIDs that were completed during the first quarter of FY 2013–14, 223 active PIDs where resources have been assigned through the first quarter of FY 2013–14, and an additional 446 PIDs that will be worked on during FYs 2013–14 and 2014–15 to be completed by June 30, 2015 (refer to Table 1 and Attachment 2 for additional information on the SHOPP PID workload). A portion of the 446 PIDs include safety and emergency projects, which are assessed on a continuous real time basis. Resources will be allocated to these projects throughout the fiscal year once safety and emergency needs are identified.

**(Table 1) Summary of SHOPP PIDs by Program (Two-Year Workload)**

| SHOPP Program       | ZBB Positions FY 2013-14 (Positions) | # of Planned PIDs in Two-Year ZBB* | # of Actual PIDs in Reprioritized Two-Year Workload | # of PIDs Completed by Sept. 30, 2013 | # of PIDs (Active) in Workload | # of Proposed PIDs to be Completed by June 30, 2015 |
|---------------------|--------------------------------------|------------------------------------|---|---------------------------------------|--------------------------------|---|
| Bridge              | 63                                   | 124                                | 111   | 8                                     | 60                             | 43  |
| Collision Reduction | 87                                   | 336                                | 336   | 9                                     | 100                            | 227   |
| Mandates            | 26                                   | 78                                 | 60  | 1                                     | 19                             | 40  |
| Mobility            | 8                                    | 43                                 | 33  | 3                                     | 7                              | 23  |
| Roadway             | 27                                   | 99                                 | 110   | 20                                    | 37                             | 53  |
| Emergency           | 3                                    | 60                                 | 60  | 0                                     | 0                              | 60  |
| <b>Total</b>        | <b>214</b>                           | <b>740</b>                         | <b>710</b>  | <b>41</b>                             | <b>223</b>                     | <b>446</b>  |

\* PID workload over two years (FY 2013–14 and 2014–15)

The PID Program completed PIDs for 41 SHOPP projects in the *first quarter* of FY 2013–14. Of the 41 projects, seven were programmed into the 2012 SHOPP, 33 were programmed into the 2014 SHOPP, and one is scheduled to be programmed in the 2016 SHOPP. Those projects with less complexity are completed earlier than those that require more extensive development. Prior to PID development, project costs for the 41 projects were estimated at \$605 million. The total project costs identified in the completed PIDs were estimated at \$704 million. The difference of \$99 million validates the importance of PIDs because they help minimize risks, and more efficiently and efficiently deliver the projects once funded. The consequence of moving forward with these projects without the PID or a reliable scope, schedule, and cost estimate would result in potential scope changes, schedule delays, and project overruns; ultimately leading to projects being removed from the SHOPP Program due to schedule delays and cost increases (refer to Table 2 and Attachment 2 for additional information on the completed PIDs).

**(Table 2) Summary of Completed PIDs by SHOPP Program - First Quarter FY 2013–14**

| SHOPP Program       | # of Total Projects Completed | Est. Project Cost Before PID (\$ mil) | Est. Project Cost After PID (\$ mil) |
|---------------------|-------------------------------|---------------------------------------|--------------------------------------|
| Bridge              | 8                             | \$59                                  | \$54                                 |
| Collision Reduction | 9                             | \$43                                  | \$56                                 |
| Mandates            | 1                             | \$3                                   | \$2                                  |
| Mobility            | 3                             | \$11                                  | \$10                                 |
| Roadway             | 20                            | \$489                                 | \$582                                |
| <b>Total</b>        | <b>41</b>                     | <b>\$605</b>                          | <b>\$704</b>                         |

Since every project is unique, the PID Program cannot assign standardized or absolute workload norms to each PID. Therefore, the Program relies on work effort ranges, project complexity and risks, and engineering judgment to determine resource needs for each PID (refer to Table 3 for ranges documented in the approved ZBB). Depending on the project and PID type, the work effort to complete a PID can range from the equivalent of .1 to 1.5 positions. For the 41 PIDs completed as of September 30, 2013, on average, Caltrans planned to use the equivalent of .5 positions but actually used the equivalent of .3 positions to complete the PIDs (refer to Table 3 and Attachment 3 for additional information on the completed PIDs). 41 PIDs out of a total of 710 PIDs is a relatively small sample size. A full report documenting a more substantial dataset of completed PIDs for FY

2013–14 will be provided to the Legislature on January 31, 2015. The completed PIDs in the full FY 2013–14 report will be more representative of the PID Program.

**(Table 3) Summary of Completed PIDs by PID Type - First Quarter FY 2013–14**

| PID Type*    | # of Total Projects Completed | Average Planned Cost to Complete the PID (\$)** | Average Actual Cost to Complete the PID (\$)** | Average Planned Work Effort to Complete the PID (Positions) | Average Actual Work Effort to Complete the PID (Positions) | Typical Work Effort Ranges Used in ZBB (Positions) |
|--------------|-------------------------------|---|--|---|--|--|
| CAPM         | 15                            | \$38,655  | \$35,139                                       | 0.29  | 0.18   | .1 to 1.5  |
| PSR          | 7                             | \$71,825  | \$44,991                                       | 0.55  | 0.25   | .4 to 1.2  |
| PSR-PR       | 1                             | \$67,150  | \$127,884                                      | 0.50  | 0.74   | .5 to 1.3  |
| PSSR         | 12                            | \$111,740                                       | \$85,082                                       | 0.93  | 0.50   | .3 to 1.3  |
| SCVP         | 6                             | \$51,875  | \$29,258                                       | 0.39  | 0.12   | .1 to .5   |
| <b>Total</b> | <b>41</b>                     | <b>\$68,338</b>                                 | <b>\$52,840</b>                                | <b>0.54</b>   | <b>0.28</b>  |  |

\* Reference Appendix A for additional information on PID types.

\*\* The planned cost to complete the PID *only* includes direct charges

\*\*\* The actual cost to complete the PID includes both direct and indirect charges

## State and Local Non-SHOPP PID Summary

Caltrans was allocated 57 positions (26 SHA positions and 31 reimbursement positions) to develop PIDs and provide oversight for 275 State and local-sponsored candidate Non-SHOPP projects on the SHS. The number of local-sponsored PIDs in the workload fluctuates due to continued scope refinement, changing priorities, and funding constraints at the local and regional levels. As a result, the PID Program currently plans to work on a total of 97 PIDs for State and local-sponsored projects on the SHS with an estimated value of \$12.2 billion (refer to Table 4 and Attachment 3 for additional information state and local-sponsored PID workload). Many of these projects are long term in nature and require local agencies to reimburse Caltrans for PID development or oversight work.

**(Table 4) Summary of State-Sponsored & Local-Sponsored PIDs (Two-Year Workload Non-SHOPP)**

| Type of Projects  | BCP Positions FY 2013-14 | # of Planned PIDs in BCP* | # of Actual PIDs in Reprioritized Two-Year Workload | # of PIDs Completed by Sept. 30, 2013 | # of PIDs (Active) in Workload | # of Proposed PIDs to be Completed by June 30, 2015 |
|-------------------|--------------------------|---------------------------|---|---------------------------------------|--------------------------------|---|
| State-Sponsored*  | 26                       | 92                        | 43  | 0                                     | 41                             | 12  |
| Local-Sponsored** | 31                       | 183                       | 54  | 1                                     | 15                             | 28  |
| <b>Total</b>      | <b>57</b>                | <b>275</b>                | <b>97</b>   | <b>1</b>                              | <b>56</b>                      | <b>40</b>   |

\*SHA Positions

\*\*Reimbursement Positions

During the first quarter of FY 2013–14 from July 1, 2013, through September 30, 2013, one local-sponsored PID was completed (refer to Table 5 and Attachment 3 for additional information on the state and local-sponsored completed PIDs). Prior to PID development, initial project cost for the one project was estimated at \$54 million. The project cost estimate identified in the completed PIDs was \$68 million. The difference of \$14 million validates the importance of the PID. The consequence of moving forward with this project without a PID or reliable scope, schedule, and cost estimate could result in potential scope changes, schedule delays, and project overruns.

**(Table 5) Summary of Completed Local-Sponsored & State-Sponsored PIDs - 1<sup>st</sup> Quarter FY 2013–14**

| Type of Projects | # of Completed PIDs | Est. Project Cost Before PID (\$ mil) | Est. Project Cost After PID (\$ mil) |
|------------------|---------------------|---------------------------------------|--------------------------------------|
| State-Sponsored  | 0                   | N/A                                   | N/A                                  |
| Local-Sponsored  | 1                   | \$54                                  | \$68                                 |
| <b>Total</b>     | <b>1</b>            | <b>\$54</b>                           | <b>\$68</b>                          |

For the one locally sponsored completed PID, Caltrans planned to use the equivalent of 1.5 positions, but actually used the equivalent of 1.4 positions to complete the PID (refer to Table 6 for additional information on the completed PIDs). While the one PID is a small sample size, a full report documenting all completed PIDs by fiscal year will be provided to the Legislature on January 31, 2015.

**(Table 6) Summary of Completed Local-Sponsored PIDs by PID Type - 1<sup>st</sup> Quarter FY 2013–14**

| PID Type* | Caltrans Role | # of Total Projects Completed | Average Planned Cost to Complete the PID (\$)** | Average Actual Cost to Complete the PID (\$)*** | Average Planned Work Effort to Complete the PID (Positions) | Average Actual Work Effort to Complete the PID (Positions) |
|-----------|---------------|-------------------------------|---|---|---|--|
| PSR-PDS   | Lead          | 1                             | \$209,974                                       | \$237,075                                       | 1.54  | 1.38   |

\* Reference Appendix A for additional information on PID types.

\*\* The planned cost to complete the PID only includes direct charges.

\*\*\* The actual cost to complete the PID includes both direct and indirect charges.

## Conclusion

This report was prepared in accordance with the SRL of 2013 Budget Act, and provides a summary of the PID Program through the first quarter of FY 2013–14 (From July 1, 2013 / through September 30, 2013). Projects that Caltrans develops through the PID process will ensure a smooth transition from planning concept to project delivery, and in turn improve the safety and mobility of our state highways. These projects are comprised of more than \$16.3 billion in SHOPP and non-SHOPP state and local-sponsored projects. The PID Program completed 41 SHOPP PIDs and one locally sponsored PID during the first quarter.

The PID Program has established goals and policies to continue to improve and evolve the program. This past year, strategies to improve the PID Program have been implemented, and have already led to several major accomplishments which will increase efficiency in the management of the program and resources throughout Caltrans. Strategies such as streamlining the PID documents, implementing district agreements, and quarterly monitoring, and improving the management of projects have been put in place to ensure our overall goal of successfully delivering projects on time and on budget.

## Appendix A: Summary of PID Types

| Type of PIDs                                     |         | Applicability   | Streamlining Benefits  | Types of Projects on SHS |       |
|--|---------|---|--|--------------------------|-------|
|  |         |   |  | State/<br>Local          | SHOPP |
| Small Capital Value Project                      | SCVP    | Used for low risk and less complex single alternative projects below \$3 million.   | Streamlines PID phase by reducing PID cost and schedule.   |                          | X     |
| Project Study Report-Project Development Support | PSR-PDS | Default document for all STIP and locally-funded projects. PID includes assessments of major assumptions, risks, and "ballpark" project cost estimates. Detailed studies are done in environmental phase. | Streamlines PID phase by reducing PID cost and schedule.   | X                        |       |
| Project Scope Summary Report                     | PSSR    | Used for candidate projects that has enough information to approve a project alternative.   | Combines PID and Project Approval / Environmental Document (PA/ED) phases thus streamlines project delivery. |                          | X     |
| Project Study Report                             | PSR     | Used for higher risk and complex projects. PID includes detail analyses and identifies detailed cost estimates for all project phases.  | None at the PID phase. PA/ED there is potential savings due to fatal flaws being addressed at PID.           | X                        | X     |
| Capital Preventive Maintenance Project Report    | CAPM PR | Used for pavement rehabilitation and preservation projects.   | Typically combines PID and PA/ED phases thus streamlines project delivery.                                   |                          | X     |
| Project Study Report-Project Report              | PSR-PR  | Typically used for candidate projects that has key stakeholder consensus and a clear understanding of the requirements to complete the project.   | Combines PID and PA/ED phases thus streamlines project delivery.   | X                        | X     |