




**CALIFORNIA DEPARTMENT OF TRANSPORTATION
DISTRICT 3 PLANNING, LOCAL ASSISTANCE, AND SUSTAINABILITY**

DISTRICT 3 PLANNING DIRECTIVE	Date Issued: January 13, 2020	Page 1 of 21
Title: Project Initiation Document (PID) Development Policy	Supersedes: New Approval Recommended By:  KARL L. DREHER Acting NR Chief Deputy  SUKHVINDER (SUE) TAKHAR Acting, Deputy of Planning, Local Assistance and Sustainability	
	Approved By:  AMARJEET S. BENIPAL District Director	
Subject Area: PDT Expectations and Deliverables for M003, M006, M009, and M010.	Issuing Division: Planning, Local Assistance, and Sustainability	
Supersedes: New	Distribution: All Project Development Team members assigned to District 3 Project Initiation Documents	

PURPOSE and NEED

The purpose of this Policy is to develop a well scoped project and clarify roles and responsibilities to improve project communications and quality for the development of Project Initiation Documents (PID) for major projects (excluding Minor Program). This will be accomplished through establishing Project Development Team (PDT) expectations and deliverables at the 30%, 60%, 90% and 100% PID milestones.

PROCESS

Kickoff:

- All support functions should be invited to Kick-Off meeting. See Transportation Planning Scoping Information Sheet (TPSIS) for list of functional unit contacts.
- Project Manager (PM) and Project Engineer (PE) should review and update team members as needed.
- PE will conduct background research (see section III. Responsibilities and Deliverables: PID Project Engineer or Landscape Architect)
- PM will provide project information to the PDT one week in advance of meeting.
 - Include project description, EA, county, route, and post miles.

- Include purpose of meeting and clear expectations of the meeting.
- Include timed agenda.
- PM will check responses to ensure key members are able to attend and reschedule if necessary.
- PE will present background research information and draft Purpose and Need to the PDT for review. PDT will assist Project Engineer to identify additional existing data.
- PDT shall review and refine the Purpose and Need (P&N) and identify alternatives to study that address the Purpose and Need.
- PDT should assess and decide if other data or activities will be needed earlier than normal during the K-phase that would be beneficial to the project such as but not limited to:
 - Geotechnical investigations
 - Public engagement
 - Gather new survey data
 - The decision to conduct these activities early should be documented in the meeting minutes.
- PE will schedule field visit with key PDT members preferably soon after Kickoff PDT meeting.

30% (M003):

- PDT will review the draft Scope Agreement Memo prior to presenting for approval.
- PDT will present draft project Purpose and Need and alternatives to Executive staff.
 - The presentation can be in the form of a memo for less complex projects or a Scope Agreement meeting for more complex projects.
 - Scope Agreement meeting can occur at the weekly Delivery Hour.
 - The type of presentation and approval will be at the discretion of the Program Project Management (PPM) Single Focal Point (SFP) and/or Deputy District Director of Planning, Local Assistance, and Sustainability.
- M003 will be considered complete upon receipt of the District Director's signed concurrence of P&N, alternatives, draft cost estimates, how the proposed cost compares to the Ten-Year SHOPP Plan (TYP) and the PDT's recommendations to meet the TYP fiscal constraints, and the programmable alternative.

60% (M006)

- PDT will further refine the PID and alternatives based on input from internal and external stakeholders.
- PE will submit requests for functional units' deliverables.
- Functional units will provide deliverables (attachment in PID, schedule, support resources, and project risks).
- PE will develop draft PID document.
- PE will develop capital cost estimate.
- PM will develop and provide the Programming Sheet.
- PE will circulate draft PID for 60% functional review including constructability and safety reviews. Resource requests from Functional units are initiated with the 60% circulation.
- Reviewers shall provide comments within 2 weeks or as stated in distribution message from the time of receiving the draft PID.
- M006 will be considered complete when all comments from the 60% review have been addressed.

90% (M009)

- PE will circulate draft PID including documentation of 60% comments to PDT for final functional review.
- Reviewers shall provide comments within 2 weeks or as stated in distribution message from the time of receiving the draft PID.
- PE will complete the draft PID and all attachments to final draft stage (i.e. incorporating or addressing final functional review comments) and submit to PM for Executive review.
- PM will circulate final draft PID including documentation of 60% and 90% functional review comments for quality control to Office Chiefs.
- Reviewers shall provide comments within 2 weeks or as stated in distribution message from the time of receiving the draft PID.
- Executive staff review for approval after all the comments have been incorporated and addressed in the final draft.
- M009 will be considered complete when all comments from the 90% functional and Executive review have been addressed.

100% (M010)

- PM will circulate PID to the Deputy District Director of Planning, Local Assistance, and Sustainability for review and/or approval.
- PDT will address any final comments and the PE will revised the PID as needed.
- PM will submit revised final draft for Deputy District Director of Planning, Local Assistance, and Sustainability and the District Director approval.
- M010 will be considered complete when the District Director of Planning, Local Assistance, and Sustainability and the District Director have signed the PID
- PE will distribute approved PID to all stakeholders (internal and external) in electronic format.

RESPONSIBILITIES and DELIVERABLES**PID Project Engineer or Landscape Architect:**

- Conduct background research.
 - Review Project Initiation Proposal (PIP), TPSIS, previous projects, adjacent projects, as-built, Right of Way record maps, meet or communicate with Maintenance staff, etc. to get a historical perspective to the current transportation problem.
 - Coordinate with all functional units to determine all required permits.
 - Review Highway Design Manual for applicable standards.
 - Consult with District Surveys and Right of Way Engineering for any existing base mapping.
 - Use Virtual PDT GIS to visualize geospatial data at PDT meetings.
 - Continuously check for new/updated GIS data.
- Record and prepare PDT meeting minutes.
- Schedule and conduct field review of project site.
 - Include key PDT members as needed (Construction, Maintenance, Surveys, NRPD Design, Environmental, Right of Way, HQ DES Structures and Geotechnical, etc.)
 - Document (field notes and photograph) physical features observed.
 - Identify and document initial project risks.

Supersedes: New

- Consult with PDT to identify project alternatives.
- Prepare draft Purpose and Need statements.
- Prepare preliminary mapping [typical cross sections and layouts showing right of way requirements including temporary and/or permanent easement (construction, drainage, utility) and environmental study limits (ESL) for each alternative.
- Prepare preliminary Construction Cost Estimate for each alternative.
- Prepare estimated number of Working Days with the assistance of the Construction unit.
- Prepare Scope Agreement Memo
- Attend 30% Scope Agreement meeting (Delivery Hour).
- Submit Functional Unit requests after 30% Scope Agreement Memo is approved.
 - Request Right of Way Data Sheet (RWDS).
 - Request Preliminary Environmental Analysis Report (PEAR).
 - Request Initial Site Assessment (ISA).
 - Request Traffic Management Plan (TMP).
 - Request Travel Forecasting information (Traffic Index and Design Designation) if needed.
 - Request Structural Section recommendation if needed.
 - Request Landscape Architecture Assessment Study (LAAS).
 - Request Structure PIR cost estimate, Advance Planning Study, or Structure PSR-PDS cost estimate if needed.
 - Request Geotechnical recommendation if needed.
 - Request Hydraulics recommendation if needed.
 - Prepare Storm Water Data Sheet and request review and approval.
 - Request Traffic Electrical cost estimate if needed.
 - Request Traffic Safety information (TSAR/Table B) if needed.
 - Request existing Utility Facility maps.
 - Request survey data, geotechnical investigation or other activities/data that the PDT have decided to conduct earlier than normal.
- Prepare draft PID document
 - Review and incorporate information/deliverables from functional units into PID document.
 - Review cost estimate with North Region Estimator.
- Assess need for Design Standard Decision Document (DSDD).
 - Discuss proposed Design Standard deviations with the District Design Liaison, and if appropriate with the Project Delivery Coordinator.
 - Unless a significant risk is identified, preparation and approval of the DSDD is deferred to the Project Approval & Environmental Document (PA&ED) phase.
- Circulate 60% Draft PID for review.
 - Transmit draft PID to functional units and local entities if appropriate.
 - Document incorporated comments or reasons for their omission.
 - Send documentation of actions to units that submitted comments.
- Circulate 90% Draft PID for review
 - Circulate Draft PID including documentation of 60% comments to PDT for final functional review.
 - After incorporating or addressing final functional review comments, transmit draft PID including documentation of 60% and 90% comments to PM for circulation to Executive staff.

Supersedes: New

- Document incorporated comments or reasons for their omission. Consult with PM if Delivery Hour Meeting is needed to resolve any comments.
- Send documentation of actions to Executive(s) that submitted comments.

PID Project Engineer or Landscape Architect Continued:

- Submit Final Draft PID to PM for PID Approval.
- Distribute approved PID to stakeholders (internal and external).

Project Manager:

- Schedule, track, and facilitate PDT meetings.
 - Kickoff Meeting.
 - Pre-30% PDT Meeting.
 - 30% Scope Agreement Meeting (Delivery Hour)
 - 60% PDT Support Resource and Project Schedule Meeting.
 - 90% PDT PID Review meeting (Delivery Hour if needed).
- Consult with PE to keep PDT membership updated.
- Attend Field Review of project site (Mandatory).
- Prepare preliminary project work plan. Utilize the M224 Plan (see attachment A) to schedule tasks and identify lead roles through the planning and study phases.
- Review project alternatives to ensure that project goals are met, solutions are cost effective, worker and traveling public safety are maximize, and the project will contribute towards achieving performance objectives.
- Review Scope Agreement Memo before 30% Scope Agreement Meeting.
- Review and refine Purpose and Need statements before 30% Scope Agreement Meeting.
- Obtain input from local entities if appropriate.
- Review required permits for all project alternatives.
- Review deliverables from functional units, support resource estimates, and schedule. Ensure functional unit tasks are properly resourced in the correct phase using the activity crosswalk (see attachment B).
- Prepare Programming sheet.
- Compile risks identified by PDT and prepare Risk Management Plan.
- Review Draft PID at 60% and 90% circulation.
- Consult with PE regarding review comments and resolve discrepancies in PID content, project schedule, estimated costs, etc.
- Circulate 90% Draft PID for Executive staff review.
- Obtain PID Approval
 - Route PID to Deputy District Director of Planning, Local Assistance, and Sustainability and District Director for approval.

Right of Way Unit:

- Attend PDT meetings.
- Attend Field Review of project site (Mandatory).
- Review project alternatives to ensure that project goals will be met, solutions are cost effective, worker and traveling public safety are maximized, and right of way impacts are minimized or avoided.
- Review and refine Purpose and Need statement before 30% Scope Agreement Meeting.
- Identify project risks that can impact cost, schedule, and the feasibility of the project alternatives.
- In collaboration with the Utility Engineering Workgroup (UEW), identify potential utility conflicts and other critical information important to the project such as land ownership, public lands, protected lands, etc.
- Review project plans for missing critical information.
- Develop preliminary schedule for completion of Right of Way Certification.
- Review Draft PID at 60% and 90%.
- Prepare right of way capital cost estimate for 60%.
- Complete right of way support resource estimate using Resource Request Tool (RRT) at 60%.
- Complete the RWDS or Conceptual Cost Estimate (CCE).
- Request existing Utility Facilities map from owners (per M224 policy).

Environmental Unit:

- Attend PDT meetings.
- Attend Field Review of project (Mandatory).
- Review project alternatives to ensure a reasonable range of alternatives that will meet the project goals, ensure solutions are cost effective, worker and traveling public safety are maximized, and impacts to environmental resources are minimized or avoided.
- Review and refine Purpose and Need statement before 30% Scope Agreement Meeting.
- Identify project risks that can impact cost, schedule, and the feasibility of the project alternatives.
- Determine studies that will be required during the environmental analysis.
- Identify the environmental documentation that will be required and develop a preliminary schedule for its completion.
- Review Draft PID at 60% and 90%.
- Prepare environmental mitigation cost estimate.
- Complete environmental support resource estimate using Resource Request Tool (RRT) at 60%.
- Complete the PEAR (including studies required for Environmental Document and Environmental Permits required for the project).

Hazardous Waste Unit:

- Attend PDT meetings.
- Attend Field Review of project site if appropriate.
- Review project alternatives to ensure that project goals will be met, solutions are cost effective, worker and traveling public safety are maximized, and hazardous waste impacts are minimized or avoided.
- Review and refine Purpose and Need statement before 30% Scope Agreement Meeting.
- Identify project risks that can impact cost, schedule, and the feasibility of the project alternatives.
- Identify any known or potentially hazardous waste within the proposed project limits.
- Review Draft PID at 60% and 90%.
- Prepare hazardous waste mitigation cost estimate.
- Complete hazardous waste support resource estimate using Resource Request Tool (RRT) at 60%.
- Complete the ISA and provide recommendation memo.

Traffic Management Planning Unit:

- Attend PDT meetings.
- Review project alternatives to ensure that project goals will be met, solutions are cost effective, and impacts to the traveling public are minimized.
- Review and refine Purpose and Need statement before 30% Scope Agreement Meeting.
- Identify project risks that can impact cost, schedule, and the feasibility of the project alternatives.
- Develop methods for mitigating construction effects (e.g. detours, public outreach, speed reduction, etc.).
- Review Draft PID at 60% and 90%.
- Prepare TMP cost estimate.
- Complete TMP support resource estimate using Resource Request Tool (RRT) at 60% (ensure traffic support units have sufficient resources for preliminary design in PA&ED phase per M224 policy).
- Complete the TMP.

Landscape Architecture Unit:

- Attend PDT meetings.
- Attend Field Review of project site if appropriate.
- Review project alternatives to ensure that project goals will be met, solutions are cost effective, worker and traveling public safety are maximized, and context sensitive solutions are considered.
- Review and refine Purpose and Need statement before 30% Scope Agreement Meeting.
- Identify project risks that can impact cost, schedule, and the feasibility of the project alternatives.
- Identify highway planting, context sensitivity, visual issues, and other critical information important to the project.
- Review Draft PID at 60% and 90%.
- Prepare landscape/erosion control cost estimate.
- Complete landscape support resource estimate using Resource Request Tool (RRT) at 60%.
- Complete the LAAS.

HQ DES Structures:

- Attend PDT meetings.
- Attend Field Review of project site if appropriate.
- Review project alternatives to ensure that project goals will be met, solutions are cost effective, and worker and traveling public safety are maximized.
- Review and refine Purpose and Need statement before 30% Scope Agreement Meeting.
- Identify project risks that can impact cost, schedule, and the feasibility of the project alternatives.
- Determine structure design and construction issues and other critical information important to the project, e.g. constructability, accessibility, equipment to be used, innovative design or construction methods, etc.
- Review Draft PID at 60% and 90%.
- Prepare Structure PIR or PSR-PDS cost estimate or Advance Planning Study (APS) if complex structure(s) is/are involved.
- Complete DES Structure resource estimate using Resource Request Tool (RRT) at 60%.

HQ DES Geotechnical:

- Attend PDT meetings.
- Attend Field Review of project site if appropriate.
- Review project alternatives to ensure that project goals will be met, solutions are cost effective, and worker and traveling public safety are maximized.
- Review and refine Purpose and Need statement before 30% Scope Agreement Meeting.
- Identify project risks that can impact cost, schedule, and the feasibility of the project alternatives.
- Provide Geotechnical recommendations and other critical information important to the project.
- If the PDT has decided to include early Geotechnical investigations (Drilling Service, Geophysics and Geology studies, etc.), provide study report.
- Review Draft PID at 60% and 90%.
- Prepare Geotechnical cost estimate.
- Complete DES Geotechnical resource estimate using Resource Request Tool (RRT) at 60%.

District Hydraulics Unit:

- Attend PDT meetings.
- Attend Field Review of project site if appropriate.
- Review project alternatives to ensure that project goals will be met, solutions are cost effective, and worker and traveling public safety are maximized.
- Review and refine Purpose and Need statement before 30% Scope Agreement Meeting.
- Identify project risks that can impact cost, schedule, and the feasibility of the project alternatives.
- Prepare memo with hydraulic recommendations and other critical information important to the project.
- Determine need for 408 Permit.
- Determine need for the public's rights to access and use California's navigable waters.
- Review Draft PID at 60% and 90%.
- Review and approve Storm Water Data Report (SWDR).
- Prepare hydraulics/SWDR cost estimate.
- Complete hydraulics resource estimate using Resource Request Tool (RRT) at 60%.

Project Development Design:

- Attend PDT meetings.
- Attend Field Review of project site if appropriate.
- Review project alternatives to ensure that project goals will be met, solutions are cost effective, and worker and traveling public safety are maximized.
- Review and refine Purpose and Need statement before 30% Scope Agreement Meeting.
- Review Scope Agreement Memo before 30% Scope Agreement Meeting.
- Identify project risks that can impact cost, schedule, and the feasibility of the project alternatives.
- Review project plans and construction capital cost estimate for missing critical information.
- Review and assist with developing project schedule including M224 specific workplan per M224 Policy.
- Review and assist PID PE/Architect with assessment and preparation of Design Standard Decision Document (DSDD).
- Request surveys to begin at opening of "0" Phase.
- Review Draft PID at 60% and 90%.
- Complete Project Development Design resource estimate using Resource Request Tool (RRT) at 60%.

Project Development Engineering Services Unit:

- Review project alternatives to ensure that project goals will be met, solutions are cost effective, and worker and traveling public safety are maximized.
- Conduct Safety and Constructability reviews.
- Assist with request for existing Utility Facility mapping.
- Identify project risks that can impact cost, schedule, and the feasibility of the project alternatives.
- Review Draft PID at 60% and 90%.
- Review construction capital cost estimate for completeness and accuracy.
- Complete Project Development Engineering Services resource estimate using Resource Request Tool (RRT) at 60%.

Construction Unit:

- Attend PDT meetings.
- Attend Field Review of project site (Mandatory).
- Review project alternatives to ensure constructability, that project goals will be met, solutions are cost effective, and worker and traveling public safety are maximized.
- Review and refine Purpose and Need statement before 30% Scope Agreement Meeting.
- Identify project risks that can impact cost, schedule, and the feasibility of the project alternatives.
- Assist PE to calculate estimated number of Working Days.
- Identify potential traffic detour/handling strategies.
- Review Draft PID at 60% and 90%.
- Complete construction resource estimate using Resource Request Tool (RRT) at 60%.

Maintenance Unit:

- Attend PDT meetings.
- Attend Field Review of project site (Mandatory).
- Review project alternatives to ensure that project goals will be met, solutions are cost effective, and worker and traveling public safety are maximized.
- Review and refine Purpose and Need statement before 30% Scope Agreement Meeting
- Identify project risks that can impact cost, schedule, and the feasibility of the project alternatives.
- Provide inputs regarding Maintenance needs.
- Review Draft PID at 60% and 90%.

Right of Way Engineering/Surveys:

- Attend PDT meetings.
- Attend Field Review of project site if appropriate.
- Review project alternatives to ensure that project goals will be met, solutions are cost effective, and worker and traveling public safety are maximized.
- Review and refine Purpose and Need statement before 30% Scope Agreement Meeting
- Identify project risks that can impact cost, schedule, and the feasibility of the project alternatives.
- Assists PE with acquisition of existing R/W and Survey Data as needed.
- Check for incomplete Right of Way Clearances.
- Provide inputs regarding opportunities of performing drone LIDAR surveys that may be a cost-effective solution to mitigate certain risks.
- Review Draft PID at 60% and 90%.
- Complete R/W Engineering and Survey resource estimate using Resource Request Tool (RRT) at 60%.

Asset Management:

- Attend PDT meetings.
- Attend Field Review of project site (Mandatory for Anchor Asset Program Advisor).
- Review project alternatives to ensure that project goals will be met, solutions are cost effective, worker and traveling public safety are maximized, and constructability.
- Review and refine Purpose and Need statement before 30% Scope Agreement Meeting
- Identify project risks that can impact cost, schedule, and the feasibility of the project alternatives.
- Review Draft PID at 60% and 90%.
- Provide SHOPP Performance Measures (pre and post PID)
- Complete Asset Management resource estimate using Resource Request Tool (RRT) at 60%.
- Update Asset Management Tool and notify SHOPP Manager/Coordinator with any changes.

Regional Planning Unit:

- Attend PDT meetings.
- Attend Field Review of project site if appropriate.
- Review project alternatives to ensure that project goals will be met, solutions are cost effective, worker and traveling public safety are maximized, and context sensitive solutions are considered.
- Review and refine Purpose and Need statement. Identify the correlation of purpose and need with statewide, regional, and local planning efforts,
- Identify project risks that can impact cost, schedule, and the feasibility of the project alternatives.
- Identify federal and state systems and relevant statewide, regional, and local plans and projects.
- Review project alternatives for consistency with the Regional Transportation Plan (RTP) and, if not consistent, identify next steps to assure consistency.
- Identify opportunities for early public engagement.
- Identify complete streets, climate change, transit, and freight gaps and opportunities appropriate to the function and context of the facility.
- Identify stakeholders including tribal governments, community based organizations, disadvantaged communities, etc.
- Provide information relevant to the project such as relevant local development projects, relinquishments; strategies to reduce vehicle miles traveled (VMT) and greenhouse gas (GHG) emissions; climate vulnerability and system adaptation strategies, etc.
- Review Draft PID at 60% and 90% prior to Executive circulation.
- Complete Regional Planning support resource estimate using Resource Request Tool (RRT) at 60%.
- Complete the Transportation Planning Scoping Information Sheet.

DISTRICT 3 PLANNING DIRECTIVE	Date Issued: January 13, 2020 Supersedes: New	Page 22 of 22
--------------------------------------	--	----------------------

RESOURCES and ATTACHMENTS

- Functional Unit Constructability Review Checklist:
<http://website.dot.ca.gov/design/stp/index.html>
- North Region GIS Data Library:
<http://svgcesridvweb.ct.dot.ca.gov/arcgis/apps/webappviewer/index.html?id=a050ffb0d324017af02a3e7cf2f1a54>
- Attachment A: M224 Plan
- Attachment B: Crosswalk for Activities to be Completed during WBS 160 Activities