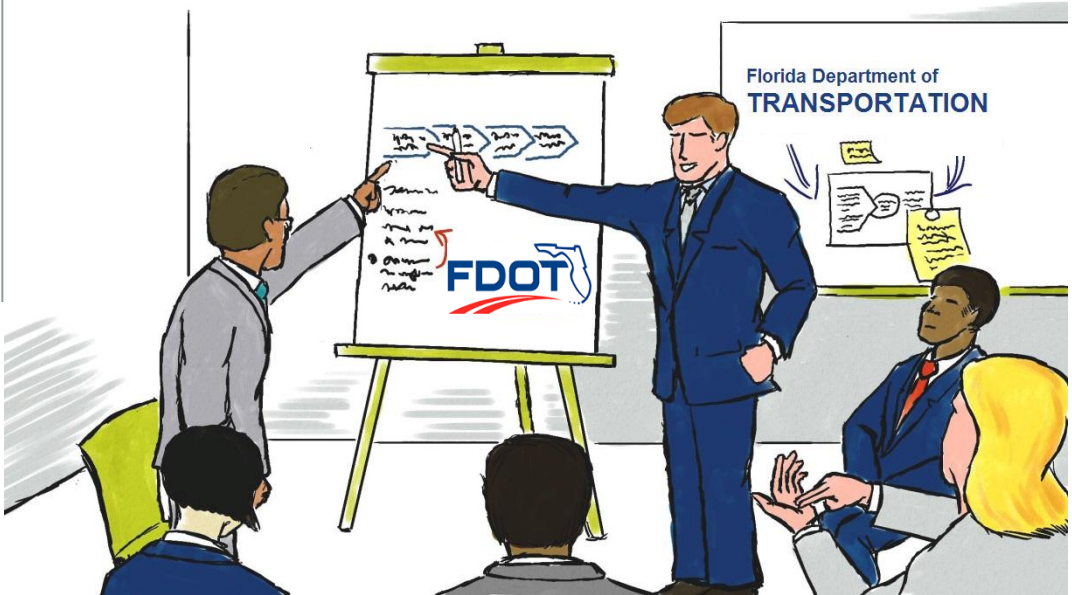# FDOT Quick Guide:

Transforming our State Pre-Construction Process

February 2015

Our mission

The department will provide a safe transportation system that ensures the mobility of people and goods, enhances economic prosperity and preserves the quality of our environment and communities.

Our Vision

Serving the people of Florida by delivering a transportation system that is fatality and congestion free.

Our Values

The fundamental principles which guide the behavior and actions of our employees and our organization.

Integrity

"We always do what is right"

Respect

"We value diversity, talent and ideas"

Commitment

"We do what we say we are going to do"

One FDOT

"We are one agency, one team"

Trust

"We are open and fair"

Transforming our state process

FDOT is working to streamline its project delivery and has created an improved process

Goals of this effort

More efficiently advance projects through the pre-construction process...

- Simplify documentation requirements
- Reduce redundant or irrelevant work
- Overlap processes where possible
- Identify issues earlier through cross-functional review

... while maintaining a high standard of excellence

- Create transparent and standardized process
- Focus freed-up resources on critical issues
- Peer oversight through regular District team meetings
- Simplify review process to increase reviewer efficacy
- Meet and exceed legal and regulatory requirements
- Reduce stress and low morale that leads to errors

Changing the way we work is critical

Change will lead to...

- Quicker delivery of services to the public
- Fewer instances of rework due to changing conditions
- Lower risk from changing policy or procedure
- More hands-on coaching of junior staff
- Improved flexibility to handle unforeseen tasks or requests
- Greater satisfaction and predictability of work

A message from Secretary Boxold

Florida Department of Transportation

RICK SCOTT
GOVERNOR

605 Suwannee Street
Tallahassee, FL 32399-0450

JIM BOXOLD
SECRETARY

February 5, 2015

FDOT colleagues,

As you know, we have set out on a transformational change effort to meaningfully improve the way we work and to shorten the timeframe in which we can deliver our projects.

We see huge value for the public in the improvements we are making – we have estimated an opportunity to get roads and bridges built up to six years faster than we would have under the Federal Highway process, which means Florida families and businesses see more immediately the benefits of our investments.

State-Wide Acceleration and Transformation teams (SWAT teams) across the state have focused so far on a set of 11 projects that are already going through the improved state process – and because of their commitment to innovation, creative thinking, and problem solving, I am happy to say that in a few short months, the SWAT teams have already found ways to save 50-60% of time for these 11 projects. This is major progress, and I am proud of what we have done together so far.

Our work together to date is just the beginning of continued innovation in our processes – we want to keep getting better in delivering our mission, and you are critical to doing so.

We believe there's an opportunity to take our overall reduction in pre-construction project delivery times to 60-75%. To get there, we need all members of the FDOT team – Project Managers, SWAT Teams, Work Program, Planning, PD&E, Design, Construction, consultants, experts – to look for ways to streamline our processes and change the way we work. We also need to ensure we continue to nominate a meaningful number of new projects each year to be state funded.

I know that changing the way we work takes significant effort and can present difficulties, but I want you to know that your work is appreciated and valued by FDOT leadership and by the public, the true beneficiaries of our efforts.
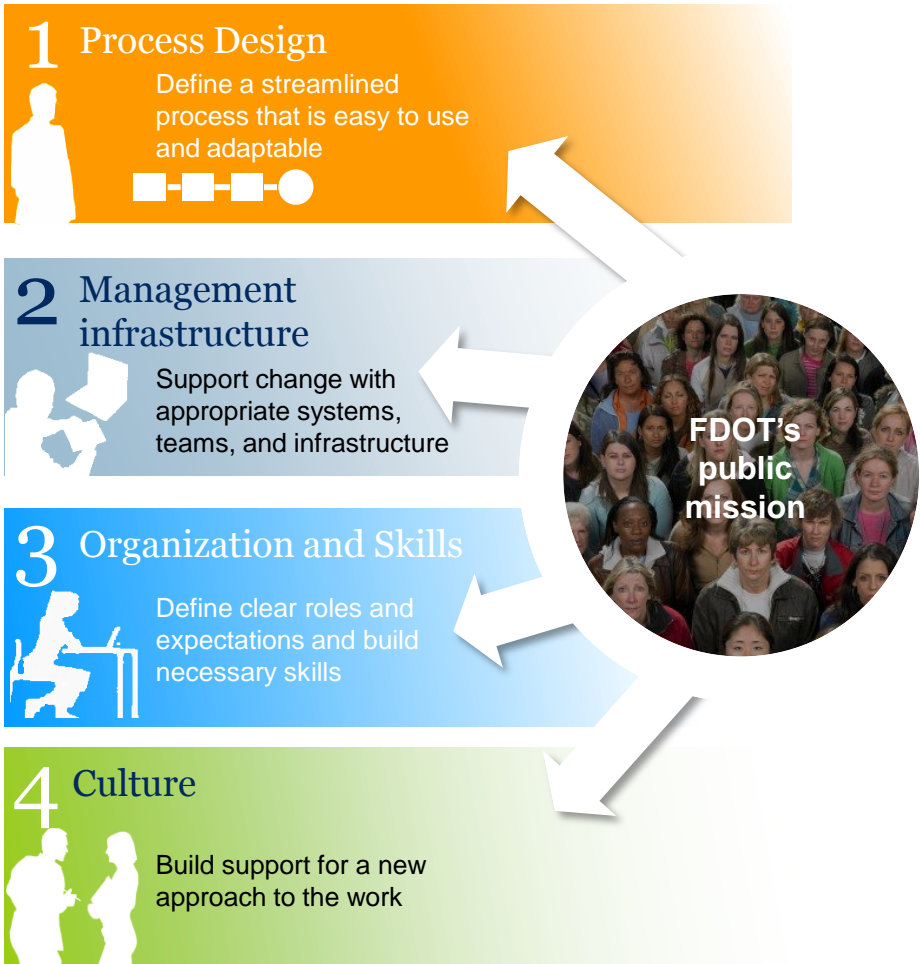
The SWAT teams at each District and this Quick Guide are in place to support you and to make this transition to an improved state process easier. Please don't hesitate to reach out to the Central SWAT team for support, as well.

Thank you for your continued support of FDOT's important mission.

Jim Boxold
Secretary

This quick guide will support us in transforming the state pre-construction process through a focus on four critical elements:

1 Process Design
Define a streamlined process that is easy to use and adaptable

2 Management infrastructure
Support change with appropriate systems, teams, and infrastructure

3 Organization and Skills
Define clear roles and expectations and build necessary skills

4 Culture
Build support for a new approach to the work

FDOT's public mission

This guide will help you to succeed on all four dimensions as you lead an important transformation at FDOT

This guide helps you answer key questions across all four dimensions:

Acronyms List

Acronym	Definition
COA	Federal Class of Action
EA	Environmental Assessment
EIS	Environmental Impact Statement
EMO	Environmental Management Office
EST	Environmental Screening Tool
ETDM	Efficient Transportation Decision Making
FHWA	Federal Highway Administration
ISD	Intermodal Systems Development
LDCA	Location Design Concept Acceptance
MPO	Metropolitan Planning Organization
NEPA	National Environmental Policy Act
NFE	Not Federally Eligible
NMSA	Non-Major State Action
NTP	Notice to Proceed
PD&E	Project Development and Environmental
PER	Preliminary Engineering Report
PM	Project Manager
ROW	Right of Way
SEIR	State Environmental Impact Report
SWAT Team	State-Wide Acceleration and Transformation Team
Type II CE	Type II Categorical Exclusion
USDOT	U.S. Department of Transportation

Process Design

Core principles of state process
How is the state process different from the Federal Highway process?

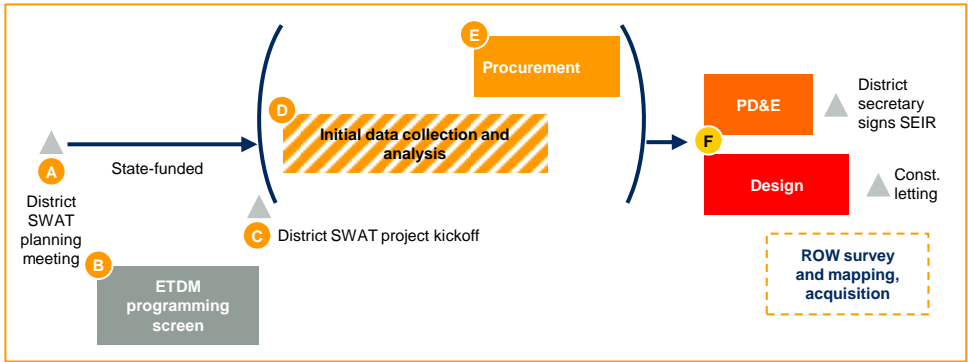| Principle	Effect on state process
Carefully and narrowly define work to be done	▪ Focused, tight scoping ▪ Cross-functional teams ▪ Use ETDM programming screen to scope ▪ Early consideration of specific project characteristics
Follow a structured process using realistic schedules	▪ Create an ambitious, yet realistic, target schedule unique to each project ▪ Use detailed schedules to effectively manage projects
Eliminate unnecessary steps	▪ No Federal class of action determination ▪ Evaluate only needed alternatives, consideration of only one alternative is okay
Parallel – process the work whenever possible	▪ Start PD&E and design together – no need to wait for LDCA ▪ Pull forward activities as much as possible to the time before Notice to Proceed so consultants and staff hit the ground running
Reduce duplicative work	▪ No PER; design analysis included in SEIR
Shorten waiting times	▪ FHWA is not lead agency ▪ Internal District reviews for documents ▪ Documents signed by District Secretary ▪ Fed. involvement only when permits required (though still never use 4(f))

What is the improved state process?

Procurement (E)

Initial data collection and analysis (D)

State-funded

District SWAT planning meeting (A)

District SWAT project kickoff (C)

ETDM programming screen (B)

PD&E — District secretary signs SEIR (F)

Design — Const. letting

ROW survey and mapping, acquisition

	A	B	C	D	E	F
Step	• District SWAT planning meeting	• ETDM Programming Screen	• District SWAT Project Kickoff	• Initial Data Collection & Analysis	• Procurement	• PD&E and Design
Timing	• Late summer before each new gaming cycle	• Must be complete one year before PD&E funding is programmed in work program	• One year ahead of PD&E / Design funding date in work program	• Begins after project kick off	• 4-6 months	• 10-30 months – PD&E: 6-14 months – Design: 10-18 months
Partici-pants	• SWAT team • ISD / Planning • Work program • EMO	• ETDM coordinator	• SWAT Team • PD&E and Design PMs • ISD / Planning	• PD&E and Design PMs	• PD&E and design PMs • Procurement	• PD&E and Design PMs
Activi-ties	• Discuss all projects to be gamed in upcoming cycle • Decide core elements of purpose and need • Use ETDM planning screen if possible • Ensure alignment with MPO on project • Decide State or Federal funded • If state funded, decide NMSA vs. SEIR	• SWAT team communicates list of state projects to ETDM coordinator • Check state or federal funding box • Conduct ETDM programming screen • If state-funded, FHWA will not comment on project	• Scoping Segmentation consideration • High-level schedule • Plan for tech panel • Use ETDM programming screen to scope	• Environ-mental review • Survey • Geotech • Traffic • Long lead species surveys	• Concurrent and/or joint procurement	• Overlap of PD&E and Design activities, working to get quickly to the preferred alternative • 60% of Design done by end of PD&E

SWAT project kick-offs should closely resemble the SWAT workshops conducted in January of 2015 on the initial set of state projects

What is the SWAT Team and when does it meet?
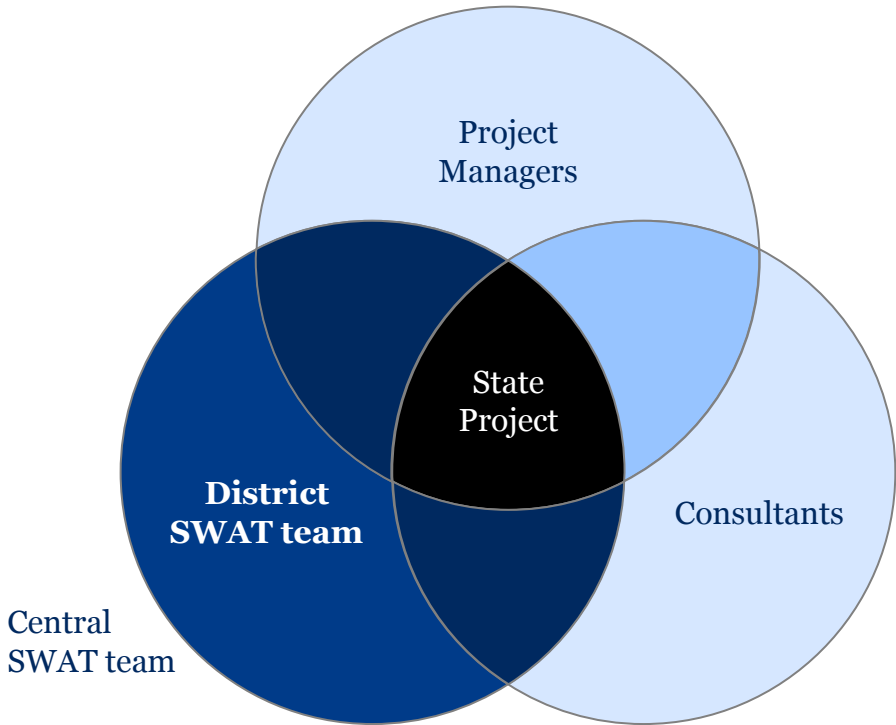
District SWAT Team is...

- Responsible for assisting PMs and Consultants in achieving time savings through the improved process
  - *Meets twice (**SWAT planning meeting, Project Kickoff**) & then as needed*
- Made up of functional experts who can ensure that project decisions get broad input and early buy-in
- Intended to enable regular communication across agency through Central-District SWAT overlap

See page 49 for a deeper description of the SWAT team, its current members, and its role

My notes on the state process

1   Process Design

A   SWAT Planning meeting

What happens at the SWAT Planning meeting?

Timing
- Occurs yearly
- In the late summer / early fall before gaming process begins
- Work program and ISD / Planning should have a list of potential projects that will be gamed

Participants
- SWAT Team
- Work program
- ISD / Planning
- EMO

Tools to use
- ☐ Funding allocation chart
- ☐ Work program instructions
- ☐ NMSA v. SEIR checklist

Agenda
- Review all PD&E projects set to be gamed in the coming year
- Discuss core elements of purpose and need for each project
- Ensure alignment with MPO on projects
- Use information from ETDM planning screen, if possible
- Assign hypothetical Class of Action to each project (initial best guess at Class of Action)
- Decide a funding recommendation for each project: state v. federal
- For state funded projects, decide NMSA or SEIR

Deliverables
- List of projects for gaming, sorted into state funded and federal funded
- Preliminary view on hypothetical Class of Action assigned to each project
- List of NMSA projects, which the SWAT team no longer discusses
- List of projects to put through ETDM

List of state funded projects is given to the Central SWAT Team so the projects are added to the dashboard

During the SWAT planning meeting, the SWAT team recommends projects to be state funded

Work Program and EMO refine the list and assign the state funded projects a NFE (not federal eligible) group identifier

| **Consider full list of projects** | **Narrow down to projects that are eligible & suitable for state funding** | **Further refine and score based on environmental considerations** | **Fit funding to scored project list (some projects that are good state-only candidates will not have state-only funding available, and will be funded with federal or mixed funds)** |

Projects funded and NFE item group identifier is applied to state-only projects

	1266
	684
	857
	1754

| 1266 |
| 1754 |

| **All projects** | **Federal / Mixed** | **State** | **Federal / Mixed** | **State** | **Federal / Mixed** | **State** | **Unfunded** |

Work Program has helped draft guidance for selecting and filtering projects – see next pages

EMO helps prioritize projects based on Class of Action – higher classes of action get priority to be state funded

COA	Average federal process PD&E duration (existing)	Average SEIR duration (estimated)	Expected savings due to SEIR
Prog CE	467	168	299
Type II CE	1,041	374	667
EA	1,850	665	1,186
EIS	3,033	1,090	1,943

1   Process Design

Some projects must always fall under FHWA's jurisdiction:

- On the Interstate
- Using or involving Interstate right-of-way (e.g., air rights, adjacent, etc.)
- Projects within and impacting federal lands such as National Parks or Forests, etc.
- Transportation Alternatives (TA) program
- Safety Program projects

If federal funds have been used on a prior phase of the current project, check with Central Office as to whether the project falls under FHWA's jurisdiction

Projects may still have to follow the federal NEPA process if a federal permit is required, though FHWA will not be the lead agency
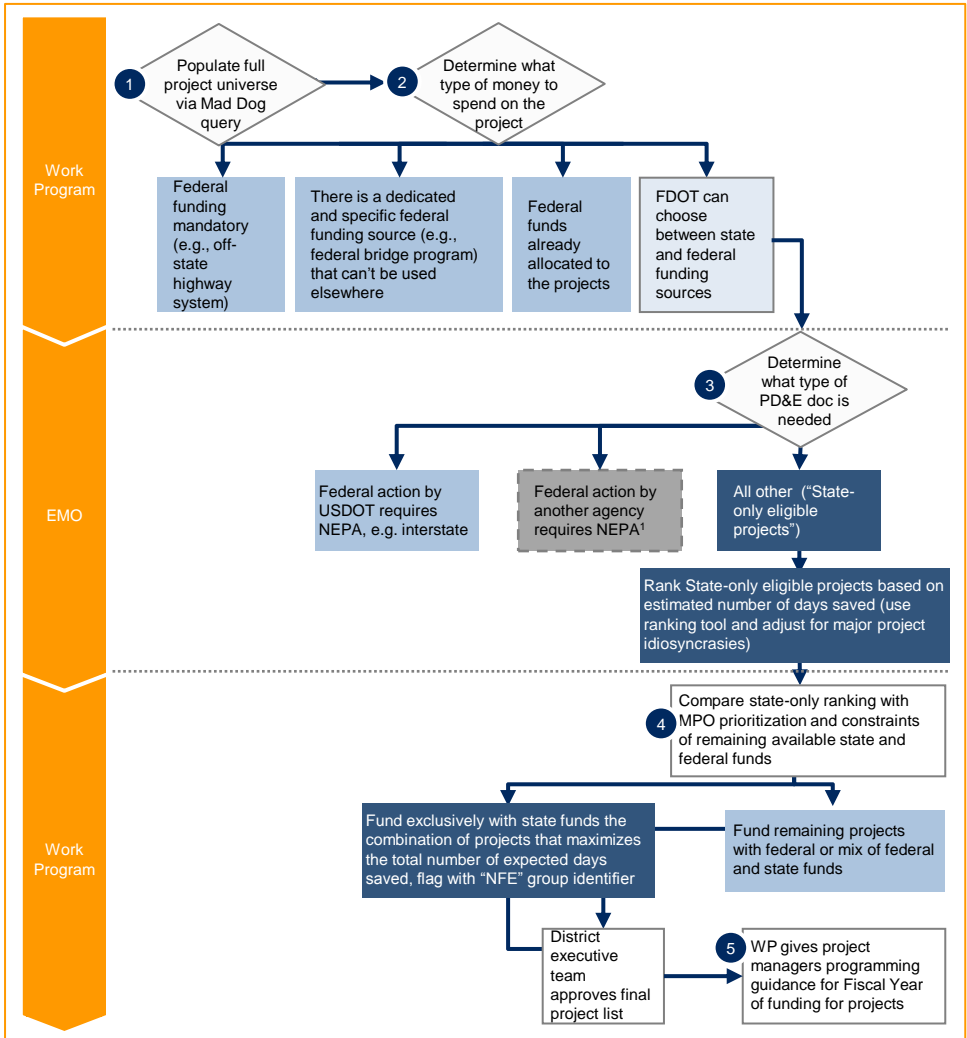
A SWAT Planning meeting

Work program instructions for deciding which projects are to be state funded

Legend:
- Use federal funds on all phases including PD&E, do NEPA in concert with FHWA or Coast Guard
- Do NEPA document for PD&E with state funds only to preserve optionality
- Candidate project for SEIR and state funding through full life cycle

Work Program

1. Populate full project universe via Mad Dog query
2. Determine what type of money to spend on the project

- Federal funding mandatory (e.g., off-state highway system)
- There is a dedicated and specific federal funding source (e.g., federal bridge program) that can't be used elsewhere
- Federal funds already allocated to the projects
- FDOT can choose between state and federal funding sources

EMO

3. Determine what type of PD&E doc is needed

- Federal action by USDOT requires NEPA, e.g. interstate
- Federal action by another agency requires NEPA[1]
- All other ("State-only eligible projects")

Rank State-only eligible projects based on estimated number of days saved (use ranking tool and adjust for major project idiosyncrasies)

Work Program

4. Compare state-only ranking with MPO prioritization and constraints of remaining available state and federal funds

- Fund exclusively with state funds the combination of projects that maximizes the total number of expected days saved, flag with "NFE" group identifier
- Fund remaining projects with federal or mix of federal and state funds

District executive team approves final project list

5. WP gives project managers programming guidance for Fiscal Year of funding for projects

1 Applies in the case of needing a federal permit. The lead agency for issuing the permit should be the lead agency for NEPA approvals. Since no federal dollars are used on PD&E, no USDOT federal action is triggered. Therefore USDOT/FHWA is not required to be involved in NEPA document review or approval. If the EMO determines that there is potential for significant schedule gains even within a NEPA document, these projects should be added to the "State-only eligible projects" list.

1 Process Design

(A) SWAT Planning meeting

EMO ranks projects based on environmental complexity and expected number of PD&E days saved using a SEIR process

Key findings from analysis of federalized projects

PD&E
- Primary driver of PD&E duration is class of action (COA)
- Other factors were not predictive of PD&E duration

Design
- Design duration is driven by individual project characteristics

EMO scoring methodology

Input
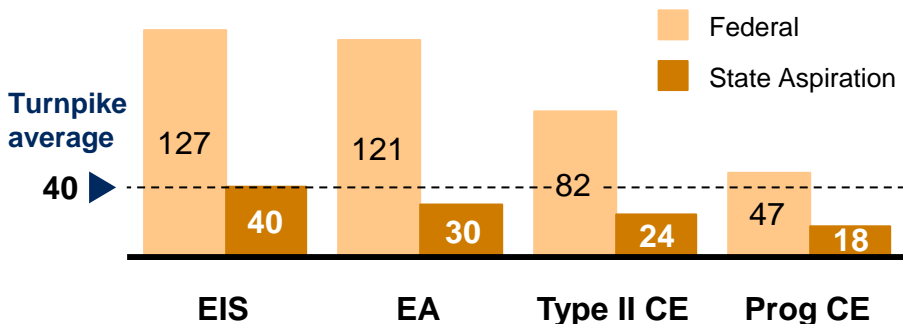- Hypothetical COA determined during SWAT planning meeting

Output
- Ranking of projects based on potential days saved

Federal average duration vs. State aspiration, *months from Procurement start to Production*

Turnpike average

40 ▶

Federal
State Aspiration

	EIS	EA	Type II CE	Prog CE
Federal	127	121	82	47
State Aspiration	40	30	24	18

NMSA v. SEIR checklist

FDOT PROJECT EVALUATION FORM

STEP 1: DOCUMENT PROJECT INFORMATION

1. GENERAL INFORMATION:

Project Name: _____

Project Limits: _____

ETDM Number (If applicable): _____

Financial Management Number:_____

2. PROJECT DESCRIPTION:

a. Existing:

b. Proposed Improvements:

STEP 2: EVALUATION

YES   NO

___ ___ Is this a transportation project qualifying for EST screening? (See Part 1, Chapter 2, Environmental Class of Action Determination of the PD&E Manual)

___ ___ Will the project cause adverse impacts to local traffic patterns, property access, community cohesiveness, or planned community growth or land use patterns?

___ ___ Will the project cause adverse impacts to air, noise, or water?

___ ___ Will the project cause adverse impacts to wetlands requiring a state and/or federal permit?

___ ___ Will the project cause adverse impacts to navigation requiring a federal permit?

___ ___ Will the project cause impacts to floodplains in accordance with Part 2, Chapter 24 of the PD&E Manual?

___ ___ Will the project affect endangered or threatened species or their critical habitat or require a state species permit?

___ ___ Will the project require acquisition of significant amounts of right of way?

___ ___ Will the project require relocation of residents or businesses?

___ ___ Are properties protected under Chapter 267, F.S. adversely affected as determined in consultation with the Florida Division of Historical Resources?

___ ___ Are there any known potential contamination sites which would impact right of way, design, or construction activities, or other issues/resources? (See Part 2, Chapter 22 of the PD&E Manual for specifics on contamination impacts)

___ ___ Is there a potential for public controversy on the project?

___ ___ Is a public hearing needed in accordance with Part 1, Chapter 11 of the PD&E Manual and 335.155(5)(b), F.S.?

IF ALL ANSWERS ARE NO: THE PROJECT IS A NON-MAJOR STATE ACTION (COMPLETE BLOCK A)

BLOCK A

The project is not defined in Chapter 335.155(5)(b) of the Florida Statutes as a major transportation improvement (increasing the capacity of a facility through the addition of new lanes or providing new access to a limited or controlled access facility or construction of a facility in a new location) and based upon this project evaluation, it has been determined that the project is a Non-Major State Action.

District Environmental Administrator or designee:

_____   Date: ___/___/____

END PROJECT EVALUATION

This Form is the Environmental Document for a Non-Major State Action. Supporting documents are included in the project file.

IF AN ANSWER FROM STEP 2 WAS YES AND THE PROJECT REQUIRES FURTHER ANALYSIS: CONTINUE WITH STEP 3

STEP 3: FURTHER ENVIRONMENTAL ANALYSIS AND PREPARATION OF A STATE ENVIRONMENTAL IMPACT REPORT (SEIR)

Details on filling out the following sections of a SEIR are in Section 10.2.1.2 of Part 1, Chapter 10 of the PD&E Manual.

- Consider this checklist
- Recommend NMSA v. SEIR
- For NMSA projects, accelerate so design can begin in a month at most

1 Process Design

B ETDM Programming Screen

How does ETDM fit into the state process?

Environmental Screening Tool (EST)

To input the project into EST:

1) Select state or federal funding

2) Determine whether there is federal involvement

State or FHWA Environmental Review Process

*Determine State or Federal Funding

Indicate which environmental review process will be used: ● State Process ○ FHWA Process

*Federal Involvement

(Check 'No Federal Involvement' OR all that apply)

☑ **No Federal Involvement:** This project does not require a Federal Consistency Review (FCR) with the State Clearinghouse during the Programming Phase. This option is not available for LAP projects, which require an FCR.

A transportation project is considered a federal action and must comply with NEPA when one of the following conditions applies:

☐ **Federal Funding:** Federal funds or assistance is or is expected to be used during any phase of project development or implementation.

☐ **Federal Action:** Federal approval of an action is required (e.g., change in Interstate access control, use of Interstate right-of-way).

☐ **Federal Permit:** Federal permit(s) is (are) required when based on consultation the federal permitting agency has determined that a DOT NEPA document is required to support the permit (e.g., U.S. Coast Guard Bridge permit, COE **Section 404** permit).

☐ **USCG Bridge Permit:** A US Coast Guard Bridge Permit is required for projects impacting navigable waterways. US Coast Guard should be either the federal lead agency or invited as a cooperating agency.

☐ **Maintain Federal Eligibility:** Federal funding or assistance eligibility is being maintained for subsequent phases.

☐ **Federal Permit Required without Programming Phase Federal Consistency Review:** Typically used for Turnpike projects. This project does not require a Federal Consistency Review (FCR) with the State Clearinghouse during the Programming Phase. This option is not available for LAP projects, which require an FCR.

3) If federal funding is checked, you must justify the decision pending approval of Central Office (with the exception of checking the "on interstate" option)

SWAT Team communicates to ETDM Coordinator the projects that will go through the state process

State or FHWA Environmental Review Process

*Determine State or Federal Funding

Indicate which environmental review process will be used: ○ State Process ● FHWA Process

○ On Interstate
● Using or involving Interstate right-of-way (e.g., air rights, adjacent, etc.)
○ Off-System projects
○ Other

*Justification to use the FHWA Process

B I U ≣ ≣

*Federal Involvement

(Check 'No Federal Involvement' OR all that apply)

☐ **No Federal Involvement:** This project does not require a Federal Consistency Review (FCR) with the State Clearinghouse during the Programming Phase. This option is not available for LAP projects, which require an FCR.

A transportation project is considered a federal action and must comply with NEPA when one of the following conditions applies:

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☐ **Maintain Federal Eligibility:** Federal funding or assistance eligibility is being maintained for subsequent phases.

Timing

If possible, must complete ETDM programming screen one year before PD&E money is programmed

(C) SWAT Project Kick Off

What happens at the SWAT project kickoff?

Timing

- Occurs one year before PD&E money is programmed
- Held for each specific project (meetings can be combined)

Participants

- SWAT Team
- PD&E and Design PMs
- ISD / Planning

Agenda

- Bring and discuss ETDM programming screen information
- Use SEIR checklist to scope the project, using experience of the group to guide early decisions
- Consider whether segmenting the project makes sense in order to expedite it (e.g. segment into a separate project a controversial piece of the project)
- Place project on matrix to estimate overall project duration
- Draft high-level project schedule
- Decide consultant contracting strategy
- Decide project management set up
- Write initial scope of services

Deliverables

- High-level schedule for project
- Project management team structure
- Target number of months from start of procurement to construction letting
- Updated estimate on what Federal Class of Action would have been, for use in determining time saved
- Draft scope of services for consultant
- List of documents required
- Plan for tech panel

Tools to use

- ☐ Project aerials / Google maps
- ☐ SEIR checklist for scoping
- ☐ Matrix for estimating duration
- ☐ Example high-level schedules
- ☐ Procurement options
- ☐ Tech panel guidance
- ☐ Project management options

C SWAT Project Kick Off

How do we develop and refine the scope of a project?

SEIR Checklist – to use for scoping

STATE ENVIRONMENTAL IMPACT REPORT

1. ENVIRONMENTAL ANALYSIS

*Topical Categories | Substantial Impacts? | **Basis for Decision
Yes No Enhance NoInv.

A. SOCIAL and ECONOMIC
1. Social   [ ] [ ] [ ] [ ] _____
2. Economic   [ ] [ ] [ ] [ ] _____
3. Land Use Changes [ ] [ ] [ ] [ ] _____
4. Mobility   [ ] [ ] [ ] [ ] _____
5. Aesthetic Effects [ ] [ ] [ ] [ ] _____
6. Relocation Potential [ ] [ ] [ ] [ ] _____

B. CULTURAL
1. Historic Sites/Districts [ ] [ ] [ ] [ ] _____
2. Archaeological Sites [ ] [ ] [ ] [ ] _____
3. Recreation Areas [ ] [ ] [ ] [ ] _____

C. NATURAL
1. Wetlands and Other
    Surface Waters [ ] [ ] [ ] [ ] _____
2. Aquatic Preserves [ ] [ ] [ ] [ ] _____
3. Water Quality [ ] [ ] [ ] [ ] _____
4. Outstanding FL Waters [ ] [ ] [ ] [ ] _____
5. Wild and Scenic Rivers [ ] [ ] [ ] [ ] _____
6. Floodplains [ ] [ ] [ ] [ ] _____
7. Coastal Barrier Resources [ ] [ ] [ ] [ ] _____
8. Listed Species and Habitat [ ] [ ] [ ] [ ] _____ -
10. Essential Fish Habitat [ ] [ ] [ ] [ ] _____

D. PHYSICAL
1. Noise   [ ] [ ] [ ] [ ] _____
2. Air Quality [ ] [ ] [ ] [ ] _____
3. Construction [ ] [ ] [ ] [ ] _____
4. Contamination [ ] [ ] [ ] [ ] _____
5. Bicycles and Pedestrians [ ] [ ] [ ] [ ] _____
6. Utilities and Railroads [ ] [ ] [ ] [ ] _____
7. Navigation [ ] [ ] [ ] [ ] _____

* Topical Categories: Yes = Substantial Impact; No = No Substantial Impact; Enhance = Enhancement; NoInv. = Issue absent, no involvement.

**Basis of decision is documented in the referenced attachment(s).

2. ANTICIPATED PERMITS
☐ Individual Dredge and Fill Permit- USACE
☐ Nationwide Permit- USACE
☐ Bridge Permit- USCG
☐ Environmental Resource Permit-_____(FDEP or WMD)
☐ _____

For guidance on ensuring sufficient information for permitting agencies is included see Section 10.2.1.2 of Part 1, Chapter 10 of the PD&E Manual

3. ENGINEERING ANALYSIS

4. COMMITMENTS

5. FDOT SELECTED ALTERNATIVE

6. APPROVED FOR PUBLIC AVAILABILITY (BEFORE PUBLIC HEARING)

_____   ___/___/___
District Secretary or Designee   Date

The final SEIR reflects full consideration of the comments and responses resulting from the Public Hearing.

7. A Public Hearing was held on ___/___/___
                                        Date

8. APPROVAL OF FINAL DOCUMENT (AFTER PUBLIC HEARING)

_____   ___/___/___
District Secretary or Designee   Date

During the SWAT Team project kick off meeting, participants should use the SEIR checklist to scope the project and narrow the number of issues to be considered on the project

Using the information you have during the SWAT team project kick off (e.g. ETDM programming screen, project aerials, site visit description), **fill out the checklist, working to identify areas that are clearly "no involvement," or not at all present**

"No involvement" issues should have a short explanation for how you know an issue isn't present and therefore **should not be included in the scope of services for a consultant**

Then consider issues where you are confident there is **"no substantial impact."** Either write your reasoning on the checklist, or Include in the scope of services that consultants should write a **brief description explaining that response**

If you suspect **"substantial impact,"** you should **include those items in the scope of services, asking consultants to write on the checklist a reference to supporting documentation**, keeping in mind that the goal is SEIR is to have straight forward, easy to read documents

C SWAT Project Kick Off

How do we create an aggressive schedule?

Plot the project on this matrix in terms of its design and environmental features

Environmental complexity

High

Low

Low   High
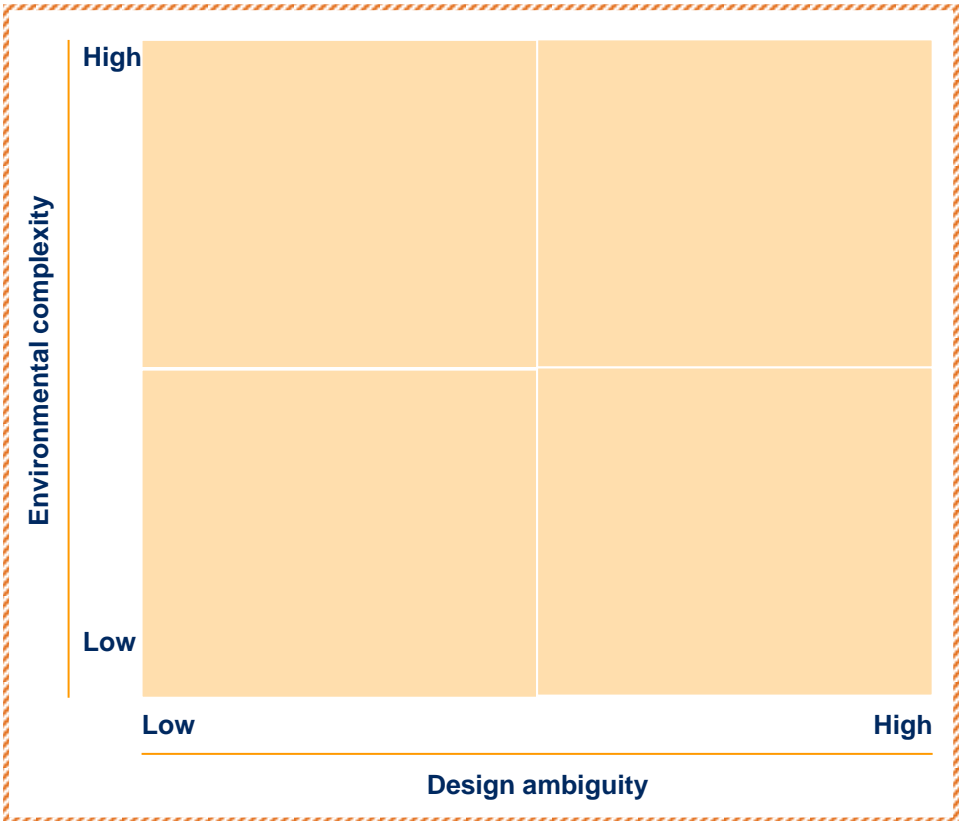
Design ambiguity

Environmental complexity is estimated based on likelihood of substantial issues that will be faced

Design ambiguity is a function of how quickly a preferred alternative can be reached

C   SWAT Project Kick Off

How do we create an aggressive schedule?

Use the project's position on the matrix to estimate its duration
Duration is months for Procurement, PD&E, and Design
High end of range is for a project that needs ROW

	Low Design ambiguity	**High**
High Environmental complexity	**18-30 months** **Example project types** ▪ Bridge crossing over navigable waters ▪ Widening into new ROW ▪ Widening near substantial environmental resource ▪ Others	**24-40 months** **Example project types** ▪ New alignment with substantial environmental concerns ▪ Project in environmentally and/or politically sensitive area that requires new ROW ▪ Others
Low	**10-22 months** **Example project types** ▪ Widening within existing operational ROW ▪ Others	**14-30 months** **Example project types** ▪ New alignment with little expected environmental impact ▪ Intersections or bridges in well developed areas ▪ Others

- Use this matrix to generate an estimated length of time for the project
- The PM then works with schedulers to create a detailed project schedule within the time estimate
- Communicate to consultants the expectation for duration

Expected output

High-level schedule

(C) SWAT Project Kick Off

What example schedules can help guide us?

District workshops resulted in substantial time savings across all project types

- See appendix to this section for the project schedule for each of the state projects shown below
- Use these project schedules as a guide when creating a new schedule under the state process
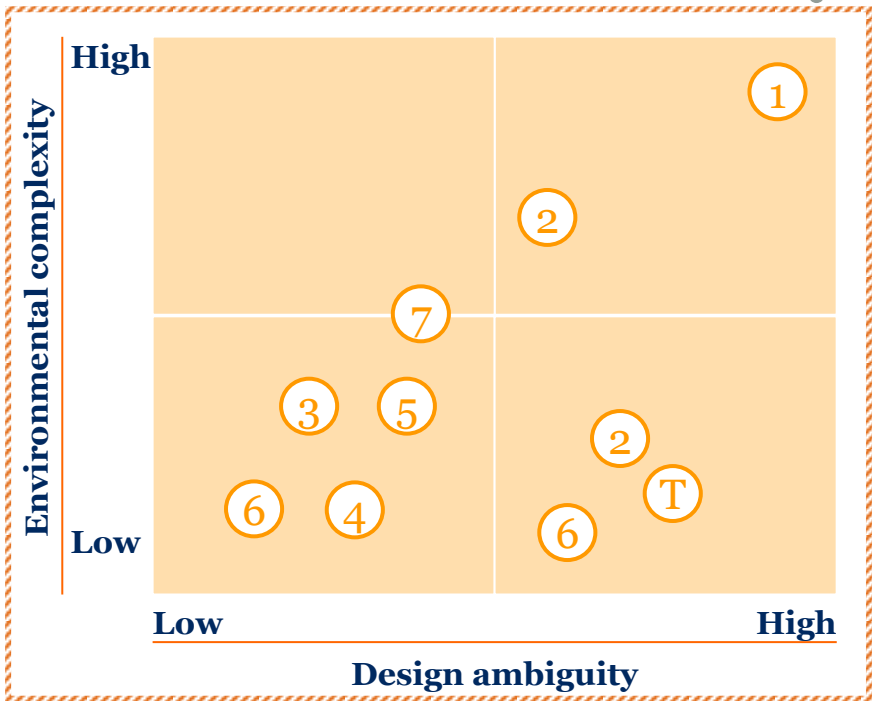
(X) District

Time savings for 10 projects analyzed in District workshops
Procurement to Production duration, *years*

Pre-Workshop — 95 (Type II CE: 38, EA: 33, EIS: 23)
Post-Workshop — 40 (SEIR)
-57%

Legend: Type II CE, EA, EIS, SEIR

(C) SWAT Project Kick Off
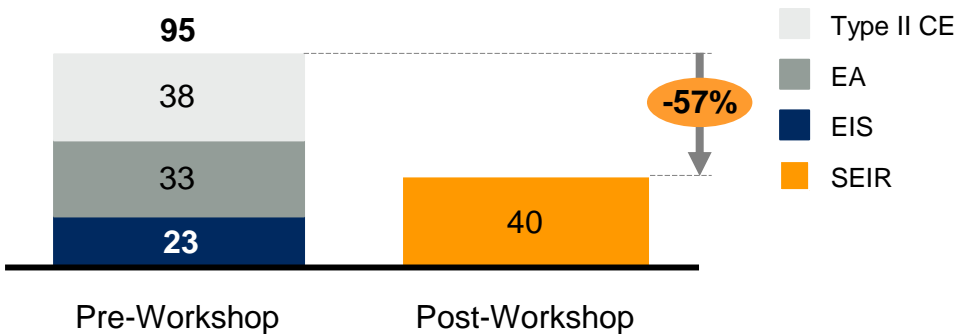
SWAT Team Ideas

During workshops with each SWAT Team in December and January 2015, many ideas surfaced for how to shorten the pre-construction process and were applied to specific projects, including:

- Look at only the alternatives that make sense to FDOT to save time on alternatives assessment
- Move traffic to beginning of PD&E to help evaluate new alignments
- Skip traffic step entirely and use LRTP expectations for projects without ambiguous traffic considerations
- Move survey and geotech before or during procurement to help eliminate alternatives and aid in permitting
- Once project team and Production Manager are comfortable that they have a recommended alternative, move forward with design and permitting while environmental finishes
- Permitting takes less time because design is further along
- Bring ROW survey forward into design

Please see appendix to this section to see the improvement levers applied to each of the state projects programmed for this fiscal year, to use as a guide in creating your schedule

(C) SWAT Project Kick Off

How do we contract for PD&E and Design together?

Dual procurement is a key component of the state process

```
[PD&E        ] → [PD&E] → ◆LDCA◆ → [Design       ] → [Design]
[procurement ]                      [procurement  ]
```

▼

```
[PD&E + Design  ] ─→ [PD&E  ]
[procurement    ] ─→ [Design]
```
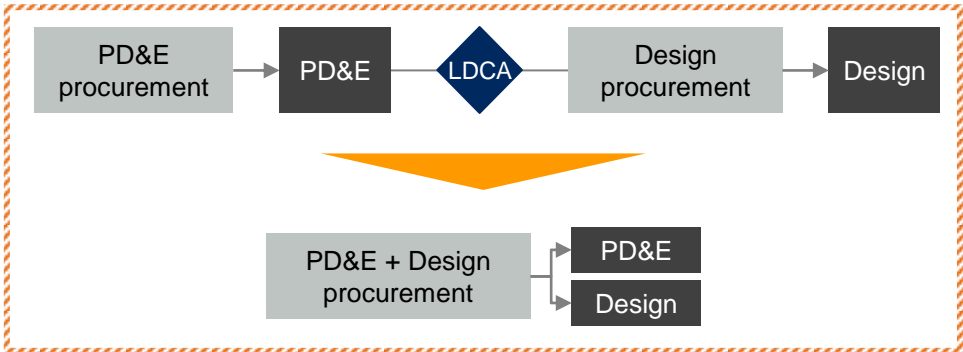
Options under the state process for procurement:

① One contract for both PD&E and design, funded together

- One firm

- Team of firms

- One firm with subcontractors

② One contract for PD&E with option for design

If you see that the use of the Design option is not desirable, immediately begin Design procurement

③ Two contracts let at once

Best practices:
- Add to contract performance measures for hitting targets
- Use a tech panel to tell potential consultants about scope and expected aggressive schedule (see next page)

C   SWAT Project Kick Off

How can we communicate our expectations around project scope and schedule to prospective consultants?

Example Tech Panel Agenda, from the Turnpike

> Use a tech panel before you have published your scope of services to present your high-level schedule and project scope to consultants and to set aggressive expectations for the project

FPID 435763-1
PD&E, Widen Sawgrass Expressway (SR 869)
from south of Sunrise Blvd to south of US 441 (SR 7), MP 0.5 to 18
TECHNICAL PANELS (12-16-14)

I.   CONTRACTUAL SERVICES INFORMATION - (PSU Staff/Program Mngt)
   a.   Two Step Selection - Letters Of Responses (LOR) and Oral Presentation
      i.   Will require submittal of resume packet, information provided in RFP.
      ii.   Presentations shall be project specific.
      iii.   Max. 30 min for Presentation followed by 30 minutes of Q&A.
      iv.   Contact PSU as noted in Ad, Deborah Goodness for Contractual Services specific questions.
II.   FTE PM, FTE STAFF & CONSULTANT INTRODUCTIONS
III.   PRESENT TECHNICAL REVIEW COMMITTEE MEMBERS
IV.   PROVIDE BRIEF PROJECT DESCRIPTION
   a.   Project Location Map with Projects
   b.   Mainline Alternatives
      i.   3 General Use Lanes & 2 Express Lanes in each direction
      ii.   3 General Use Lanes & 1 Express Lanes in each direction
      iii.   2 General Use Lanes & 2 Express Lanes in each direction
   c.   Interchanges to be evaluated (Sketch Level Alternatives, Max 3 Build Alternatives at each location)
      i.   Sunrise Boulevard
      ii.   Pat Salerno Drive
      iii.   Oakland Park Boulevard
      iv.   Commercial Boulevard
      v.   Atlantic Boulevard
      vi.   Sample Road
      vii.   Coral Ridge Drive (1 alternative to be DDI- from Concept Report, FPID 435461-1)
      viii.   University Drive

   d.   I-595/I-75/Sawgrass Expressway interchange Concept
      i.   Connect express lanes on I-595 and I-75 to the express lanes on Sawgrass
      ii.   Coordination with Turnpike and FDOT, District 4
      iii.   Future separate PD&E study or Reevaluation of an existing study (Optional Service or separate contract)
   e.   Tolling Concept
      i.   Coordination with Tolls & Finance for proposed tolling points
      ii.   Address tolling equity/inequity & Express Lanes
   f.   Coordination with Future PD&E (FY 2016)
      i.   FPID 437153-1, PD&E Study for Widening the Sawgrass (SR 869) from south of US 441 (SR 7) to west of Powerline Road,
      ii.   Need consistency and continuity
   g.   Future Possible Optional Services
      i.   Reevaluation of previous PD&E studies (I-595/I-75 interchange or others locations)
      ii.   Design or Design/Build Criteria Package for sections of the Sawgrass
   h.   Traffic- 2014 Turnpike Traffic Trends Report (Needs)
      i.   Widen from I-75/I-595 to Commercial (MP 0 to 5), 6 to 8 lanes, Needed 2020
      ii.   Widen from University to Lyons (MP 15 to 19), 6 to 8 lanes, Needed 2025
      iii.   Interchange Improvement Needs (in order of Need)
         1.   MP 1, Sunrise Boulevard
         2.   MP 18, US 441 (SR 7)
         3.   MP 8, Atlantic Boulevard
         4.   MP 5, Commercial Boulevard

   i.   Previous PD&E Studies
      i.   FPID 232352-1, Sawgrass Widening from Sunrise to Atlantic (4 to 6 lanes)
      ii.   FPID 406153-1, Sawgrass Widening, form Atlantic to Florida's Turnpike (4 to 6 lanes)

V.   Additional Information:
   a.   Aggressive Project Schedule
   b.   Request for additional Project Information:
      i.   Contact Stephanie Maldonado PHONE (407) 264-3171 EMAIL:
         Stephanie.Maldonado@dot.state.fl.us

VI.   OPEN TO CONSULTANT

Example project segmentation map provided during Tech Panel

What project management structures can we use?

Options for project management structure

Current state: Phased segmented PM	Option 1: Phased shared PM	Option 2: Single PM for whole project development
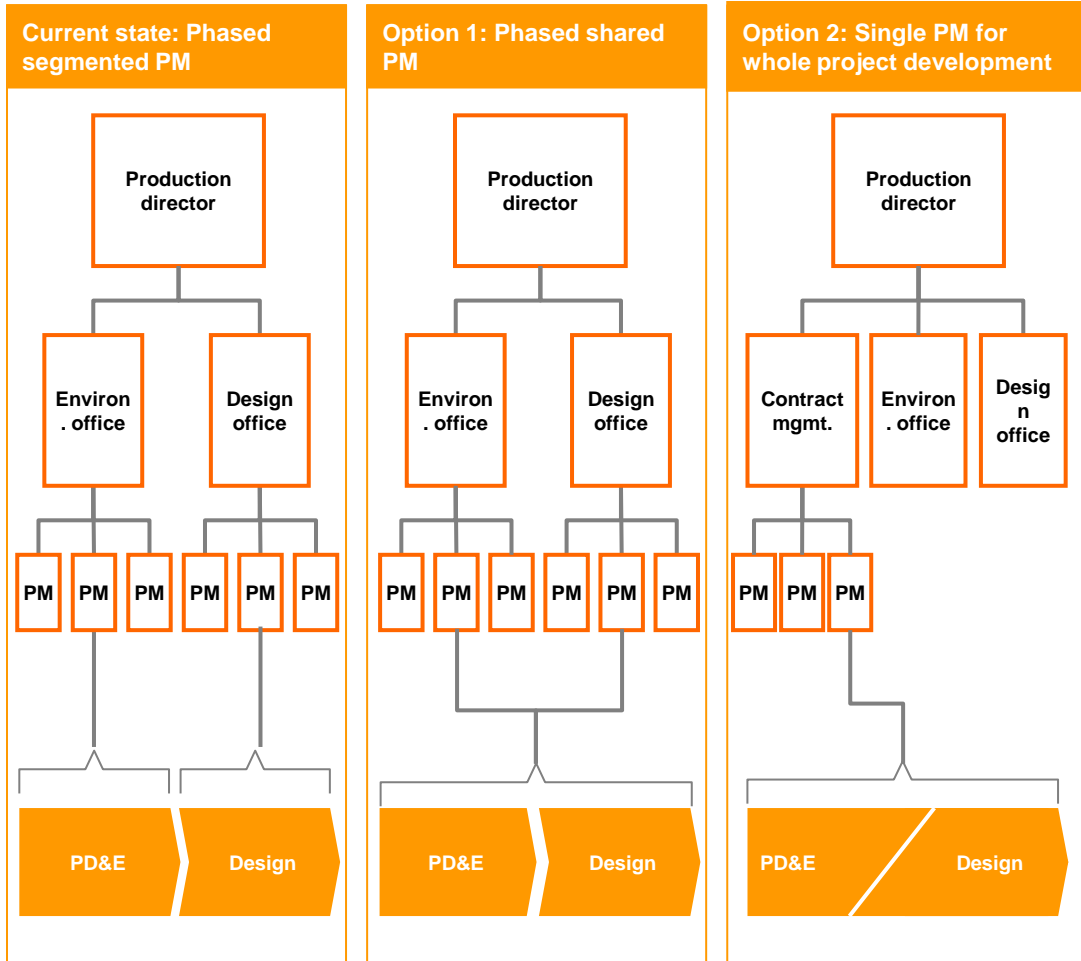
The PM structure should match the consultant structure: with one consultant for PD&E and design, a shared PM structure or a single PM is most efficient

Ⓓ Initial Data Collection & Analysis

Ⓔ Procurement

What activities should we be doing before we have a PD&E or Design consultant on board?

Data collection and analysis begins before procurement and continues through it

Over the course of the year before PD&E and Design money are programmed, run in parallel initial data collection and procurement, such that on the day of NTP, consultants are ready to go

Activities to pull forward include:

- Design survey

- Traffic model

- Traffic data collection

- Preliminary geotech

- Long lead species surveys, if the time of year is right such that doing the species survey now prevents waiting during PD&E

- Other potential technical studies or coordination as project characteristics allow (e.g. public outreach)

> Use District-wide contracts, in-house staff, or phase 21 / 22 money to advance these pieces of work

(F) **PD&E and Design**

How is the new SEIR document different?

Documentation required

	New approach	Impact
Single purpose and need	▪ Create a single statement of purpose and need ▪ Is referenced in all later documents, never re-written	▪ Discourages scope creep that occurs when each document author re-writes statement ▪ Encourages alignment with multiple disciplines throughout project team ▪ Saves time spent on re-writing/editing statement for each approval doc
Single natural resources evaluation (combines wetlands & species assessments)	▪ Create a Natural Resources Evaluation that combines the essential elements of multiple environmental reports into a single document	▪ Captures efficiency of evaluating the same environmental area for multiple impacts simultaneously (e.g. reduces multiple site surveys into one) ▪ Facilitates inter-agency coordination by providing complete resources evaluation to each relevant agency
Combined engineering and environmental document	▪ Design detail is included with SEIR ▪ No separate PER	▪ Saves ~1-2 months of FDOT review time associated with PER and reduces cost

Document review
- Internal environmental managers
- Internal design managers

Document signature
- District Secretary

(F) **PD&E and Design**

How is the new SEIR document different?

The new SEIR document is built using the same checklist that is used for scoping, and should be a concise, targeted document

---

STATE ENVIRONMENTAL IMPACT REPORT

1. ENVIRONMENTAL ANALYSIS

*Topical Categories   Substantial Impacts?   **Basis for Decision
                          Yes   No Enhance NoInv.

A. SOCIAL and ECONOMIC
1. Social
2. Economic
3. Land Use Changes
4. Mobility
5. Aesthetic Effects
6. Relocation Potential

B. CULTURAL
1. Historic Sites/Districts
2. Archaeological Sites
3. Recreation Areas

C. NATURAL
1. Wetlands and Other Surface Waters
2. Aquatic Preserves
3. Water Quality
4. Outstanding FL Waters
5. Wild and Scenic Rivers
6. Floodplains
7. Coastal Barrier Resources
8. Listed Species and Habitat
10. Essential Fish Habitat

D. PHYSICAL
1. Noise
2. Air Quality
3. Construction
4. Contamination
5. Bicycles and Pedestrians
6. Utilities and Railroads
7. Navigation

* Topical Categories: Yes = Substantial Impact; No = No Substantial Impact; Enhance = Enhancement; NoInv. = Issue absent, no involvement.

**Basis of decision is documented in the referenced attachment(s).

2. ANTICIPATED PERMITS
☐ Individual Dredge and Fill Permit- USACE
☐ Nationwide Permit- USACE
☐ Bridge Permit- USCG
☐ Environmental Resource Permit- _____ (FDEP or WMD)
☐ _____

For guidance on ensuring sufficient information for permitting agencies is included see Section 10.2.1.2 of Part 1, Chapter 10 of the PD&E Manual

3. ENGINEERING ANALYSIS

4. COMMITMENTS

5. FDOT SELECTED ALTERNATIVE

6. APPROVED FOR PUBLIC AVAILABILITY (BEFORE PUBLIC HEARING)

_____   ___/___/___
District Secretary or Designee   Date

The final SEIR reflects full consideration of the comments and responses resulting from the Public Hearing.

7. A Public Hearing was held on ___/___/___
                                       Date

8. APPROVAL OF FINAL DOCUMENT (AFTER PUBLIC HEARING)

_____   ___/___/___
District Secretary or Designee   Date

To write the SEIR document, you should refer back to the checklist you used during the SWAT Team Project Kick Off

Items that were marked **"no involvement" should not have supporting documentation** – you should use the "basis for decision" line to explain your reasoning

For items checked **"no substantial impact" or "enhance,"** the checklist should include **a short description of how you know that information,** providing backup documentation if necessary, e.g. "Coordinated with X agency on Y date, response was Z, and we will take ABC next steps. Please reference attachment"

For items checked **"substantial impact,"** the checklist should **reference the supporting documentation and reports**, keeping in mind that the goal is SEIR is to have straight forward, easy to read documents

(F) PD&E and Design

How is the new SEIR document different?

Some activities are only used in a federal process and will no longer be used on projects that use the state process

Activity codes never used in state process

- PCE (PROGRAM CATEG EXCLUSION)*
- TYPE 2 CE (CATEG EXCLUSION)*
- EA/FONSI (ENVIRON ASSESSMENT)*
- EIS (ENVIRON IMPACT STATEMENT)*
- UPDATE ETDM PROGRAMMING
- FHWA CONCUR M/NM STATEMENT
- PROGRAM PROJ W/FHWA
- SUBMIT DRAFT ENV DOCUMENTS
- FINAL ENV DOC TO FHWA
- FHWA REVIEW FIN ENV DOC
- LOC/DES (LDCA) APPROVAL
- FHWA AUTHORITY RECEIVED
- R/W MAPS TO FHWA
- FHWA CONCUR M/NM STATEMENT

We want to continue to improve and find ways to streamline this list

What other activities should no longer be a part of our state process?

*Includes all associated activities
Source: Central Office EMO

Appendix: Process Design

Example project schedules

D1 US 17/92 HINSON AVE FROM 10TH
STREET TO 17TH STREET

Project Description
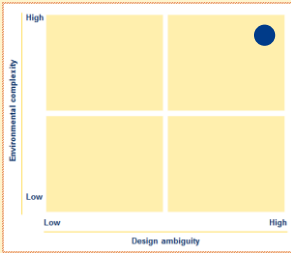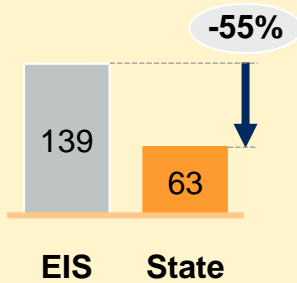
Time Saving, *Months*

-55%

139 — EIS
63 — State

Sources of Saving

- PD&E – Design overlap
- Design – ROW overlap
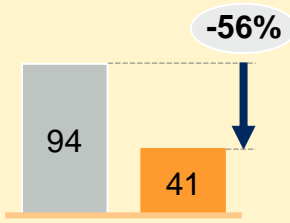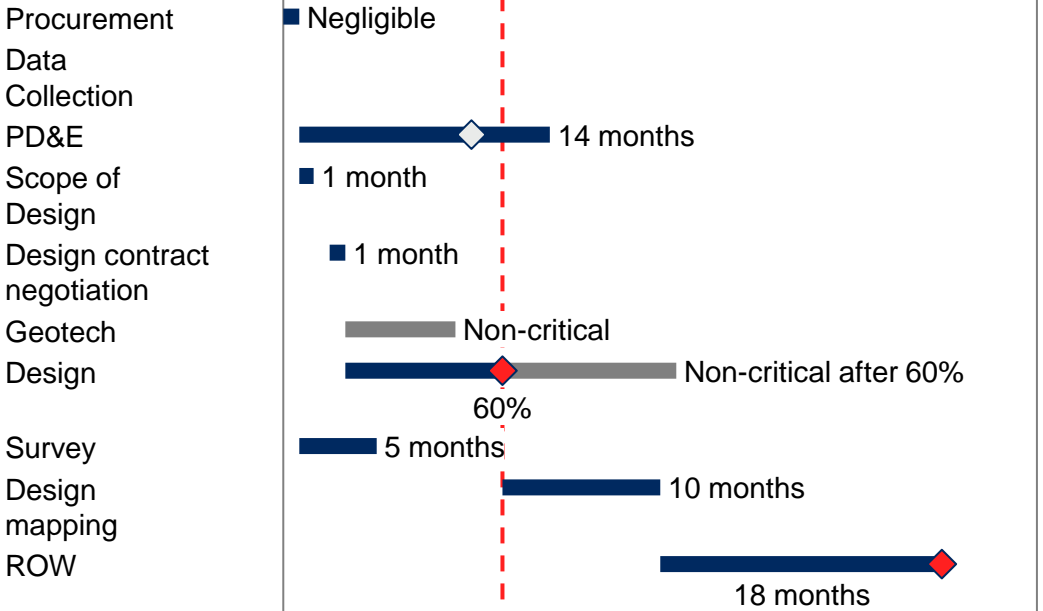- Shorter PD&E
- Early Data Collection
- Reduced alternatives

— Critical Path   — Non-critical
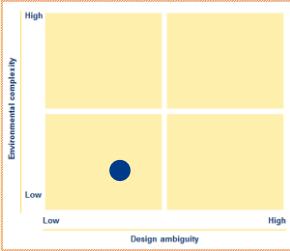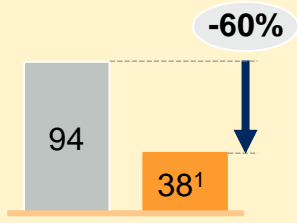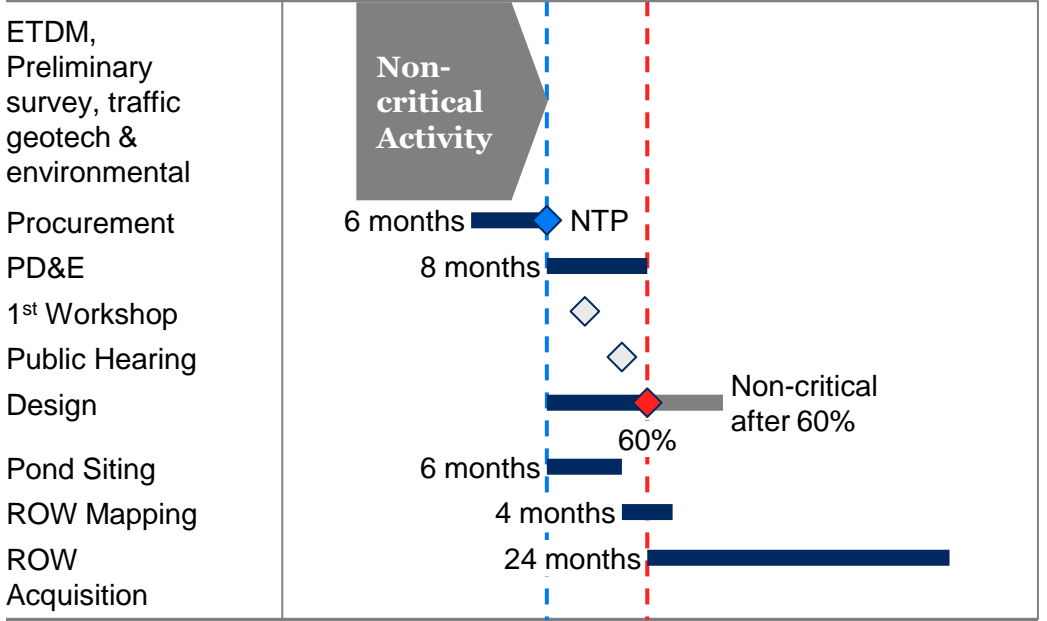
FM# 431351-1	2015	2016	2017	2018	2019	2020	2021
SWAT Meetings							
ETDM	6 months						
Feasibility	14 months						
Traffic							
Environmental							
Dual Procurement		6 months					
PD&E							
Workshops		Alternatives Workshop	Public Hearing				
Survey & Geotech		3 months					
Design			24 months		Non-critical after ROW		
ROW				24 months			

D2 SR 200 @ Crawford Road Interchange

Project Description

Time Saving, *Months*

-60%

139 — EIS
55 — State

Sources of Saving

- ■ PD&E – Design overlap
- □ Design – ROW overlap
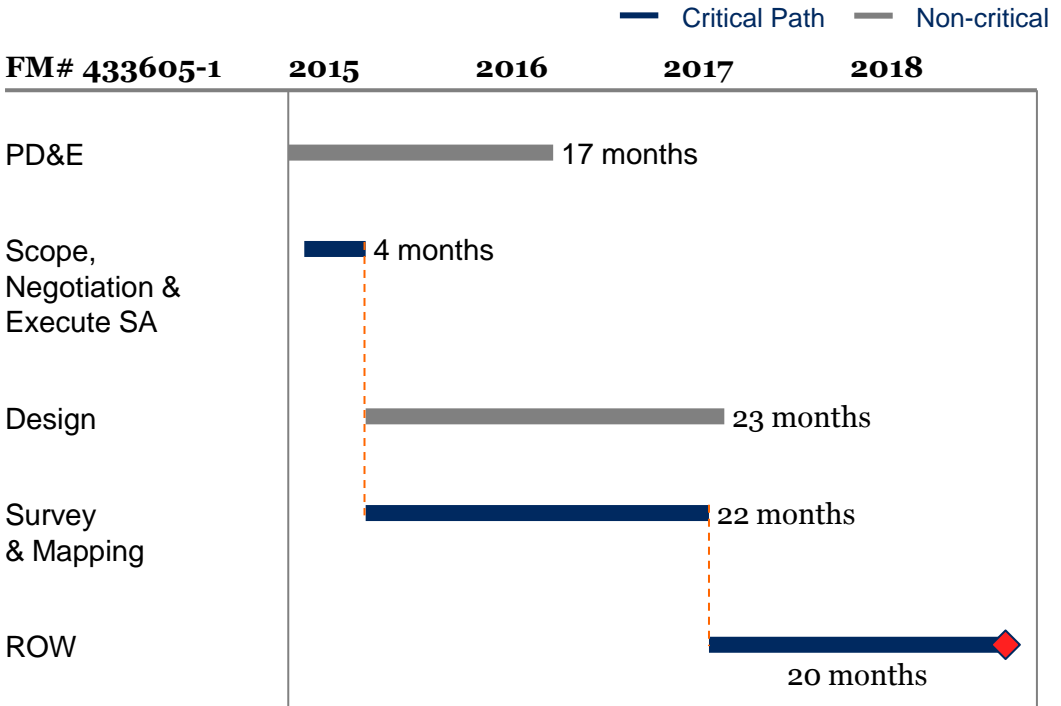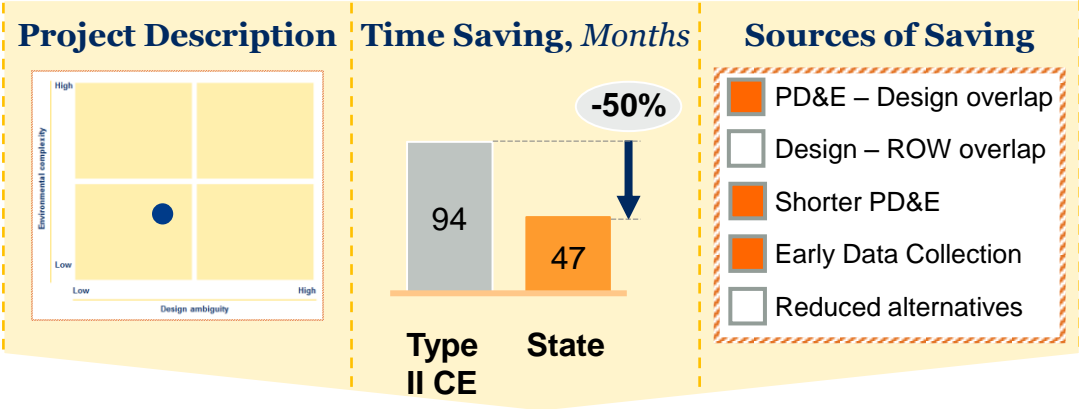- ■ Shorter PD&E
- □ Early Data Collection
- □ Reduced alternatives

— Critical Path   — Non-critical

FM# 435821-1	2015	2016	2017	2018	2019	2020

Procurement — 6 months

PD&E — 75% PD&E (7 months) — 9 months

Design

ROW Survey — 9 months

Design Mapping — 9 months

ROW — 24 months

D2 SR-100 Grade Separation over CSX Railroad

Project Description

Time Saving, *Months*

-55%

133 — EA
60 — State

Sources of Saving

- ■ PD&E – Design overlap
- ☐ Design – ROW overlap
- ■ Shorter PD&E
- ☐ Early Data Collection
- ☐ Reduced alternatives

— Critical Path   — Non-critical

FM# 436558-1	2015	2016	2017	2018	2019	2020

Procurement — ■ Negligible

PD&E — 18 months

Design

Survey + Design Mapping — 18 months

ROW — 24 months

D3 SR 75 FROM S OF SR 30A 15TH STREET TO SR 20

Project Description
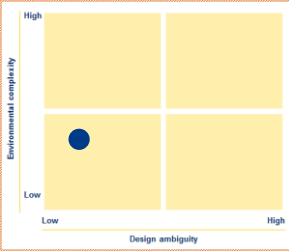
Time Saving, *Months*

-56%

94 — Type II CE

41 — State

Sources of Saving

- PD&E – Design overlap
- Design – ROW overlap
- Shorter PD&E
- Early Data Collection
- Reduced alternatives

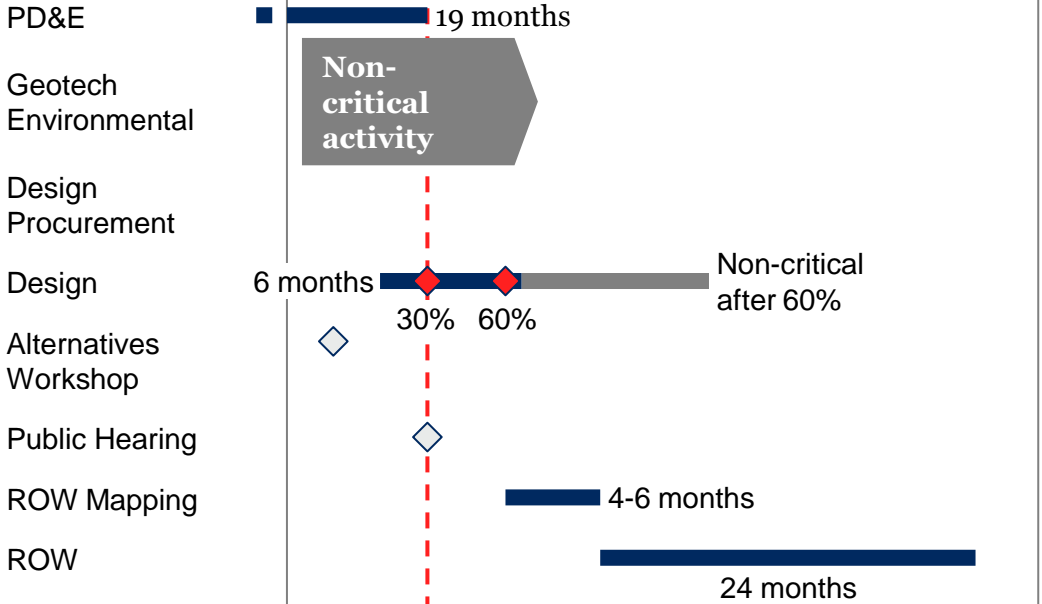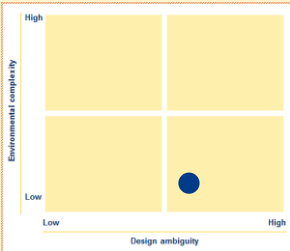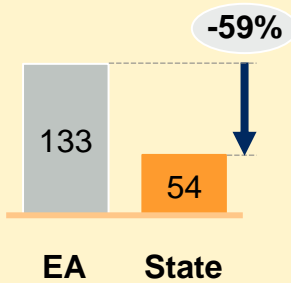| FM# 433743-1	2015	2016	2017	2018
Procurement	■ Negligible			
Data Collection				
PD&E	◇ 14 months			
Scope of Design	■ 1 month			
Design contract negotiation	■ 1 month			
Geotech	Non-critical			
Design	◆ 60% Non-critical after 60%			
Survey	5 months			
Design mapping		10 months		
ROW			◆ 18 months	

—— Critical Path   —— Non-critical

40

D4 SR-714 Widening (Citrus Blvd to S.W. Martin Downs Blvd.)

Project Description

Time Saving, *Months*

-60%

94

38[1]

Type II CE   **State**

Sources of Saving

- ■ PD&E – Design overlap
- ■ Design – ROW overlap
- ■ Shorter PD&E
- ■ Early Data Collection
- □ Reduced alternatives

— Critical Path   — Non-critical

FM# 436870-1	2015	2016	2017	2018	2019
ETDM, Preliminary survey, traffic geotech & environmental		Non-critical Activity			
Procurement	6 months	NTP			
PD&E		8 months			
1st Workshop		◇			
Public Hearing		◇			
Design			60%	Non-critical after 60%	
Pond Siting		6 months			
ROW Mapping		4 months			
ROW Acquisition		24 months			

1 Duration only includes Procurement to end of ROW acquisition, not including work moved prior to procurement

D5 SR 501 FROM MICHIGAN AVENUE TO INDUSTRY ROAD

Project Description

Time Saving, *Months*

-50%

94

47

Type II CE   **State**

Sources of Saving

- PD&E – Design overlap
- Design – ROW overlap
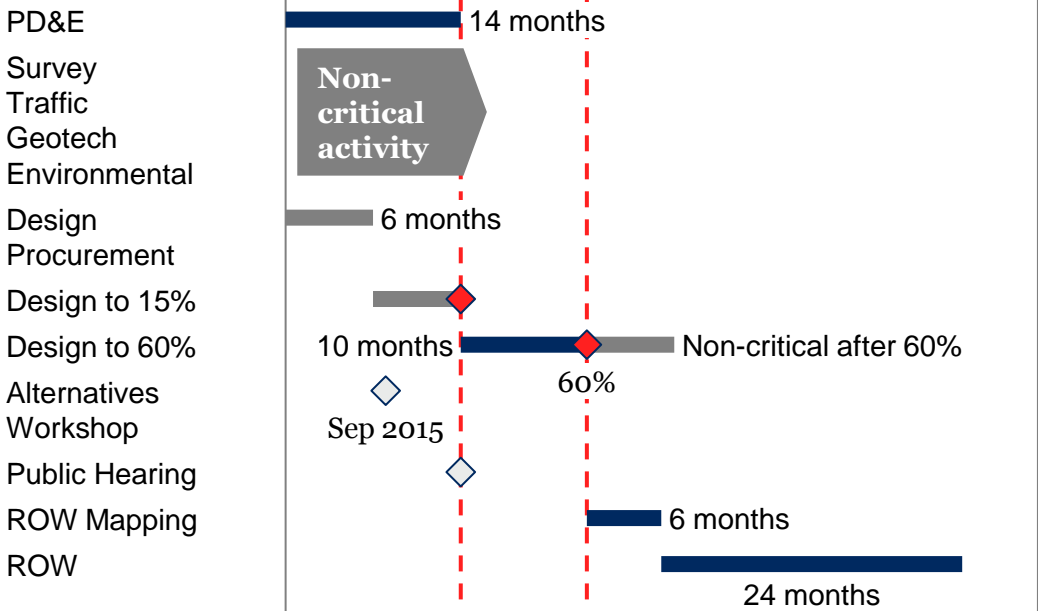- Shorter PD&E
- Early Data Collection
- Reduced alternatives

——— Critical Path   ——— Non-critical
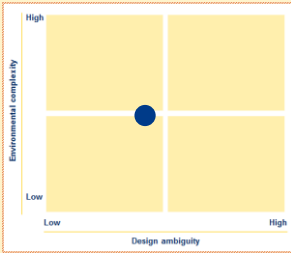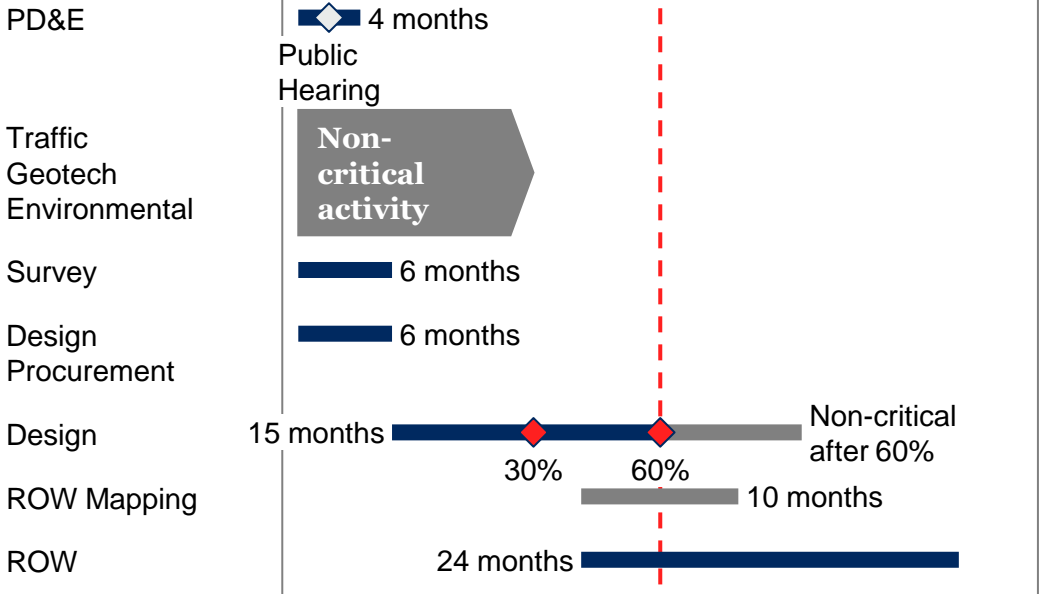
FM# 433605-1   2015   2016   2017   2018

PD&E — 17 months

Scope, Negotiation & Execute SA — 4 months

Design — 23 months

Survey & Mapping — 22 months

ROW — 20 months

D6 NE 203 ST & NE 215 ST INTERSECTION IMPROVMTS BTWN US-1 & W. DIXIE HWY PD&E

Project Description
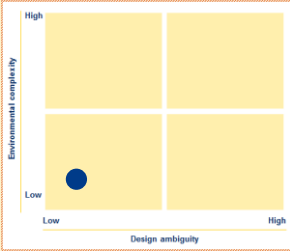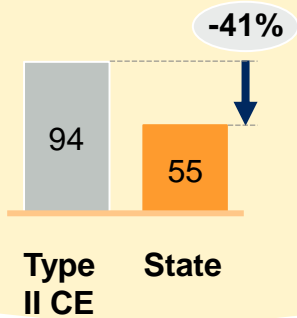
Time Saving, *Months*

-41%

94 — Type II CE
55 — State

Sources of Saving

- PD&E – Design overlap
- Design – ROW overlap
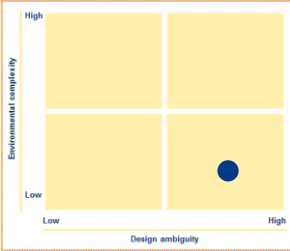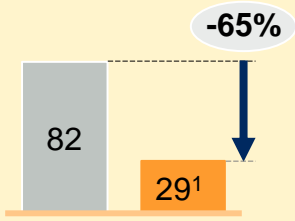- Shorter PD&E
- Early Data Collection
- Reduced alternatives

— Critical Path   — Non-critical

FM# 433511-1	2015	2016	2017	2018

PD&E — 19 months

Geotech
Environmental

Non-critical activity

Design
Procurement

Design — 6 months — Non-critical after 60%

30%   60%

Alternatives Workshop

Public Hearing

ROW Mapping — 4-6 months

ROW — 24 months

D6 SR 90/SW 8 STREET AT SR 973/SW 87 AVENUE

Project Description

Time Saving, *Months*

-59%

133

54

EA   **State**

Sources of Saving

■ PD&E – Design overlap
■ Design – ROW overlap
■ Shorter PD&E
■ Early Data Collection
□ Reduced alternatives

━ Critical Path   ━ Non-critical

FM# 433627-1	2015	2016	2017	2018	2019

PD&E — 14 months

Survey / Traffic / Geotech / Environmental — **Non-critical activity**

Design / Procurement — 6 months

Design to 15% ◆

Design to 60% — 10 months ◆ 60% — Non-critical after 60%

Alternatives Workshop ◇ Sep 2015

Public Hearing ◇

ROW Mapping — 6 months

ROW — 24 months

44

D7 SR-52 EXT. FROM E OF MCKENDREE RD TO E OF US-301

Project Description

Though a moderate level of environmental complexity, PD&E duration is short because of county feasibility study

Time Saving, *Months*
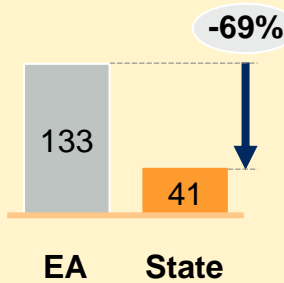
-69%

133 (EA)
41 (State)

EA   State

Sources of Saving

- PD&E – Design overlap
- Design – ROW overlap
- Shorter PD&E
- Early Data Collection
- Reduced alternatives

— Critical Path   — Non-critical

FM# 435915-1	2015	2016	2017	2018
PD&E	4 months — Public Hearing			
Traffic Geotech Environmental	Non-critical activity			
Survey	6 months			
Design Procurement	6 months			
Design	15 months	30% 60%	Non-critical after 60%	
ROW Mapping		10 months		
ROW	24 months			

T Sawgrass Expressway Widening (Design/Build)

Project Description

Time Saving, *Months*

-65%

82 — Type II CE

29[1] — State

Sources of Saving

- ▨ PD&E – Design overlap
- ☐ Design – ROW overlap
- ☐ Shorter PD&E
- ▨ Early Data Collection
- ☐ Reduced alternatives

— Critical Path   — Non-critical

FM# 435763-1	2015	2016	2017	2018

PD&E Procurement — 5 months

PD&E — 18 months

Draft Concept + Survey — 6 months

D/B package + RFP — 3 months

Refined PD&E Concept — 6 months

Alternatives Meeting ◇

D/B Criteria+RFP — 9 months

Design/Build Procurement — 9months

Design/Build Contract

1 Duration only includes design through the Design Build RFP writing, given this is a Design Build project

Management Infrastructure

2 Management Infrastructure

What teams will ensure a lasting transformation of the way we work?

State-Wide Acceleration and Transformation (SWAT) teams

Central SWAT team: *Support the Districts*

- Collect expertise and best practices across Districts

- Identify and deploy tools and programs to encourage continuous improvement

- Monitor progress of implementation

- Work with District SWAT Teams to facilitate state-wide training

- Communicate agency-wide about the state process

District SWAT team : *Support the Projects*

- Hold SWAT planning meeting and project kick-off to focus the project scope and schedule

- Drive improvement through structured problem solving

- Push District innovations state-wide through Central SWAT

- Communicate process changes to PMs and Consultants
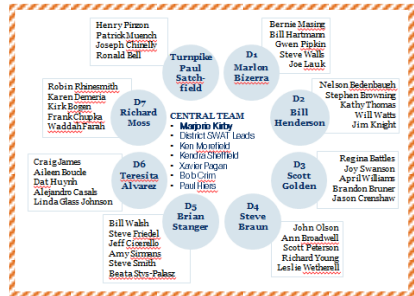
Performance Management

- Executive Team to review projects at regular executive workshop

- Dashboard of state-funded projects included in standard Performance Report

- District secretaries help ensure sufficient funding for state projects

- Utilize current reporting lines and structures to minimize bureaucracy

FDOT SWAT Teams

SWAT Team Organization Chart (as of Feb. 2015)

Henry Pinzon
Patrick Muench
Joseph Chinelly
Ronald Bell

Turnpike

Paul Satchfield

D1
Marlon Bizerra

Bernie Masing
Bill Hartmann
Gwen Pipkin
Steve Walls
Joe Lauk

Robin Rhinesmith
Karen Demeria
Kirk Bogen
Frank Chupka
Waddah Farah

D7
Richard Moss

CENTRAL TEAM
- **Marjorie Kirby (lead)**
- District SWAT Leads
- Ken Morefield
- Kendra Sheffield
- Xavier Pagan
- Bob Crim
- Paul Hiers

D2
Bill Henderson

Nelson Bedenbaugh
Stephen Browning
Kathy Thomas
Will Watts
Jim Knight

Craig James
Aileen Boucle
Dat Huynh
Alejandro Casals
Linda Glass Johnson

D6
Teresita Alvarez

D3
Scott Golden

Regina Battles
Joy Swanson
April Williams
Brandon Bruner
Jason Crenshaw

Bill Walsh
Steve Friedel
Jeff Cicerello
Amy Sirmans
Steve Smith
Beata Stys-Palasz

D5
Brian Stanger

D4
Steve Braun

John Olson
Ann Broadwell
Scott Peterson
Richard Young
Leslie Wetherell

Process

CENTRAL SWAT MEETINGS:

Meet at least quarterly to:

- Escalate major issues that require intervention
- Share insights that benefit the entire agency
- Track time savings across Districts and celebrate successful project completions
- Plan state-wide communications

District SWAT MEETINGS:

Meet at key milestones in project & regular huddles

- See process section pg. XX for list of Milestone Workshops & sample agendas
- Regular short-meetings to update progress, flag issues and reallocate resources where needed
- Provide training to project managers and consultants on process improvements

Team Composition

Team rosters are set at the discretion of the District secretary, with members rotated in or out to ensure the SWAT has an appropriate representation of cross-functional expertise

Key Positions represented on SWAT

- Work Program manager
- EMO Manager
- District Design Engineer
- Environmental Administrator
- Project Development Engineer
- *Optional:* representatives from ROW, procurement or construction

How will performance be tracked?

Performance Management process is facilitated by:

- District secretaries
- Production directors
- Central SWAT team members

Process

- Builds on FDOT's existing reporting structure
- Secretaries review the dashboard during the executive workshop as part of broader performance management
- Leadership celebrates District-level successes
- Communicate regularly with the Districts to set expectations and discuss performance

Key questions to cover during performance management meeting

1. Are projects on track to achieve estimated durations?
2. Have SWAT teams been meeting regularly to scope and schedule projects, and develop process improvements?
3. Have SWAT teams recommended new projects for state-funding in the latest gaming cycle?
4. Do current projects have sufficient funding in the required years to achieve their target durations?
5. Do projects consistently use best practices such as dual-procurement, process overlap and early data collection

The dashboard will allow the Performance Management team to track the progress and needs of state projects

Performance Dashboard (as of Feb. 2015)

Status	District	Item #	Item Description
Current	1	431351-1	US 17/92 HINSON AVE FROM SR 17 (10TH STREET) TO 17TH STREET (SWITCH TO STATE FUNDS)
Current	2	434552-1	SR 9B US 1 to SR 9B split Add lanes and Reconstruct
Current	2	435821-1	SR 200 @ Crawford Road Interchange (new)

Project Tracker

1

When a project is programmed as state-funded …

The **District name, FM#** and **project description** are added on a new row in the dashboard

2

If PD&E is programmed for the current fiscal year, or the project is on-going,

Then Project status is moved from "Pending" to "Current"

Estimated COA	Project likely requires new ROW	Federal Benchmark (months)	State Aspiration (months)
EIS	Yes	139	52
Type II CE		82	24
EIS	Yes	139	52

1

At the SWAT project kickoff,

- Team must estimate COA as if the project were federalized
- Team must indicate if new ROW acquisition is required

2

Information is given to Central SWAT

- Used to determine the Federal and State Aspirational benchmark
- Durations are calculated from Project Advertisement (PSM200) to Production (PSM 204)

Performance Dashboard cont.

State & Federal benchmark durations

Estimated Class of Action	Federal Benchmark (months)	State Benchmark (months)	Adder for new ROW (months)
Prog CE	47	18	12
Type II CE	82	24	12
EA	121	30	12
EIS	127	40	12

Estimated Duration *(months)*	Actual Duration *(months)*	Estimated Production Date (PSM 204)	Actual Production Date (PSM 204)	District Notes *(optional)*
63		Apr-20		Weak purpose & need. May not progress past feasability study
55		Jul-19		Timeline determined by developer's construction schedule. Grant from Econ Dev. Office

1

At the SWAT project kickoff,

- Team must estimate project-specific duration

- Additional notes can be used to explain gap to benchmark

2

When a project goes to production (100% Design)

- Production date is used to calculate actual project duration

- Actual project duration is compared against estimated duration

	Estimated years saved to benchmark	Actual years saved to benchmark
State process vs. Federal benchmark	56	0
State process vs. Aspiration	-5	0

Legend for judging durations
< 5% above Aspiration
5% - 20% above Aspiration
> 20% above Aspiration
No Aspiration Yet

1

The summary bar provides

- Comparison of underlined estimated and actual savings relative to federal and state aspiration benchmarks

2

Colors are used to indicate degree of deviation from state aspiration

- If project is no more than 5% above the benchmark, it signals green

- If a project is more than 20% above the benchmark it signals red

IMPORTANT

Districts and PMs are responsible for ensuring that funding is programmed correctly for them to meet their schedules
They should use the notes section to highlight to leadership if they are having trouble putting funding to the needed year

SWAT teams will need to develop a roadmap of specific goals and responsibilities in order to fulfill their core mission

GOALS

SWAT members

- **Consistently participate** in major milestone meetings for state project

- **Regularly identify best practices** to be used by the SWAT

SWAT teams

- **Implement changes** from the workshop this coming year

- **Help PMs and consultants** adjust to process change

Executive Committee

- Monthly reviews of dashboard to monitor progress

Central SWAT

- Monthly meeting (*till Summer 2015*, *then quarterly*)
  - Review dashboard & issues raised
  - Gather and evaluate District-level best practices

- Annual meeting after all SWAT planning meetings to review new projects nominated for state process

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District SWAT

What will your team do to meet these goals?

Organization and Skills

3   Organization and Skills

What are the critical roles within the state process and what is needed for each role to succeed?

SWAT Team
- Current members are responsible for coaching junior staff with the goal of developing future SWAT members
- SWAT members may serve multiple terms to maintain continuity
- SWAT teams may consider rotating team leads every couple of years in order to share workload and avoid stagnation

PM
- PMs should move from seeing their role as contract managers to becoming true project managers, responsible for understanding and delivering the project
- Successful PMs will create an aggressive yet realistic project schedule and deliver against it
- Project managers should lean on SWAT teams to ensure they have sufficient expertise and support for their projects
- PMs are also responsible for ensuring that accurate and timely information is provided to the SWAT teams

FDOT leadership
- Leadership will ensure that Districts are fully informed about the resources and expectations for the improved state process
- Leadership will hold Districts accountable to meeting the expectations set forward for state funded projects

Describing the ideal SWAT member

PROCESS	I understand the impact of my team's work
PROBLEM SOLVING	I am engaged in finding fact-based solutions to problems
PERFORMANCE	I ensure root causes for performance gaps are uncovered
PARTNERING	I look for and implement new ideas from other districts
PURPOSE	I have communicated a clear vision and goals to my team
PEOPLE	I provide structure feedback and coaching to junior staff

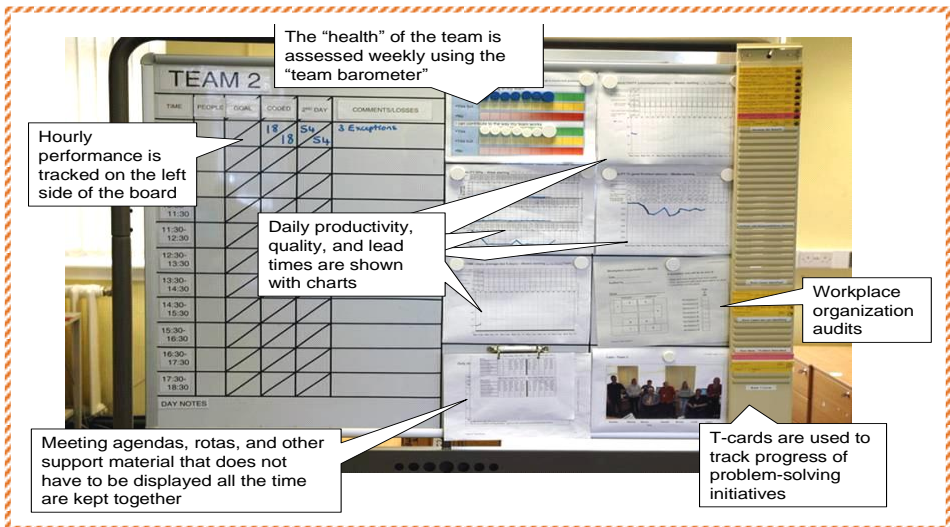## What tools can be used to ensure projects are on track?

Huddles

- Huddles are highly efficient and focused meetings that help teams establish a rhythm of information sharing and problem solving
- Meetings should be no longer than 30 minutes in order to make frequent meetings sustainable and productive for attendees
- SWAT teams would use huddles to quickly update all members on the current status of a project, highlight key issues and delegate responsibilities
- The next page has an example of a sample huddle agenda

Visual management

- Team visual management boards make information sharing easy, ensuring that all team members have ready access to project information
- SWAT teams should design their own boards to suit their team's needs
- Good boards are hand-made and easy to modify and update

Example Visual Management Board

The "health" of the team is assessed weekly using the "team barometer"

Hourly performance is tracked on the left side of the board

Daily productivity, quality, and lead times are shown with charts

Workplace organization audits

Meeting agendas, rotas, and other support material that does not have to be displayed all the time are kept together

T-cards are used to track progress of problem-solving initiatives

Typical team huddle agenda and timing

	Responsibility	Time, min.
A. Update visual management board		
1. Project timeline update	*SWAT Lead*	2
2. Funds spent to date	*Work Program*	2
3. Permits issued or outstanding	*Project Manager*	2
4. Reports completed or outstanding	*Project Manager*	2
5. Major milestones met	*SWAT Lead*	2
B. Flag issues on issue board		
1. Remove resolved issues the board	*SWAT Lead*	2
2. Progress update on outstanding issues	*SWAT Lead*	5
3. Add new flagged issues to issue board	*SWAT Lead*	3
C. Reallocate resources as needed		
1. Assign a resolution lead to new issues	*SWAT Lead*	5
2. Add capacity where required	*SWAT Lead*	5
		30

Do this …	**Not this …**
Collaborative discussion with active participation by all staff	Monologue by team leader with little interaction
Joint issue identification and problem-solving planning	Judgmental apportionment of blame for things that went wrong
Positive spirit: Focus on what can be achieved	Critical or defensive attitudes
Challenging the accepted norms: "How can we do it better?"	Compliance or acceptance of the norm
Delegating responsibility for achievement to the right people	Micromanagement
Focus on the areas showing the biggest gaps to goals	Plod through the board, commenting on every indicator

Use this page for notes on other tools discussed during the training

Signage:

Suggestion Box & Town hall:

Newsletter:

Awards & Recognition:

SWAT teams help the organization understand how the state process is working

Core questions SWAT members should keep in mind

State projects	☐ Do projects have funding necessary to overlap PD&E and Design?
	☐ Are Districts doing ETDM at the right time?
	☐ Are Districts doing dual procurement for PD&E and Design?
	☐ Is analysis being started in the year before PD&E?
Project Teams	☐ Are consultants working within the guidelines of the improved state process?
	☐ Are PMs being trained?
Skills and training	☐ What core skills gaps do we see?
	☐ What type of training might be beneficial?
Support from Central Office	☐ What other perceived or actual policy clarifications are needed?
	☐ What could Central Office do to support the process?
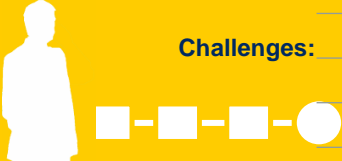
SWAT team reporting tool

Process Design

Best practices: _____

_____

Challenges: _____

_____

_____

Management infrastructure

Best practices: _____

_____

Challenges: _____

_____

_____

Organization and Skills

Best practices: _____

_____

Challenges: _____

_____

_____

Culture

Best practices: _____

_____

Challenges: _____

_____

_____

Recommended policy changes:

_____

What other resources are available?

Project management handbook

http://www.dot.state.fl.us/projectmanagementoffice/PMHandbook/

PD&E manual

http://www.dot.state.fl.us/emo/pubs/pdeman/pdeman1.shtm

Plans Preparation Manual

http://www.dot.state.fl.us/rddesign/PPMManual/PPM.shtm

Articles

How to Change a Culture: Lessons from NUMMI   *- John Shook*

Books
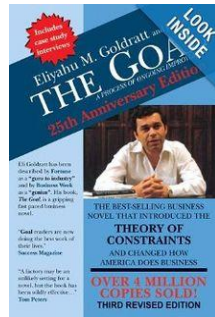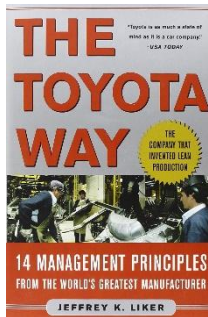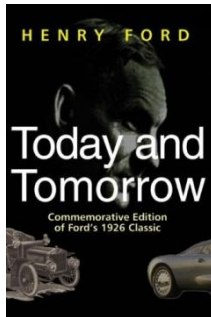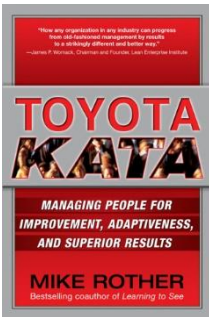
Culture

What is our aspiration for FDOT's culture?

From: **To:**

OWN

Our timeline is set by the work program funding

Each expert is responsible for their part of a project

People outside of FDOT control our process

We engage work program to set and refine timelines iteratively

We are collectively responsible for the overall success of a project

We control our process and actively remove roadblocks

OPERATE

Many projects on the shelf give us flexibility to adapt to new situations and needs

I manage a contract for a consultant and ensure the consultant meets its targets

Completing work faster will require me to skip important steps and reduce quality

Completing projects quickly gives us flexibility to adapt to new situations and needs

I manage delivery of a project and ensure the project is successful

There is an opportunity for me to reduce waste in my work so that work is faster and easier

OBSERVE

When things go wrong we find out who is responsible, and work on the quick fix

We might not hit our target, so we should create a buffer to protect ourselves
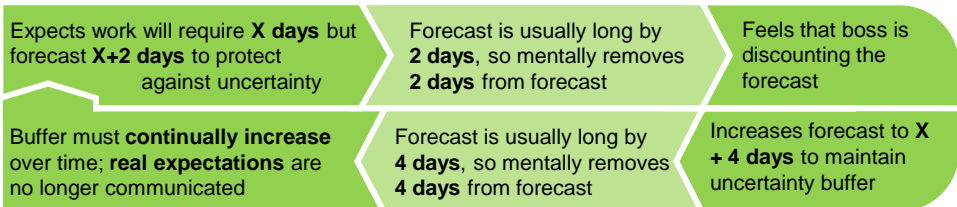
We must address the root cause of the problem and not focus on assigning blame

Setting authentic targets and raising issues is essential to improving the long-term

The vicious cycle of self-preservation

■ Employee   ■ Boss

Expects work will require **X days** but forecast **X+2 days** to protect against uncertainty

Forecast is usually long by **2 days**, so mentally removes **2 days** from forecast

Feels that boss is discounting the forecast

Buffer must **continually increase** over time; **real expectations** are no longer communicated

Forecast is usually long by **4 days**, so mentally removes **4 days** from forecast

Increases forecast to **X + 4 days** to maintain uncertainty buffer

How will you help ensure we implement a better process?

At the next SWAT meeting, I will …

Within the next month, I will …

On Monday, I will …

Notes