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

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

www.dot.state.fl.us
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

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:

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### Management infrastructure

- What teams will ensure a lasting transformation of the way we work? 48
- How will performance be tracked? 50

### Organization and skills

- What are the critical roles within the state process and what is needed for each role to succeed? 56
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### Culture

- What is our aspiration for FDOT’s culture? 66
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## Acronyms List

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>COA</td>
<td>Federal Class of Action</td>
</tr>
<tr>
<td>EA</td>
<td>Environmental Assessment</td>
</tr>
<tr>
<td>EIS</td>
<td>Environmental Impact Statement</td>
</tr>
<tr>
<td>EMO</td>
<td>Environmental Management Office</td>
</tr>
<tr>
<td>EST</td>
<td>Environmental Screening Tool</td>
</tr>
<tr>
<td>ETDM</td>
<td>Efficient Transportation Decision Making</td>
</tr>
<tr>
<td>FHWA</td>
<td>Federal Highway Administration</td>
</tr>
<tr>
<td>ISD</td>
<td>Intermodal Systems Development</td>
</tr>
<tr>
<td>LDCA</td>
<td>Location Design Concept Acceptance</td>
</tr>
<tr>
<td>MPO</td>
<td>Metropolitan Planning Organization</td>
</tr>
<tr>
<td>NEPA</td>
<td>National Environmental Policy Act</td>
</tr>
<tr>
<td>NFE</td>
<td>Not Federally Eligible</td>
</tr>
<tr>
<td>NMSA</td>
<td>Non-Major State Action</td>
</tr>
<tr>
<td>NTP</td>
<td>Notice to Proceed</td>
</tr>
<tr>
<td>PD&amp;E</td>
<td>Project Development and Environmental</td>
</tr>
<tr>
<td>PER</td>
<td>Preliminary Engineering Report</td>
</tr>
<tr>
<td>PM</td>
<td>Project Manager</td>
</tr>
<tr>
<td>ROW</td>
<td>Right of Way</td>
</tr>
<tr>
<td>SEIR</td>
<td>State Environmental Impact Report</td>
</tr>
<tr>
<td>SWAT Team</td>
<td>State-Wide Acceleration and Transformation Team</td>
</tr>
<tr>
<td>Type II CE</td>
<td>Type II Categorical Exclusion</td>
</tr>
<tr>
<td>USDOT</td>
<td>U.S. Department of Transportation</td>
</tr>
</tbody>
</table>
Process Design
Core principles of state process
How is the state process different from the Federal Highway process?

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

What is the improved state process?

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**Step**
- District SWAT planning meeting
- ETDM Programming Screen
- District SWAT Project Kickoff
- Initial Data Collection & Analysis
- Procurement
- PD&E and Design

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**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

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**Participants**
- SWAT team
- ISD / Planning
- Work program
- EMO
- ETDM coordinator
- SWAT Team
- PD&E and Design PMs
- ISD / Planning
- PD&E and Design PMs

---

**Activities**
- 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
- Environmental 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

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**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.
**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.

<table>
<thead>
<tr>
<th>Consider full list of projects</th>
<th>Narrow down to projects that are eligible &amp; suitable for state funding</th>
<th>Further refine and score based on environmental considerations</th>
<th>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)</th>
</tr>
</thead>
<tbody>
<tr>
<td>All projects</td>
<td>Federal / Mixed</td>
<td>State</td>
<td>Federal / Mixed</td>
</tr>
<tr>
<td>Work Program has helped draft guidance for selecting and filtering projects – see next pages</td>
<td>EMO helps prioritize projects based on Class of Action – higher classes of action get priority to be state funded</td>
<td>Projects funded and NFE item group identifier is applied to state-only projects</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>COA Prog CE Type II CE</th>
<th>EA</th>
<th>EIS</th>
<th>Average federal process PD&amp;E duration (existing)</th>
<th>Average SEIR duration (estimated)</th>
<th>Expected savings due to SEIR</th>
</tr>
</thead>
<tbody>
<tr>
<td>667</td>
<td>1,943</td>
<td>1,186</td>
<td>1,090</td>
<td>1,041</td>
<td>1,850</td>
</tr>
</tbody>
</table>

Process Design

A SWAT Planning meeting
1  Process Design

A  SWAT Planning meeting

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.
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.

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

<table>
<thead>
<tr>
<th>Turnpike average</th>
<th>127</th>
<th>121</th>
<th>82</th>
<th>47</th>
<th>18</th>
</tr>
</thead>
<tbody>
<tr>
<td>EIS</td>
<td>40</td>
<td>40</td>
<td>30</td>
<td>24</td>
<td></td>
</tr>
<tr>
<td>EA</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Type II CE</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Prog CE</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Consider this checklist
Recommend NMSA v. SEIR
For NMSA projects, accelerate so design can begin in a month at most
1. Process Design

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

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)

Timing

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

SWAT Team communicates to ETDM Coordinator the projects that will go through the state process.
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
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**
     - Social and Economic
     - Cultural
     - Natural
     - Physical
   - **Substantial Impacts?**
     - Yes
     - No
     - Enhance
     - Enhance/Witness
   - **Basis for Decision**

2. **ANTICIPATED PERMITS**
   - Individual, Cattle and Fish Permit, USACE
   - Nationwide Permits, USACE
   - Environmental Resource Permit, CDEP, WMD

For guidance on ensuring sufficient information for permitting agencies is included see Section 102.12 of Part 1, Chapter 10 of the PDEG Manual.

3. **ENGINEERING ANALYSIS**
4. **COMMITMENTS**
5. **FOOT 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**
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 straightforward, easy to read documents.
Plot the project on this matrix in terms of its design and environmental features

Environmental complexity

Low

High

Design ambiguity

Low

High

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.
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

<table>
<thead>
<tr>
<th>Environmental complexity</th>
<th>Design ambiguity</th>
</tr>
</thead>
<tbody>
<tr>
<td>Low</td>
<td>Use this matrix to generate an estimated length of time for the project</td>
</tr>
<tr>
<td>High</td>
<td>The PM then works with schedulers to create a detailed project schedule within the time estimate</td>
</tr>
<tr>
<td></td>
<td>Communicate to consultants the expectation for duration</td>
</tr>
</tbody>
</table>

- 18-30 months
  - **Example project types**
    - Bridge crossing over navigable waters
    - Widening into new ROW
    - Widening near substantial environmental resource
    - Others

- 10-22 months
  - **Example project types**
    - Widening within existing operational ROW
    - 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

- 14-30 months
  - **Example project types**
    - New alignment with little expected environmental impact
    - Intersections or bridges in well developed areas
    - Others

**Expected output**

**High-level schedule**
District workshops resulted in substantial time savings across all project types.

What example schedules can help guide us?

- 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.

Time savings for 10 projects analyzed in District workshops:

**Procurement to Production duration, years**

<table>
<thead>
<tr>
<th>Type II CE</th>
<th>EA</th>
<th>EIS</th>
<th>SEIR</th>
</tr>
</thead>
<tbody>
<tr>
<td>95</td>
<td>38</td>
<td>33</td>
<td>23</td>
</tr>
</tbody>
</table>

-57% savings in District workshops.
1  Process Design

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.
Dual procurement is a key component of the state process

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)
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.

Example project segmentation map provided during Tech Panel
What project management structures can we use?

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

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)
How is the new SEIR document different?

New approach

Documentation required

Impact

- 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

- 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

- Design detail is included with SEIR
- No separate PER
- Saves ~1-2 months of FDOT review time associated with PER and reduces cost

Single purpose and need

Single natural resources evaluation (combines wetlands & species assessments)

Combined engineering and environmental document

Document review
- Internal environmental managers
- Internal design managers

Document signature
- District Secretary
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.

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 straightforward, easy to read documents.
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?
Appendix: Process Design

Example project schedules
US 17/92 HINSON AVE FROM 10TH STREET TO 17TH STREET

1 Appendix: Process Design

**Project Description**

- **Time Saving, Months**:
  - EIS: 139 months
  - State: 63 months
  - Total: 139 - 63 = 76 months
  - **-55%**

**Sources of Saving**

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

**FM# 431351-1**

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**Critical Path**

- 2015: SWAT Meetings
- 2016: ETDM
- 2017: Feasibility
- 2018: Traffic
- 2019: Environmental
- 2020: Dual Procurement
- 2021: PD&E

**Non-critical**

- 2017: 6 months
- 2018: Alternatives Workshop
- 2019: Public Hearing
- 2020: 24 months after ROW

**Sources of Saving**

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

- **Time Saving, Months**
  - 139 → 55 (60%)
  - EIS → State

**Sources of Saving**
- PD&E – Design overlap
- Design – ROW overlap
- Shorter PD&E
- Early Data Collection
- Reduced alternatives

---

**FM# 435821-1**

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**Critical Path**

- SR 200 @ Crawford Road Interchange
## Project Description

![Diagram showing project complexity and critical path]

**Time Saving, Months**

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**Sources of Saving**

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

**FM# 436558-1**

- SR-100 Grade Separation over CSX Railroad

1 Appendix: Process Design
**Project Description**

**Time Saving, Months**

**Sources of Saving**

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</table>
1 Appendix: Process Design

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

Project Description | Time Saving, Months | Sources of Saving

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<th>Activity</th>
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1 Duration only includes Procurement to end of ROW acquisition, not including work moved prior to procurement
### Project Description

- **SR 501 FROM MICHIGAN AVENUE TO INDUSTRY ROAD**

### Time Saving, *Months*

<table>
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<td>94</td>
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-50%

### Sources of Saving

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

### Sources of Saving

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</table>

- Critical Path
- Non-critical
### Project Description

- **Type II CE**
- **State**

### Time Saving, Months

- **94** months
- **55** months
- **-41%**

### Sources of Saving

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

### FM# 433511-1

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**Project Description**

- **Non-critical activity**
- **Time Saving, Months**
  - 133 vs. 54:
    - Design overlap
    - Design – ROW overlap
    - Shorter PD&E
    - Early Data Collection
    - Reduced alternatives

**Sources of Saving**

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**FM# 433627-1**

- **Project Description**: Time Saving, Months
- **Sources of Saving**: PD&E – Design overlap, Design – ROW overlap, Shorter PD&E, Early Data Collection, Reduced alternatives

**Critical Path**

- **Non-critical**
Critical Path

Non-critical

Project Description

Time Saving, Months

Sources of Saving

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

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

# Time Saving, Months

-65%  
82  
29

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

Appendix: Process Design  
Sawgrass Expressway Widening (Design/Build)
Management Infrastructure
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
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)**

### Project Tracker

| Status | District | Item Description | Estimated COA | Project likely requires new ROW | Federal Benchmark (number) | State Aspiration (number) | Estimated Duration (months) | Actual Duration (months) | Estimated Production Date (PSM 203) | Actual Production Date (PSM 204) | District Name Partial
|---|---|---|---|---|---|---|---|---|---|---|---
| Current | 1 | 431351-1 | US 17/92 HINSON AVE FROM SR 17 (10TH STREET) TO 7TH STREET (SWITCH TO STATE FUNDS) | EIS | Yes | 139 | 52 | Apr-20 | | 
| Current | 2 | 434552-1 | SR 9B US 7 to SR 9B split Add lanes and Reconstruct Type II CE | EIS | Yes | 139 | 52 | Jul-19 | | 
| Current | 3 | 435082-1 | SR 200 @ Crawford Road interchange (new) | EIS | Yes | 139 | 52 | | | 

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”.

### 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)**

---

**At the SWAT project kickoff,**

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

State & Federal benchmark durations

<table>
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<th>Federal Benchmark (months)</th>
<th>State Benchmark (months)</th>
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<td>30</td>
<td>12</td>
<td></td>
</tr>
<tr>
<td>EIS</td>
<td>127</td>
<td>40</td>
<td>12</td>
<td></td>
</tr>
</tbody>
</table>

At the SWAT project kickoff,
- Team must estimate project-specific duration
- Additional notes can be used to explain gap to benchmark

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

The summary bar provides
- Comparison of estimated and actual savings relative to federal and state aspiration benchmarks

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

<table>
<thead>
<tr>
<th>SWAT members</th>
<th>SWAT teams</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Consistently participate in major milestone meetings for state project</td>
<td>• Implement changes from the workshop this coming year</td>
</tr>
<tr>
<td>• Regularly identify best practices to be used by the SWAT</td>
<td>• Help PMs and consultants adjust to process change</td>
</tr>
</tbody>
</table>

### 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

### District SWAT

What will your team do to meet these goals?
Organization and Skills
## 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

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

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

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

Workplace organization audits
3 Organization and Skills

Typical team huddle agenda and timing

A. Update visual management board

<table>
<thead>
<tr>
<th>Responsibility</th>
<th>Time, min.</th>
</tr>
</thead>
<tbody>
<tr>
<td>SWAT Lead</td>
<td>2</td>
</tr>
<tr>
<td>Work Program</td>
<td>2</td>
</tr>
<tr>
<td>Project Manager</td>
<td>2</td>
</tr>
<tr>
<td>Project Manager</td>
<td>2</td>
</tr>
<tr>
<td>SWAT Lead</td>
<td>2</td>
</tr>
</tbody>
</table>

1. Project timeline update
2. Funds spent to date
3. Permits issued or outstanding
4. Reports completed or outstanding
5. Major milestones met

B. Flag issues on issue board

<table>
<thead>
<tr>
<th>Responsibility</th>
<th>Time, min.</th>
</tr>
</thead>
<tbody>
<tr>
<td>SWAT Lead</td>
<td>2</td>
</tr>
<tr>
<td>SWAT Lead</td>
<td>5</td>
</tr>
<tr>
<td>SWAT Lead</td>
<td>3</td>
</tr>
</tbody>
</table>

1. Remove resolved issues the board
2. Progress update on outstanding issues
3. Add new flagged issues to issue board

C. Reallocate resources as needed

<table>
<thead>
<tr>
<th>Responsibility</th>
<th>Time, min.</th>
</tr>
</thead>
<tbody>
<tr>
<td>SWAT Lead</td>
<td>5</td>
</tr>
<tr>
<td>SWAT Lead</td>
<td>5</td>
</tr>
</tbody>
</table>

1. Assign a resolution lead to new issues
2. Add capacity where required

---

Do this ...

- Collaborative discussion with active participation by all staff
- Joint issue identification and problem-solving planning
- Positive spirit: Focus on what can be achieved
- Challenging the accepted norms: “How can we do it better?”
- Delegating responsibility for achievement to the right people
- Focus on the areas showing the biggest gaps to goals

Not this ...

- Monologue by team leader with little interaction
- Judgmental apportionment of blame for things that went wrong
- Critical or defensive attitudes
- Compliance or acceptance of the norm
- Micromanagement
- Plod through the board, commenting on every indicator

30
Use this page for notes on other tools discussed during the training

**Signage:**

**Suggestion Box & Town hall:**

**Newsletter:**

**Awards & Recognition:**
3 Organization and Skills

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

Core questions SWAT members should keep in mind

<table>
<thead>
<tr>
<th>State projects</th>
<th>Do projects have funding necessary to overlap PD&amp;E and Design?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Are Districts doing ETDM at the right time?</td>
</tr>
<tr>
<td></td>
<td>Are Districts doing dual procurement for PD&amp;E and Design?</td>
</tr>
<tr>
<td></td>
<td>Is analysis being started in the year before PD&amp;E?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Project Teams</th>
<th>Are consultants working within the guidelines of the improved state process?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Are PMs being trained?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Skills and training</th>
<th>What core skills gaps do we see?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>What type of training might be beneficial?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Support from Central Office</th>
<th>What other perceived or actual policy clarifications are needed?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>What could Central Office do to support the process?</td>
</tr>
</tbody>
</table>
Recommended policy changes:
3 Organization and Skills

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

[Images of book covers]
Culture
## Culture

### What is our aspiration for FDOT’s culture?

<table>
<thead>
<tr>
<th>From:</th>
<th>To:</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>OWN</strong></td>
<td></td>
</tr>
</tbody>
</table>
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**

<table>
<thead>
<tr>
<th>Expectations</th>
<th>Forecast</th>
<th>Boss Expectations</th>
</tr>
</thead>
<tbody>
<tr>
<td>work will require <strong>X days</strong></td>
<td>forecast X+2 <strong>days</strong> to protect against uncertainty</td>
<td>Feels that boss is discounting the forecast</td>
</tr>
<tr>
<td>Forecast is usually long by 2 <strong>days</strong>, so mentally removes 2 <strong>days</strong> from forecast</td>
<td>Increases forecast to <strong>X+4 days</strong> to maintain uncertainty buffer</td>
<td></td>
</tr>
<tr>
<td>Buffer must <strong>continually increase</strong> over time; <strong>real expectations</strong> are no longer communicated</td>
<td>Forecast is usually long by 4 <strong>days</strong>, so mentally removes 4 <strong>days</strong> from forecast</td>
<td></td>
</tr>
</tbody>
</table>
How will you help ensure we implement a better process?

On Monday, I will ...

Within the next month, I will ...

At the next SWAT meeting, I will ...