

PID Frequently Asked Questions

1. What was the specific 2011 Budget Act action that reduced PID resources?

“I (Governor Brown) am reducing this item by \$6,408,000 to reduce personnel years by 47.5. State funds should be reserved to fund state projects and not to subsidize locally funded projects on the state highway system.”

2. How long will it take Caltrans to acquire the resources needed to fund PID work after the July 22, 2011 (extended to August 2, 2011) submission?

Caltrans estimates that the process will take approximately 60 to 90 days to acquire the necessary reimbursement positions and authority to start work on PIDs for local agencies. The process requires Department of Finance and the Joint Legislative Budget Committee’s approval.

3. Is a deposit for PID work required?

No deposit is required when the streamlined PID reimbursement agreement is used for reviewing and approving (Independent Quality Assurance-IQA) locally-developed PIDs. When Caltrans is asked to develop (oversight) a local agency PID or a local agency chooses to reimburse a Caltrans PID, a deposit may be required as part of the standard cooperative agreement.

4. Can Caltrans complete the review of nearly completed PIDs?

For FY 2011-12, Caltrans will evaluate its limited ability to complete the review of nearly completed PIDs on a case-by-case basis. Only nearly complete existing PIDs identified in its three-year PID workload will be considered.

5. May PID reimbursement agreements span multiple fiscal years?

Yes. Caltrans districts and local agencies will need to determine if multi-year agreements are necessary and appropriate. As standard for all Caltrans agreements, staffing levels are subject to annual budget approvals.

5. How is a “locally-funded project” defined?

The FY 2011-12 Budget veto language does not provide a definition for a “locally-funded project”. However, the resources allocated to Regional Improvement Program (RIP) and

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locally-funded projects were eliminated from Caltrans' PID budget for FY 2011-12. As such, Caltrans is currently unable to use state funds to proceed with this work.

6. Will Caltrans' PID work and oversight of local agency PID work be on hold until Caltrans mobilizes the necessary staff to perform the work?

All locally funded work is on hold. Once Caltrans obtains the needed reimbursement positions and authority, local agency PID work will proceed as identified in the executed PID agreements.

7. Will updates to existing PID's that meet "locally-funded project" criteria require reimbursement?

Yes. Any updates to existing local PIDs on the shelf will require reimbursement to Caltrans.

8. What type of State (i.e. Planning Programming and Monitoring [PPM]) or Federal funding is available for PID reimbursement?

A local agency may choose to use its STIP Planning Programming and Monitoring (PPM) funds to fund Caltrans for PID work. The Federal Highway Administration has indicated that the cost of preparing PIDS is eligible for federal funds under "preliminary engineering". Using federal funds to fund the development of a PID will require the local agency to adhere to federal rules such as moving the project to construction within ten years of receiving the funds or pay the money back.

9. When is a PID required?

Chapter 9 of the Caltrans Project Development Procedures Manual states that projects shall be adequately scoped prior to approval for funding. The basis for scope, cost, and schedule shall be documented in a PID for all major projects on the state highway system (SHS).

Projects-funded-by-others will require an encroachment permit and either a permit engineering evaluation report (PEER) or a PID using the PSR-PDS template. If a project is considered to be a non-complex project and the construction cost of the project is less than \$1 million, then the review and approval of the project is completed under the encroachment permit process. For projects less than \$1 million, Caltrans determines the complexity of the project through the permit application review.

If the project is considered to be a non-complex project and the construction cost of the project is less than \$3 million, then review and approval of the project can be completed through the PEER process. The PEER melds engineering review of permit proposals into the

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normal encroachment permit application review to eliminate any separate processing of a PID. The PEER process is intended to streamline the processing of projects-funded-by-others by reducing the steps in the project development process.

If the project is considered to be a complex project or exceeds \$3 million, then review and approval of the project can be completed through the traditional PID process using the PSR-PDS template.

10. Do non-STIP projects require a PID?

Yes. Streets and Highways Code Section 137 states that Caltrans “shall determine the kind, quality, and extent of all highway work done under its control, and may prepare and approve all plans, specifications, and estimates for all such work.” Because Caltrans is responsible for protecting the public's investment in the SHS, Caltrans must review all proposed highway improvements that are funded by others. This includes reviewing and approving locally-developed PIDs for projects funded through the STIP, local sales tax measures, local fund sources, and private funds. Early discussions with Caltrans (beginning in the PID phase) to establish the viability of the proposals, procedural requirements, and the schedule for various project deliverables is critical. These discussions along with the approval of the PID help Caltrans 1) ensure that the proposed scope for local projects are consistent with Caltrans' standards and policies, 2) determine future maintenance needs and costs, and 3) reduce exposure to tort liability once the projects are constructed.

11. What type of projects can utilize the streamlined PID process?

All STIP and locally-funded projects are required to use the Project Study Report-Project Development Support (PSR-PDS) format. If appropriate, a local agency may submit a request to the District Director asking for approval to use the Project Study Report (PSR) in lieu of the PSR-PDS. Given limited resources available to fund the development or review and approval of PIDs, the PSR should be reserved for projects where all support, right of way acquisition, and construction costs will be programmed or funded at once or within a STIP cycle.