



N.C. Department of Transportation Continuous Process Improvement Results & Award Form

Category (Check One Only)

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|--------------------------|------------------------------|-------------------------------------|---------------------------|
| <input type="checkbox"/> | Dollar Savings | <input checked="" type="checkbox"/> | Internal Customer Service |
| <input type="checkbox"/> | Cycle Time Reduction | <input type="checkbox"/> | External Customer Service |
| <input type="checkbox"/> | Internal Communications | <input type="checkbox"/> | Safety Improvement |
| <input type="checkbox"/> | External Communications | <input type="checkbox"/> | Labor Hour Savings |
| <input type="checkbox"/> | Environmental Sustainability | | |

Submission (Check One Only) Award Application Results Book Only
(Do not complete questions 1-4)

Person or Team Being Nominated:

Team Name Enhancement Unit Team Leader Laurie Smith
 Team Members Rob Ayers, Debbie Oliver, Dorene Creech
 Facilitator(s) _____ Team Sponsor _____
 Process Owner _____

Organization Name: Enhancement Unit

Name of the Project: Enhancement Program Implementation: Project Manager's Guide

Provide a brief description of the problem, action taken to solve it and results of your action. This description is not considered in scoring but will appear in the Results Book. (300 words)

In 1998, the Board of Transportation decided to allocate a portion of the Federal Enhancement funds externally to communities in order for these communities to implement projects. This differed from past guidance, as between 1991 and 1997, the BOT allocated all of the Enhancement funds internally to support Department goals. Statewide Calls for Projects were held in 1999 and 2000, resulting in more than 160 awards to communities throughout the state. Although these projects were all included in the Transportation Improvement Program, the Enhancement staff (initially two employees--now four) were tasked with managing these project, including the oversight of all aspects of project development--from project inception through project completion. Essentially the Enhancement staff had to learn about all of the relevant issues associated with program implementation, and then create a management system for these projects.

Enhancement staff developed the Enhancement Program Implementation: Project Manager's Guide (hereafter referred to as the "document") to assist DOT project managers with project management. In addition, this guide is distributed externally to award recipients to assist them in project implementation. Processes, relevant state and federal guidelines, and sample documents have been researched and compiled into this one source.

The result of this effort is a single source for all relevant issues associated with program and project implementation. Project managers (both internally and externally) are now aware of everything required to successfully administer this program. Prior to the creation of this document, project managers either were unaware of many issues, or did not know where to find information on these issues.

Criteria

- 1- *What are the tangible, intangible and verifiable results or impact of the project? Applicant should compare before and after data. In projects without data, evidence should indicate a verifiable improvement in quality. [50 points]*

As stated in the introduction, statewide Calls for Projects were held in 1999 and 2000, resulting in more than 160 awards to communities throughout the state. The Enhancement staff were tasked with managing these project, including the oversight of all aspects of project development--from project inception through project completion. Essentially the Enhancement staff had to learn about all of the relevant issues associated with program implementation, and then create a management system for these projects.

The document was created to assist not only Enhancement staff with project management, but also other disciplines within NCDOT who are either responsible for, or assist in, the implementation of all Enhancement funds. In addition, this guide is distributed externally to award recipients to assist them in project implementation.

The tangible results of this effort are as follows:

- A single source for all relevant processes and guidelines associated with program and project implementation has been created.
- Project managers (both internally and externally) are now educated as to the requirements for successfully administering a project under this federal program.
- Information can be shared more efficiently.
- Projects are more likely to be completed consistent with federal requirements.
- No projects have lost federal funding.
- Project audits have demonstrated federal compliance.

The intangible results of this effort are as follows:

- The confidence of project mangers has been increased now that they have the relevant information necessary to successfully implement these projects.
- Award recipients are less apprehensive about meeting federal requirements.
- Award recipients are less apprehensive regarding loss of federal funding.

The verifiable results are as follows:

- Prior to the development of this document, projects were proceeding very slowly. This was due to the lack of knowledge regarding processes and requirements on the part of the project managers. Since the development of the document, project implementation has proceeded quicker. This is due in part to the project managers being familiar with the processes and the requirements.
- Prior to the development of this document, several communities were in jeopardy of losing federal funding because they were not aware of all of the federal and state requirements associated with utilizing federal funds. In fact, one community did lose their federal funding due to this lack of knowledge. Since the document was created, none of the projects have failed to be reimbursed by FHWA.
- Prior to the creation of this document, project managers either were unaware of many issues, or did not know where to find information on these issues. Information was disseminated on a piece-meal, as-needed basis. With the creation of this document, all relevant information is provided at the initial stage of project implementation.

- 2- *What is the size of affected population, or potential population if the project is implemented among its widest possible audience? [10 points]*

The current affected internal population would be the following DOT disciplines involved in the administration of Enhancement funds:

- Highway Divisions
- Bike/Ped Division

- Rail Division
- Roadside Environmental Unit
- Enhancement Unit
- Fiscal Section
- Project Development & Environmental Analysis (PD&EA) Branch
- Design Services Unit
- ROW Branch

The current affected external population would be the following:

- The 160+ communities (so far) across the state who have received funding through the past two Statewide Calls for Projects
- The communities partnering with DOT for the development of passenger Rail stations
- The communities partnering with DOT for the development of bicycle facilities
- The communities partnering with DOT for the development of pedestrian divisions
- The Federal Highway Administration
- The State Historic Preservation Office

There are several potential populations that could benefit from this document:

- Since all municipalities, counties and non-profit organizations are potential award recipients, this document could potentially affect the entire state. For the next Call for Projects, this document will be disseminated to approximately 2,000 potential project sponsors through workshops, meetings, mass mailings and the DOT website.
- This document will be presented at a national Enhancement seminar (attended by Enhancement staff from other states) this Fall. Other state Enhancement program managers may be interested in using this document as a model (in fact, some states have already requested this document).

3- *Explain how the project could serve as a model for others to follow. Include the innovation, difficulty of implementation and documentation of results. [20 points]*

Expanding on the response in question #2, there are (at least) four potential users of this document as a model for their programs.

- Other states: Already, other states have requested this document to serve as a model for their Enhancement program. As stated in response #2, this document will be presented at a national conference on the Enhancement program.
- NCDOT: This document could serve as a template for other DOT program managers involved in the implementation of federally-funded projects.
- Other NC State Agencies: Within state government, this document could serve as a template for other state agencies administering federally-funded programs.
- NC Communities: Any community could use portions of this document to develop their own guide for administering federally-funded programs.

The innovation lies in the user-friendliness of the document (color, flow-charts, examples and scenarios), the level and coordination of peer review, and the fact that a guide of this breadth has not been developed prior to this one in this state.

The documentation of results lies within the context of each community following the right procedures, submitting proper information for review, and knowing in advance as to what needs to occur and why. Further documentation of results can be identified through the fact that none of the 160+ communities have jeopardized their funding since the distribution of this document.

4- *Explain the process of implementation and provide documentation. [20 points]*

The most time-consuming element of implementation has been the research involved in determining processes and relevant guidelines, then assembling this information into a user-friendly format. A survey of how the other 49 states were implementing the Enhancement program was performed. Peer review from other disciplines within NCDOT (Rail, Bike/Ped, Highway Divisions, PD&EA, etc.) was coordinated, along with external partners such as the State Historic Preservation Office. Oversight (review and approval) was contributed by the Federal Highway Administration.

As new information is gleaned, the guide can be updated and revisions quickly distributed. Distribution of this guide is relatively simple: it is distributed both electronically as well as on paper, and soon will be available on the NCDOT website for download.

Scoping meetings are held with each award recipient shortly after execution of the agreement between the NCDOT and the award recipient. This document is provided at this stage (beginning) of project development so each award community is aware of the process and the rules/regulations up front. It contributes a "comfort level" to the award recipients in knowing what to expect. Consequently, all of the projects have flowed smoother and more confidently than prior to development of this document.

Identify attached documentation:

Enhancement Program Implementation: Project Manager's Guide

Contact Person	Rob Ayers	Date Submitted	7/30/01
	(if different from team leader)		(No later than July 31)
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Immediate Supervisor	Laurie Smith	Phone #	733.2039

(Supervisor must approve application.)

E-mail to CPI@dot.state.nc.us, **mail** disk to Productivity Services, Transportation Building, Raleigh, or **fax** to (919) 715-2533.

(Revised 2/2000)