



PROJECT DELIVERY LEADERSHIP TEAM

OPERATIONAL NOTICE

NUMBER	SUPERSEDES	EFFECTIVE DATE	VALIDATION DATE	RESCINDED DATE
PD-18	N/A	2-1-2008		
SUBJECT		TOPIC/PROGRAM		
Planning / Project Development Integration		Project Delivery Leadership Team (PDLT)		

**PURPOSE:**

To establish the framework, roles and responsibilities, and the deliverable for communications between Planning and Project Delivery staff in the transition between Planning and Project Development. The purpose of this Notice is to establish expectations, outcomes, and roles and responsibilities.

**BACKGROUND:**

The Planning Business Line Team (PBLT) and Project Delivery Leadership Team (PDLT) identified the need to improve communication between planning and project delivery for Statewide Transportation Improvement Program (STIP) projects.

Once a project is programmed in the STIP, including projects in the Development STIP (D-STIP) and the Construction STIP (C-STIP), information coming out of the planning phase should be consistently communicated and applied in the project development phase. The lack of a formal communication tool linking planning to project development has meant that decisions made in the planning process are often unknown during the project development process. This causes unnecessary work; redoing analysis and revisiting decisions. Commitments to stakeholders during planning, the purpose and need for a project, and other information that define the project scope need to be consistently incorporated into project delivery. Further, the processes that are followed and the decisions that are made during planning need to be well documented and clearly understood by project delivery staff.

This notice establishes expectations for information and knowledge transfer from planning to project delivery, including consistent methods for documentation and decision-making, to ensure staff confidence that planning decisions can be relied upon during project delivery. This notice also introduces the creation of a Part 5 for the project prospectus to summarize planning information that should be considered in the development of STIP improvement projects. (See Appendix A for Project Prospectus Part 5 content.) While this operational notice is focused on the hand-off between Planning and Project Delivery during the Draft STIP process, it is recommended that planning staff initiate a Part 5 at the completion of transportation systems plans, transportation facility plans, refinement plans and other planning efforts such as downtown plans.

**RATIONALE:**

Planning provides important inputs to project scope definition including long-range plans and land use decisions. These provide important information needed to develop context-sensitive transportation solutions. The information also helps to identify and manage potential risks during project development and construction.

The intent of this operational notice is to maximize communication and understanding between planning and the project development staff to ensure that information and commitments made with stakeholders during the planning process are understood. Another goal of this operational notice is to ensure the timely integration of relevant planning information into projects, as they are designed and constructed.

### **SCOPE:**

This operational notice applies to projects that are subject to the requirements of Operational Notice PD-02, including projects in both the D-STIP and the C-STIP. While this may not apply to Local Agency projects, it is important that local agencies be aware of information that could be contained in the Part 5. The decision on whether a Part 5 of the prospectus is required is made by the Region Planner as part of the initial scoping process in consultation with the Project Leader, Local Agency Liaison, or Project Manager. The scale of complexity for each project determines whether or not Part 5 of the prospectus is required.

### **PROCESS/ACTION REQUIRED:**

- A Region planner should be assigned to each scoping team. Assignment to the project team should be consistent with region procedures and the need to consider factors such as the project's scope, scale, complexity, and location.
- The Region Planner decides whether the Part 5 of the prospectus is required for the project in consultation with the Project Leader, Local Agency Liaison, or Project Manager.
- If the Part 5 of the prospectus is required for the project, the Region Planner is responsible for completing it as part of the scoping activities. The complexity of the project dictates the level of detail necessary for each section of the Part 5.
- Once the project is programmed into the STIP, the Region Planner updates the Part 5.
- Depending on the complexity of the project, a planner should be assigned to projects that move forward into Project Development. Assignment to the project team should be consistent with region procedures and depends upon the project's scope, scale, complexity, and location.

### **ROLES & RESPONSIBILITIES:**

#### **Region Planners:**

- Make the decision on whether the Part 5 of the prospectus is required for the project in consultation with the Project Leader, Local Agency Liaison, or Project Manager.
- Complete the Part 5 in Project Delivery Work Planning (PDWP) as part of the Draft STIP scoping process.
- Update Part 5 in PDWP when the project is programmed into the STIP.

#### **Project Leaders, Local Agency Liaisons, and Project Managers:**

- Coordinate with Region Planner on Part 5 decision. In the event of a disagreement, then the issue should be raised with the Region Planning Manager and /or Area Manager.
- Document the Part 5 decision in the project file

#### **Region Planning Managers:**

- Approve final Part 5 at the completion of the scoping process.

Project Prospectus Part 5 Responsibilities Matrix		
Role	Project Phase	
	Planning (Scoping)	
Region Planning Manager	A	
Region Planner	P	
Project Leader	R	
Project Manager	R	
Local Agency Liaison	R	
CODE	Responsibility	Description
R	Review	Review deliverable for accuracy and completeness
A	Approve	Final Approval
P	Produce	Final responsibility for production

**REFERENCES:**

Planning / Project Delivery Integration Process Map  
 PD-02

## Appendix A

The following is the content for the Part 5 of the project prospectus in the PDWP (Project Delivery Work Planning) system. (The purpose of Part 5 is to provide a brief overview of the plan, the planning process, and other planning related information.)

### PLAN OVERVIEW

- Plan title and link to document or amendments
- Local jurisdictions involved with planning process and their role (City, County, MPO)
- Problem and Justification
  - History of the project
  - Is the project consistent with the local TSP?
  - NEPA Purpose and Need, if available
  - Plan conclusion
- Did any alternatives result from the planning process? Please describe any alternatives that were rejected and briefly explain why.
- Related Planning documents or projects
- Related ODOT or economic development projects, or projects in a local government TSP or CIP that may impact the project highway.

### LAND USE ACTIONS, PERMITS, AND APPROVALS

- Permits:
  - Existing and planned adjacent development for which permits have been issued
  - List any local development permits that may be required in the Design phase
- Zoning:
  - Zoning limitations
  - Recent or pending zone change or local/ODOT development review cases
  - Were any Reasonably Likely Determinations made in response to any of the above zone changes?
  - Measure 37 claims
- Comprehensive Plan Amendments:
  - Goal Exceptions
  - Periodic Review
  - Urban Growth Boundary
  - What component of the Comp Plan was amended?
  - Were any Reasonably Likely Determinations made in response to any of the above plan amendments?
- TSP Policies:
  - Local design requirements affecting the project for all modes
  - Street classifications
  - Facility Plans Adopted
    - Interchange Area Management Plans (IAMPs)
    - Access Management Plan (AMP) or Strategy
  - Refinement Plans
  - Will an amendment be needed to include the project in the TSP?
- For projects within the boundaries of a Metropolitan Planning Organization (MPO), Regional Transportation Plan (RTP) policies:
  - Is the project listed on the MPO RTP financially constrained project list?

- Does the RTP need to be amended to include the project?
  - Does the MPO need to do an air quality conformity analysis?
- Reduction in capacity issues pursuant to OAR 366.215

## **PUBLIC INVOLVEMENT**

- Is there a Public Involvement Plan documenting the planning process? If so, include a link or attach document
- List stakeholder contacts, including key issues or concerns
- Document any consultation with other agencies (as required by SAFETEA-LU rules and regulations, 23 CFR Part 450)

## **COMMITMENTS OR CONSIDERATIONS**

### ***(Especially those where public involvement may be required)***

- Legal and administrative responsibilities such as highway designations, jurisdictional transfers
- Memoranda of Understanding (MOUs)
- Intergovernmental Agreements (IGAs)
- Cooperative Improvement Agreements (CIAs)
- Informal agreements or commitments
- Are there any (Title VI) special populations in the project area?
- Documented commitments to be realized during:
  - NEPA (EIS, EAS, BO)
  - Design
  - Construction
  - Maintenance
- Project opponents and supporters

## **IDENTIFIED RISKS / RED FLAGS**

## **EXCERPTS FROM OR REFERENCES TO PLAN OR OTHER RELATED PLANNING DOCUMENTS**