

ODOT PROJECT DELIVERY GUIDE

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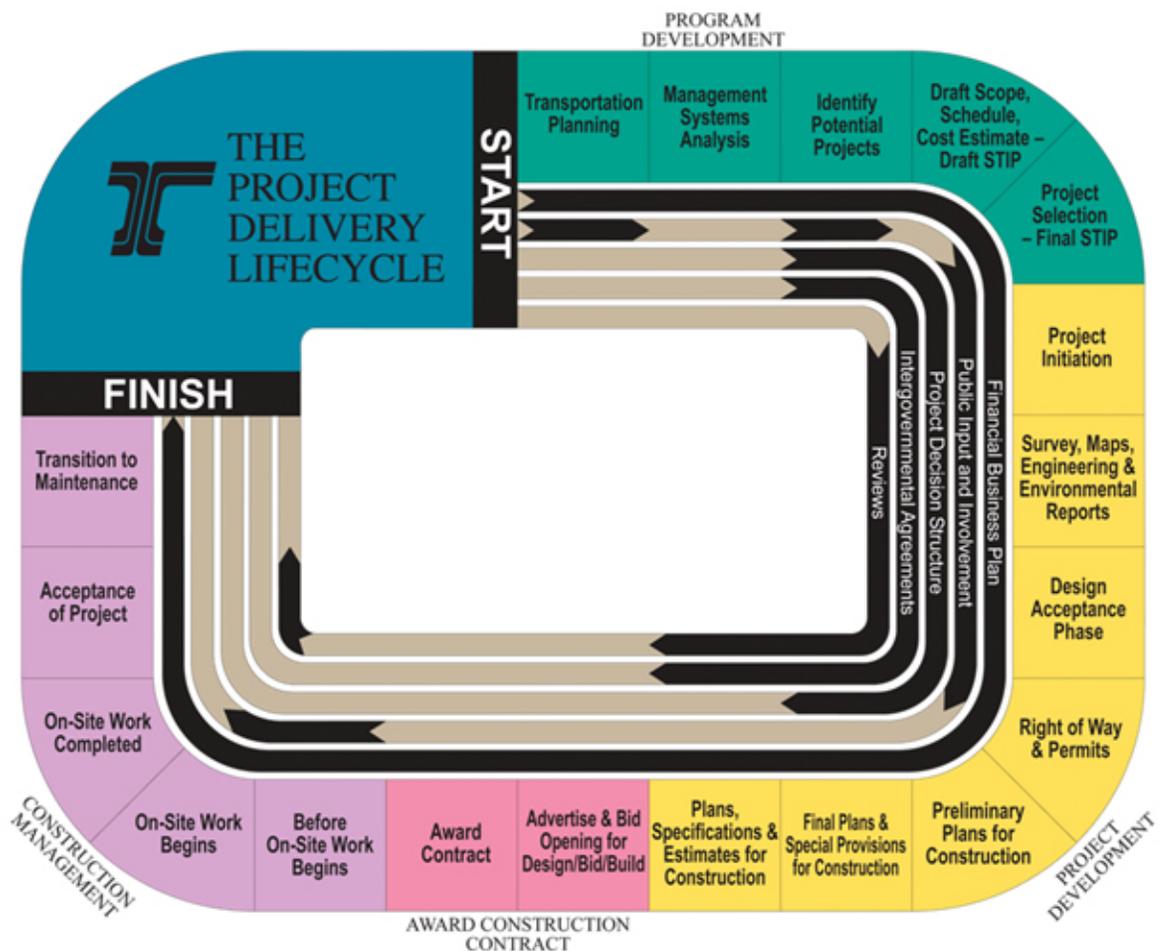
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PROJECT DELIVERY LIFECYCLE

At the Oregon Department of Transportation, we view the Project Delivery Lifecycle as a complete business process that begins with planning and analysis of potential projects and ends when a project is constructed. The process has four stages:

- Program Development
- Project Development
- Award Construction Contract
- Construction Management

Each stage has components that include activities and products.

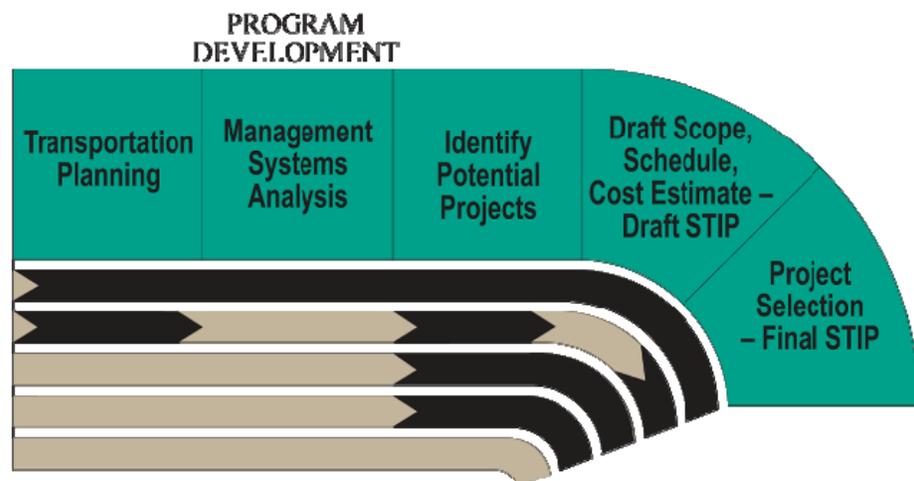


PHASE 1: PROGRAM DEVELOPMENT

Program development is where projects are created, beginning with transportation planning to identify needs at the state and local levels. As these needs are revealed and explored, projects are born.

Program development ends when the Oregon Transportation Commission and FHWA approve the biennial Statewide Transportation Improvement Program (STIP). Identifying and planning for transportation needs is an ongoing process with periodic reviews; the STIP is updated on a two-year cycle.

Program development has five major milestones, each with several processes and deliverables. (Note that some planning issues can extend into the next stage—project development—such as the possible need to address land use planning issues, including plan amendments and exceptions.)



1. TRANSPORTATION PLANNING

Transportation planning includes development of the Oregon Transportation Plan (OTP) and modal plans that provide policies and guidelines for developing other transportation plans. It also includes:

Refinement plans, such as

- Interchange Area Management Plans
- Highway Segment Management Plans
- Access Management Plans
- Local Transportation System Plans (TSPs)

These plans describe existing conditions and identify roadway classification and transportation needs, balancing those needs against multiple factors and ranking future projects for consideration for the STIP.

Deliverables for this milestone are:

- ODOT Corridor Plans
- Regional and Local Transportation System Plans
- Refinement Plans

The Transportation Planning Section is responsible for managing this process; project leaders (PLs) do not have direct responsibility for any of the deliverables.

For more information about the ODOT STIP, visit the [STIP](#) Web site, or [Appendix G](#) of this guidebook. For information about project lifecycle Title VI and Environmental Justice considerations, visit the [Title VI Plan](#) at Oregon.gov/ODOT/CS/Civil Rights.



2. MANAGEMENT SYSTEMS ANALYSIS

Management Systems Analysis includes developing and maintaining several tools that ODOT managers can use to determine transportation needs and project ideas.

Deliverables for this milestone are:

List of Needs:

- Bridge
- Pavement
- Traffic - (includes safety, operational, rock falls, culverts, fish passage projects, etc.)
- Intermodal
- Modernization
- Transportation Data and Maps

PLs do not manage this process, but they may participate in information gathering for their regions.

For more information about the ODOT STIP, visit the [STIP](#) Web site, or [Appendix G](#) of this guide.



3. IDENTIFY POTENTIAL PROJECTS

This process identifies the emerging transportation needs and ranks them for consideration for inclusion in the next STIP.

Many sources help identify potential projects. Projects can be put forward by area commissions on transportation, local and regional jurisdictions, elected officials, federal and state agencies, tribes, ports and the general public.

The deliverables for this milestone is a list of potential projects, including the following types:

- | | |
|-----------------------|--|
| Bridge | Enhancement programs |
| Pavement preservation | ITS (Intelligent Transportation System) projects |
| Pedestrian/bicycle | Unstable slopes (landslides and rock falls) |
| Rail crossing safety | Culverts and fish passage |
| Safety | |
| Transit | |

PLs do not manage this process, but they may participate in information gathering for their regions.

For more information about the ODOT STIP, visit the [STIP](#) Web site, or [Appendix G](#) of this guidebook. For information about project lifecycle Title VI and Environmental Justice considerations, visit the [Title VI Plan](#) at Oregon.gov/ODOT/CS/Civil Rights.



4. [DRAFT STIP](#)

This lifecycle milestone moves selected projects from the future projects lists and schedules them into the STIP. Project scoping involves visiting the proposed project site to conduct the initial reconnaissance, and developing the project scope of work and prospectus to advance the project for inclusion in the STIP. A PL is assigned to lead the project scoping team in these early efforts.

The purpose of the scoping stage is to:

- Establish the problem statement and solutions
- Develop cost estimates
- Develop a draft schedule
- Identify impacts to Right of Way (ROW), environmental, Access Management, utilities, etc.
- Identify options for different solutions
- Identify stakeholders and develop a [public involvement](#) plan

At this point in the program development stage, regions will determine the appropriate environmental class and the project delivery method.

Once projects are selected to be scoped and are assigned to appropriate resources, the following tasks are required to meet the deliverables in [Operational Notice](#) PD-02:

- Develop scoping and environmental report
- Develop Prospectus Part 1, 2, and 3
- Develop draft stakeholder participation and communication plan
- Develop draft resource recommendation
- Develop draft project schedule
- Develop draft preliminary engineering and construction estimate
- Complete Access Management deliverables

Each region may use a slightly different process in order to meet the required deliverables. The following section provides guidance on best practices for meeting the required deliverables.

Follow the [Draft STIP](#) link to learn more about the tasks involved with this project delivery milestone. For information about project lifecycle Title VI and Environmental Justice considerations, visit the [Title VI Plan](#) at Oregon.gov/ODOT/CS/Civil Rights.



5. PROJECT SELECTION - FINAL STIP

By the time the STIP is finalized, a lot of groups and authorities have provided input and guidance.

The Oregon Transportation Commission establishes funding targets for all programs and the criteria for identifying priorities.

The regions, area commissions on transportation (ACTs), metropolitan planning organizations (MPOs) and program managers:

- May have ongoing needs lists to begin identifying priorities
- Apply the criteria to the established and emerging needs
- Match priorities to the funding targets
- Develop a list of projects for inclusion in the draft STIP.
- Document the use of the criteria and any public process used to develop the list of projects for the draft STIP

The Draft STIP has a formal public review period before going to the Commission for final approval.

After OTC approval, the region STIP coordinators enter project information into the Project Control System (PCS) by following the STIP Development Manual, and assign funding to each project. The Statewide STIP coordinator:

- Prepares the STIP for final approval
- Coordinate general funding targets for balanced funding by:
- Verifying the correct funding has been used
- Ensuring that proposed project costs match funds available
- Verifies that statewide program goals are met

The Oregon Transportation Commission (OTC), the Federal Highway Administration (FHWA) and the Federal Transit Authority (FTA) approve the final STIP.

For more information about the ODOT STIP, visit the [STIP](#) Web site, or [Appendix G](#) of this guidebook. For information about project lifecycle Title VI and Environmental Justice considerations, visit the [Title VI Plan](#) at Oregon.gov/ODOT/CS/Civil Rights.



LIFECYCLE MILESTONE 1: DRAFT STIP

TASK 1 - ASSEMBLE THE SCOPING TEAM

The PL will assemble the scoping team based on the resources assigned by the region. A broad based inter-disciplinary scoping team is needed so that the product of scoping truly considers all needs—from concept through maintenance, identifies critical issues and develops solutions.

Depending on the needs of the project, a typical project scoping team may include:

Project leader (PL) or designee	Geo/Hydro representative
Roadway engineering representative	Bridge representative
Right of Way representative	Survey representative
Environmental representative	Pavement Services representative
Region Access Management engineer	Transportation planning representative
Utility specialist	Rail Crossing Safety representative
Project manager (PM) for construction	Region Local Program liaison
District Maintenance representative	Local representatives (city, county)
Traffic representative	Public affairs specialist



TASK 2 - ASSEMBLE THE SCOPING PACKETS

The PL is responsible for assembling and distributing the scoping packets. A scoping packet provides basic information about the project. The packet will provide background information to the scoping team so the team can become familiar with the project and area.

Some elements that could be included in the packet:

Initial project identification and vicinity map.

Purpose and need statement - what is the problem we are trying to correct?
Design standards to be used - does the current alignment meet these standards?
Existing pavement condition and preliminary ideas for surfacing treatments
Current and future (build year and design year) traffic volumes.
Five year accident history, accident rate and collision diagrams for major intersections (or information from SPIS site file) and analysis of accident "hot spots"
Bridge inspection report and recommended action(s).
Mile point log, straight-line chart, ROW maps, "as-constructed" drawings, USGS quad maps, etc.
Features Inventory from ITS or District Maintenance.

For information about project lifecycle Title VI and Environmental Justice considerations, visit the [Title VI Plan](http://Oregon.gov/ODOT/CS/Civil Rights) at Oregon.gov/ODOT/CS/Civil Rights.



TASK 3 - COORDINATE THE SCOPING TRIPS

The PL is responsible for coordinating the scoping trip(s). The scoping trip is a chance for the team to visit the project site and gather information that might not be available elsewhere. Each scoping team member is expected to attend the trip and to take notes of important discussions, decisions and recommendations that are made. Typical items that are covered during the scoping trips include (but are not limited to):

- Safety concerns and possible solutions
- Special pavement conditions and surfacing design alternatives
- Stage construction concerns
- Determine preliminary ROW needs or impacts
- Access impacts or issues
- Utilities that may be impacted or need to be relocated
- Environmental impacts (e.g. wetlands, hazmat, archaeological, or historic)
- Pedestrian and bicycle travel
- ADA needs (e.g. ramps, sidewalks and driveway approaches)
- Level of effort required for survey

The PL will have the scoping notes consolidated for each project and copies distributed to scoping team members and appropriate ODOT staff. Any revisions to consolidated notes will then be completed. These scoping notes will then become documents that will be included into the project files.

For information about project lifecycle Title VI and Environmental Justice considerations, visit the [Title VI Plan](https://www.oregon.gov/ODOT/CS/CivilRights) at [Oregon.gov/ODOT/CS/Civil Rights](https://www.oregon.gov/ODOT/CS/CivilRights).



TASK 4 - RIGHT OF WAY AND UTILITIES

The amount of ROW participation will vary with the project type, complexity, time schedule and the level of impacts. Based on the preliminary project "footprint," the assessment of the ROW impacts results in a cost estimate of land and damages to improvements. In addition, relocation and demolition costs, anticipated time to acquire, personnel costs, legal costs, and contingencies must be calculated.

Scoping preparation for the ROW project team member should consist of several research steps. This planning and preparation will be the basis for all further project investigation and cost development. Using State Highway Line Maps and preliminary project location sketches, old ROW maps covering the proposed project should be identified and copied. If there is sufficient time prior to the scoping trip, tax lot maps for the proposed project locations should be obtained.

After the scoping review, the ROW project team member should obtain county property tax assessment records, which contain property information on: land size, type and age of improvements, site address, ownership, and assessed values. Zoning information should be obtained from the Planning Division. Properties controlled by state or federal agencies should also be identified. The real estate market in the project area should be investigated for land and improvement estimates to assist in developing a project cost estimate.

The ROW project team member also makes an estimate of the number of displacements that might occur. A brief summary of the area and its residential and business replacement availability is prepared. If it appears there might be a problem with the quality or quantity of replacement housing, the ROW project team member should advise the project team and propose remedies.

After the cost estimate is developed and submitted, any documents and specific data used to develop the information must be kept in the project folder for generating other cost refinements, ROW programming estimates and reference. Each time an estimate is produced a copy must be inserted in the project folder and kept until the project is finalized.

ROW is required to submit a preliminary cost estimate in the project prospectus. The form requires input on the numbers of: files, acreages, relocations, acquisitions and easements. The estimates include costs for: land and improvements, damages, demolition, costs to cure, relocations, legal and contingencies costs, and personnel costs. The number of acquisitions as well as the type and number of business and residential relocations must also be identified. Until the final alignment is selected, the number and level of impact is subject to change.

During scoping the lead designer/chief surveyor will identify existing and proposed utilities within the limits of the project. The lead designer/chief surveyor will develop a preliminary utility report and will transmit it to the Region Utility Specialist (RUS). The lead designer/chief surveyor may invite the utilities to participate in a scoping trip. The lead designer/chief surveyor will begin field surveys and critical utility designations. The lead designer, in coordination with the PL, will incorporate all information that impacts the proposed project into the project scope and schedule.

If a ROW utilities' representative is not included on the scoping trip, the ROW project team member should record any project goals which would significantly impact railroads or utilities.

Regional utility personnel should be informed promptly because construction coordination and scheduling may significantly influence the time frame for the project.

On federally-funded projects, ROW acquisition may not begin until FHWA approves the environmental document and the ROW acquisition phase is authorized.

For information about project lifecycle Title VI and Environmental Justice considerations, visit the [Title VI Plan](http://Oregon.gov/ODOT/CS/Civil%20Rights) at Oregon.gov/ODOT/CS/Civil Rights.



TASK 5 - ENVIRONMENTAL

During the Draft STIP phase the Region Environmental Coordinator (REC) will participate in project scoping to provide a preliminary identification of possible environmental impacts from ROW acquisition, impacts on land use, traffic patterns and flow, and areas of critical concern and controversy. They will also identify impacts to: wetlands, streams and water quality, threatened and endangered species, archeological and historical sites,

parks, air, noise, energy, hazmat sites, and visual resources. ODOT's Salmon Restoration Plan and watershed issues will have a large impact on selection and development. Based upon a summary of the impacts listed above, an environmental classification is determined. The REC will document this information in the draft Project Prospectus Part 3.

At this point, the REC will determine if an Environmental Baseline Report (EBR) will need to be developed, based upon the following conditions:

- Actions requiring acquisition of new ROW
- Potential to displace any residential or commercial properties
- Potential to affect historic resources, public recreation lands, parks, wildlife refuges, wetlands, and/or archeological site
- Potential to require environmental and/or land use permits and clearances
- Work encroaches on a regulatory floodway or work affecting the base floodplain (100 year flood) elevations of a water course or lake
- Activities where environmental timing restrictions or work windows apply
- Construction in, across, or adjacent to a river designated as a component of the State or National Systems of Wild and Scenic Rivers.
- Potential to affect known hazardous material sites
- Projects located in an area designated by the EPA as non-attainment of maintenance for air quality and if the project involves new traffic signals, modification of existing signals due to channelization of lane additions, or the project is "regionally significant" as defined in the Transportation Conformity Rule
- Project involves regulated activities under the Oregon Coastal Management Plan
- Potential to increase noise impacts to surrounding residential properties due to any of the following elements: significant shift of vertical/horizontal alignments, increase number of through traffic lanes, new alignment, or existing noise issue
- Project has potential to affect a designated State or Federal Scenic Highway (some exclusions apply, such as simple striping and paving projects).
- Project involves the Oregon Forest Practices Act
- Potential to affect a water quality limited stream or water body
- Projects entailing potential significant ground disturbance
- Activities involving multiple land use and natural resource agencies
- Potential to affect threatened or endangered species (state or federal)

For information about project lifecycle Title VI and Environmental Justice considerations, visit the [Title VI Plan](https://www.oregon.gov/ODOT/CS/Civil%20Rights) at [Oregon.gov/ODOT/CS/Civil Rights](https://www.oregon.gov/ODOT/CS/Civil%20Rights).



TASK 6 - ACCESS MANAGEMENT

Access management is a comprehensive approach to the management and regulation of driveways, medians, median openings, traffic signals, and freeway interchanges. The goal of access management is to limit and separate traffic conflict points. By reducing conflict, we can increase safety and traffic operations.

With fewer new arterial roadways being built, the need for effective systems management strategies is greater than ever before. Access management is particularly attractive as it offers a variety of benefits to a broad range of stakeholders. By managing roadway access, ODOT can increase public safety, extend the life of major roadways, reduce traffic congestion, support alternative transportation modes, and even improve the appearance and quality of the built environment.

Without access management, the function and character of major roadway corridors can deteriorate rapidly. Failure to manage access is associated with the following adverse social, economic, and environmental impacts:

- An increase in vehicular crashes
- More collisions involving pedestrians and cyclists
- Accelerated reduction in roadway efficiency
- Unsightly commercial strip development
- Degradation of scenic landscapes
- More cut-through traffic in residential areas due to overburdened arterials
- Homes and businesses adversely impacted by a continuous cycle of widening roads
- Increased commute times, fuel consumption, and vehicular emissions as numerous driveways and traffic signals intensify congestion and delays along major roads

Not only is this costly for ODOT and the public, but it also adversely affects corridor businesses. After access problems have been created, they are difficult to solve. Reconstructing an arterial roadway is costly and disruptive to the public and abutting homes and businesses. The shallow property depth, multiple owners, and ROW limitations common to older corridors generally preclude effective redesign of access and site circulation. In some cases, a new arterial or bypass must be built to replace the functionally obsolescent roadway, and the process begins again in a new location. Access management programs can help stop this cycle of functional obsolescence, thereby protecting both the public and private investment in major roadway corridors.

During the Draft STIP phase a preliminary identification of possible access management impacts must be documented in order to complete the required deliverables. Completion of the required deliverables are intended to ensure that the scope, schedule, and budget of projects programmed in the STIP provide for access management work tasks consistent with rules, policies, and the requirements and guidelines of PD-03.

Each region must determine who is responsible for the required deliverables. PD-03 identifies the manager who is accountable for the deliverables, but does not specify who will complete each one.

Access Management Deliverables:

Access Control Report: documents and summarizes the research on the location of access control lines performed by the Right of Way Section of the Technical Services Branch. Information in the report is used to develop the Scoping Report and the Existing and Permitted Approaches Status Report.

Existing Approaches Status Report: confirms the status of all existing approaches under the provisions of [OAR 734-051](#) prior to any project work. This report may be a stand-alone report or combined with other reports or documentation.

Access Management Worksheet: documents consideration of a broad range of access management issues relevant to project scoping and cost. This worksheet is located in PDWP.

Right of Way Cost Estimate: cost estimate for purchasing access rights, offers to remedy closure of approaches and other property acquisitions as needed.

Access Management Scoping Report: identifies and describes all access management issues that have potential scope, schedule and budget consequences. The report could be a stand-alone document, or a component of a comprehensive project scoping report.

PE Cost Estimate: cost estimate for personnel, services and supplies that will be charged to the project expenditure account. The cost estimate is expected to document assumptions and rationale underlying the estimate and to address all the major work requirements and recommendations in the scoping report. Developing the cost estimate may require compiling information from several sources involved in the project, including maintenance, planning, consultants, right of way, and other ODOT staff and consultants.

[Public Involvement](#) Plan: explain how communication regarding access management issues on the project will be managed. The plan may be a stand alone document or a component of the overall communication plan required by PD-12.

Schedule of Work: - Schedule of access management tasks and deliverables entered in the project schedule based on what is known

about needs and requirements of the project at the Draft STIP milestone.

AMP, AMPI, and IAMP: [OAR 734-051](#) establishes whether AMP, AMPI, or IAMP must be developed for certain categories of projects. See PD-03 to determine if one is required.

These deliverables are required except when the region project delivery manager or area manager documents why the deliverable is not appropriate to the project or why it is best performed in another phase of the project.

For information about project lifecycle Title VI and Environmental Justice considerations, visit the [Title VI Plan](#) at Oregon.gov/ODOT/CS/Civil Rights.



TASK 7 - MOBILITY

Mobility is best defined as the ease with which people and goods move throughout their community, state, and world. Mobility is valuable because it provides access to jobs, services, and markets. Without question, transportation's most essential function is to provide mobility for people and goods.

Traditionally, the concept of mobility has included all modes of travel, encompassing the entire door-to-door trip including transfers between modes (surface, rail, air, pipeline, and marine services). The context of ODOT's focus is primarily on freight mobility where the primary users are freight traffic on the Oregon highway system. Even though the focus is on freight traffic, the principles will provide for greater mobility for buses, passenger cars, recreational vehicles, and other forms of transportation.

The ease with which people and goods move on Oregon's highways is being increasingly challenged by traffic congestion. Congestion on the nation's highways has increased over the past few years. Recent trends suggest that periods of recurring congestion are getting longer, particularly in urban metropolitan areas. In addition, congestion is no longer restricted to peak commuting periods and weekday travel.

Demand for freight transportation is a major contributing factor to congestion. The expected growth in truck travel is being driven by economic and population growth. The most striking growth is expected to be on rural Interstate highways, indicating the potential for congestion to spread outside of metropolitan areas. Since 1992, traffic has grown substantially on rural highways and at a faster pace than on metropolitan highways.

Construction work zones represent another obstruction to mobility. Nationally, work zones account for about 10% of all delays. FHWA research shows that the traveling public is demanding increased mobility, while showing less tolerance for delays, increased travel times, and inconveniences resulting from construction-related congestion.

During project scoping the project team needs to consider the impacts on mobility and if a Transportation Management Plan needs to be developed for the project. The [Highway Mobility Operations Manual](#) is a guide to how Oregon will tackle an unprecedented amount of construction activity and still keep traffic and freight moving. It's a comprehensive outline of the approach that ODOT and its construction partners will take when planning and executing all road and bridge projects. It sets project standards and minimum requirements regarding communication and coordination, vertical and horizontal clearance, bridge weight restrictions, delays, detours, staging, and design. The ODOT Policy Size and Weight Restrictions on State Highways - [PMT 06-01](#) outlines the roles and responsibilities for notification of any mobility restrictions.



TASK 8 - DEVELOP SCOPING AND ENVIRONMENTAL REPORT

After completing the scoping trips and compiling the information the PL will need to complete a summary report. Regions may differ in the form used; this sample [STIP Scoping Summary Report](#) is broken down into six parts:

- A - Project Scope of Work:** This part includes the project purpose, need statement, description, and rational of proposed range of alternatives.
- B - Project Cost Estimate:** This part includes summary information for the project costs.
- C - Project Schedule:** This part includes summary information for the project schedule.
- D - Project Approval**
- E - STIP Supporting Documentation:** This part includes summary information based on the observations from the scoping trips (e.g. environmental impacts, ADA needs, utilities, ROW, etc.).
- F - STIP Scoping Team:** This part identifies who the members were.

For information about project lifecycle Title VI and Environmental Justice considerations, visit the [Title VI Plan](#) at Oregon.gov/ODOT/CS/Civil Rights.

TASK 9 - DEVELOP THE PROJECT PROSPECTUS

The project prospectus begins the process of prioritizing projects for the STIP. The prospectus consists of three parts (further explained under “Draft STIP” deliverables, [here](#)):

Part 1: gives the project location, provides an overview of the project, summarizes the problem, the proposed solution, and provides the estimated preliminary engineering, right of way, utility, and construction costs at a high level.

Part 2: defines who is responsible for completing different categories of the project’s design (State, Consultant, or Applicant). Part 2 also includes information on base design requirements, structures that are to be developed or modified, and a diagram showing “before and after” lane widths.

Part 3: details the environmental impact of the project which is created from the environmental discipline information that is included in the worksheets.

The PL is responsible for creating the prospectus, and must:

- Complete the prospectus with help from team members using data from the STIP Scoping Report

- Send part 1 and 2 of the prospectus to the REC and request that part 3 of the prospectus and location map be completed

- Send a copy of the final prospectus parts 1 and 2 to the region STIP Coordinator.

Region management approval of the prospectus is necessary.

For more information about project lifecycle [Title VI and Environmental Justice](#) and Emerging Small Business ([ESB](#)) considerations, visit Oregon.gov/ODOT/CS/Civil Rights.



TASK 10 - DRAFT PUBLIC INVOLVEMENT PLAN

As stewards of the public trust, it is critical that ODOT meaningfully engage and involve the public regarding issues that impact them directly and follow the letter and intent of laws requiring public input on project plans.

The more we engage and involve our stakeholders in project decisions that affect them, the stronger our relationships become, and the more trust is built. It is in our best interest as an agency and in the interest of public stewardship that we provide accurate, up-to-date information to our

stakeholders. Additionally, keeping freight moving efficiently on Oregon's transportation system is good for the economy.

The PL is responsible for developing the project's Public Involvement Plan. ODOT's [Project Delivery Public Involvement Resource Guide](#) and [Operational Notice #12](#) provide additional guidance.

Elements a PI plan should include are:

- General information about the project

- The objectives of the stakeholder participation and communication plan.

 - Clear objectives are essential to an effective stakeholder participation process. They will shape the process, influence public expectations, and form the basis for its outputs and outcomes as well as later evaluation.

- An articulation of the constraints and opportunities this project presents. Consider the project context, political landscape and organizational support, and potential concerns and issues.

- A stakeholder analysis to determine who should be engaged; include both internal as well as external stakeholders.

- A determination of what level of effort the project requires, what techniques should be used to engage stakeholders, and what resources are needed to implement the PI plan (i.e. staff, money, etc.).

To implement the PI plan effectively, the plan must be aligned with the timing of the decision processes and project milestones.

If the objectives include stakeholder input, involvement or collaboration, the PL needs to gather and disseminate the stakeholders' input to decision makers and back to the public at large. This "feedback loop" is a necessary component of stakeholder participation planning to demonstrate to the stakeholders that their time and effort has been well invested and their comments and concerns have been understood and accurately communicated to decision makers.

Evaluation is an ongoing tool to assess and improve the stakeholder participation process as it moves forward, both for individual events and activities and for the entire process once a project is completed. Evaluation should be incorporated into the project schedule and engagement activities.

For information about project lifecycle Title VI and Environmental Justice considerations, visit the [Title VI Plan](#) at Oregon.gov/ODOT/CS/Civil Rights.



TASK 11 - DRAFT RESOURCE RECOMMENDATIONS

The responsibility for selecting a delivery method for a specific project resides with the region manager (the RM may delegate this authority to an individual or a team) in the region in which the project is geographically located. There are two exceptions:

- The manager of the Major Projects Branch (MPB) is responsible for the project delivery method selection decisions for OTIA III bridge projects and any other projects assigned to MPB.

- For local agency STIP projects, the local agency—in coordination with ODOT Local Agency Program staff—determines the project delivery method.

In addition, in the event additional funding authorization must be requested for an individual project, the appropriate RM or MPB manager represents the department before the OTC.

RMs and the MPB manager begin the delivery method selection for proposed projects during the normal STIP update process every two years. Selection of the delivery method is incorporated into the preliminary scoping process.

When a need for a decision is identified, the RM or MPB manager consults with affected stakeholders prior to making the final project delivery method selection. This communication has three objectives:

- To inform those affected that a decision is pending

- To achieve a thorough understanding of the consequences of the delivery method selection decision

- To build consensus among the stakeholders for the delivery method selected for each affected project

Affected stakeholders should include, but are not limited to, the appropriate program manager, the appropriate region technical center manager, and technical services manager. Additional stakeholders may include the deputy director of the Highway Division, the Highway Finance Office, Motor Carrier Division, Rail Division, Office of Maintenance, Local Government Section, or stakeholders external to ODOT such as local agencies, legislative, or tribal representatives.

When determining delivery methods, the following areas should be addressed in the decision making process:

- Determine resource availability of in-house staff (through construction);

- Determine budget

- Determine the type of project being designed

- Determine geographic proximity for bundling and/or efficient use of consultant staff

- Determine schedule (bundling of projects to be constructed in the same year is helpful)
- Determine contract type needed (project specific, multi-phase full service or on-call flexible service contract)
- Assure that appropriate decision authority is documented for determination of outsourced projects

Additional areas that may need to be addressed include the applicability of existing agreements (i.e., TERO Memo of Understanding), the contracting timeline and the local political climate.

The RM or MPB manager will document the decision and inform the appropriate parties. Documentation should be retained with the project development work-papers and should include:

- A summary of the issues and concerns addressed during the decision making process
- A list of the stakeholders contacted
- A statement of the final decision

The manager for the program under which the specific project is funded will ensure the necessary financial/funding adjustments are made to implement the delivery method selected; including the addition, deletion or scoping adjustments to any projects funded under the overall program.

The program manager will follow the normal business process for making program changes, including conferring with stakeholders, documentation, implementation and communication to affected parties. If OTC action is required, the program manager will work directly with the appropriate region or MPB manager and reach consensus with them on the OTC action.

For information about project lifecycle Title VI and Environmental Justice considerations, visit the [Title VI Plan](https://www.oregon.gov/ODOT/CS/Civil%20Rights) at [Oregon.gov/ODOT/CS/Civil Rights](https://www.oregon.gov/ODOT/CS/Civil%20Rights).



TASK 12 - DRAFT PROJECT SCHEDULE

Project schedules must be initiated, developed and published to the [Resource Management System](#) at the initial scoping of the project. The PL must develop a draft project schedule. It is understandable that limited information will be available to develop a project schedule. However, it is expected that the PL will identify the appropriate schedule template and adjust it to reflect what is realistic for their project and their region and to build in any specific time-related constraints necessary for the project.

For more information, read [Operational Notice #19](#), which sets expectations for project scheduling and resourcing during the project development/design phase of project delivery, and identify key roles and responsibilities.



TASK 13 - PRELIMINARY ENGINEERING AND CONSTRUCTION ESTIMATE

Revenues come to ODOT from two primary sources - Federal Allocation and State Gas Taxes. ODOT uses the money for planning, engineering, construction, maintenance, and facility operations.

Each project will need cost estimates developed for:

Preliminary Engineering (PE): includes all work necessary to prepare a project for contract bidding. Initial work may include environmental research and analysis, surveying of physical features, geotechnical exploration, pavement analysis and traffic analysis. This work includes obtaining necessary permits followed by preparation of contract specifications. Regional and Salem-based Technical Services staff is involved with aspects of preliminary engineering as well as private-sector engineering and environmental consultants.

Construction: includes all work necessary to construct or build the project to its designed specifications, using appropriate construction methods and practices, while providing a safe environment for both the traveling public and workers throughout the project. The Construction phase includes costs ODOT pays directly during project construction. This includes construction engineering (CE) activities such as project management, inspection, materials testing, surveying, construction design calculations, technical support and office support.

The use of different tools for project estimating is influenced by the project phase and project type, the level of scope definition, and project size and complexity. The time and resources available to prepare an estimate may also influence the tools used and their application. An estimate that is prepared during the Draft - STIP stage is the baseline estimate which becomes the budget when approved.

Below is guidance for developing the estimates for preliminary engineering and construction:

Determine Estimate Basis: During the scoping trip the project team should be capturing unique project characteristics and conditions that will help in providing an estimate. The PL will need to gather scope related information and data concerning the project. The PL should be organizing documents that describe the scope and other project attributes required to estimate project costs.

Prepare Estimate: After the scoping trips the PL should request that each project team member or discipline expert compile an estimate for their area of expertise and submit it to the PL. Estimate information (quantities, standard items, etc) is developed and documented. The estimate basis and assumptions are documented. Costs are estimated using the appropriate technique and project information. The cost estimate is summarized to include all costs for each cost element (e.g. PE, ROW, and CE). The estimate considers factors such as: cost history, project difficulty and locale, expected level of competition, current market pricing trends, magnitude of the project, uniqueness of work type, etc.

Review Estimate: Each cost element should be reviewed to cover the estimate basis and assumptions, verify completeness of the project scope and the appropriate use of estimate information and data.

Summarize the Estimate: Once the PL has collected an estimate from all the individual responsible work units the PL will need to prepare a budget that summarizes the total expected costs required to complete the project. Then the PL will need to enter the cost estimates into PDWP.



TASK 14 - INTERGOVERNMENTAL AGREEMENTS

ODOT should enter into an agreement as soon as possible with the party (or parties) to outline responsibilities for the various phases of project development to be performed. The type of agreement or agreements will depend upon the work to be covered and the identity of the other party.

Agreements should be prepared early in the project development process; ideally, an agreement is in place before starting preliminary engineering or ROW work, and must be signed prior to contract advertising. Supplemental agreements can also be prepared later to cover items that may have been missed in an earlier agreement.

During this stage the PL and the project team won't have enough information to enter into any agreements, but they should identify who ODOT may have to enter into agreements with. This can be in conjunction

with developing the draft stakeholder participation and communication plan in task 10.

Draft STIP Deliverables

At the completion of this milestone the PL needs to ensure the completion of all deliverables, including

- Draft prospectus parts 1, 2, 3 entered into the Project Delivery Work Planning System ([PDWP](#))

- Scoping report

- Environmental baseline reports (as required)

- Draft public/stakeholder plan

- Draft resource recommendation

- Draft resource recommendation

- Access management Draft STIP deliverables

- Draft schedule

Operational Notice #02 provides a list of deliverables along with resource/references

