

## **PART 1, CHAPTER 4**

# **PROJECT DEVELOPMENT PROCESS**

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## PART 1, CHAPTER 4

# PROJECT DEVELOPMENT PROCESS

### 4.1 OVERVIEW

Pursuant to **23 United States Code (U.S.C.) § 327** and the implementing Memorandum of Understanding (MOU) executed on December 14, 2016, the Florida Department of Transportation (FDOT) has assumed Federal Highway Administration's (FHWA's) responsibilities under the **National Environmental Policy Act (NEPA)** for highway projects on the State Highway System (SHS) and Local Agency Program (LAP) projects off the SHS. In general, FDOT's assumption includes all highway projects in Florida whose source of federal funding comes from FHWA or which constitute a federal action through FHWA. This includes responsibilities for environmental review, interagency consultation and other activities pertaining to the review or approval of **NEPA** actions. Consistent with law and the MOU, FDOT will be the Lead Federal Agency for highway projects with approval authority resting in the Office of Environmental Management (OEM).

This chapter provides an overview of the project development and delivery process for transportation projects prepared by FDOT. This chapter is not applicable to Federal Transit Administration (FTA) led or Federal Railroad Administration (FRA) led projects. See [Part 1, Chapter 14, Transit Project Delivery](#) for guidance on how to develop FTA led projects. The project development process for Local Agency Program (LAP) projects should follow the procedure outlined in the [Local Agency Program Manual, Topic No. 525-010-300](#). Environmental review for LAP projects require preparation of a **NEPA** document and FDOT oversight by the Districts and OEM as appropriate.

The project development and delivery process begins with planning studies and ends with a constructed project. The FDOT project development process is a comprehensive process involving: Planning, Project Development and Environment (PD&E), Design, Right of Way (ROW), and Construction phases. PD&E is the FDOT process for evaluating transportation project impacts and complying with the **NEPA** and applicable laws and regulations for federal projects and other regulations for state-funded projects. FDOT projects that are Type 1 Categorical Exclusions (Type 1 CEs) or Non-Major State Actions (NMSAs) do not have a PD&E phase. Environmental evaluations for Type 1 CEs and NMSAs are performed during the Design phase. Type 1 CEs are approved by the District Environmental Office.

Communication among various offices involved in the project development process and transition of the project from one phase to another is critical to a project's success. Project Managers are responsible for establishing and maintaining communication and coordination throughout the project development and delivery process. [Figure 4-1](#) shows the project development and delivery process, along with the building blocks of each phase and how the phases connect with the PD&E process. It is important to understand the sequence and interrelation between these phases to successfully deliver a project.

To deliver transportation projects, FDOT uses a variety of project delivery methods, which range from the traditional Design-Bid-Build to alternative contracting methods such as Design-Build and Public Private Partnership (P3) Concessionaire Agreements. The choice of delivery method depends on a variety of factors such as context of the project, status of the project, project schedule, risk factors, funding availability, level of complexity, and other project-specific factors.

A project begins with the identification of transportation needs or deficiencies through a planning process that prioritizes short and long range transportation improvements. For qualifying projects, FDOT uses the Efficient Transportation Decision Making (ETDM) Environmental Screening Tool (EST) to gather project information and coordinate with resource and regulatory agencies, public and other project stakeholders about the project's potential effect on the natural, physical, cultural, and community resources. This information is used to develop the scope of services for the PD&E Study. During the PD&E phase, FDOT performs alternatives analyses, conducts environmental studies, and prepares various technical studies and reports necessary to obtain the project's Location and Design Concept Acceptance (LDCA). The PD&E phase identifies and addresses environmental issues, if any, on a project. Information obtained during PD&E phase is used to develop the scope of work for the Design phase. The scope of the Design phase also depends on the delivery method chosen for the project. The Design phase includes preparation of final construction plans, specifications and final estimates. However, the Design phase does not include final construction plans for projects that use alternative contracting methods. Typically, acquisition of ROW occurs concurrent with or just after the Design phase before the project moves into construction.

The project development and delivery process described in this chapter supports the FDOT Statewide Acceleration Transformation (SWAT) process. SWAT streamlines project development by following a structured process to develop project scopes and schedules; reducing duplicative work; performing initial data collection and analysis ahead of the PD&E study; performing design activities concurrent with PD&E when possible; or overlapping Design phase with the PD&E Study to the maximum extent possible. The SWAT process applies to both state and federal PD&E studies.

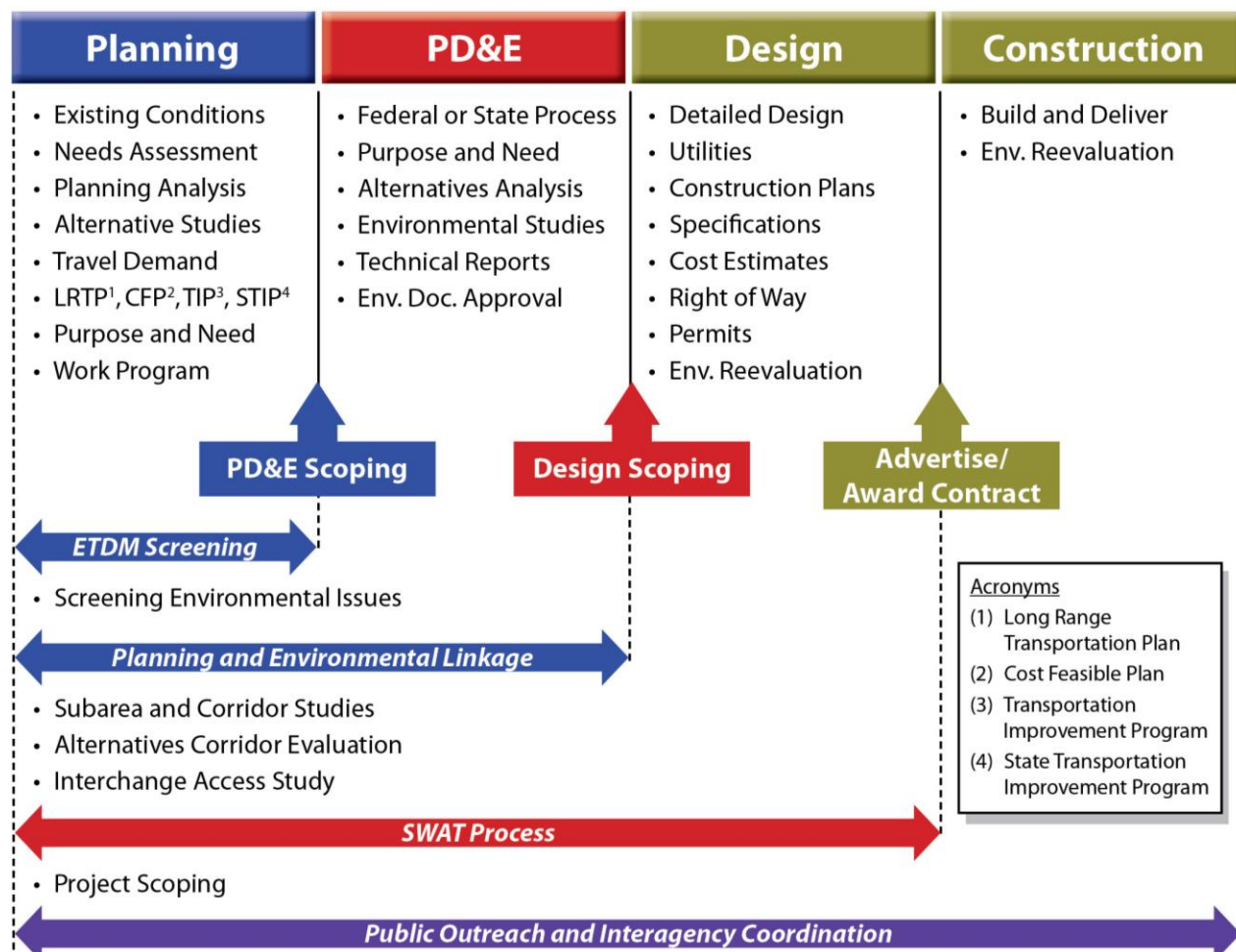


Figure 4–1 Project Development Process

### 4.1.1 Definitions

**Administrative Record** – Project documents that are submitted by the Lead Agency to the court for a **NEPA** project involving litigation.

**Alternative Corridor Evaluation (ACE)** – A study process used to identify and evaluate alternative corridors for the project with regard to transportation needs and environmental issues or concerns early in the project development process. This study links planning and the environmental review process.

**Build Alternatives** – Project alternatives that require reconstruction or widening of existing facilities, or building a new facility in a new location consistent with the project’s purpose and need.

**Cost Feasible Plan (CFP)** – A plan that consists of projects in a long range transportation plan that have been identified as being able to be funded within the 20-year planning horizon.

**Federal Nexus**— A term used when a project involves federal funding, federal permit, use of federal lands, or a federal program.

**Final Design** – Any design activities following preliminary design and expressly lead to the preparation of final construction plans, detailed specifications, final quantities as defined by **23 Code of Federal Regulations (CFR) § 636.103**.

**Lead Agency** – The agency that oversees the preparation of, and approves an Environmental Document.

**Long Range Transportation Plan (LRTP)** – A 20-year transportation plan that identifies current and future transportation needs based on population and employment growth, travel demand, and other considerations for a region.

**Major Project** – A project with a total estimated cost of \$500 million or more that is receiving (federal) financial assistance as defined by **23 U.S.C. § 106**. At its discretion, FHWA can designate a project with a total cost of less than \$500 million as a major project in situations where the projects require a substantial portion of the State Transportation Agency program resources, have a high level of public or congressional interest, are unusually complex, have extraordinary implications for the national transportation system, or are likely to exceed \$500 million in total cost. This is not related to the environmental impacts of a project.

**Metropolitan Planning Organization (MPO)** – A policy board of an organization created and designated to carry out the metropolitan transportation planning process. MPOs are required to represent localities in all urbanized areas of populations over 50,000, as determined by the U.S. Census. Also referred to as Transportation Planning Organization (TPO).

**NEPA Process** – A process followed by the project sponsors and Lead Agencies to comply with the procedures and achieve the goals of the **NEPA**. The **NEPA** process, PD&E, and the federal process are used interchangeably throughout this Chapter.

**No-Action or No-Build Alternative** – A project alternative that consists of the existing facility and any minor improvements already programmed that are not specifically tied to the proposed project. This alternative serves as the baseline for comparison against the various build alternatives.

**Planning Product** – A detailed and timely decision, analysis, study, or other documented information that (a) is the result of an evaluation or decision making process carried out during transportation planning, including a detailed corridor plan or a transportation plan developed under **23 U.S.C. § 134** that fully analyzes impacts on mobility, adjacent communities, and the environment; (b) is intended to be adopted or incorporated by reference into the transportation project development process; and (c) has been approved by the State, all local and tribal governments where the project is located, and by any relevant MPO, as defined by **23 U.S.C. § 168(a)(2)**.

**Preliminary Design** – Activities that define the general project location and design concept. These include, but are not limited to, preliminary engineering and other activities and analysis, such as environmental assessments, topographic surveys, metes and bounds surveys, geotechnical investigations, hydrologic analysis, utility investigation/coordination, traffic studies, financial plans, revenue estimates, hazardous materials assessments, general estimates of the types and quantities of materials, and other work needed to establish parameters for the final design as defined by **23 CFR § 636.103** and **FHWA Order 6640.1A Policy on Permissible Project Related Activities During the NEPA Process**.

**Project File** – A file that documents the decision-making process and technical support during the PD&E Study and serves as the basis for the Administrative Record.

**Project Scoping** – A project development activity that involves determining and documenting project goals and objectives, tasks, deliverables, schedule, cost and delivery method.

**Rail System Plan (RSP)** – A plan that establishes a vision for passengers and freight rail transportation system. It identifies inventory of needs, establishes priorities for the investment and sets forth future action steps necessary to implement the plan.

**Reasonable Alternatives** (Only applies to Environmental Impact Statements) – Alternatives meeting the purpose and need which are practical or feasible from a technical and economic standpoint.

**Scope of Services** – An attachment to the contractual agreement between FDOT and the procured consultant that outlines project tasks to be performed by the consultant. Development of a scope of services requires input and coordination with several offices within the District. FDOT has developed Standard Scopes of Services for procuring PD&E studies and Design services, and guidelines for estimating and negotiating staff hours.

**State Funds Only (SFO) project**– A project that will be funded by state funds only. If it is determined that the project will be state funded only, then this must be maintained throughout all the work program phases, and the District must use the SFO item group identifier in the work program.

**State Highway System (SHS)** – means as defined in **Section 334.02(25), Florida Statutes (F.S.)**

**State Transportation Improvement Program (STIP)** – a federally mandated document which must include a listing of projects planned with federal participation in the next four fiscal years.

**State Process** – FDOT process for environmental evaluation of projects that do not have a federal nexus or do not involve an Interstate Highway, FRA facility or FTA facility.

**Strategic Intermodal System (SIS) Plan** – A plan that sets policies to guide decisions about which facilities are designated as part of the SIS (a high-priority network of

transportation facilities critical to Florida's economic competitiveness and quality of life), where future SIS investments should occur, and how to set priorities among these investments based on funding.

**Transit Development Plan (TDP)** – A 10-year transit plan which is prepared by a transit agency to present agency's planning, development and operation of public transit facilities (service or infrastructure). TDPs are required for grant program recipients of Public Transit Block Grant Program **Section 341.052, F.S.**

**Transportation Improvement Program (TIP)** – Is the staged multiyear program of transportation improvement projects developed by a Metropolitan Planning Organization consistent with the Long Range Transportation Plan.

## 4.2 PROCEDURE

### 4.2.1 Planning Process

The project planning process begins when MPOs, FDOT, and other authorities such as military, identify transportation needs and projects that would meet those needs. The following planning products assist in documenting transportation needs: Long Range Transportation Plan (LRTP), Cost Feasible Plans (CFP), Strategic Intermodal System (SIS) Plans, Transit Development Plans (TDPs), Local Government Comprehensive Plans (LGCP), Municipal or Citywide Transportation Master Plans, and corridor planning studies. At the MPO level, project needs are matched and prioritized to available funding for projects in the MPO/TPO LRTPs. At the state level, FDOT develops cost-feasible plans for the SHS and Florida Rail System Plan (RSP). Priority projects are selected annually from these cost-feasible plans and are presented to the Florida Legislature as a tentative Five-Year Work Program. Projects included in the Work Program and approved by the legislature may wait for funding for up to five years before significant work can proceed.

FDOT coordinates with the various MPOs/TPOs and local stakeholders throughout the state to develop a vision for the State's transportation system. This includes the establishment of goals, objectives and policies to sustain and support the growth of the State's population and economy. Additionally, FDOT provides guidance and technical assistance for transit providers for their TDPs.

During the Planning phase, the purpose and need for the project is established based on identified transportation problems or deficiencies. Transportation land use and other planning data are the primary source of information used to establish or define the purpose and need for the project. Involvement of the public and participating agencies is required when defining the purpose and need and range of alternatives.

Project technical studies can be performed within the Planning phase to define or refine project parameters, project definition and the purpose and need for the project. The planning studies inform the development of the scope of work for PD&E studies. Alternatives development may begin during the Planning phase. All project alternatives



considered during the PD&E Study, including those eliminated from further consideration during the Planning phase must be properly documented, or included by reference, in the Environmental Document.

## 4.2.2 Linking Planning and Environmental Review

Linking Planning and **NEPA** provides a connection between planning-level and project-level decisions. Planning decisions and the environmental review process should be seamlessly integrated to eliminate duplication of both effort and data, and minimize delays in project delivery. The benefit of linking planning decisions and the PD&E Study is the ability to reuse data gathered, methodology used, results obtained, and decisions made during the Planning phase to streamline the project delivery. Other benefits include the ability to identify environmental issues before developing the scope of the PD&E Study and focus the analyses and technical studies conducted during the PD&E Study to issues that have potential to impact the project.

Pursuant to **23 U.S.C. § 168** and **23 CFR § 450.318**, results or decisions from a system-level corridor or subarea planning study may be used in the **NEPA** analysis if they meet certain conditions. **Appendix A** of **23 CFR Part 450 - Linking the Transportation Planning and NEPA Processes** details how to adopt or incorporate by reference information from transportation planning into **NEPA** documents and/or environmental review process under existing laws. **Appendix A** of **23 CFR Part 450** is intended to be non-binding and voluntary.

The following decisions from a planning product for a transportation project, codified in **23 U.S.C. § 168(c)(1)**, may be adopted or incorporated by reference into the **NEPA** process:

1. Whether tolling, private financial assistance, or other special financial measures are necessary to implement the project;
2. A decision with respect to general travel corridor or modal choice, including a decision to implement corridor or subarea study recommendations to advance different modal solutions as separate projects with independent utility;
3. The purpose and need for the proposed action;
4. Preliminary screening of alternatives and elimination of unreasonable alternatives;
5. A basic description of the environmental setting;
6. A decision with respect to methodologies for analysis; and/or,
7. An identification of programmatic level mitigation for potential impacts of a project, including a programmatic mitigation plan developed in accordance with **23 U.S.C. § 169**, that the relevant agency determines are more effectively addressed on a national or regional scale, including:

- a. Measures to avoid, minimize, and mitigate impacts at a national or regional scale of proposed transportation investments on environmental resources, including regional ecosystem and water resources; and
- b. Potential mitigation activities, locations, and investments.

The following planning analyses from a planning product for a transportation project, codified in **23 U.S.C. § 168(c)(2)**, may be adopted or incorporated by reference into the **NEPA** process:

1. Travel demands;
2. Regional development and growth;
3. Local land use, growth management, and development;
4. Population and employment;
5. Natural and built environmental conditions;
6. Environmental resources and environmentally sensitive areas;
7. Potential environmental effects, including the identification of resources of concern and potential direct, indirect, and cumulative effects on those resources; and,
8. Mitigation needs for a proposed project, or for programmatic level mitigation, for potential effects that the Lead Agency determines are most effectively addressed at a regional or national program level.

The degree to which information, analyses, or decisions from the planning process can be adopted or incorporated by reference into the **NEPA** process depends upon how well the planning products meet standards applicable under the **NEPA** and associated implementing regulations (**23 CFR Part 771** and **40 CFR §§ 1500-1508**). The relevant agency in the environmental review process may adopt or incorporate by reference decisions from a planning product when the Lead Federal Agency determines that the conditions set forth in **23 U.S.C. § 168(d)** and restated below are met:

1. The planning product was developed through a planning process conducted pursuant to applicable federal law.
2. The planning product was developed in consultation with appropriate federal and State resource agencies and Indian Tribes.
3. The planning process included broad multidisciplinary consideration of systems-level or corridor-wide transportation needs and potential effects, including effects on the human and natural environment.

4. The planning process included public notice that the planning products produced in the planning process may be adopted during a subsequent environmental review process in accordance with this section.
5. During the environmental review process, the relevant agency has:
  - a. Made the planning documents available for public review and comment by members of the general public and federal, state, local, and tribal governments that may have an interest in the proposed project;
  - b. Provided notice of the intention of the relevant agency to adopt or incorporate by reference the planning product; and,
  - c. Considered any resulting comments.
6. There is no significant new information or new circumstance that has a reasonable likelihood of affecting the continued validity or appropriateness of the planning product.
7. The planning product has a rational basis and is based on reliable and reasonably current data and reasonable and scientifically acceptable methodologies.
8. The planning product is documented in sufficient detail to support the decision or the results of the analysis and to meet requirements for use of the information in the environmental review process.
9. The planning product is appropriate for adoption or incorporation by reference and use in the environmental review process for the project and is incorporated in accordance with, and is sufficient to meet the requirements of, the **NEPA** and **40 CFR § 1502.21** [as in effect on the date of enactment of the **Fixing America's Surface Transportation (FAST) Act**].
10. The planning product was approved within the 5-year period ending on the date on which the information is adopted or incorporated by reference.

Linking planning and **NEPA** does not mean the planning products should be prepared to a level comparable to a **NEPA** analysis. Pursuant to **23 U.S.C § 134(o)**, **23 U.S.C. § 135(j)** and **49 U.S.C. § 5305(h)**, transportation plans and programs are exempted from **NEPA** review. Environmental evaluations that are conducted during the Planning phase are not required to address all regulatory requirements that should be addressed by the **NEPA** analysis. To ensure that the public is provided an opportunity for input and proper disclosure that FDOT may adopt a planning product, the following public notice must be inserted in the planning products that are to be adopted in a subsequent environmental review process:

*The Florida Department of Transportation may adopt this planning product into the environmental review process, pursuant to Title 23 USC § 168(4)(d) or the state project development process.*

If the planning product being adopted into the **NEPA** analysis is older than 5 years (from the date the product was approved), the information used to prepare the planning product must be reviewed to check whether conditions or planning context have changed since its approval. If the conditions or planning context have not changed, the PD&E Study may use the information from the planning product and explain why that information is valid to the **NEPA** decision-making process. The OEM must be consulted when making this decision.

### 4.2.3 ETDM Screening

The purpose of the ETDM process is to provide early identification of potential environmental considerations in transportation planning to streamline project delivery. This process supports FDOT's environmental policy to "protect and preserve the quality of life, and the natural, physical, social and cultural resources of the state, while expeditiously developing safe, cost effective, and efficient transportation systems" ([Environmental Policy, Topic No. 000-625-001](#)). The ETDM process provides agencies and other stakeholders the opportunity for early input on proposed transportation projects. The objectives of the ETDM process are:

1. Early identification of potential issues for project scope development;
2. Early consideration of environmental issues in the planning process;
3. Full and early public and Environmental Technical Advisory Team (ETAT) member participation;
4. Linkage between Planning and PD&E (including **NEPA**); and,
5. Incorporation of appropriate dispute resolution mechanisms during the planning process.

These objectives are accomplished through stakeholder involvement, early consideration of environmental effects, integrating processes which were previously conducted sequentially, using interactive techniques and innovative technologies.

The ETDM process facilitates early interaction among transportation planners; federal, state, and local agencies; Native American Tribes; and affected communities. Through this process, FDOT provides the opportunity for early stakeholder input on qualifying transportation projects, which helps support planning decisions and develop the PD&E project scope with a clearer understanding of the environmental setting and potential concerns. The types of transportation projects that qualify for screening are listed in the [ETDM Manual, Topic No. 650-000-002](#).

Intergovernmental coordination is accomplished through an ETAT assigned to each of the seven FDOT Districts and Florida Turnpike. ETAT includes representatives from MPOs/TPOs, federal and state agencies, and participating Native American Tribes. Agency agreements between the FDOT and other state and federal agencies document the

interagency understandings and agency-specific requirements for participating as an ETAT member in the ETDM process.

ETAT members use the EST to review project information, identify potential project effects, and submit comments to FDOT. This web-based Geographic Information system (GIS) database and mapping tool provides access to project information and data about natural, physical, cultural, and community resources in the project area. The comments and other information are made available to the public on the [ETDM public access site](#). See [ETDM Manual, Topic No. 650-000-002](#) for more information about the EST.

The ETDM process consists of the Planning Screen and the Programming Screen. The Planning Screen best occurs when considering projects for inclusion or prioritization within a CFP. The Programming Screen can support development of FDOT's Five Year Work Program and informs the preparation of the scope of services for the PD&E Study. The results of the screening events link the transportation Planning phase and the PD&E phase. Each screening event centers on a project review and includes project preparation activities and follow-up tasks occurring before and after the review.

The ETDM Coordinator for the project sponsor (i.e., FDOT District, Florida Turnpike Enterprise, or MPO/TPO) uses the EST to notify the ETAT when a project is ready for review. At the same time, the information is published on the [ETDM public access site](#). During the review period, ETAT members and the public have the opportunity to provide input about potential project effects. The project sponsor also begins to identify potential effects on surrounding communities. They seek to receive information on community preferences and concerns, as well as identify potential controversies related to the project. ETAT members perform multidisciplinary reviews specific to their area of expertise within their jurisdictions (e.g., wetlands, land use). These reviews help to:

1. Evaluate the feasibility of a proposed project.
2. Allow for early identification of potential avoidance, minimization, and mitigation opportunities.
3. Identify environmental issues that need focused attention during the PD&E phase.
4. Create documentation and analyses in support of the PD&E phase. The ETDM process meets the requirements set forth in **23 USC § 168(d)**, for the adoption of planning products into the PD&E phase.

The Programming Screen provides opportunities for ETAT members and the public to review and comment on qualifying priority projects being considered for inclusion in the TIP, Five Year Work Program or being advanced to the PD&E phase. ETAT members' comments assist with project scoping; and identification of opportunities for avoidance, minimization, and mitigation of potential project impacts. The **Programming Screen Summary Report** summarizes recommendations and results from the ETAT reviews. FDOT uses the report to advance or focus analyses and studies conducted prior to the PD&E phase (as appropriate), develop the scope of services for the PD&E Study, and assist in determining the appropriate Class of Action (COA) for the project.

The ETDM **Programming Screen Summary Report** also contains screening documentation of project alternatives developed as part of the planning and project screening. Alternatives should support the purpose and need for a project in accordance with all applicable laws and regulations, through the balancing of engineering, environmental, and economic aspects while considering comments received through the Programming Screen.

Within the ETDM process, Environmental Scoping Process (as required by **40 CFR § 1501.7**, for EISs only) begins with ETAT reviews during the EST screening events. This process continues throughout the Planning phase and early stages in the preparation of an EIS. Details on the Environmental Scoping Process is in [Part 1, Chapter 8, Draft Environmental Impact Statement](#) and the process to conduct a Scoping meeting is in [Part 1, Chapter 11, Public Involvement](#).

#### 4.2.4 Alternative Corridor Evaluation

FDOT uses the Alternative Corridor Evaluation (ACE) process to identify, evaluate, and eliminate alternative corridors on qualifying projects prior to the PD&E phase. The decisions made in an ACE can be used to refine the purpose and need for a project; determine the project area; define general travel modes or corridors; describe general environmental setting for a project; identify preliminary environmental impacts and environmental mitigation; and develop and refine a range of alternatives to be considered in detail during the PD&E Study. The ACE process links planning and **NEPA**. However, adoption and use of ACE decisions in the **NEPA** process is subject to a determination by the OEM.

The ACE is typically performed as part of the ETDM screening efforts that precede the PD&E phase. The Districts should use the ACE process to support potential Environmental Impact Statement (EIS) and certain Environmental Assessment (EA) projects. The ACE process may also be used to eliminate corridors that are part of the State Environmental Impact Report (SEIR) when new alignments are under consideration. Projects that qualify for the ACE process include:

1. New alignments – new roadways; new roadway connections or extensions;
2. Major realignments;
3. Major bypasses – truck bypasses, city/town bypasses; and,
4. Other alignments based on consultation with OEM.

Additionally, new alignments or major realignments for transit corridors, freight corridors (that are not bypasses), and bicycle or trail corridors can be evaluated using the ACE process. See [Part 1, Chapter 14, Transit Project Delivery](#), for guidance on corridor analysis for transit projects.

The ACE process identifies and evaluates corridor alternatives using the **Methodology Memorandum (MM)** agreed upon by the project stakeholders. The results of the ACE

are documented in the ***Alternative Corridor Evaluation Report (ACER)***. The ***ACER*** is used in the ***NEPA*** process to support a decision to eliminate from further study corridors that are not feasible or do not meet the purpose and need for the project. Public involvement and resource agency coordination in the ACE process is done through the ETDM screening process. The ETDM screening facilitates demonstration and documentation that alternatives considered during the ACE process followed a proper consultation and received support from regulatory and resource agencies and affected stakeholders (see [ETDM Manual, Topic No. 650-000-002](#)).

The level of detail in the analysis of an ACE is higher than that used to prepare a typical planning product, but less than that of a PD&E Study. The ***ACER*** must establish and document criteria and the public involvement process used to evaluate and eliminate alternatives that are not feasible or do not meet the purpose and need for the project. Such documentation is essential to incorporate ***ACER*** results into the ***NEPA*** process. The cover of the ***ACER*** must include the public notice stated in [Section 4.2.2](#).

The ACE process varies depending on whether it is started in the Planning Screen, or Programming Screen. **Chapter 3** and **Chapter 4** of the [ETDM Manual, Topic No. 650-000-002](#) explain how to conduct an ACE during the Planning Screen and Programming Screen, respectively. The following sections summarize the basic steps of the ACE process.

#### **4.2.4.1 Define the Initial Corridors**

Appropriate District Project Managers, planners, engineers and SWAT team members coordinate internally to identify and define a reasonable range of alternative corridors that address project needs. The corridors can range from swaths to broad corridors to narrower alignments. The naming of each corridor or alternative must remain consistent throughout the ACE and be carried through the PD&E phase. The District must consider any initial corridor alternatives from previously completed planning activities such as planning-level corridor/subarea/feasibility studies, multimodal corridor plans, vision plans, or master plans that might inform the ACE process. If no corridor alternatives were previously developed, the District must define initial corridors within the ACE study area. The District can add additional corridors at its discretion after consideration of known environmental issues, comments from ETAT members, and the ability of the corridor to meet the purpose and need for the project.

When evaluating major urban corridors, the District must consider the need for public transportation systems, facilities and services, and alternative corridors that will address multimodal transportation needs consistent with [Major Urban Corridor Studies Policy, Topic No. 000-725-010](#). Such consideration can include analysis for reasonable corridors based on the presence of alternative transportation modes and the feasibility of developing an interconnected multimodal transportation system. Multimodal options that must be considered include, but are not limited to, fixed guide way facilities and expanded bus service with supporting facilities. The policy requires each major urban corridor study to determine if there is justification for continued consideration of public transportation systems, and facilities or services in conjunction with the development of the corridor.



Consideration of alternative transportation modes, particularly in urban areas, should include the need for bicycle and pedestrians facilities. See [Part 2, Chapter 3, Engineering Analysis](#) for more guidance.

#### **4.2.4.2 Decide to Advance Project**

The District considers the involvement and potential impacts to environmental issues/resources and the presence of any fatal flaws on the project to decide if the project should be advanced. In making decisions, the District may consider GIS data, known environmental issues in the area, and early project stakeholders' comments, and other data and information that would help determine the appropriate level of detail of analysis for the range of alternatives being considered. Once the decision has been made to advance the project, the District defines the goals for the ACE process (e.g., performing an action plan level corridor analysis or determining reasonable alternatives for the PD&E Study).

#### **4.2.4.3 Develop Methodology Memorandum**

The District develops an **MM** based on stakeholder comments and other information regarding the project environmental context. The **MM** is a technical memorandum which describes the goals of the ACE, identifies alternative corridors, and details the data and procedure the District will use to develop, evaluate, and screen alternative corridors. The **MM** also details the process, including public involvement, and criteria that form the basis for decision-making. The **MM** includes the following:

##### **1. Background**

- a. Contact personnel
- b. Basic project information
  1. Previous planning studies or relevant information
  2. Known project issues of concern
- c. Project description
- d. Purpose and need for the project

##### **2. Goals and objectives of the ACE**

- a. Provide the status in project delivery
- b. Define the goals and objectives of the study
- c. Identify the decision points/milestones

##### **3. Methods to analyze the alternative corridors and make decisions**



- a. Describe needs for alternative modes such as transit, freight, or pedestrian/bicycle facilities
- b. Describe alternative corridors
- c. Describe data needs
- d. Describe criteria to evaluate and screen alternative corridors
- e. Describe the data analysis tools [e.g., EST, Land Suitability Mapping (LSM), Quantum]

In the following situations, the **MM** may be reviewed by project stakeholders more than once:

1. There is a change in project termini (expanded);
2. There is a change in purpose and need for the project;
3. There is significant change in project concept(s) (e.g., alignment, typical section, interchange/intersection configuration);
4. There is significant change in alternative mode components such as pedestrian, bicycle, transit, freight facilities;
5. There is a change in supporting data that may affect the methodology and any resulting decisions made from it (e.g., population changes, economic changes, land use changes); and,
6. There are significant revisions (based on stakeholders input) to the methodology to analyze the alternative corridors and make decision.

During the ETDM screening, the ETAT reviews, comments, and agrees on the **MM** in the EST. The OEM concurs with the **MM** after the ETAT comment period, through the EST. See [ETDM Manual](#) for procedures on how to develop a **MM** using the EST.

#### **4.2.4.4 Refine Corridors**

The District evaluates the corridors using the criteria established and agreed upon in the **MM**. In studying the alternatives and considering input from ETAT and other project stakeholders, the District may refine corridors to avoid potential environmental effects. The refinement of corridors to avoid potential effects also considers the corridor vision, purpose and need, and potential environmental impacts.

#### **4.2.4.5 Prepare Alternative Corridor Evaluation Report**

The **ACER** summarizes the alternative corridors analysis and documents the alternatives that are eliminated or carried forward to the PD&E Study (pursuant to **23 U.S.C. § 168**

and **Appendix A of 23 CFR Part 450**). The **ACER** documents the basis for eliminating alternatives. Documentation regarding the elimination of alternatives in the **ACER** is part of the project's Administrative Record for the **NEPA** process. It is critical to properly document the analysis, public and agency involvement, and resulting planning decisions in the **ACER** to ensure that these analyses meet requirements for use in the **NEPA** process. The **ACER** must document assumptions supporting planning analysis such as travel demand forecast year; forecast method and its rationale, and future year data. Additionally, the **ACER** must document policy assumptions related to land use, socio-economic factors, transportation costs, and transportation network. The **ACER** also documents known unresolved project issues with the public, stakeholders or agencies.

When completed, the **ACER** is uploaded into the EST for comment. The ETAT members have 30 days to acknowledge their understanding of the **ACER** and submit comments in the EST. After ETAT review, the **ACER** is submitted to the OEM for concurrence.

The OEM considers the **ACER** for adoption and reviews the recommendations of the alternatives eliminated from further study or considered for additional study in the subsequent PD&E phase or concurrence. The District will make a formal request for adoption through either the EST or email. After OEM concurrence, the EDTM Coordinator publishes the **Planning (or Programming) Screen Summary Report** with the **ACER**.

The **ACER** should be included in the project file as part of the supporting documentation of a PD&E Study and should be summarized in the "Alternatives Development" section of an EA or EIS (see [Part 2, Chapter 3, Engineering Analysis](#)). The Alternatives Considered but Eliminated section of an EA or EIS should include documentation explaining why an eliminated alternative did not meet the purpose and need or was otherwise unreasonable. The Alternatives Considered but Eliminated section should also include the coordination that assisted in making the determination with reference to the **ACER**.

#### 4.2.5 Scoping a PD&E Study

The project scoping process in this chapter builds on the SWAT process. Project scoping is a project development activity that identifies and considers various project related issues which may affect cost and schedule; determines the work activities to be performed for the project; and develops or refines key project parameters and requirements sufficient to define the project. The project scoping process outlined in this chapter is applicable to both state and federally funded projects.

The project scoping process discussed in this section is not the Environmental Scoping Process required by **23 CFR Part 771** for preparation of an EIS. For the Environmental Scoping Process, see [Part 1, Chapter 8, Draft Environmental Impact Statement](#).

Project scoping of a PD&E project starts towards the end of the planning process as the project transitions to the PD&E phase. Scoping helps to focus the project activities to issues that have a potential to impact the project and actions needed during the PD&E phase to avoid, minimize or mitigate a project's potential impacts. Additionally, the

scoping process provides the foundation for a PD&E Study. Scoping requires coordination of project stakeholders within and outside the District to realize best options to deliver the project.

The PD&E scope of services documents the project parameters and the level of engineering and environmental analyses required to develop the project that will meet the purpose and need. The level of engineering and environmental analyses is commensurate with the project type and its context, and the significance of potential project impacts. A well-prepared PD&E scope produces a foundation upon which the project development occurs. Additionally, a well-prepared scope sets expectations for project management and project performance, establishes a realistic project delivery schedule, and provides a foundation for managing project change and risk.

The PD&E Project Manager is responsible for scoping the PD&E Study. The PD&E Project Manager should use the guidance in this section to identify work activities and deliverables, and prepare the preliminary schedule to deliver the project. During project scoping, the Project Manager must work collaboratively with District staff and other project stakeholders (other agencies and local governments), as applicable, to identify project needs and potential issues that will be addressed by the PD&E Study. Early input from the various District offices and other project stakeholders is essential for developing effective project scopes that consider broader project issues.

#### 4.2.5.1 SWAT Process

SWAT process is a project management approach that streamlines FDOT's project delivery process through early coordination and communication among the different functional offices within the District. **Both state and federally funded projects follow the SWAT process.** See [FDOT Quick Guide: Transforming our State Pre-Construction Process](#) and SWAT training materials for more guidance.

The objectives of the SWAT process include continuous, active team engagement (for both federal and state funded projects); identification of State Funds Only (SFO) projects; adherence to established project schedules; and advancement of project activities to expedite project completion. SWAT promotes early collaboration and coordination during the scoping of projects to properly identify funding mechanisms, and develop a realistic project schedule. It also identifies opportunities to overlap activities in the Planning, PD&E, Design, and ROW phases.

Each District has an established SWAT team composed of cross-functional, multi-disciplinary staff experienced in project delivery. Members of the SWAT team include representatives from Work Program, Production/Scheduling, Intermodal Systems Development (ISD)/Planning, Design, ROW, and Environmental Management. Other staff from District functional offices are usually invited to participate in the SWAT team meetings. SWAT team members are experts who are involved at key milestones during planning and prior to development of the PD&E Scope of Services to ensure that project decisions get broad input and early support. The SWAT team actively engages with the ETDM Coordinator and Environmental Office staff to scope PD&E projects. Importantly,

the SWAT team works closely with the assigned Project Manager(s). The primary purpose of the SWAT team is to assist Project Managers in appropriately scoping projects to realize project delivery time savings, and identify the appropriate delivery method for each project.

SWAT consists of planning, strategy, and kickoff team meetings. The purpose of these meetings is to plan and investigate the project parameters and requirements (such as objectives, deliverables, and milestones); the need and level of overlapping PD&E Study with Design phase; and project development approach before the projects advance to the PD&E phase. The SWAT team meetings use the ***Statewide Acceleration Transformation Scoping Form, Form No. 650-050-40*** ([Figure 4-2](#)) to evaluate the project and determine project parameters that influence the development of the project.

#### **4.2.5.1.1 SWAT Planning Meeting**

Each District's SWAT team holds an annual planning meeting(s) to review PD&E projects that will be included in the five-year Work Program. The planning meeting may include the OEM project delivery staff at the request of the District. The SWAT team should meet with District management prior to the planning meeting to obtain their input on projects being considered in the tentative Work Program.

During the planning meeting, the SWAT team reviews and discusses the purpose and need for projects proposed to be added in the Work Program cycle. The SWAT team also reviews information from the ETDM planning screen, if available. The outcome of the SWAT planning meeting is a list of projects for Work Program development consideration with recommendations of funding type for each project; an initial view on the anticipated or hypothetical COA assigned to each project; the potential for Design phase overlap with PD&E phase; anticipated complexity and the potential for consideration as an Advanced Production Project ([Work Program Instructions, Part V Chapter 1, Production Management](#)); and a list of projects to be screened through the ETDM process.

During the SWAT planning meeting, each project is recommended as either a state or federal project. An SFO identifier is assigned to state funded projects. [Figure 4-3](#) shows the process followed by the SWAT team to decide how the projects will be funded. To decide whether to use federal funds on the project, the SWAT team considers factors such as environmental considerations, anticipated permits, [Work Program Instructions](#), and expected time savings resulting from the state project delivery process.

Projects that must follow the federal process or must stay federalized are listed in [Work Program Instructions, Part III - Chapter 25, Project Development and Environment \(PD&E\)](#). These projects are:

1. Interstate projects;
2. Projects using or involving Interstate right of way (e.g., air rights, adjacent);
3. Projects within and impacting federal lands, such as National Parks or Forests;

4. Projects where a federally funded phase has occurred (funds expended);
5. Projects where current work is federally funded;
6. Transportation Alternatives (TA) program projects;
7. FHWA Safety Program projects;
8. Off-System projects; and,
9. Projects qualifying as Type 1 CEs.

The SWAT team also considers the following when determining whether to use federal funds for projects:

1. Impacts to Work Program flexibility based upon anticipated cost of construction.
2. Projects where protected species or habitat may be impacted and consultation under the **Endangered Species Act (ESA)** is necessary ([Part 2, Chapter 16, Protected Species and Habitat](#)). **Section 7** of the **ESA** would apply for federal projects or those with a federal nexus. **Section 10** of the **ESA** would apply for projects where there is no federal funding or federal nexus.
3. Projects that require a federal permit, such as U.S. Coast Guard (USCG) bridge permit or U.S. Army Corps of Engineers (USACE), **Section 404** permit.

If federal funds have been used on a prior phase of the current project, coordination with OEM and the Office of General Counsel is required.

SFO projects that do not qualify for ETDM Screening may proceed as NMSA projects. SFO projects that qualify for ETDM Screening, including those defined as major in **Section 339.155(5)(b), F.S.**, proceed to PD&E as SEIR projects. For projects identified as SEIRs, the District SWAT team ranks them based on environmental and engineering complexity and expected number of PD&E days that would be saved using the state funded project delivery process. Projects that are funded through state, local, or private means must follow the requirements of [Part 1, Chapter 10, State, Local, or Privately Funded Project Delivery](#).

During the SWAT planning meeting, the SWAT team completes **Section A** of the **Statewide Acceleration Transformation Scoping Form No. 650-050-40 (Figure 4-2)** based on the District's knowledge of project requirements and potential project impacts. **Section A** of the form documents the recommendations and agreed upon process resulting from the SWAT planning meeting. **Section B** of the form should be completed during the SWAT Strategy Meeting and updated during the SWAT kickoff meeting. The results of the SWAT planning meeting must be shared with Work Program staff responsible for advancing projects and the District management. This information should be retained in the project file.

#### 4.2.5.1.2 SWAT Strategy Meeting

The SWAT team holds a strategy meeting to develop high-level project delivery strategy and milestone schedules for each PD&E project identified in the Work Program. The strategy meeting helps the District to establish pre-PD&E milestones in the FDOT Production Schedule and Management (PSM) system with appropriate PSM codes. Examples of pre-PD&E milestones are ETDM screening events, Advance Notification, initiation of technical studies that may advance ahead of PD&E Study, SWAT kick-off meeting and PD&E advertisement.

Project scope evaluation by the SWAT strategy meeting participants starts by revisiting **Section A** of the **Statewide Acceleration Transformation Scoping Form, Form No. 650-050-40** prepared during the SWAT planning meeting. The SWAT strategy meeting participants also complete **Section B** of the **Statewide Acceleration Transformation Scoping Form** based on available project information at the time of the meeting. During the strategy meeting, the SWAT team considers opportunities to overlap PD&E and Design phases when appropriate. In creating a preliminary project schedule, the SWAT team evaluates the risk associated with project design ambiguity and environmental complexity in a project schedule estimation matrix. Environmental complexity is estimated based on the likelihood of substantial environmental issues on the project, and the design ambiguity is a function of how quickly a preferred alternative can be determined in the PD&E process.

Consideration may also be given to segmenting the project to expedite project delivery without compromising the **NEPA** process.

#### 4.2.5.1.3 Activities that May Advance Prior to PD&E

As part of the SWAT process, the Districts must explore options to collect data and conduct technical studies and surveys ahead of the PD&E Study. Ideally, these activities should be completed before the SWAT kickoff meeting to assist in project scoping. Project activities that are advanced ahead of the PD&E Study can be accomplished using District staff, districtwide consultant contracts, or phase 22 (PD&E phase) funds to procure a consultant. Phase 22 funds can be used for PD&E activities prior to initiation of the PD&E Study, as per the [Work Program Instructions](#).

Project activities that may start ahead of a PD&E Study include:

1. Design survey;
2. Traffic data collection and traffic analysis;
3. Preliminary geotechnical investigation;
4. Existing condition analysis;
5. Public involvement plan, including public outreach;



6. Long lead species surveys, if the time of year is right such that doing the species survey earlier prevents waiting during PD&E;
7. Cultural resources assessment survey;
8. Contamination screening; and,
9. Other technical studies or coordination as project characteristics allow.

#### **4.2.5.1.4 SWAT Kickoff Meeting**

Each project that goes through PD&E must have a SWAT kickoff meeting. The kickoff meeting occurs approximately one year before the PD&E study is programmed. The purpose of the kickoff meeting is to identify and establish project objectives, identify the environmental conditions that may be affected by the project, determine how Design phase activities can be advanced concurrent with PD&E, determine appropriate contracting and project management scheme when PD&E and Design phases overlap, prepare the project's scope of services, and create preliminary project schedule.

The SWAT kickoff meeting includes members of the SWAT team, PD&E Project Manager, Design Project Manager, subject matter experts, and staff from Environmental Management, Environmental Permitting and Planning offices. The PD&E Project Manager's role is to gather technical information necessary to scope the project and identify the subject matter experts to be invited to the kickoff meeting. Subject matter experts are involved as potential project issues are identified and their role in the kickoff meeting is to provide technical and analytical inputs within their areas of technical expertise. Additionally, the subject matter experts ensure that project related issues within their areas of expertise are raised and incorporated in the scope of services for the project.

Project scope evaluation by the SWAT team starts by revisiting the ***Statewide Acceleration Transformation Scoping Form, Form No. 650-050-40*** ([Figure 4-2](#)) prepared during the SWAT planning and strategy meeting. The SWAT kickoff meeting reviews ***Section A*** and updates ***Section B*** of the ***Statewide Acceleration Transformation Scoping Form, Form No. 650-050-40*** based on available project information, funding determination, EDTM screening results, COA considerations, field observations, and the level of recommended design activities that will overlap with PD&E. The SWAT kickoff meeting also develops an efficient and effective project schedule and a scope of services for the project.

The SWAT team along with the appropriate subject matter experts, determine or estimate the potential project impacts to environmental resources as either substantial, not substantial, enhancement, or no involvement. Environmental resources that are marked as "No Involvement" must have an acknowledgement that it was considered but not present on the ***Statewide Acceleration Transformation Scoping Form, Form No. 650-050-40*** and therefore the scope of services should only require the consultant to verify and include a statement to that effect in the Environment Document. Resources that are

marked as “No Substantial Impact,” “Enhance,” or “Substantial Impact” on the form must be included in the scope of services for analysis during the PD&E Study.

When developing the schedule for advancing the PD&E Study, the SWAT team must determine PD&E activities (see [Section 4.2.5.1.2](#)) that can begin ahead of the PD&E Study initiation to take advantage of potential time savings.

The results of the SWAT project kickoff meeting include a schedule for the project. The schedule includes a target number of months to complete the PD&E Study, recommended project management structure, recommended contracts procurement option, target number of months from the start of preparation of the Environmental Document to approval of the Environmental Document, anticipated COA, a draft scope of services, a list of technical documents required, and if appropriate a plan for a technical panel. Use of a technical panel can facilitate communication of project expectations with respect to project scope and schedule to prospective consultants. Additionally, the SWAT project kickoff meeting for state funded projects hypothesizes what the assigned federal COA would have been.

#### 4.2.5.1.5 Project Schedule

To streamline development of PD&E schedules, FDOT has developed project schedule templates for PD&E studies (by COA) to support sequencing, implementation and execution of the Work Breakdown Structure (WBS) or task list. The project schedule templates provide consistent activity names at the deliverable level. The templates can be customized to meet the complexity and context of the project. The WBS provides an activity/task coding structure that is used in the PSM system. It also identifies the project milestones, activities and activity durations to successfully deliver the project. [Table 4-1](#) lists some of PD&E activities that must be tracked in the project schedule. Approved Environmental PSM codes can be downloaded from the [OEM website](#).

**Table 4-1 PD&E Project Schedule and Management (PSM) Codes**

PSM Code	Activity
703	PD&E Scope and Schedule Completion
705	PD&E Advertisement
707	EA Start
708	Notice of Intent (NOI), EIS Start
709	SEIR Start
710	Planning Consistency Completion
711	Alternatives Workshop

Entering the PD&E phase is defined as work occurring on the project after the official start date of the PD&E Study represented by project schedule and management (PSM) codes (Type 2 CE Start= 706, EA Start = 707, NOI-EIS Start=708, or SEIR Start = 709). The start of the PD&E phase date is project-specific and determined by the Project Manager.



It represents the date the project team begins PD&E Study activities, thus signaling the beginning of **NEPA** coordination and analysis for federal projects, and the beginning of coordination and analysis to support development of a SEIR for state-funded projects. For an EIS, Notice of Intent (NOI) serves as the official start date.

The PD&E Project Manager must work with the District Production Management Office to create a detailed schedule that uses PSM codes. As referenced in [Section 4.2.5.1.3](#), the Project Manager will develop an informed schedule, using information recognized in the SWAT kickoff meeting, and convey the project schedule to the District Production Management Office staff who will enter identified schedule milestones in the PSM with corresponding codes prior to advertisement for consultant acquisition. Importantly, the Project Manager and Production Scheduler must ensure the project schedule has realistic timeframes and project work activities proceed in a logical order. The project schedule must include time required for document reviews by the District, OEM and Cooperating Agencies, as appropriate. The Project Manager must also communicate to the consultant, as applicable, the expectation of the project schedule.

#### 4.2.5.2 Level of Design Detail

Engineering activities for a PD&E Study are performed to a level of detail that may be used to analyze and compare the effects of the alternatives on the social, natural, cultural, and physical environment. Therefore, the level of design detail required for a PD&E Study is project-specific. Depending on the context and schedule of the project being studied under the **NEPA** process, PD&E and Preliminary Design can begin concurrently provided that the preliminary design activities comply with **23 CFR Part 771** and **40 CFR §§ 1500-1508**. Essentially, the preliminary design activities must not limit the choice of reasonable alternatives [**40 CFR §1506.1(a) and (b)**]. Projects that follow the state process have more flexibility in advancing Design phase activities to the PD&E phase (see [Part 1, Chapter 10, State, Local, or Privately Funded Project Delivery](#)).

##### 4.2.5.2.1 Permissible Project Related Activities during NEPA

**FHWA Order 6640.1A, Policy on Permissible Project Related Activities during the NEPA Process**, explains the level of preliminary design detail allowed in PD&E studies and aims to reduce project delivery time. To comply with and utilize the flexibility provided in this directive during PD&E, the Districts may perform preliminary design activities prior to a **NEPA** decision regardless of the project delivery method that is used. However, final design activities may not be advanced until a **NEPA** decision has been issued [**23 CFR § 771.113(a)**]. Preliminary design activities to be completed by FDOT in the PD&E process are listed as “preliminary” (or “P”) in [PPM, Volume 2, Chapter 2, Sequence of Plans, Topic No. 625-000-008](#). Most items are in the preliminary status through Phase II Plans of the Design Phase. Design items that are not listed in the Sequence of Plans Preparation chapter, but are identified in Appendix A of the **FHWA Order 6640.1A**, such as noise wall justification, can be advanced to preliminary design levels. Preliminary design is further addressed in [PPM, Volume 1, Chapter 13, Initial Engineering Design Process, Topic No. 625-000-007](#).

Other activities necessary to establish the final design parameters for a project (as defined at **23 CFR § 636.103**) may proceed as preliminary design so long as those activities do not materially affect the objective consideration of alternatives in the **NEPA** process or have an adverse environmental impact. The form in [Figure 4-4](#) should be completed and signed by both the District and OEM to authorize preliminary design of those activities. Preliminary engineering activities are defined in **23 U.S.C. § 101(a)(4)(A)** and are referenced in **Guidance on Preliminary Engineering Authorizations in FMIS**. The activities are eligible for Federal-Aid reimbursement once they are approved by FHWA.

#### **4.2.5.2.2 Overlapping PD&E and Design Phases**

The preliminary design activities for a project can commence during the PD&E process by overlapping PD&E and Design phases, or procuring the two phases concurrently. This is one of the objectives of the SWAT process. However, the Project Manager must be familiar with and consider the risks associated with overlapping preliminary design activities with PD&E. First, there is always the possibility that the No-Action (No-Build) Alternative could be chosen as the preferred alternative. Second, the preliminary design activities must be equally performed for all Build Alternatives. These risks include performing additional engineering analysis that would not be needed for alternatives which do not move forward. Third, OEM may prohibit any preliminary design activity if it is determined that such activity will materially affect the objective consideration of alternatives or cause an adverse environmental impact. See [Section 4.2.5.2.1](#) for the level of preliminary design detail allowed in PD&E studies. To mitigate the risk, the Project Manager must work closely with the SWAT team before deciding to overlap the Design phase with the PD&E phase to ensure the consultant procurement process is vetted for issues that may prevent the project from moving forward.

Design activities for federal projects must not be completed beyond Phase II (60%) design plans prior to OEM approval of the Environmental Document. There is no limitation to the level of design plans which may be completed concurrently with a SEIR. However, the SWAT team and Project Manager must be mindful of alternatives analysis considerations and other risks associated with advancing final design activities with SEIR particularly if a federal permit is involved.

There are three options for dual procurement of PD&E and Design phases that the SWAT team and the Project Manager may consider. These options are:

1. One contract for both PD&E and Design funded together;
2. One contract for PD&E with an option for Design; and,
3. Two overlapping contracts procured simultaneously or separately.

Dual procurement options are shown in [Figure 4-5](#). Project management structures for these options are shown in [Figure 4-6](#).

### 4.2.5.3 Scope of Services

The Project Manager must review the **Programming Screen Summary Report** before advancing the project to PD&E. The report helps the Project Manager to become familiar with the existing environmental setting and helps with the understanding of the environmental or social resources that may be impacted by the project. By reviewing the **Programming Screen Summary Report**, the Project Manager will also understand project needs and objectives as well as the level of analysis and documentation required to accomplish the project objectives. The Project Manager must gather other technical information needed to scope the project in addition to the **Programming Screen Summary Report**. This includes field visits and results of technical studies that were conducted prior to project scoping.

When technical studies and surveys were completed prior to PD&E, the Project Manager must review the reports and adjust the scope of work by eliminating the activities or tasks that were previously completed and are still current or valid. Additionally, the Project Manager should explore opportunities to adopt or incorporate by reference planning analyses (such as interchange access request studies, traffic models, corridor studies, multimodal corridor studies, transit alternatives analysis, bicycle plans, feasibility studies, freight corridor studies) for the PD&E Study. See [Section 4.2.2](#) for guidance on how to use planning products in the PD&E Study.

The Project Manager must consult with the District Environmental Office for input regarding project activities and/or impacts. The Project Manager must work in concert with an interdisciplinary project team, largely composed of members from the District SWAT team, (from Planning, Environmental Management, Design, Right of Way, Construction) to complete the PD&E Study scope of services. The team must use the recommendations from the District SWAT kickoff meeting to complete the scope of services for the PD&E Study. The Project Manager must use the **PD&E Study Standard Scope of Services** development tool to prepare the scope of services for the project. The Project Manager must have a Statewide Environmental Project Tracker (SWEPT) account to access the scope of services development tool.

Environmental resources determined to be absent in the project (or no involvement) through the ETDM screening, SWAT kickoff meeting, and/or field observations should not be included in the scope of services. The scope of services must require the consultant performing the PD&E Study to review the ETDM screening documentation for resources determined to be absent before including a statement to that effect in the Environmental Document.

### 4.2.5.4 Alternative Project Delivery Methods

The procurement process for alternative project delivery methods such as Design-Build and contract administration processes follow standard FDOT practices as specified in the [Design-Build Procurement and Administration, Procedure No. 625-020-010](#). Districts are responsible for conducting the design-build procurement and contract administration processes for projects within their jurisdictions. The Project Finance Office in the Office

of Comptroller provides support, coordination, and oversight for P3 projects that involve Design-Build-Finance or Design-Build-Finance-Operate-Maintain. Florida's Turnpike Enterprise is responsible for conducting traffic and revenue studies for District projects that involve tolling.

For Design-Build projects and other projects that follow the alternative delivery methods, FDOT ensures that the requirements set by **23 CFR Part 636** are met, which include those imposed to protect the objectivity and integrity of the **NEPA** process. The [\*\*Design-Build Procurement and Administration, Procedure No. 625-020-010\*\*](#) provides flexibility by allowing projects to be advertised and selected while the **NEPA** process is being concluded. This means the Design-Build firm may proceed with certain preliminary engineering activities while the **NEPA** process is being concluded. The procedure recognizes the requirement for obtaining **NEPA** approval before the District can issue the notice to commence construction, pursuant to **23 CFR § 771.113**. Additionally, the procedure requires a Design-Build contract to have a termination clause if the No-Build Alternative is selected when the preliminary design phases are authorized in the Design-Build contract prior to completion of **NEPA**. Pursuant to **23 CFR § 636.109(b)(6)**, the Design-Build firm must not prepare the **NEPA** document or have decision-making responsibility with respect to the **NEPA** process but can assist in preparation of information to support **NEPA** activities under the supervision of the District Environmental Office.

#### **4.2.5.5 Project Management Plan**

A successful project has the following characteristics: objectives are fulfilled and delivered within the planned budget and schedule, and FDOT quality metrics are met or exceeded. Each project must have a Project Management Plan (PMP), also called the Project Work Plan. The purpose of the PMP is to promote the efficient, organized, and timely completion of the work product according to schedule, budget, and contract requirements. The PMP details the project scope; defines the project delivery; and establishes project schedule, budget, resource allocation, communication plan, and the management methods used by the project team to deliver the project. Depending on the context and complexity of the project, the PMP may include a project Risk Management Plan, Change Management Plan, and Transition/Closure Plan. [\*\*Part 1, Chapter 3, Project Work Plan of FDOT's Project Management Handbook\*\*](#) provides additional information about the development of PMPs.

Pursuant to **23 U.S.C. § 106(h)**, Major Projects are required to have an FHWA approved PMP and an annual Financial Plan, including a phasing plan when applicable. The PMP for Major Projects must document procedures and processes that are in effect to provide timely information to the project decision makers to effectively manage the scope, costs, schedules, and quality of the project deliverables. The PMP also includes the role of the agency leadership and management team in the delivery of the project. The Project Manager must submit the draft PMP to FHWA at least 60 days prior to OEM approval of **NEPA** document for Major Projects. The Project Manager should work with the District Production Office to prepare the draft PMP prior to submitting to FHWA.

The Financial Plan for a Major Project is coordinated by the Project Finance Office in the Office of Comptroller and must be based on detailed estimates of project costs and the programmed funding for the project. The Initial Financial Plan and subsequent annual updates are prepared in accordance with FHWA guidance. The Financial Plans include an assessment of the appropriateness of the project delivery method. Visit the Project Finance Office SharePoint site on Major Project Financial Plans for more information.

#### **4.2.5.6 Quality Control**

The Project Manager is responsible for the quality and technical accuracy required for the Environmental Document and supporting technical studies. To reach quality objectives, each project must establish and follow Quality Assurance (QA) and Quality Control (QC) protocols. The Project Manager must make a conscious effort to maximize quality for every project.

All work associated with a PD&E Study must adhere to a project specific QC Plan which will ensure that project deliverables conform to applicable laws, regulations and FDOT procedures. The QC Plan must address the internal QC process performed by the PD&E Study team. The Plan must ensure that quality is achieved through checking, reviewing, and oversight of work activities and deliverables by objective and qualified individuals who were not directly responsible for performing the initial work. The QC Plan must also include processes and procedures for QA measures to evaluate and document compliance of the QC process. [Part 1, Chapter 16, Quality Assurance and Quality Control of FDOT's Project Management Handbook](#) provides additional information for the development of QC Plans.

#### **4.2.5.7 Risk Management**

Project risk management is the systematic process of identifying, analyzing, planning for, responding to, and monitoring project risk. It involves processes, tools, and techniques that help the Project Manager minimize the probability and consequences of adverse events by developing and following a risk management plan, which should identify the risks that need to be managed (the highest priority risks and possibly some or all of the intermediate priority risks) and the selected risk response strategy for each. The risk management plan should address technical, external (i.e., funding and political risks), environmental, and organizational resources that may prevent the project from achieving its objectives.

Risk management is most effective when performed early in the life of a project and assessed continuously throughout the project. ETDM screening events ([Section 4.2.3](#)) and SWAT kickoff meetings ([Section 4.2.5.1](#)) are examples of project activities that are used to manage risk for PD&E projects.

When a formal risk analysis is performed for the project, its outcome is documented in a risk register. The risk register is a document that identifies and quantifies risks and is tracked and passed from one phase of the project development process to another. Risk analysis can be qualitative or quantitative depending on the complexity of the project and



information that is known at the time of analysis. In many situations, risk analysis performed during PD&E is qualitative where risk trigger features are identified and their impact to the scope, schedule, budget, or quality are analyzed and prioritized for further action.

Since risk management and analysis is an on-going process throughout the life of the project, Project Managers must continuously monitor and control, and identify and analyze new risks for their projects. This can be achieved by adding project risk to the agenda of project meetings. [Part 1, Chapter 19, Risk Management of FDOT's Project Management Handbook](#) provides additional information for identifying and managing project risks.

## 4.2.6 PD&E Phase

The PD&E phase builds on the outcome of the ETDM screening, SWAT team meetings, prior planning products and ACE, as applicable, to further refine the project's purpose and need. The PD&E phase may also identify project alternatives that satisfy the purpose and need for the project. Alternatives may include alignments, alternative modes, and typical sections that avoid or minimize environmental impacts. See [Part 1, Chapter 14, Transit Project Delivery](#) and [Part 2, Chapter 3, Engineering Analysis](#) for more information on alternatives analysis. Environmental analyses performed during PD&E evaluate the project's effect on social, cultural, natural, and physical resources. During the environmental analysis, conceptual mitigation plans may be developed based on unavoidable impacts. See [Part 2, Chapter 4 through Chapter 21](#), for procedures on how to perform environmental resource analyses.

Throughout the PD&E process, interagency coordination is conducted to identify project impacts, permitting requirements, project commitments, and funding sources. Commitments identified during the PD&E process can include requirements for future coordination, avoidance and minimization and/or mitigation for unavoidable impacts to resources. These commitments are documented, in the Environmental Document and advanced, tracked, and implemented in later phases of the project through [Project Commitment Record, Form No. 700-011-35](#). See [Part 2, Chapter 22, Commitments](#) for more information on commitments during the PD&E phase.

### 4.2.6.1 Environmental Documents

The COA for federal projects may have been determined during ETDM; however, a COA determination is not mandatory prior to advancing a project to PD&E phase. If the COA is known, the project may proceed as a CE, EA, or EIS. If the project is state-funded it may proceed as a SEIR.

#### Processing

Projects requiring a federal action or that use federal-aid funds must meet planning consistency requirements outlined in **23 CFR Part 450** prior to be submitted to OEM for LDCA. The planning consistency documentation for EAs and EISs submitted to OEM for

approval must include the appropriate planning consistency form ([Figure 4-7](#) and [Figure 4-8](#)) with attached LRTP, Transportation Improvement Program (TIP), and current State Transportation Improvement Program (STIP) pages. The ***Planning Requirements for Environmental Document Approvals with Segmented Implementation, Form No. 650-050-42*** ([Figure 4-8](#)) is to be completed for projects with segmented (phased) implementation. For information on documenting planning consistency in the Environmental Document and links to planning consistent spreadsheets, see [Part 2, Chapter 1, Project Description and Purpose and Need](#) and [FDOT/FHWA Consistency Guidance](#), respectively.

## Type 2 Categorical Exclusions

Type 2 CEs are projects with no known significant impacts but which may require more detailed analysis of relevant issues and public involvement. These projects go through a PD&E phase before advancing into the Design phase. The document of record for LDCA is the signed ***Type 2 Categorical Exclusion Determination Form, Form No. 650-050-11***. The Type 2 CE documentation consists of this form, the ***Preliminary Engineering Report***, and if applicable, the public hearing transcript. Planning consistency information is included in the ***Type 2 Categorical Exclusion Determination Form, Form No. 650-050-11***. The processing and documentation of Type 2 CEs is discussed in [Part 1, Chapter 5, Type 2 Categorical Exclusion](#).

## Environmental Assessments

An Environmental Assessment (EA) is prepared for actions in which the significance of the environmental impact is unknown. Depending on the significance of the impacts, an EA will result in a Finding of No Significant Impact (FONSI) where the analysis of the technical studies indicates that no significant environmental impact will result from the proposed project or an EIS if the analysis indicates significant environmental impacts will result. In either case, these projects will require environmental technical studies to comply with ***NEPA***, address agency comments, or -investigate potential impacts as necessary. The appropriate planning consistency form should be submitted to OEM with the EA to show the progression to consistency, and with the FONSI when LDCA is requested. The processing, review, and approval of an EA and a FONSI are discussed in [Part 1, Chapter 6, Environmental Assessment](#) and [Part 1, Chapter 7, Finding of No Significant Impact](#).

## Environmental Impact Statements

All projects that are determined to have a significant environmental impact require an Environmental Impact Statement (EIS) and should address environmental issues identified during the Programming Screen and PD&E phase. The appropriate planning consistency form should be submitted to OEM with the DEIS to show the progression to consistency, and with the Final Environmental Impact Statement (FEIS) when LDCA is requested. An EIS receives LDCA once the Record of Decision (ROD) is approved by OEM. The processing, review, and approval of the DEIS and FEIS are described in [Part](#)

[1, Chapter 8, Draft Environmental Impact Statement](#) and [Part 1, Chapter 9, Final Environmental Impact Statement](#).

## State Funded Projects

Transportation projects qualifying for EST screening, without federal involvement require a SEIR. When a Local Agency or other entity is the lead agency, a Project Environmental Impact Report (PEIR) should be prepared. PEIRs are used by non-FDOT entities when state funds are used or the project lies on a SIS, SHS facility, or a project advanced through a State Infrastructure Bank (SIB) loan. The processing, review, and approval of non-federal projects are described in [Part 1, Chapter 10, State, Local and Privately Project Delivery](#).

### 4.2.6.2 Environmental Technical Studies

Environmental technical studies are performed and their results documented according to the appropriate Chapters in [Part 2 of the PD&E Manual](#). Reports documenting these studies ([Section 4.2.6.3](#)) are prepared in response to the relevant environmental issues/resources.

Technical reports are sent to OEM for review prior to submitting to appropriate agencies for coordination/consultation. After OEM review, technical reports are uploaded into the EST for review by the appropriate ETAT members. This allows the District to address ETAT comments or seek concurrence prior to finalizing the Environmental Document.

Below is a list of some examples of environmental technical studies that may be performed during PD&E. This list is not all inclusive.

1. Water Quality Impact Evaluation;
2. Natural Resources Evaluation;
3. Noise Study;
4. Air Quality;
5. Contamination Screening Evaluation/ Level I Contamination Assessment;
6. Conceptual Stage Relocation;
7. Section 4(f) Evaluation;
8. Cultural Resource Assessment Survey;
9. Sociocultural Effects Evaluation; and,
10. Drainage and Floodplains Evaluation.



### 4.2.6.3 Project Reports and Documentation

Documentation for a PD&E Study includes the Environmental Document, technical reports, data, memoranda, maps, meeting summaries, comment/response matrices. The PD&E Project Manager is responsible for collecting, maintaining, and filing documentation for a PD&E Study in the project file. The project file provides the supporting rationale and technical support behind the PD&E Study's decision-making process. The Project Manager should begin compiling the project file at the start of the PD&E Study, continue to add documents throughout the study, and complete the file when a final decision is made. Complete and accurate documentation of the project file is needed to ensure decisions made during PD&E are passed to the next phase of the project development process. Additionally, a complete project file is essential to preparing and compiling a complete administrative record for the project.

All project documents will be filed/stored in accordance with [Records Management, Procedure No. 050-020-025](#) utilizing the process outlined in [Part 1, Chapter 15, Project File and Records Management](#).

Below is a list of reports and design information the Project Manager should maintain in the project file if completed in the PD&E phase. Additional environmental and technical reports (discussed in [Section 4.2.4.3](#)), which are the basis of PD&E decisions, must also be kept in the project file.

1. Approved Environmental Document (Type 2 CE documentation, EA with FONSI, DEIS, FEIS/ROD, FEIS, ROD, or SEIR)
2. ***Project Traffic Analysis Report***
3. ***Travel Analysis Report (if applicable)***
4. ***Typical Section Package***
5. ***Roundabout Technical Memorandum***
6. ***Public Involvement Plan (PIP)***
7. Major Intersection and Interchange Concepts (if applicable)
8. Transportation Improvement Concepts (if applicable)
9. ***Preliminary Engineering Report (PER)***
10. ***Alternatives Evaluation Memorandum (if applicable)***
11. ***Natural Resources Evaluation (wetlands, protected species and habitat, Essential Fish Habitat)***
12. ***Cultural Resource Assessment Survey***

13. **Section 4f Evaluation Report**
14. **Sociocultural Effects Evaluation Technical Memorandum**
15. **Conceptual Stage Relocation Plan**
16. **Noise Study Report**
17. **Air Quality Technical Memorandum**
18. **Contamination Screening Evaluation Report or Level 1 Contamination Assessment Report**
19. **Water Quality Impact Evaluation Checklist**
20. **Location Hydraulics Report (LHR)**
21. **Planning Consistency Form** (except for Type 2 CEs where it is included in the determination form)
22. Preliminary stormwater design (including any drainage reports, preliminary drainage design, and/or **Pond Siting Report**)
23. Preliminary plans for preferred alternative with right of way dimensions
24. **Comments and Coordination Report**
25. **Utility Assessment Technical Memorandum**
26. Conceptual Transportation Management Plan (TMP)
27. Preliminary bridge analysis with supporting location and design recommendations for each viable structure alternative (if applicable).
28. **Draft Bridge Hydraulic Report** for the preferred alternative (if applicable)
29. **Preliminary Scour Analysis**
30. Copy of **DEP Form 62-257.900(1)-Notice of Asbestos Renovation or Demolition** (if completed during PD&E)
31. **Value Engineering Study Report** (if applicable)
32. **Interchange Justification or Modification Report** (if applicable)
33. **System Engineering Management Plan** (if applicable)
34. **Design Exceptions/Variation Package** (if applicable)

## **35. Project Commitment Record (PCR), Form No. 700-011-35**

### **4.2.7 Design and Construction**

The purpose of the Design phase is to prepare the detailed engineering design, contract plans, specifications, and estimates for the project. FDOT's design process follows the design criteria and procedures established in the [PPM, Volume 1, Topic No. 625-000-007](#) and the requirements for preparation and assembly of contract plans established in [PPM, Volume 2, Topic No. 625-000-008](#).

The review of design and construction plans for design-bid-build projects (conventional projects) follows a standard four-phase submittal approach to facilitate review of the projects. The four submittal phases are Phase I, Phase II, Phase III, and Phase IV. Projects that are Type 1 CE or NMSA, typically have two phase reviews. The appropriate number of submittal phases for Type 1 CE and NMSA projects is determined when developing the scope of services. Design-Build projects have three standard submittal phases, namely Technical Proposal, 90% Component Plans and Final Component Plans. [PPM, Volume 2, Chapter 2, Topic No. 625-000-008](#) identifies phase submittal requirements for both conventional and non-conventional projects.

Phase I plans submittal allows for the establishment and review of preliminary geometry and grades, drainage design, traffic control, and right of way. Certain projects have a mandatory Value Engineering (VE) requirement that must be performed during the PD&E phase. If a mandatory VE study was not performed during PD&E, one should be conducted during the development of Phase I plans. See [Procedure No 625-030-002, Value Engineering Program](#) for further details on VE requirements.

Phase II plans submittal includes the proposed plan and profile with complete drainage design. Design of the plans themselves is complete at the completion of Phase II. Completion of Phase II plans allows for permit application submittal and right of way mapping to start. ROW acquisition can also commence upon completion of the Phase II submittal. Throughout the remainder of the design process continued agency coordination will take place to address permitting requirements, address additional avoidance and minimization measures that can be taken, and develop mitigation plans.

Phase III plans submittal includes completion of all plan sheets and quantity calculations. Phase IV is the final submittal of the project contract plans where specifications are complete and all corrections noted in the Phase III plans are complete.

During the Design phase, the mitigation requirements are reconciled with actual impacts based on the final design features of the project. Prior to completion of the Design phase and commencement of construction, the project must undergo an environmental re-evaluation to ensure that there are no conditions in place that would alter the original approval of the decision and commitments made during the PD&E Study. Any change in design or environment, or laws which may have come into effect since the approval of the final Environmental Document or any previous reevaluations are addressed. [Part 1, Chapter 13, Re-evaluations](#) explains the required re-evaluation process.

## 4.2.8 Interagency Coordination and Public Involvement

Public Involvement, which provides opportunity for input from interested and affected members of the public, local governments, and environmental, regulatory, and resource agencies, is required by both federal and state laws, as well as FDOT procedure (See [Public Involvement Opportunities, Topic No. 000-525-050](#)). Public involvement is required in all phases of a transportation project. The public involvement effort should be scaled to match the magnitude or complexity of the project, including potential project issues or challenges of a project, such as potential controversy, right of way acquisition, relocations, and access modifications. See [Public Information Handbook](#) for guidance on developing and implementing effective public involvement for transportation projects.

During Planning and Programming screens of the ETDM process, regulatory and resource agencies and interested project stakeholders review and comment on a project's potential effects on the natural and human environment. MPOs can input public comments from LRTP outreach activities into the EST during the ETDM Planning or Programming Screen. PD&E Project Managers use information from the EDTM **Planning** or **Programming Screen Summary Report** to plan and implement public involvement activities during the PD&E phase.

Public Involvement during the PD&E phase begins the preparation of a **PIP**. The purpose of a **PIP** is to identify the potentially affected people in a community, identify special community needs to support the SCE evaluation and define the outreach methods and schedule to involve and gain their input. Depending on the COA for the project, different public involvement actions are used to meet federal and state requirements. See [Part 1, Chapter 11, Public Involvement](#) and [Part 2, Chapter 4, Sociocultural Effects Evaluations](#) for more information.

Public Involvement activities during the Design phase typically begin by preparing a Community Awareness Plan (CAP) and may involve activities such as public information meetings or a design public hearing. See [PPM, Volume 1, Chapter 1, Topic No. 625-000-007](#) for more information. For projects that have completed a PD&E phase, the Design phase public involvement is built upon the public involvement activities conducted during the PD&E phase.

Public Involvement during construction involves responding to public requests for information regarding construction activities and informing the public about construction activities such as lane closures, median changes, business access impacts, work hours, work zones, detours, temporary access, and grand openings. Through public involvement, FDOT provides up-to-date information and solicits public concerns related to the project.

## 4.3 REFERENCES

AASHTO Practitioner's Handbook 10: Using the Transportation Planning Process to Support the NEPA Process

FDOT. Major Urban Corridor Studies.

Policy No. 000-725-010.

<http://fdotwp1.dot.state.fl.us/ProceduresInformationManagementSystemInternet/FormsAndProcedures/ViewDocument?topicNum=000-725-010>

FDOT. Records Management, Procedure No. 050-020-025.

<http://fdotwp1.dot.state.fl.us/ProceduresInformationManagementSystemInternet/FormsAndProcedures/ViewDocument?topicNum=050-020-025>

FDOT. Complete Streets. Topic No. 000-625-017.

<http://fdotwp1.dot.state.fl.us/ProceduresInformationManagementSystemInternet/FormsAndProcedures/ViewDocument?topicNum=000-625-017>

FDOT. Efficient Transportation Decision Making Manual. Topic No. 650-000-002.

<http://www.dot.state.fl.us/emo/pubs/etdm/etdmmanual.shtm>

FDOT. 2015. Interchange Access Request User's Guide.

<http://www.dot.state.fl.us/planning/systems/programs/SM/intjus/pdfs/FDOT%20AURG%20March%202015%20PA.pdf>

FDOT. 2015. FDOT Quick Guide: Transforming our State Pre-Construction Process.

<http://www.dot.state.fl.us/emo/pubs/Quick%20Guide%20Final%20PDF.pdf>

FDOT. Value Engineering Program. Topic No. 625-030-002.

<http://fdotwp1.dot.state.fl.us/ProceduresInformationManagementSystemInternet/FormsAndProcedures/ViewDocument?topicNum=625-030-002>

FDOT. Plans Preparation Manual, Volume 1. Topic No. 625-000-007 and Volume 2, Topic No. 625-000-008.

<http://www.dot.state.fl.us/rddesign/PPMManual/PPM.shtm>

FDOT. Information Technology Resources User's Manual. Topic No.

325-000-002. <http://www.dot.state.fl.us/OIS/OISManual.shtm>

FDOT. Project Management Handbook.

<http://www.dot.state.fl.us/projectmanagementoffice/PMHandbook/pmhandbookindex.shtm>

FDOT. Quick Guide: Transforming our State Pre-Construction Process, dated February

2015. [http://www.dot.state.fl.us/emo/pubs/Quick Guide Final PDF.pdf](http://www.dot.state.fl.us/emo/pubs/Quick%20Guide%20Final%20PDF.pdf)

FDOT. Work Program Instructions, FY 17/18-21/22.

<http://www.dot.state.fl.us/OWPB/Development/PDFInstructions/WorkProgramInstructions.pdf>

FDOT. Florida Transportation Plan. <http://www.dot.state.fl.us/planning/ftp/>

FDOT. Florida's Strategic Intermodal Systems (SIS) Plan. 2010.

<http://www.dot.state.fl.us/planning/sis/>

FHWA. 1987. Guidance for Preparing and Processing Environmental and Section 4(f) Documents. FHWA Technical Advisory T6640.8A

FHWA. 2011. Guidance on Using Corridor and Subarea Planning to Inform NEPA

FHWA. 2015. Guidance on Preliminary Engineering Authorizations in FMIS.

<http://www.fhwa.dot.gov/federalaid/150311.cfm>

FHWA. Linking the Transportation Planning and National Environmental Policy Act (NEPA) Processes. <http://www.fhwa.dot.gov/hep/plannepa050222.pdf>

FHWA. October 1, 2010. ORDER Classification Code 6640.1A. Policy on Permissible Project Related Activities during the NEPA Process

Fixing America's Surface Transportation (FAST) Act. 2015

Memorandum of Agreement Between FHWA and FDOT Concerning the State of Florida's Participation in the Surface Transportation Project Delivery Program Pursuant to 23 U.S.C. 327, December 14, 2016. <http://www.fdot.gov/environment/pubs/Executed-FDOT-NEPA-Assignment-MOU-2016-1214.pdf>

Moving Ahead for Progress in the 21st Century (MAP-21), 2012

Rule Chapter 14, Florida Administrative Code, Department of Transportation

Section 335.065, F.S. Bicycle and pedestrian ways along state roads and transportation facilities.

[http://www.leg.state.fl.us/Statutes/index.cfm?App\\_mode=Display\\_Statute&Search\\_String=&URL=0300-0399/0335/Sections/0335.065.html](http://www.leg.state.fl.us/Statutes/index.cfm?App_mode=Display_Statute&Search_String=&URL=0300-0399/0335/Sections/0335.065.html)

Title 23 CFR § 636.103

## **4.4 FORMS**

Planning Requirements for Environmental Document Approvals, Form No. 650-050-41

Planning Requirements for Environmental Document Approvals with Segmented Implementation, Form No. 650-050-42

[Project Commitment Record, Form No. 700-011-35](#)

Statewide Acceleration Transformation Scoping Form, Form No. 650-050-40

Type 2 Categorical Exclusion Determination Form, Form No. 650-050-11\*

\*To be completed in [SWEPT](#)

Note: Hyperlinks are only for those with FDOT Intranet access only. Those without Intranet access may view or download forms at: <http://www.fdot.gov/procedures/>. Sign in is required.

## **4.5 HISTORY**

1/12/2000, 5/20/2008, 1/21/2011, 03/30/2015, 8/18/2016

## STATEWIDE ACCELERATION TRANSFORMATION SCOPING FORM

To be used for both Federal and State Funded Projects

### SECTION A

#### 1. PROJECT DESCRIPTION AND PURPOSE AND NEED

##### a. Project Information

Project Name: \_\_\_\_\_

Project Limits: \_\_\_\_\_

County: \_\_\_\_\_

ETDM Number (If applicable): \_\_\_\_\_

Financial Management Number: \_\_\_\_\_

Project Manager: \_\_\_\_\_

##### b. Background Information

##### c. Proposed Improvements

##### b. Purpose and Need

#### 2. FUNDING

Funding type: \_\_\_\_\_

**Figure 4–2 Statewide Acceleration Transformation Scoping Form**



#### 4. EVALUATION

**YES NO**

- Is this a transportation project qualifying for ETDM EST screening?
- Will the project cause adverse impacts to local traffic/travel patterns, property access, community cohesiveness, or planned community growth or land use patterns?
- Will the project cause adverse impacts to air, noise, or water?
- Will the project cause adverse impacts to wetlands requiring a federal permit?
- Will the project cause adverse impacts to navigation requiring a federal permit?
- Will the project cause impacts to floodplains?
- Will the project affect endangered or threatened species or their critical habitats requiring a federal finding?
- Will the project require more than minor amounts of right of way and result in any residential or non-residential displacements?
- Is there any potential involvement with properties protected under Section 4(f) requiring a finding from OEM?
- Will the project affect any properties protected under Chapter 267, Florida Statutes?
- Does the action have known contamination sites which would have more than a minimal impact to design, right of way, or construction activities and can't be avoided or remediated?
- Is a public hearing required in accordance with Part 1, Chapter 11 of the PD&E Manual and 339.155(5)(b), F.S.?
- Will the project have substantial controversy on environmental grounds?

#### 5. ENVIRONMENT PERMITS

Anticipated Permits: \_\_\_\_\_

#### 6. CLASS OF ACTION

Anticipated COA: \_\_\_\_\_

**Figure 4–2 Statewide Acceleration Transformation Scoping Form (Page 2 of 3)**

**SECTION B**

**1. POTENTIAL PROJECT IMPACTS TO ENVIRONMENTAL RESOURCES**

Issues/Resources	Potential Impacts?				Supporting Information
	Yes	No	Enhance	*NoInv	
<b>A. SOCIAL and ECONOMIC</b>					
1. Social	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
2. Economic	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
3. Land Use Changes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
4. Mobility	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
5. Aesthetic Effects	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
6. Relocation Potential	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
<b>B. CULTURAL</b>					
1. Historic Sites/Districts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
2. Archaeological Sites	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
3. Recreational Areas	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
<b>C. NATURAL</b>					
1. Wetlands and Other Surface Waters	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
2. Aquatic Preserves and Outstanding FL Waters	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
3. Water Quality and Water Quantity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
4. Wild and Scenic Rivers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
5. Floodplains	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
6. Coastal Barrier Resources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
7. Protected Species and Habitat	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
8. Essential Fish Habitat	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
<b>D. PHYSICAL</b>					
1. Highway Traffic Noise	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
2. Air Quality	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
3. Contamination	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
4. Utilities and Railroads	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
5. Construction	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
6. Bicycles and Pedestrians	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
7. Navigation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____

\* NoInv = Issue absent, no involvement.

**2. ACTIVITIES TO BE ADVANCED PRIOR TO PD&E**

List the data collection, technical reports, and survey that can be advanced ahead of PD&E start.

**3. LEVEL OF DESIGN EFFORTS**

State whether design phase activities will be concurrent with PD&E. State level of design effort anticipated with PD&E.

**4. PROJECT DELIVERY METHOD**

State the anticipated delivery method.

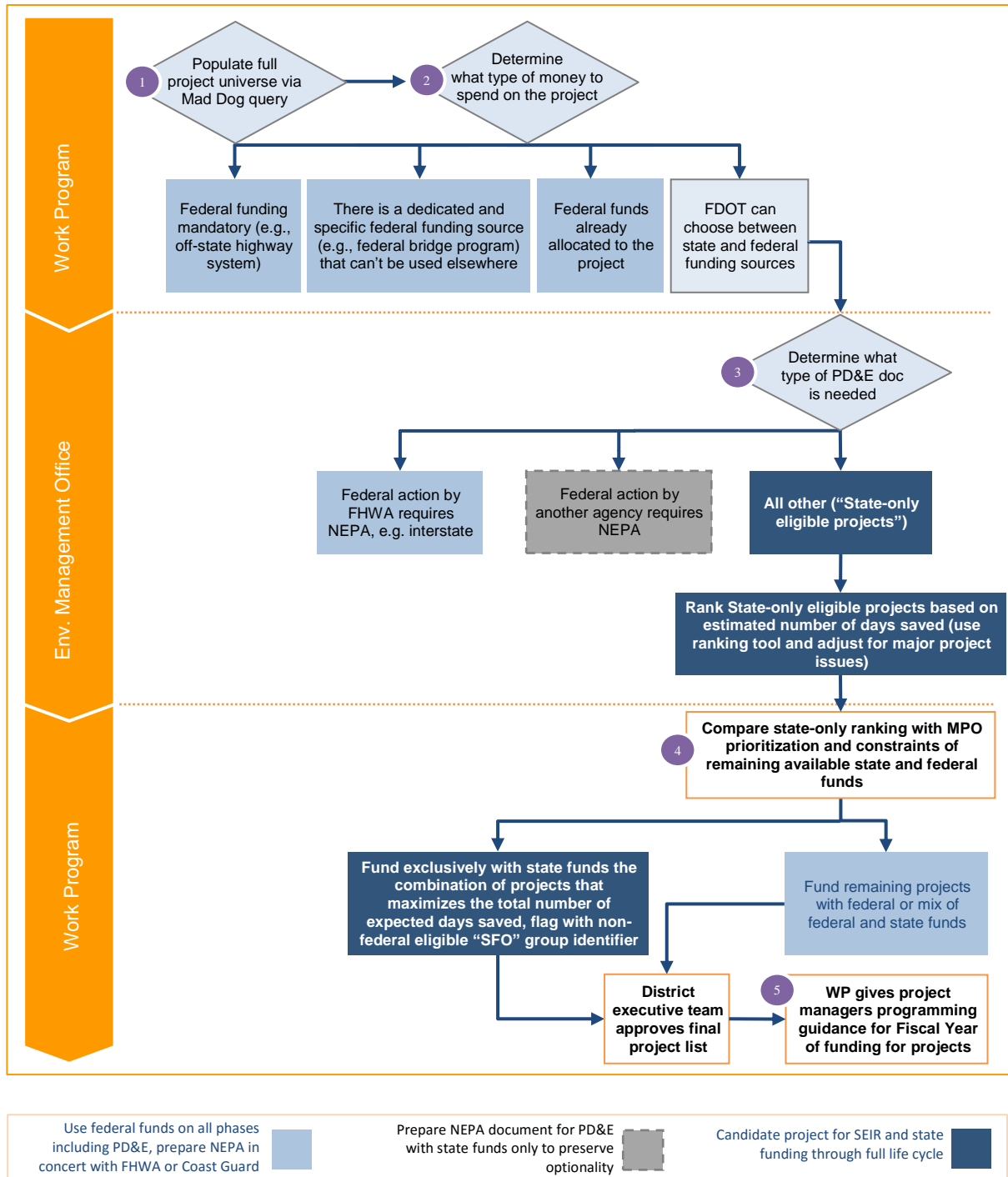
**5. SCHEDULE**

List the project activities (their durations, milestones and constraints), deliverables, and estimated time in which they will be accomplished.

**6. RISK ASSUMPTIONS AND CONSTRAINTS**

List current or potential risks, constraints, or assumptions that may affect the project and set any contingency.

**Figure 4–2 Statewide Acceleration Transformation Scoping Form (Page 3 of 3)**



**Figure 4–3 Funding Determination**

Approval to Advance Preliminary Design Activities		
<b>Date:</b>	<u>(Current Date)</u>	<b>Document Ty:</b> <u>EIS/EA/Type 2 CE</u> <b>Status:</b> <u>Draft/Final</u>
<b>Project Title:</b>	<u>(PD&amp;E Project Title)</u>	<b>FM #:</b> <u>(PD&amp;E FM#)</u>
<b>Project Limits:</b>	<u>(NEPA Logical Termini/PD&amp;E Study limits)</u>	<b>ETDM #:</b> _____
		<b>FAPN #:</b> _____
<i>Attachment</i>		
1) Provide a brief description of the project purpose		
2) Briefly describe alternative being advanced (Physical characteristics; proposed alignment, right-of-way, and typical section)		
3) Has alternative been presented to public		<i>yes/no</i>
4) Identify what advanced design is requested and reasons for developing the preferred alternative to a higher level of detail.		
5) Summarize commitments that affect the findings and/or design, if any		<i>Project Commitment Record</i>
6) Is Planning Consistency Form complete?		<i>yes/no</i>
7) Indicate if additional design is necessary to make or support findings or permitting as appropriate. (including but not limited to the examples below)		
a) Section 106		
b) Section 4(f)		
c) USFWS		
d) NMFS		
e) Concurrent 404b(1)		
f) Concurrent state ERP		
g) Concurrent USCG Bridge Permit		
** Undertaking these activities prior to a NEPA decision is at the risk of the District. OEM will not be committed to approving the Environmental Document. **		

**Print Name:** \_\_\_\_\_      **Date:** \_\_\_\_\_      **Phone #:** \_\_\_\_\_  
Project Development Manager/ Environmental Manager

**Signature:** \_\_\_\_\_      **Email:** \_\_\_\_\_

**Project is approved for preliminary engineering:** \_\_\_\_\_

**Additional information required:** \_\_\_\_\_




**Explain:**

**OEM Signature:** \_\_\_\_\_      **Date:** \_\_\_\_\_

**Figure 4-4 Approval to Advance Preliminary Design Activities**

## Dual Procurement Options under SWAT Process:

### 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

### ③ Two contracts for PD&E and design



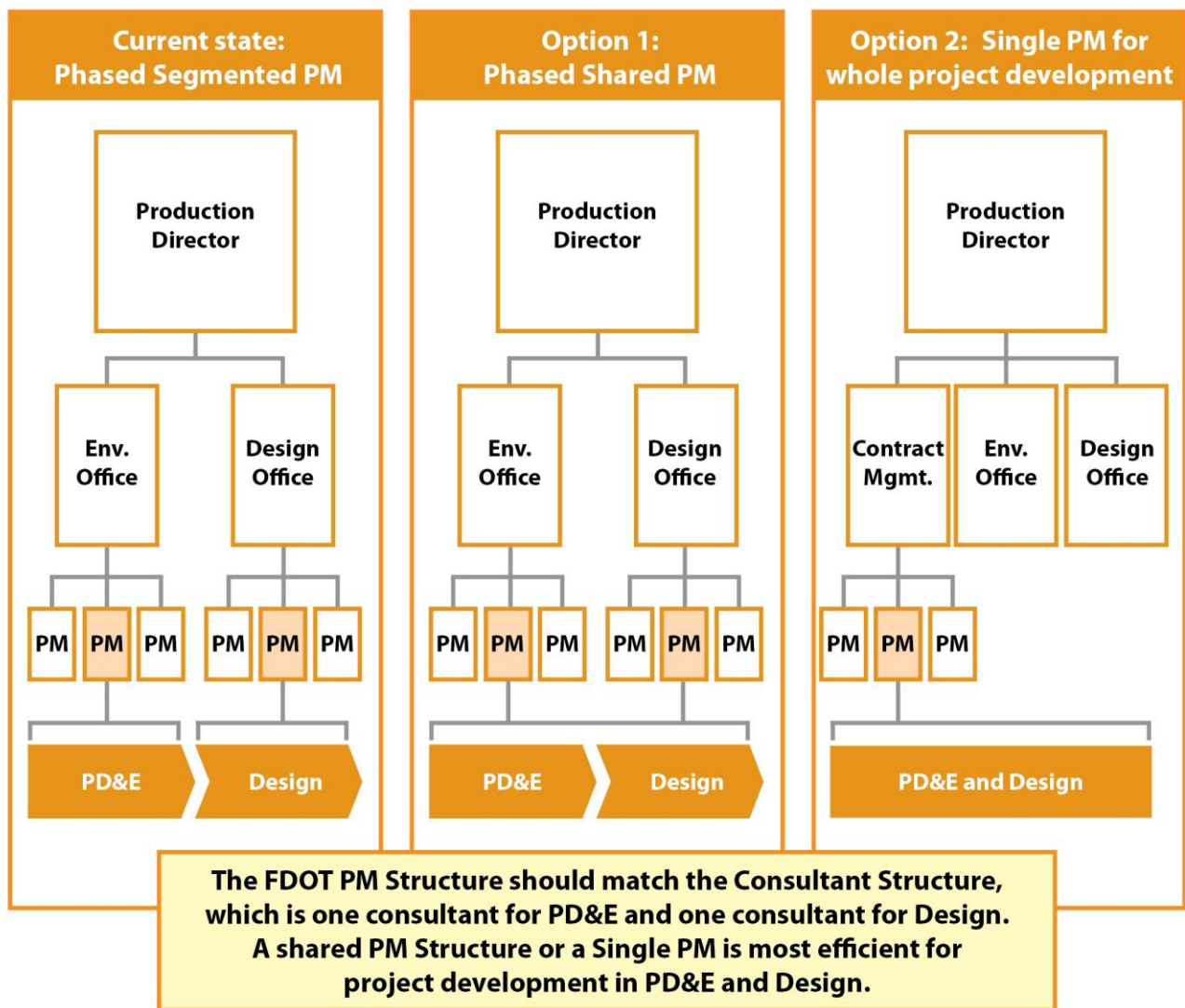
- Let simultaneously (at once) 
- Let separately but overlapping 

Figure 4–5 Dual Procurement Options



**Figure 4–6 Project Management Structures**

Planning Requirements for Environmental Document Approvals

<b>Document Information:</b>					
<b>Date:</b> _____ (Current Date)		<b>Document Type:</b> <u>EIS/EA/Type 2 CE</u>		<b>Document Status:</b> <u>Draft/Final</u>	
<b>Project Name:</b> _____ (PD&E Project Title)			<b>FM #:</b> _____ (PD&E FM#)		
<b>Project Limits:</b> _____ (NEPA Logical Termini/PD&E Study limits)			<b>ETDM #:</b> _____		
<b>Are the limits consistent with the plans?</b> <u>Y/N</u> (Limits presented for approval should be consistent with LRTP, TIP/STIP. If no, explain)					
<b>Identify MPO(s) (if applicable):</b> _____ (Provide MPO(s) Name)			<b>Original PD&amp;E FAP#:</b> _____ (FAP# Assigned to the PD&E if applicable)		
<b>Currently Adopted CFP-LRTP</b>	<b>COMMENTS</b>				
Y/N	(If N, then provide detail on how implementation and fiscal constraint will be achieved)				
<b>PHASE</b>	<b>Currently Approved TIP</b>	<b>Currently Approved STIP</b>	<b>TIP/STIP \$</b>	<b>TIP/STIP FY</b>	<b>COMMENTS</b>
PE (Final Design)	Y/N	Y/N	\$		(provide comments as appropriate describing status, activities, and implementation steps needed to achieve consistency)
R/W	Y/N	Y/N	\$		(provide comments as appropriate describing status, activities, and implementation steps needed to achieve consistency)
Construction	Y/N	Y/N	\$		(provide comments as appropriate describing status, activities, and implementation steps needed to achieve consistency)

Project Segmented: N

FDOT Preparer's Name: \_\_\_\_\_

Date: \_\_\_\_\_ Phone # \_\_\_\_\_

Preparer's Signature: \_\_\_\_\_

Email: \_\_\_\_\_

\*Attach: LRTP, TIP, STIP pages

**Figure 4-7 Planning Requirements for Environmental Document Approvals**



Planning Requirements for Environmental Document Approvals with Segmented Implementation

<b>Document Information:</b>	
Date: (Current Date) _____	Document Type: EIS/EA/Type 2CE      Document Status: Draft/Final
Project Name: (PD&E Project Title) _____	FM #: (Original FM#) _____
Project Limits: (NEPA Logical Termini/PD&E Study limits) _____	ETDM #: _____
Are the limits consistent with the plans? Y/N (Limits presented for approval should be consistent with LRTP, TIP/STIP. If no, explain)	_____
Identify MPO(s) (if applicable): (Provide MPO(s) Name) _____	Original PD&E FAP# (FAP# Assigned to the PD&E if applicable) _____

<b>Segment Information:</b> (Add additional tables as needed to describe all segments within the logical termini limits. Clearly identify segment representing the next funded phase)					
Segment Limits: _____			Segment FM #: _____		
Currently Adopted CFP-LRTP	COMMENTS				
Y/N	(if N, then provide detail on how implementation and fiscal constraint will be achieved)				
PHASE	Currently Approved TIP	Currently Approved STIP	TIP/STIP \$	TIP/STIP FY	COMMENTS
PE (Final Design)	Y/N	Y/N	\$		(provide comments as appropriate describing status, activities, and implementation steps needed to achieve consistency)
R/W	Y/N	Y/N	\$		(provide comments as appropriate describing status, activities, and implementation steps needed to achieve consistency)
Construction	Y/N	Y/N	\$		(provide comments as appropriate describing status, activities, and implementation steps needed to achieve consistency)

<b>Segment Information:</b> (Add additional tables as needed to describe all segments within the logical termini limits. Clearly identify segment representing the next funded phase)					
Segment Limits: _____			Segment FM #: _____		
Currently Adopted CFP-LRTP	COMMENTS				
Y/N	(if N, then provide detail on how implementation and fiscal constraint will be achieved)				
PHASE	Currently Approved TIP	Currently Approved STIP	TIP/STIP \$	TIP/STIP FY	COMMENTS
PE (Final Design)	Y/N	Y/N	\$		(provide comments as appropriate describing status, activities, and implementation steps needed to achieve consistency)
R/W	Y/N	Y/N	\$		(provide comments as appropriate describing status, activities, and implementation steps needed to achieve consistency)
Construction	Y/N	Y/N	\$		(provide comments as appropriate describing status, activities, and implementation steps needed to achieve consistency)

FDOT Preparer's Name: \_\_\_\_\_ Date: \_\_\_\_\_ Phone #: \_\_\_\_\_

Preparer's Signature: \_\_\_\_\_ Email: \_\_\_\_\_

\*Attach: LRTP, TIP, STIP pages

**Figure 4–8 Planning Requirements for Environmental Document Approvals with Segmented Implementation**