PART 1, CHAPTER 4

PROJECT DEVELOPMENT PROCESS

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PART 1, CHAPTER 4

PROJECT DEVELOPMENT PROCESS

4.1 OVERVIEW

This chapter provides an overview of the project development and delivery process for transportation projects, and is applicable to Federal Highway Administration (FHWA) led and State led projects. This chapter is not applicable to Federal Transit Administration (FTA) led or Federal Railroad Administration (FRA) led projects. See <u>Part 1, Chapter 14,</u> <u>Transit Project Delivery</u> for guidance on how to develop FTA led projects. Project development process for local agency projects should follow the procedure outlined in the <u>Local Agency Program</u> Manual, Topic No. 525-010-300.

The project development and delivery process begins with planning studies and ends with a constructed project. The Florida Department of Transportation (FDOT) project development process is a comprehensive process involving phases that are substantially interrelated. These phases are Planning, Project Development and Environment (PD&E), Design, Right of Way (ROW), and Construction. PD&E is the FDOT process for studying transportation projects and complying with the **National Environmental Policy Act** (**NEPA**) 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.

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 method to alternative contracting methods such as Design-Build and Public Private Partnership (P3) Concession 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 work 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; or concurrently performing design activities with PD&E when possible.

Planning	PD&E	Design	Construction
 Existing Conditions Needs Assessment Planning Analysis Alternative Studies Travel Demand LRTP¹, CFP², TIP³, STIP⁴ Purpose and Need Work Program 	 Federal or State Process Purpose and Need Alternatives Analysis Environmental Studies Technical Reports Env. Doc. Approval 	 Detailed Design Utilities Construction Plans Specifications Cost Estimates Right of Way Permits Env. Reevaluation Scoping	 Build and Deliver Env. Reevaluation
Screening Environmenta Planning and Envi	al Issues ronmental Linkage		Acronyms (1) Long Range Transportation Plan (2) Cost Feasible Plan
 Subarea and Corridor St Alternatives Corridor Evant Interchange Access Stud 	udies aluation ly		 (3) Transportation Improvement Program (4) State Transportation Improvement Program
	SWAT Process		
Project Scoping			
	Public Outreach and Int	eragency Coordination	



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.

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 the 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 United States Code (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.

Not Federal Eligible (NFE) 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 NFE item group identifier.

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**.

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 services and Design services, and guidelines for estimating and negotiating staff hours.

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

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 State Highway System (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 deficiencies, such as capacity, safety, travel time reliability. 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. The purpose and need for the project is further refined in the PD&E phase as explained in <u>Part 2, Chapter 4,</u> <u>Project Description and Purpose and Need</u>.

Project 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 projectlevel decisions. Planning decisions and the environmental review process should be seamlessly integrated to eliminate duplication of effort and 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 by minimizing duplication of efforts and data. 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 United States Code (U.S.C.) § 168 and 23 Code of Federal Regulations (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
- 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;
- 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 systemslevel 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.
- 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.

If the planning product to be adopted into the **NEPA** analysis is older than 5 years (from the date the product was approved), the information used to prepare the planning study must be reviewed to check whether conditions or planning context have changed since approval of the planning product. 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 Lead Federal Agency 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 the 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 <u>ETDM Manual, Topic No.</u> <u>650-000-002</u>.

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 FHWA 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 begin 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. Determine 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.
- 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; identification of opportunities for avoidance, minimization, and mitigation of potential project impacts; and identification of potential adverse environmental impacts that may inform a decision not to implement the project. 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 scoping comments received through the Programming Screen.

Within the ETDM process, **NEPA** scoping (as required by **40 CFR § 1501.7**, for EISs only) begins with ETAT reviews during the EST screening events. Scoping continues throughout the Planning phase and early stages of preparation of an EIS. Details on the scoping process and how to conduct a scoping meeting are included in <u>Part 1, Chapter 11, Public Involvement</u>.

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 Lead Federal Agency.

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 in support of 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
- 4. Other alignments based on consultation with the Lead Agency

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 <u>Part 1, Chapter 14, Transit Project Delivery</u>, 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 federal 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 ACE process varies depending on whether it is started in the Planning Screen, or Programming Screen. *Chapter 3* and *Chapter 4* of the <u>ETDM Manual, Topic No. 650-000-002</u> 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 <u>Major Urban Corridor Studies Policy</u>, <u>Topic No. 000-725-010</u>. 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 <u>Part 2, Chapter 6,</u> <u>Engineering Analysis</u> 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 the determination of 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 Lead Federal Agency concurs with the *MM* after the ETAT comment period, through the EST. See <u>ETDM Manual</u> for procedures on how to develop *MM* using 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 unresolved project issues with the public, stakeholders or agencies, if known.

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 Lead Federal Agency for concurrence.

The Lead Federal Agency 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 the Lead Federal Agency 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 the Environmental Document (see <u>Part 2, Chapter 6, Engineering Analysis</u>). The Alternatives Considered but Eliminated section of the Environmental Document 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 scoping process in this Chapter builds on the SWAT process. 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 scoping process outlined in this Chapter is applicable to both state and federally funded projects.

The scoping process discussed in this section is not the formal "*NEPA* scoping process" required by **23 CFR Part 771** for preparation of an EIS. For the EIS scoping process, see <u>Part 1, Chapter 8, Draft Environmental Impact Statement (DEIS)</u>.

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 project's potential impacts. Additionally, scoping process provides the foundation for a PD&E Study. Scoping requires coordination of different project stakeholders within and outside the District to realize best options to deliver the project.

The PD&E scope of services documents the set of 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 expectation for project management and project performance, establishes a realistic 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 scoping, the Project Manager must work collaboratively with District staff and other project stakeholders, 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 project stakeholders is essential for developing effective project scopes that consider broader project issues.

4.2.5.1 SWAT Process

SWAT is a project management approach that streamlines FDOT's project delivery process through early coordination and communication between the different functional disciplines within the District. Both state and federally funded projects follow the SWAT process. See <u>FDOT Quick Guide: Transforming our State Pre-Construction</u> <u>Process</u> and SWAT Workbooks for more guidance.

The objectives of the SWAT process include continuous, active team engagement (for both federal and state funded projects); identification of Not Federal Eligible (NFE) 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.

Both Central Office and the Districts measure the objectives of the SWAT through monitoring of the projects' production schedules.

Each District has an established SWAT team composed of cross-functional, multidisciplinary 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 disciplines are usually invited to participate in the SWAT team meetings. SWAT team members are experts who ensure that project decisions get broad input and early support. The SWAT team actively engages with the ETDM Coordinator and Environmental Management representatives. 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 to assists in identifying the appropriate delivery method for each project.

SWAT consists of planning 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), and project development approach before the projects advance to the PD&E phase. The SWAT planning and kickoff team meetings use the **SWAT Project Scoping Form** (shown in **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 in the late summer/early fall, prior to the beginning of the Work Program cycle, to review PD&E projects that compete for funding in the coming year. The planning meeting may include the State Environmental Management Office (SEMO) project delivery staff experts 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 core elements of 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 recommendation of funding type for each project that is being considered in the Work Program.

To decide whether to use federal funds on the project, the SWAT team considers a variety of factors including environmental considerations, anticipated permits, <u>Work Program</u> <u>Instructions</u>, and expected time savings resulting from the state project delivery process. Additionally, the SWAT team assigns the anticipated COA for each project and

recommends the list of projects to be screened through ETDM.

During the SWAT planning meeting, each project is recommended as either a state or federal project and an NFE identifier is assigned to state funded-only projects. *Figure 4–* **3** shows the process followed by the SWAT team to decide how the projects will be funded.

Projects that must follow the federal process or must stay federalized through FHWA are listed in <u>Work Program Instructions, Part III - Chapter 25, Project Development and</u> <u>Environment (PD&E)</u>. 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
- 9. Projects qualifying as Type 1 CEs

If federal funds have been used on a prior phase of the current project, coordination with Central Office (Office of General Counsel and SEMO) is needed to determine whether the project falls under FHWA's jurisdiction.

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

- 1. Impacts to Work Program flexibility based upon anticipated cost of construction.
- Projects where protected species or habitat may be impacted and consultation under the *Endangered Species Act (ESA)* is necessary (*Part 2, Chapter 27, Protected Species and Habitat*). Section 7 would apply for federal projects or those with a federal nexus. Section 10 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.

NFE projects that do not qualify for ETDM Screening may proceed as NMSA projects. NFE 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 proceeding 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 <u>Part 1, Chapter 10, State, Local, or Privately Funded Project Delivery</u>.

During the SWAT planning meeting, the SWAT team completes **Section A** of the **FDOT SWAT Scoping Form** (**Figure 4–2**) based on the District's knowledge of project requirements and potential project impacts. **Section A** of the form documents the recommendations from the SWAT planning meeting and the process followed.

The results of the SWAT planning meeting include a list of projects for Work Program development consideration and recommendations supported by a completed **Section A** of the **FDOT Project Evaluation Form** for each project considered; an initial view on the anticipated or hypothetical COA assigned to each project; and a list of projects to be screened through the ETDM process. **Section B** of the form should be completed 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 scanned and retained in the project file.

4.2.5.1.2 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 <u>Work Program Instructions</u>.

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 assessment
- 9. Other technical studies or coordination as project characteristics allow

4.2.5.1.3 SWAT Kickoff Meeting

Each project that goes through PD&E must have a SWAT kickoff meeting. The kickoff meeting occurs approximately one year before PD&E funds are 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 an expedited preliminary project schedule. The kickoff meeting may also be used to consider if segmenting the project into logical and independent segments will expedite project delivery without compromising the *NEPA* process.

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 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 concerns and issues within their functional areas are raised and incorporated during project scope development.

Project scope evaluation by the SWAT team starts by revisiting the **SWAT Scoping Form** (*Figure 4-2*) prepared during the SWAT planning meeting (in which **Section A** of this form was completed). The SWAT kickoff meeting reviews **Section A** and completes **Section B** of the **SWAT Scoping Form** 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 expedited 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 **SWAT Scoping Form** 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. 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 recommended alternative can be determined in the PD&E process.

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 start of PD&E procurement to construction letting, 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.

4.2.5.1.4 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 are to be used solely as a guide. The WBS provides an activity/task coding structure that is required to define projects in the FDOT Project Schedule and Management (PSM) system. It also identifies the project milestones and activities to successfully deliver the project. **Table 4–1** lists some of PD&E activities that must be tracked in the project schedule.

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

Table 4–1	PD&E Project	t Schedule an	d Managemen	(PSM) Codes

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, Central Office, and the Lead Federal Agency 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 <u>Part 1, Chapter 10, State, Local, or Privately Funded Project Delivery</u>).

4.2.5.2.1 Permissible Project Related Activities during NEPA

FHWA Directive 6640.1, A 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 without prior approval from FHWA. FHWA allows any work to be completed by FDOT in the PD&E process that is listed as "preliminary" in <u>PPM, Volume 2, Chapter 2, Sequence of Plans, Topic No. 625-000-008</u>. Most items are in the preliminary status (or "P") 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 Directive 6640.1, such as noise wall justification, can be advanced to preliminary design levels. Preliminary design is further addressed in <u>PPM, Volume 1, Chapter 13, Initial Engineering Design Process, Topic No. 625-000-007</u>.

Other activities necessary to establish the final design parameters for a project 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 determination as to whether any activity materially affects the objective consideration of alternatives or has an adverse environmental impact is at the discretion of FHWA. The activities are eligible for Federal-Aid reimbursement once they are approved by FHWA. The form in *Figure 4–4* should be completed and signed by both FDOT and FHWA to authorize preliminary design activities.

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, for FHWA-led projects, FHWA 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. 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. For FHWA-led projects, there must be an agreement with FHWA prior to advancing any additional design activities.

There are three options that the SWAT team and the Project Manager may consider for dual procurement of PD&E and Design phases. 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 subject matter experts for input regarding project activities and/or impacts. The Project Manager must work in concert with an interdisciplinary project team (from Planning, Environmental Management, Design, Right of Way, Construction) to complete the scope of work. The interdisciplinary team must use the recommendations from the District SWAT kickoff meeting to complete the scope of services (consultant projects) or project work plan (inhouse projects) for the PD&E Study. The Project Manager must use the **PD&E Standard Scope of Services** to prepare the scope of services for the project.

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 service. The consultant performing the PD&E Study must review the ETDM screening documentation and verify 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*. The Design-Build firm cannot make *NEPA* decisions but can assist in preparation of documents and 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 approval of **NEPA** document for Major Projects.

The Financial Plan for a Major Project must be based on detailed estimates of project costs. The Financial Plan provides for an annual submission of updates that is based on the reasonable assumptions as determined by the U.S. Department of Transportation (USDOT) Secretary, and assesses the appropriateness of the project delivery method. Additionally, the Financial Plan may include a phasing plan that identifies fundable phases that will address the purpose and need for the project in the short term, in the event there are insufficient financial resources to complete the entire project. A phasing plan must meet the fiscal constraint requirements in **23 U.S.C. § 134 and § 135**.

4.2.5.6 Quality Control Plan

The Project Manager is responsible for the quality of the Environmental Document and meeting schedule objectives for the project. To reach such 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 while realizing that quality is not perfection of the product.

All work associated with a PD&E Study must adhere to a project specific QC Plan which will ensure that project deliverables conform to FDOT standards and criteria. This 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 quality control process. *Part 1, Chapter 16, Quality Assurance and Quality Control of FDOT's Project Management Handbook* provides additional information for the development of Quality Control 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 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 SWAT meetings, prior planning documents and ACE, as applicable, to further refine the project's purpose and need. The PD&E phase also identifies various 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 <u>Part 1, Chapter 14, Transit Project</u> <u>Delivery</u> and <u>Part 2, Chapter 6, Engineering Analysis</u> 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 <u>Part 2, Chapter 7 through Chapter 30</u>, 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 <u>Project</u> <u>Commitment Record, Form No. 700-011-35.</u> See <u>Part 2, Chapter 32, Commitments</u> for more information on commitments during the PD&E phase.

4.2.6.1 Environmental Documents

The COA for the project may have been determined during ETDM; however, a COA determination is not mandatory prior to advancing a project to PD&E. If the COA is known, the project may proceed as a CE, EA, EIS, or SEIR. Type 1 CEs are processed as outlined in *Part 1, Chapter 2, Federal Highway Administration Class of Action Determination*. Some of these projects as well as some Type 2 CEs evaluated through the Minor Categorical Exclusion (MiCE) process should be addressed on a case by case basis.

Processing

For federal projects, after completion of the public hearing (if required), FDOT should submit the required Environmental Document along with the project's certified **Public** *Hearing Transcript* to the FHWA Division Administrator for LDCA. 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 are also submitted to FHWA. *Figure 4–8* is to be completed for projects with segmented implementation. These checklists are intended to document and demonstrate project plan consistency, which is necessary to receive FHWA approval of the Environmental Document. For information on documenting planning consistency in the Environmental Document see <u>Part 2, Chapter 4, Project Description and Purpose and Need</u>. Details on submittals of the final Environmental Documentation to the Lead Federal Agency for each COA are contained in <u>Part 1, Chapters 5 through 10</u>.

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 <u>Type 2 Categorical Exclusion Determination Form, Form No. 650-050-11</u>. 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 <u>Type 2 Categorical Exclusion Determination Form, Form No. 650-050-11</u>. The processing and documentation of Type 2 CEs is discussed in <u>Part 1</u>, <u>Chapter 5, Type 2 Categorical Exclusion</u>.

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 Programming Screen comments, or to investigate other potential impacts as necessary. The appropriate planning consistency form should be submitted to FHWA 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 <u>Part 1, Chapter 6, Environmental Assessment</u> and <u>Part 1, Chapter 7, Finding of No Significant Impact</u>.

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 FHWA 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 the Lead Federal Agency. 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*.

Not Federal Eligible Projects

Transportation projects qualifying for EST screening, without federal involvement, where FDOT is the Lead Agency, 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 <u>Part 1, Chapter 10, State, Local and Privately Project Delivery</u>.

4.2.6.2 Environmental Technical Studies

Environmental technical studies are performed and their results documented according to the appropriate Chapters in <u>Part 2 of the PD&E Manual</u>. Reports documenting these studies (**Section 4.2.6.3**) will be prepared in response to the relevant environmental issues raised during the Programming Screen or identified in the project's scope.

Technical reports should be uploaded into the EST for review by the appropriate ETAT members. This will allow 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. Protected Species and Habitat Evaluation
- 3. Wetland Evaluation
- 4. Essential Fish Habitat Assessment
- 5. Noise Study
- 6. Air Quality
- 7. Level I Contamination Assessment
- 8. Conceptual Stage Relocation
- 9. Section 4(f) Evaluation
- 10. Cultural Resource Assessment Survey
- 11. Sociocultural Effects Evaluation
- 12. 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, etc. The PD&E Project Manager is responsible for collecting, maintaining, and filing documentation for a PD&E Study in a project file. A 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 FDOT's Electronic Document Management System (EDMS) system in accordance with the <u>Information Technology Resources</u> <u>User's Manual, Procedure No. 325-000-002</u> and <u>Records Management, Procedure</u>

<u>No. 050-020-025</u>.

Below is a list of reports and design information the Project Manager should have in the 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 in the file.

- 1. Approved Environmental Document (Type 2 CE documentation, EA with FONSI, FEIS/ROD, DEIS, 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. Project Design Report (if applicable)
- 11. Conceptual Access Management Plan
- 12. Natural Resources Evaluation (wetlands, species, Essential Fish Habitat)
- 13. Cultural Resource Assessment Survey
- 14. Section 4f Evaluation Report
- 15. Sociocultural Effects Evaluation Technical Memorandum
- 16. Conceptual Stage Relocation Plan
- 17. Noise Study Report
- 18. Air Quality Technical Memorandum
- 19. Contamination Screening Evaluation Report or Level 1 Contamination Assessment Report
- 20. Water Quality Impact Evaluation Checklist

21. Location Hydraulics Report

- 22. *Planning Consistency Form* (except for Type 2 CEs, it is included in the form)
- 23. Preliminary stormwater design (including any drainage reports, preliminary drainage design, and/or **Pond Siting Report**)
- 24. Preliminary plans for preferred alternative with right of way dimensions
- 25. Documentation of the public involvement and interagency coordination efforts

26. Utility Assessment Technical Memorandum

- 27. Conceptual Transportation Management Plan (TMP)
- 28. Preliminary bridge analysis with supporting location and design recommendations for each viable structure alternative (if applicable).
- 29. Bridge Hydraulic Report for the selected alternative (for bridges over water)
- 30. Preliminary Scour Analysis (for bridges over water)
- 31. Copy of DEP Form 62-257.900(1)-Notice of Asbestos Renovation or Demolition (This form should be added to the project file when completed during PD&E)
- 32. Value Engineering Study Report (if applicable)
- 33. Interchange Justification or Modification Report (if applicable)
- 34. System Engineering Management Plan (if applicable)
- 35. Design Exceptions/Variation Package (if applicable)
- 36. Project Commitment Record (PCR), Form No. 700-011-35

4.2.7 Design and Construction

4.2.7.1 Design

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 <u>PPM, Volume 1, Topic No. 625-000-007</u> and the requirements for preparation and assembly of contract plans established in <u>PPM, Volume 2, Topic No. 625-000-008</u>.

The review of design and construction plans 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 submittals is determined in the scope of services. *PPM, Volume 2, Chapter 2, Topic No.625-000-008* identifies requirements of each phase submittal.

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 project development phase. If a mandatory VE study was not performed during PD&E, one should be conducted during the development of Phase I plans. See <u>Procedure No 625-030-002</u>, 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 permits to be obtained 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 Final 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 reevaluation 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.

4.2.7.2 Reevaluations

A Reevaluation ensures project compliance with all applicable federal and state laws prior to the advancement of the project to the next major production phase (final design, right of way acquisition, or construction). 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, Reevaluations* explains the required reevaluation process for environmental studies and supporting documentation.

4.2.7.3 Construction

Once the Final Design phase is complete and all permits are obtained, the construction plans, and bid package are assembled for advertisement to select the contractor. An inhouse staff or consultant is also assigned to provide Construction Engineering Inspection (CEI) for the project. CEI is conducted in compliance with the processes and procedures identified in the <u>Construction Project Administration Manual (CPAM), Topic No. 700-000</u>.

The Construction phase Project Manager is responsible for reviewing the *PCR* for project commitments made during the PD&E phase, to ensure that they have been included in the project's contract documents and/or plan set and will be constructed and monitored, if required, after construction.

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 resources 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, 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 <u>Part 1,</u> <u>Chapter 11, Public Involvement</u> and <u>Part 2, Chapter 9, Sociocultural Effects</u> <u>Evaluations</u> 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 <u>PPM, Volume 1, Chapter 1, Topic No. 625-000-007</u> 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
- Florida Department of Transportation (FDOT). 2007. Major Urban Corridor Studies. Policy No. 000-725-010. <u>http://fdotwp1.dot.state.fl.us/ProceduresInformationManagementSystemInternet/</u> FormsAndProcedures/ViewDocument?topicNum=000-725-010
- FDOT. 2013. Records Management, Procedure No. 050-020-025. <u>http://fdotwp1.dot.state.fl.us/ProceduresInformationManagementSystemInternet/</u> <u>FormsAndProcedures/ViewDocument?topicNum=050-020-025</u>
- FDOT. 2014. Complete Streets. Topic No. 000-625-017. <u>http://fdotwp1.dot.state.fl.us/ProceduresInformationManagementSystemInternet/</u> <u>FormsAndProcedures/ViewDocument?topicNum=000-625-017</u>
- FDOT. 2015. 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. <u>http://www.dot.state.fl.us/planning/systems/programs/SM/intjus/pdfs/FDOT%20I</u> <u>AURG%20March%202015%20PA.pdf</u>
- 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. 2015. Value Engineering Program. Topic No. 625-030-002. <u>http://fdotwp1.dot.state.fl.us/ProceduresInformationManagementSystemInternet/</u> <u>FormsAndProcedures/ViewDocument?topicNum=625-030-002</u>
- FDOT. 2016. 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. Current Version. Information Technology Resources User's Manual. Topic No. 325-000-002. <u>http://www.dot.state.fl.us/OIS/OISManual.shtm</u>
- FDOT. Current Version. Project Management Handbook. <u>http://www.dot.state.fl.us/projectmanagementoffice/PMHandbook/pmhandbookin</u> <u>dex.shtm</u>
- FDOT Quick Guide: Transforming our State Pre-Construction Process, dated February 2015. <u>http://www.dot.state.fl.us/emo/pubs/Quick Guide Final PDF.pdf</u>

- FDOT Work Program Instructions, FY 16/17-20/21. <u>http://www.dot.state.fl.us/OWPB/Development/PDFInstructions/WorkProgramInst</u> <u>ructions.pdf</u>
- 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/
- Federal Highway Administration (FHWA). 1987. Guidance for Preparing and Processing Environmental and Section 4(f) Documents. FHWA Technical Advisory. T6640.8A. FHWA
- FHWA. 2011. Guidance on Using Corridor and Subarea Planning to Inform NEPA
- FHWA. Linking the Transportation Planning and National Environmental Policy Act (NEPA) Processes. <u>http://www.fhwa.dot.gov/hep/plannepa050222.pdf</u>
- 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
- Moving Ahead for Progress in the 21st Century (MAP-21), 2012
- Rule Chapter 14, Florida Administrative Code (FAC), Department of Transportation
- Section 335.065, Florida Statutes. Bicycle and pedestrian ways along state roads and transportation facilities. <u>http://www.leg.state.fl.us/Statutes/index.cfm?App_mode=Display_Statute&Searc_h_String=&URL=0300-0399/0335/Sections/0335.065.html</u>

Title 23 Code of Federal Regulations (CFR) § 636.103

4.4 HISTORY

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

FDOT SWAT SCOPING FORM

To be used for both Federal and State Funded Projects

SECTION A

1. GENERAL INFORMATION

Project Name:	
Project Limits:	
County:	
ETDM Number (If applicable):	
Financial Management Number:	
Project Manager:	

2. PROJECT DESCRIPTION

a. Background Information

b. Purpose and Need

c. Proposed Improvements

3. FUNDING

Funding type:

Figure 4–2 SWAT Scoping Form (Page 1 of 3)

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 FHWA?
	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 SWAT Scoping Form (Page 2 of 3)

SECTION B

1. POTENTIAL PROJECT IMPACTS TO ENVIRONMENTAL RESOURCES

Resource Categories		Potential Impacts?			?	State Basis for Decision	
	Yes No Enhance *NoInv						
A. 3	SOC	IAL and ECONOMIC					
	1.	Social					
	2.	Economic					
	3.	Land Use Changes					
	4.	Mobility					
	5.	Aesthetic Effects					
	6.	Relocation Potential					
В.	CU	LTURAL					
	1.	Historic Sites/Districts					
	2.	Archaeological Sites					
	3.	Recreation Areas					
C.	NA	TURAL					
	1.	Wetlands and Other					
		Surface Waters					
	2.	Aquatic Preserves and					
		Outstanding FL Waters					
	3.	Water Quality					
	4.	Wild and Scenic Rivers					
	5.	Drainage and Floodplains					
	6.	Coastal Barrier Resources					
	7.	Protected Species and					
		Habitat					
	8.	Essential Fish Habitat					
D.	PH	YSICAL					
	1.	Highway Traffic Noise					
	2.	Air Quality					
	3.	Contamination					
	4.	Utilities and Railroads					
	5.	Construction					
	6.	Bicycles and Pedestrians					
	7.	Navigation					

* Nolnv = 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 SWAT Scoping Form (Page 3 of 3)



Figure 4–3 Funding Determination

Approval to Advance Preliminary Design Activities									
Docume	ent Information:								
Date:	(Current Date)	Document Type: EIS/EA/Ty	pe 2 CE	Status:	Draft/Final	J			
Project	Name:	(PD&E Project Title)			FM #:	(PD&E FM#)			
Project	Limits:	(NEPA Logical Termini/PD&E Study limits)			ETDM #:	1			
					FAPN #:	Attachment			
1) Provi	de a brief descrip	tion of the project purpose				Attachment			
2)Briefly	u doscribo alterna	tive being advanced							
(Physica	al characteristics;	proposed alignment, right-of-way, and typ	ical section)						
2) 11	ti dhalaan					,			
3) Has a	ilternative been p	resented to public				yes/no			
4) ldent	ify what advance	d design is requested and reasons for deve	loping the prefe	rred alterna	tive to a high	ner level of detail.			
(30% de	esign, 60% design	I							
5) Sumn	marize commitme	nts that affect the findings and/or design,	if any			Project Commitment Record			
6) Is Pla	nning Consistenc	y Form complete?				yes/no			
7) lindic	ate if additional o	design is necessary to make or support finc	lings or permittir	ng as approp	oriate.				
(includir	ng but not limited	to the examples below)							
a) Sectio	on 106								
b) Section	on 4(f)								
c) USFW	/s								
d) NME	s								
e) Conc	urrent 404b(1)								
f) Conci	irrent state FRP								
g) Conci	urrent USCG Brid	ze Permit							
** Unc	dertaking these ad	tivities prior to a NEPA decision is at the ri	sk of the FDOT. F	HWA will n	ot be commi	tted to a record of			
decision	n or funding of an	alternative. **							
	•			2.44					
FDOIN	lame:			Date:		Phone #:			
FDOT Si	ignature:			Email:					
Project	is approved for p	reliminary engineering:		r					
Additio	nal information r	equired:		Explain:					
FHWA S	Signature:		Date:						

Figure 4–4 Approval to Advance Preliminary Design Activities



Figure 4–5 Dual Procurement Options



Figure 4–6 Project Management Structures

			Planning	Requirements	for Environm	ental Documer	it Approv	als			
Documer	t Information:										
Date:	(Current Date)			Docum	ent Type:	EIS/EA/CE II		Documen	t Status:	Draft/Final	
Project N	ame:	(PD&E Project Titl	e)					FM #:	(PD&E FM#)		
Project Limits:		(NEPA Logical Terr	mini/PD&E Study lim	nits)				ETDM #:			
Aretheli	Are the limits consistent with the plans?		s7	Y/N (Limits preser	nted for approval sho	uld be consistent with	LRTP, TIP/STIP	. If no, explair)		
ldentify I	VIPO(s) (if appli	cable):	(Provide MPO(s) Na	ame)			Original Pl	D&E FAP#:	(FAP# Assign	ed to the PD&E if applicable)	
Currently Adopted CFP-LRTP	Currently Adopted CCMMENTS CFP-LRTP										
Y/N	(If N, then provide o	detail on how imple	mentation and fisca	al constraint will be a	chieved)						
	PHASE	Currently Approved TIP	Currently Approved STIP	TIP/STIP \$	TIP/STIP FY	_	COMMENTS				
PE (Final I	Design)	Y/N	Y/N	\$		(provide commen needed to achieve	ts as appropri : consistency)	ate describing	status, activit	ies, and implementation steps	
R/W		Y/N	Y/N	\$		(provide commen needed to achieve	ts as appropri : consistency)	ate describing	status, activit	ies, and implementation steps	
Construc	tion	Y/N	Y/N	\$		(provide commen needed to achieve	ts as appropri : consistency)	ate describing	status, activit	ies, and implementation steps	
Project S	egmented:	N									
FDOT Pre	parer's Name:					Date:		Phone#			
Preparer's Signature:						Email:					
*Attach:	LRTP, TIP, STIP	pages									

Figure 4–7 Planning Requirements for Environmental Document Approvals

	Pİ	anning Requ	irements fo	or Environmen	tal Document	Approvals wi	th Segmei	nted Impl	ementati	DN	
Document	t Information:										
Date:	(Current Date)			Docum	ent Type:	EIS/EA/CE II		Document	t Status:	Draft/Final	
Project Na	ame:	(PD&E Project Tit	e)					FM #:	(Original FM	*)	
	_										
Project Lir	mits:	(NEPA Logical Ter	mini/PD&E Study	limits)				ETDM #:			
Are the lin	nits consistent	with the plan:	s?	Y/N (Limits presen	ted for approval shou	ld be consistent with	LRTP, TIP/STIP	l . If no, explain)		
				-							
ldentify N	1PO(s) (if applie	able):	(Provide MPO(s)	Name)			Original P	D&E FAP#	(FAP# Assign	ed to the PD&E if applicable)	
Segment Information: (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					COMM	MENTS					
Y/N	(If N, then provide o	letail on how impl	ementation and fi	scal constraint will b	e achieved)						
	•	Currently	Currently	TIP/STIP	TIP/STIP						
P	PHASE	Approved	Approved					COMI	MENTS		
		TIP	STIP	\$	FY			- to all south to a		ter and tradition to the Marcola base	
PE (Final D	Design)	Y/N	Y/N	\$		provide commen needed to achieve	ts as appropri consistency)	ate describing	status, activit	es, and implementation steps	
R/W		Y/N	Y/N	\$		(provide commen needed to achieve	ts as appropri : consistency)	ate describing	status, activit	ies, and implementation steps	
Construct	ion	Y/N	Y/N	\$		(provide commen needed to achieve	ts as appropri consistency)	ate describing	status, activit	ies, and implementation steps	
C											
Segment	Information:	(Add additional t	ables as needed t	o describe all segmen	ts within the logical ti	ermini limits. Clearly	identify segm	ent representir	ng the next fun	ded phase)	
Currently Adopted CFP-LRTP					COMM	MENTS					
Y/N	(If N, then provide o	letail on how impl	ementation and fi	scal constraint will b	e achieved)						
P	PHASE	Currently Approved	Currently Approved	TIP/STIP	TIP/STIP			сом	MENTS		
		TIP	STIP	\$	FY						
PE (Final C	Design)	Y/N	Y/N	\$		(provide commen needed to achieve	ts as appropri consistency)	ate describing	status, activit	ies, and implementation steps	
R/W		Y/N	Y/N	\$		(provide comments as appropriate describing status, activities, and implementation steps needed to achieve consistency)					
Construct	ion	Y/N	Y/N	\$		(provide commen needed to achieve	ts as appropri consistency)	ate describing	status, activit	ies, and implementation steps	
FDOT Prep	parer's Name:					Date:		Phone #:			
Preparer's	s Signature:					Email:					
*Attach: L	.RTP, TIP, STIP	pages									

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