



PROJECT DELIVERY LEADERSHIP TEAM

OPERATIONAL NOTICE

NUMBER	SUPERSEDES	EFFECTIVE DATE	VALIDATION DATE	RESCINDED DATE
PD-18	01-31-2008	01-01-2013		
SUBJECT		TOPIC/PROGRAM		
Planning / Project Development Integration		Project Delivery Leadership Team (PDLT)		

PURPOSE:

To establish expectations, a coordination process, and roles and responsibilities for the transfer of information and knowledge from planning to project delivery. This directive establishes a Planning Checklist in the Project Delivery Work Planning system (PDWP) as the tool to summarize and communicate planning information, analysis and decisions that need to be considered by project delivery staff when they scope STIP projects and develop the project prospectus.

BACKGROUND:

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

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

This need for coordination is also the focus of FHWA initiatives for streamlining the consideration of environmental issues early in planning and improving the connection with project development. The Planning and Environmental Linkage (PEL) approach better connects the phases of analysis of projects and assure the early identification of environmental issues. ODOT has developed guidance that identifies best practices for achieving the benefits of the coordination efforts.

This notice establishes expectations for information and knowledge transfer from planning to project delivery, including consistent methods for documentation and decision-making, to ensure staff confidence that planning decisions can be relied upon during project delivery. This notice also establishes a Planning Checklist for use in scoping a project and completion of the project prospectus to summarize planning information that should be considered in the development of STIP improvement projects.

While this operational notice focuses on the hand-off between Planning and Project Delivery during the Draft STIP process, it is recommended that planning staff complete a Checklist as early as possible in the project scoping and development processes that will assist with achieving PEL considerations during planning.

RATIONALE:

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

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

SCOPE:

This operational notice applies to projects that are subject to the requirements of Operational Notice PD-02, including projects in both the D-STIP and the C-STIP. While this may not apply to Local Agency projects, it is important that local agencies be aware of information that could be contained in the Planning Checklist. The decision on whether a Planning Checklist is required is made by the Region Planner as part of the initial scoping process in consultation with the Project Leader, Local Agency Liaison, or Project Manager who will coordinate review with the Area Manager. The scale of complexity for each project determines if a Planning Checklist is required. The Planning Checklist can also be used to identify environmental issues early during the biennial review of Region planning work programs to assist with initiating the PEL process.

PROCESS/ACTION REQUIRED:

- When a project begins scoping for the draft STIP, the Project Leader should initiate the planning input to the scoping process by requesting the Planning Checklist from the Region Planner and entering the project into the Project Delivery Work Planning (PDWP) system.
- At project kickoff, a Region Planner should be assigned to each project scoping team. Assignment to the project team should be consistent with region procedures and the need to consider factors such as the project's scope, scale, complexity, and location.
- The Region Planner reviews the Planning Checklist and determines the level of detail to complete in consultation with the Project Leader, Local Agency Liaison, or Project Manager. The Region Planner is responsible for completing the checklist as part of the scoping activities. The complexity of the project dictates the level of detail necessary for each section of the Checklist.
- Once the project is approved as part of the STIP, the Region Planner updates the Checklist.
- The Planning Checklist should also be used to document issues identified when Planning Manager and Technical Center Manager review the biennial planning work program.
- The Project Leader, Local Agency Liaison, or Project Manager utilizes the Checklist in scoping and developing the project.

ROLES & RESPONSIBILITIES:

To achieve the coordination expectations and implement objectives of the PEL initiative at the individual plan and project level, each Region Planning Manager will meet with the Technical Center Manager biennially with approval of the planning work program to determine the level of environmental sensitivity anticipated for each planning effort. This effort can utilize the Planning Checklist to identify the expected environmental issues and level of involvement and coordination needed to streamline the environmental analysis in plans.

Region Planners:

- Determine the level of detail needed for the Planning Checklist in consultation with the Project Leader, Local Agency Liaison, or Project Manager.
- Complete the Planning Checklist in Project Delivery Work Planning (PDWP) as part of the Draft STIP scoping process.
- Update Planning Checklist in PDWP when the project is approved as part of the STIP.
- Identify opportunities for early involvement of environmental staff in planning efforts that can help ensure environmental, community, and economic issues are addressed in plans.
- Identify the role and level of involvement of the appropriate stakeholders, specifically which regulatory, and resource agencies are involved in the transportation planning process.

Project Leaders, Local Agency Liaisons, and Project Managers:

- Request Planning Checklist initiation when a project begins preliminary scoping for the draft STIP.
- Coordinate with Region Planner on Planning Checklist level of detail. In the event of a disagreement, then the issue should be raised with the Region Planning Manager and /or Area Manager.
- Document the Planning Checklist in the project file.

Region Environmental Manager:

- Determine the appropriate level and kind of analysis needed to address the environmental issues in the identified planning efforts and projects.
- Coordinate with Region Planner during the biennial planning program review to identify the environmental issues with each planning effort before developing a scope of work.

Region Planning Managers:

- Approve final Planning Checklist at the close of the scoping process.
- Implement PD-18 by assigning appropriate planning staff resources with the necessary knowledge of the key issues in the applicable plan to complete the PDWP Planning Checklist for a project.
- Conduct biennial planning program review to determine environmental sensitivity and levels of assessment needed for each planning process.

Technical Center Managers:

- Coordinate with Region Planning Manager to identify opportunities for early involvement of environmental specialists in the planning process and continuing throughout the rest of the project development.
- Determine the level of funding and staff time needed to ensure meaningful involvement of ODOT environmental staff in transportation planning.

- Participate in and/or assign appropriate staff to assess environmental sensitivity during biennial review of planning program

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

REFERENCES:

- [PDLTNotice_18](#) Process Map
- [PDLTNotice_18](#) PDWP Instructions
- [PDLTNotice_18](#) Sample Checklist Content
- PDWP – PD18 Project Planning Checklist

Also see: [PDLTNotice_02](#) Project Development Decision Structure