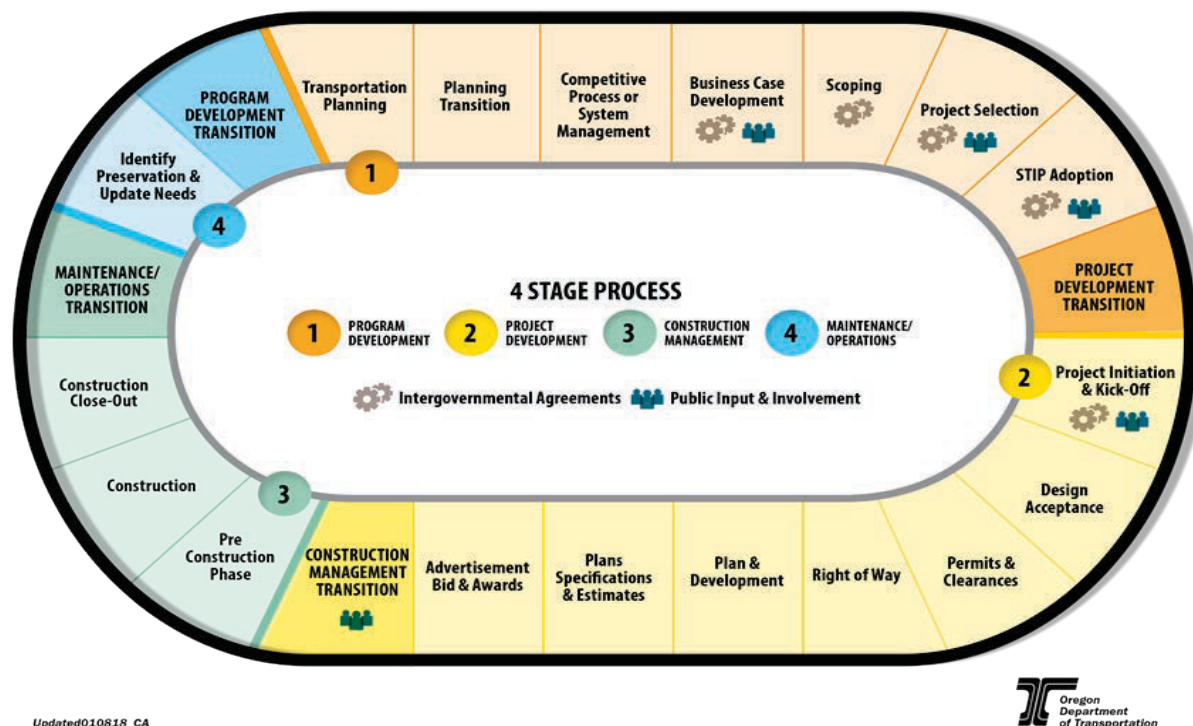


Chapter 1. Program Development and Planning

1.1 OVERVIEW

To provide an overview, ODOT's project delivery lifecycle is shown below. LPAs may not complete every step shown as some steps are specific to projects on the state system. The actual steps taken will vary depending on the complexity or type of project being delivered.

TRANSPORTATION SYSTEM LIFECYCLE



Program Development and Planning: This chapter focuses on program development and planning, which involves identifying and planning proposed projects. Projects may be accepted into the Statewide Transportation Improvement Program (STIP) through these phases of the transportation system lifecycle

The subsequent chapters focus on the following primary project development phases of the transportation system lifecycle:

- **Project Development/Preliminary Engineering** - In the project development phase, construction projects are cleared for environmental impacts, necessary permits are obtained, and design plans, specifications, schedules, and estimates (PS&E) are completed. The project development phase may be called “preliminary engineering” when referring to the funding phases included in the STIP.

- **Right of Way Acquisition** - In the project delivery schedule, there may be some overlap between the project development/preliminary engineering phase and the right of way acquisition phase. After NEPA determinations are satisfied (refer to Section C, Chapter 6 in this manual) and federal authorization has been received for the right of way phase, right of way acquisition may start.
- **Utilities** - Coordination regarding utilities begins in the project development/preliminary engineering phase and continues throughout the life of the project. A separate utility relocation phase programmed in the STIP, and federal authorization are required if the utility relocation is eligible for federal reimbursement.
- **Advertisement, Bid, and Award** - Once PS&E are approved and FHWA authorizes federal funds, the project can be advertised for bids. During the advertisement, bid, and award phase, the contracting agency performs a bid analysis to determine whether it is in the public interest to award a construction contract to the lowest responsive, responsible bidder. Following award of the contract, the project estimate must be updated, and additional federal authorization is required prior to commencing the construction contract administration phase.
- **Construction Contract Administration** - Upon completion of the prior phases, construction and construction contract administration commences. This phase includes inspection, materials testing, and ensuring contractor compliance with the terms and conditions of the contract. Project closeout should occur at the end of this phase. However, if needed, the project may continue under a STIP “other” phase, though federal funding is not guaranteed to be available for the other phase.

1.2 PROGRAM DEVELOPMENT

Program development begins with transportation planning to explore needs at the state and local levels and identify projects for the STIP. The STIP is a staged, multi-year, statewide capital improvement plan for transportation projects. The STIP is consistent with the statewide transportation plan as well as metropolitan transportation improvement programs (also known as TIPs or MTIPs). The STIP must be developed in cooperation with the metropolitan planning organizations (MPOs), public transit providers, and any Regional Transportation Planning Organizations (RTPO) in the state.

Projects listed in the STIP may include state and federally funded highway and bridge construction or repairs; project development activities such as environmental review; and other non-construction projects such as public transit service improvements and capital purchases. The STIP also includes federal transportation projects in national parks and forests, federal lands and Indian reservation road systems, interstate highways, state, regional, and district highways and bridges, many locally funded projects of statewide or regional significance, and public and active transportation projects.

1.3 TRANSPORTATION PLANNING

Transportation planning includes development of the Oregon Transportation Plan and modal plans that provide Oregon's strategic transportation vision and policies. Statewide policy plans also provide guidance and direction for developing other transportation system plans.

City and county Transportation System Plans (TSPs), which include all the state highway system within their boundaries, describe existing conditions, identify roadway classification and type, size, and location transportation needs over a 20-year period, and develop priorities for transportation system improvements within a defined geographic area. TSPs evaluate needs across all modes of transportation and may include portions of, or whole transportation corridors.

The ODOT STIP allocates funding to projects in six investment areas: dedicated programs, safety, public and active transportation, ADA, local government, and other functions. Each investment area or program has its own methodology for selecting projects. Funding program managers may propose projects identified in TSPs for inclusion in the STIP.

Transportation policy planning includes:

- Oregon Transportation Plan
- Oregon Highway Plan and other modal plans
- Strategic Action Plan
- A framework to help prioritize investments for all modes of transportation
- Identification of strategic objectives and outcomes from management and investment decisions

Transportation System Planning includes:

- City and county TSPs
- ODOT facility plans
- ODOT Interchange Area Management Plans
- An assessment of future transportation system needs and recommended solutions
- Prioritized investment strategies and projects
- All modes of transportation
- Projects that are prioritized for inclusion in the STIP

ODOT's transportation planning section is responsible for managing the statewide policy planning process and the regional planning units are responsible for managing the system planning process.

1.4 STIP DEVELOPMENT & ADOPTION

The STIP identifies projects to be funded, the federal fiscal year in which funding will be obligated (work will commence), and what state, local or federal funding sources will be used to pay for them.

The STIP further includes:

- Sufficient scope description (type of work, termini, and length)
- Estimated total project cost, which may extend beyond the program years of the STIP
- Federal funds proposed by fiscal year
- Proposed source(s) of federal and non-federal funding
- Responsible agency

The STIP is adopted by the Oregon Transportation Commission (OTC) and is effective once approved by the Federal Highway Administration (FHWA) and the Federal Transit Administration (FTA). Identifying and planning for transportation needs is an ongoing process with periodic reviews. The STIP is updated every three to four years and routinely amended from month to month for project-specific changes and additions.

1.5 PLANNING TRANSITION

The intent of the Planning Transition phase is to ensure that project-related information developed by the planning team during the planning phase is communicated to the project development team. Coordination is needed to ensure that the project development team fully understands the purpose of the conceptual improvements identified in the completed planning documents. This includes any special commitments made to business partners that need to be considered during the project development phase.

Planning Transition is part of the STIP project development process, which includes:

- STIP program and work type criteria
- Program objectives and goals
- Required Title VI and ADA considerations
- Access management (when applicable)
- Public involvement
- NEPA and environmental justice considerations
- System performance outcomes
- Scoping criteria

To establish realistic project delivery schedules for the STIP and to communicate critical project related information, internal communication between the LPA's project engineering and planning staff should occur at each of the following project phases:

- Scoping
- Project selection
- Project design

It is also important to consult with the funding program-awarding agency (e.g., MPO, ODOT) regarding project delivery schedules to ensure the information programmed in the STIP is up to date. LPAs should be aware of STIP and MTIP amendment requirements and timelines. See the ODOT-FTA-FHWA Amendment Matrix for additional information.

1.6 IDENTIFYING POTENTIAL PROJECTS

A project evolves from a transportation problem or need identified through a variety of sources while ensuring the transportation system is accessible to all users. Projects may be identified by one or more of the following organizations, documents, or methods:

- Legislation
- Data Driven Management systems
- Area Commissions on Transportation ODOT Modal Plans
- Regional Transportation Plans
- ODOT Facility Plans
- Local Transportation System Plans
- Transportation Safety Action Plans

1.7 ODOT PROJECT SELECTION

The ODOT Statewide Investments Management Section allocates the annual STIP funding levels to six funding categories in support of the Oregon Transportation Commission's goals. Regions balance their individual programs with their allotted funding targets. The OTC establishes funding targets for all programs and criteria for identifying priorities.

The Oregon Transportation Management Systems identify and prioritize preservation, bridge and safety projects. Additional sources of information include statewide ADA compliant traffic data, Intelligent Transportation Systems data, freight movement data, fish passage culvert strategic or action plans, public transit, Intermodal Management Systems, MPOs, local governments, Area Commissions on Transportation (ACTs), regional partnerships, and public input.

ODOT will scope projects proposed and applied for through the funding programs ODOT directly administers. The ODOT scoping process involves coordination with internal and external business partners, including local agency contacts, to ensure an appropriate level of information is known about the proposed project's scope, schedule, and budget prior to programming it into the draft STIP. ODOT funding program managers use scoping data to select projects within current funding constraints. STIP coordinators across the state enter the selected projects into the STIP database, and the resulting list of projects make up the draft STIP. ODOT provides at least a 45-day public review of the draft STIP and a minimum of two open public meetings per region during this period. Regional STIP coordinators summarize and send public comments to the STIP development manager.

Subject to available resources and upon request, ODOT may also assist with scoping efforts for funding programs that are not directly administered by ODOT, such as MPO-awarded projects or discretionary grant projects.

1.8 RESOURCES

For questions not covered here, contact the [ODOT Certification Program](#).

Provider	Resource Title	Description	Link
eCFR	23 CFR Part 450	Code of Federal Regulations Archived Guidance	https://www.fhwa.dot.gov/hep/guidance/superseded/23cfr450.cfm
ODOT	Area Commissions on Transportation	Webpage	https://www.oregon.gov/odot/get-involved/pages/area_commissions.aspx
ODOT	Local Government Funding Overview	Webpage	https://www.oregon.gov/odot/LocalGov/Pages/Funding.aspx
ODOT	Statewide Policy Plans	Webpage	https://www.oregon.gov/odot/Planning/Pages/Plans.aspx
ODOT	Statewide Transportation Improvement Program (STIP)	Webpage	https://www.oregon.gov/ODOT/STIP/pages/index.aspx
ODOT	STIP ODOT-FTA-FHWA Amendment Matrix	STIP amendment approval authority matrix	https://www.oregon.gov/odot/STIP/Documents/ODOT-FHWA-FTA%20amendment%20matrix.pdf

Note: The Certification Program Agreement refers to the project issue resolution process in Section C, Chapter 1 of this manual. The issue resolution and escalation process are now found in Section C, Chapter 2 of this manual.