Project Overview

How to Use the Manual

Acronyms and Definitions

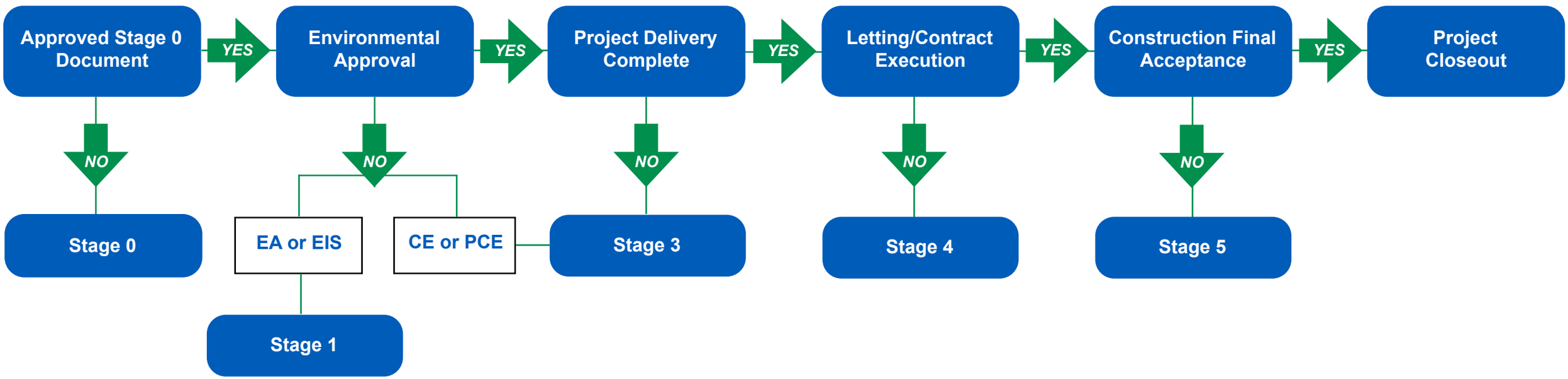
The Project Overview home page is a high level summary of the entire project process.
This flowchart is the root document for this manual.

Project Number Creation

Project Information

Project Funding

Stage 2



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How to Use This Manual

This manual has been developed as an electronic desk reference for Project Managers and those with a desire to understand the Project Manager's roles and responsibilities during the Project Delivery Process.

It is designed as a living document with live internal and external links. By clicking-on the links in the flowchart boxes the user will be redirected to supplementary information sheets within the manual. By clicking-on hyperlinks within the supplementary information sheets, the user will be redirected to the indicated documents.

For additional information regarding specific policy or information on individual tasks, refer to the DOTD Project Delivery Manual.

If you have any questions, comments, or suggestions concerning this manual, or to report errors or broken links, please contact Corey Landry at corey.landry@la.gov.

There is a standing committee responsible for the content of the manual. This committee evaluates all submitted suggestions and comments and incorporates them into the manual as appropriate.

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Acronyms and Definitions

A

AASHTOWare Project Pre-Construction – Bidding software used by DOTD

B

Budget – The allotted cumulative funding for all project phases.

Budget Partition – The allotted funding for a program.

C

CE - Categorical Exclusion – A category of actions which do not individually or cumulatively have a significant effect on the human environment.

Construction Memos – Instructions issued by the Chief Construction Division Engineer to provide direction to operations personnel on addressing construction issues.

Consultant – A private firm employed to supplement and complement in-house staff.

CSS – Context Sensitive Solutions - A collaborative, interdisciplinary, holistic approach to the development of transportation projects that involves all stakeholders in providing a transportation facility that fits its setting.

CEA - Cooperative Endeavor Agreement – Now called Entity-State Agreement, formerly called City-State Agreement or Sponsor-State Agreement.

CPM - Critical Path Method – A technique for project planning which includes all activities required to complete the project, time frame for each activity, and the dependency between each activity.

D

dgn – file extension for Micro-Station CADD (Computer Aided Drafting and Design) files.

DIR - Damage Inspection Report – Report intended for use in all Army Corps of Engineers' inspections of levee and floodwall systems and flood damage reduction channels.

Design-Build – A method of project delivery in which one entity – the design build team – works under a single contract with the project owner to provide design and construction services.

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Acronyms and Definitions, cont.

DBE - Disadvantaged Business Enterprise – A certified for-profit business entity owned and controlled by one or more US citizens or permanent residents who are both socially and economically disadvantaged.

E

EDSM - Engineering Directives and Standards Manual – A manual containing directives and standards issued by the Chief Engineer.

EA - Environmental Assessment – An environmental document prepared when the significance of impacts of a transportation project is uncertain.

ECC – Enterprise Core Component – An enterprise-wide information system created by SAP designed to coordinate all the resources, information, and activities needed to complete business processes.

EE - Environmental Exclusion – A DOTD-only document, approved by the Environmental Administrator, which serves the same function as a Categorical Exclusion for projects with no federal actions.

EF - Environmental Finding – A DOTD-only document, approved by the Environmental Administrator, which serves the same function as a Finding of No Significant Impact for projects with no federal actions.

EIS - Environmental Impact Statement – A full disclosure document that details the process through which a transportation project was developed; includes consideration of a range of reasonable alternatives, analyzes the potential impacts resulting from the alternatives, and demonstrates compliance with other applicable environmental laws and executive orders.

ER - Environmental Record – A DOTD-only document, approved by the Environmental Administrator, which serves the same function as a Record of Decision for projects with no federal actions.

Estimating Process – A formalized process to provide an accurate estimate of the project cost as the project moves through various stages of development.

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Acronyms and Definitions, cont.

F

Feasibility Study – A document prepared to assess the technical, environmental and financial aspects of a project, resulting in a Go/No Go decision.

Federal Fiscal Year – The budgetary year beginning on October 1 of a calendar year and ending on September 30 of the following calendar year.

FMIS – Federal Management Information System - Information technology to improve the use and dissemination of information in the operation of federal programs.

FONSI - Finding of No Significant Impact - Issued when environmental analysis and interagency review during the EA process find a project to have no significant impacts on the quality of the environment.

G

Gantt Chart – A bar chart which illustrates the time elements of a project according to tasks in the Work Breakdown Structure.

Go/No Go Decision – A decision to either advance or not advance a project in accordance with the Feasibility Study during Stage 0.

H

Highway Bridge Replacement and Rehabilitation Program – Replacement and rehabilitation of deficient bridges that are located off the state and interstate system of highways.

Highway Project Selection Process – A formalized process through which competing projects are prioritized and funded.

Highway Safety Hardware Design – Information on design and details for highway guard rail and bridge rail, ground mounted and overhead signing structure and other highway safety hardware.

I

Incidental Work – Work required by the contract that is not directly measured and for which no specific pay item is provided.

J

JPR - Joint Plan Review Meeting – A meeting during which all key individuals ensure the Construction Plans and Right-of-Way Maps correlate and are appropriate.

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Acronyms and Definitions, cont.

L

Letting – To award a project, normally after bids have been submitted.

M

MPO – Metropolitan Planning Organization – Federally mandated and federally funded transportation policy-making organization that is formed from representatives from local government and governmental transportation authorities.

Milestone – A significant point or event in the project.

N

NEPA - National Environmental Policy Act – Requires federal agencies to integrate environmental values into their decision-making processes by considering the environmental impacts of their proposed actions and reasonable alternatives to those actions. To meet this requirement, federal agencies prepare a detailed statement known as an Environmental Impact Statement (EIS). EPA reviews and comments on EISs prepared by other federal agencies, maintains a national filing system for all EISs, and assures that its own actions comply with NEPA.

NBIS - National Bridge Inspection Standards – Sets the national standards for the proper safety inspection and evaluation of all highway bridges.

NCHRP - National Cooperative Highway Research Program – Conducts research in problem areas that affect highway planning, design, construction, operation, and maintenance nationwide.

NTP - Notice-to-Proceed – DOTD or project administration entity officially advises contractor to begin construction operations.

NOI – Notice of Intent.

O

Off-System Bridge – A vehicular bridge owned and maintained by a parish, city, or other local or regional governmental unit, and not on the DOTD-designated highway system.

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Acronyms and Definitions, cont.

P
PIH – Plan-in-Hand

PS – Project Systems

PERT Chart (Program Evaluation and Review Technique) – A chart of a project's schedule, showing the sequence of each task and its relationship to other tasks, including the critical path upon which the project's deadline is based.

PS&E - Plans, Specifications & Estimate – The final plans, engineer's estimate, and specifications package upon which the project is to be bid.

Program – A group of projects with similar scope budgeted through the same partition.

Program Manager – The overall manager of a specific program, responsible for budgetary and delivery goals.

Project – A singular transportation infrastructure improvement.

Project Builder – A module within the LaGov ECC to track project schedule.

PDD - Project Delivery Date – The date when all activities of project development have been completed, including final plans, engineer's estimate, permits, right-of-way acquisition, utility agreements, nonstandard items and specifications, special agreements, and TIP/STIP approval.

PDSC - Project Delivery Steering Committee – A standing committee for the purpose of advising and making policy recommendations to the DOTD Secretary on all aspects of program finance and budget.

Project Finance Committee – A part of the PDSC, which provides financial reports and guidance to the Committee.

Project Management – A systematic process of planning, budgeting, scheduling, staffing, directing, and controlling a set of related and interdependent activities to achieve a desired objective.

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Acronyms and Definitions, cont.

Project Manager – The person responsible for carrying out the individual projects by insuring that all project activities are completed in accordance with time and budget requirements and at the highest level of quality.

Project Plan – A document summarizing the necessary steps required for the successful management of a project.

Project Team – A group headed by the Project Manager and consisting of several Task Managers working on a specific project.

Q
QA - Quality Assurance – A process (i.e. standards and specifications) implemented so that quality requirements for a material or service can be fulfilled.

QC - Quality Control - Activities (i.e. testing and inspection) by which the quality of a material or service are reviewed and verified.

R
Record of Decision – A document prepared to provide formal approval of an Environmental Impact Statement.

ROW – Right-of-Way

S
Schedule – The finite time frame in which a project is delivered.

Scope – The specific design features of a project, defined by its relation to the budget.

Scope Creep – The expansion of the scope of a project, usually without consideration of its effect on the budget.

Stage 0 – The stage of the project development process concerning the feasibility of a project.

Stage 1 – The stage of the project development process concerning the environmental evaluation of a project.

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Project Overview
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Acronyms and Definitions, cont.

Stage 2 – The stage of the project development process concerning the availability of funding for subsequent project stages.

Stage 3 – The stage of the project development process concerning all pre-construction activities to prepare a project for bid.

Stage 4 – The stage of the project development process concerning bidding (letting) a project for construction.

Stage 5 – The stage of the project development process concerning construction of a project.

Stage 6 – The stage of the project development process concerning the maintenance of the highway system.

State Fiscal Year – The budgetary year beginning July 1 of the calendar year and ending on June 30 of the following calendar year.

STIP - Statewide Transportation Improvement Program – A staged, multiyear, statewide, intermodal program of transportation projects which is consistent with the statewide transportation plan and planning processes and metropolitan plans, TIPs, and processes.

SWPPP – Storm Water Pollution Protection Program

T
Task Manager – A functional specialist which is part of a project team.

TIP - Transportation Improvement Program – A staged, multiyear, intermodal program of transportation projects which is consistent with the metropolitan transportation plan.

TRNS – Cost estimating software

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Acronyms and Definitions, cont.

U

URAF - Utilities Relocation Assistance Funding – Provides assistance when a publicly owned, non-profit utility is not able to bear its share of the cost for adjusting its facilities to accommodate a highway project.

Urbanized Area – Denotes an urban area of 50,000 or more people.

V

Value Engineering – A systematic method to improve the “value” of goods or products and services by using an examination of function.

W

Warranty – Contractual agreement between an approved contractor/vendor ad the agency soliciting bids, that uses specific performance measures to protect the agency from responsibility of repair due to premature defects in material and/or workmanship.

WBS - Work Breakdown Structure – A deliverable oriented hierarchical decomposition of the work to be executed by the project team to accomplish the project objectives and create the required deliverables.

Work Zone – A segment of highway with ongoing construction, maintenance, or utility work activities.

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Project Number Creation

Project Numbers are unique, sequentially assigned numbers that remain with a project throughout its life. They are used for project identification and tracking and should be referenced on all project correspondence.

In most cases, Project Numbers will accompany the project when it is received by the Project Manager; however, when it does not, the Project Manager is responsible for procuring a Project Number. There are a multitude of Project Number Request Forms that are used for the creation of various project types. In most instances, the “Highway Priority Program” Project Request Form should be used. The request forms have self-contained instructions on how it should be completed. A variety of information including, Work Type, Team Member Names, Project Location, Program Manager, Funding Source(s), etc., is required to complete the form.

After completion and submittal, the form is routed to the assigned Program Manager for approval then transmitted to the Transportation Planning Section (85) for project creation. Once the Project Number is created and released in LaGov Project Systems (PS) an auto-generated email notification is sent to the Project Manager. The Project Manager should verify that the project information is correct in PS.

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Project Information

A record summarizing important project information must be created and actively maintained throughout the life of a project. The Project Information and Planning Document should be used to keep such information.

The Project Information and Planning Document contains identifying information, team members, contract dates, purchase order numbers, milestone completion dates, and general project notes. This document should be updated as information changes and as a project progresses through the various Stages / Phases. It should be stored in a location where it is readily accessible to other DOTD employees who may be required to provide information concerning the status of the project.

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Project Funding

Project Funding is established for the various project phases during Stage 2. Projects may advance to further stages without all phases being fully funded; however, Stage 2 for a project phase is not considered complete until all funding for that phase has been obtained.

Funding for some or all project phases may be required:

- Phase 1 – Planning / Feasibility
- Phase 2 – Environmental
- Phase 3 – Right-of-Way
- Phase 4 – Utilities
- Phase 5 – Design
- Phase 6 – Construction

For additional information, refer to the DOTD Project Delivery Manual.

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Approved Stage 0 Document

Stage 0 is the project feasibility stage during which analyses are performed to determine if the project merits further development. The approved Stage 0 document is the formal conclusion of Stage 0.

For additional information, refer to the DOTD Project Delivery Manual.

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Environmental Approval

Environmental Approval is dictated by the National Environmental Policy Act (NEPA), a procedural law with specific guidelines that establishes national environmental policy and goals for the protection, maintenance, and enhancement of the environment and provides a process for implementing these goals within the federal agencies. Environmental Approval is the formal conclusion of Stage 1.

- For Environmental Assessment (EA) and Environmental Impact Statement (EIS) projects, the Environmental Approval is received before initiating the Stage 3 process.

- For Categorical Exclusion (CE) and Programmatic Categorical Exclusion (PCE) projects, Environmental Approval is necessary for commencing with Final Plans.

For additional information, refer to the following documents:

- DOTD Project Delivery Manual
- Stage 1 - Planning/Environmental Manual of Standard Practice

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Project Delivery Complete

Project Delivery is the process during which the Final Plans are completed, right-of-way parcels are purchased, and all required agreements and permits are obtained. Project Delivery completion is the formal conclusion of Stage 3.

For additional information, refer to the DOTD Project Delivery Manual.

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Letting/Contract Execution

Letting is the process by which the construction contract documents are finalized, advertised, and awarded to the low cost bidder for construction. Issuance of the Notice-of-Contract Execution is the formal conclusion of Stage 4.

For additional information, refer to the DOTD Project Delivery Manual.

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Construction Final Acceptance

Project Construction includes all activities involved with the administration of the Construction Contract. After completion of all construction activities, the Chief Engineer will sign the Construction Final Acceptance Letter. Construction Final Acceptance is the formal conclusion of Stage 5*.

For additional information, refer to the DOTD Project Delivery Manual.

*Technically, there are several Stage 5 activities that follow the issuance of the Final Acceptance; those activities are detailed in the DOTD Project Delivery Manual.

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Project Closeout

Project Closeout includes all required post-construction activities. These activities may include, but are not limited to, the following:

- Disposing of Excess Right-of-Way
- Documenting Utilities Permitted on the Right-of-Way
- Ensuring Compliance with Post-Construction Environmental Commitments
- Soliciting On-Going Feedback from District Operations, Maintenance, and Traffic
- Closing All Completed Contracts
- Releasing All Remaining Unused Budget

For additional information, refer to the DOTD Project Delivery Manual.

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Stage 0 Overview

The purpose of Stage 0 is to reach a decision regarding the project's feasibility and whether the project should continue further through the project delivery process. A base of information must be developed so that rational decisions can be made regarding the allocation of available funds among competing projects. Once projects are selected for addition to the Highway Program, the information gathered from Stage 0 provides the information necessary to proceed with Stage 1, Environmental.

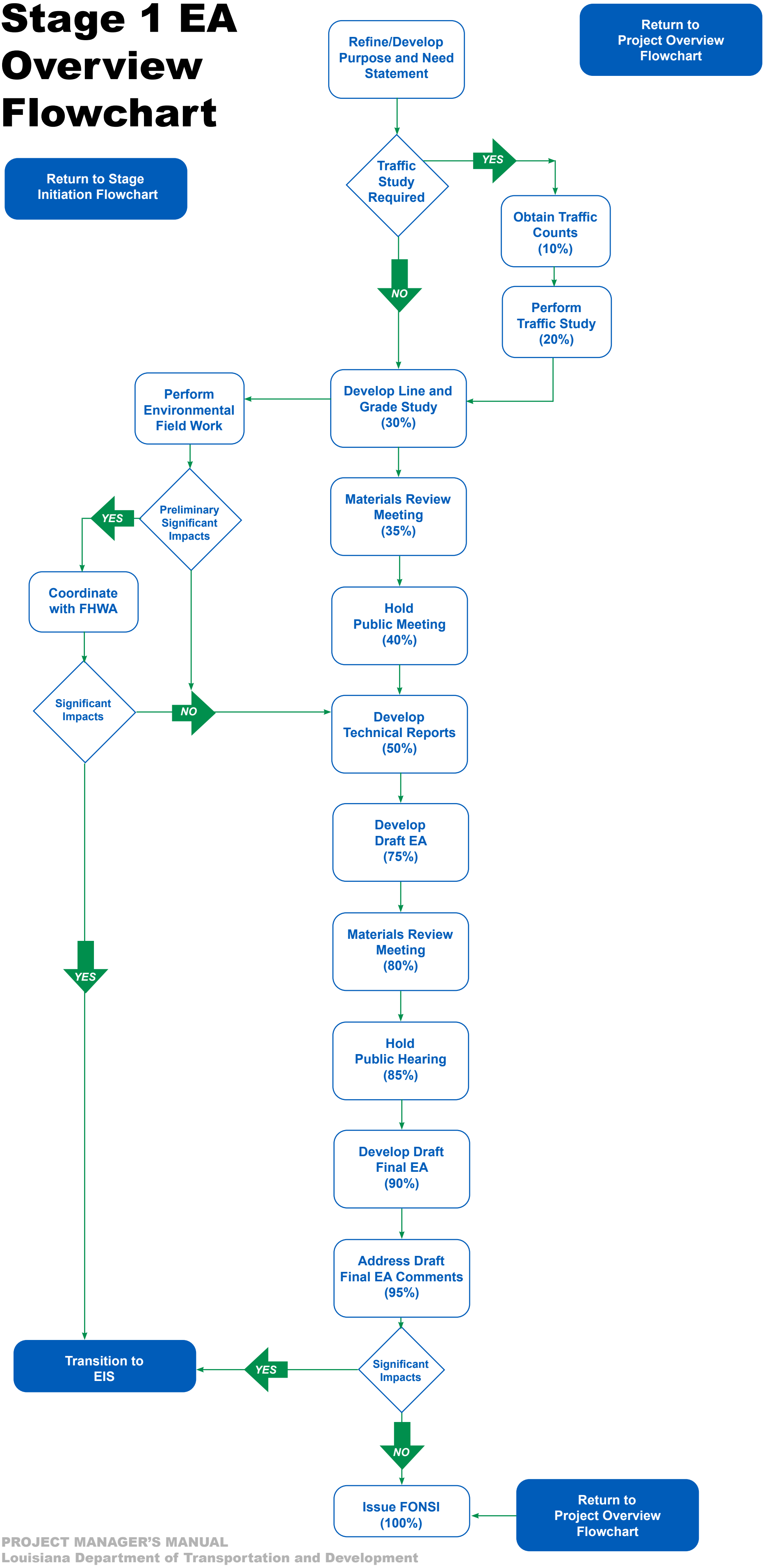
The outcome of Stage 0 is a decision regarding project advancement. A project deemed to be feasible will be selected through the Highway Project Selection Process and continue through the project delivery process. A project deemed to be non-feasible will either be retained for reconsideration in the future or will be dropped entirely.

Stage 0 activities may be conducted by various sections; however, the Transportation Planning Section (85) is ultimately responsible for Stage 0 implementation. During the Stage 0 process the Project Manager typically serves as a Task Manager providing review and support.

For additional information, refer to the following documents:

- DOTD Project Delivery Manual
- Stage 0 Manual of Standard Practice
- Stage 0 Environmental Checklist
- Stage 0 Preliminary Scope and Budget Checklist

Stage 1 EA Overview Flowchart



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Stage 1 EA Overview

The purpose of Stage 1 is to obtain Environmental Approval, which is required prior to right-of-way acquisitions, utility agreements, final plan development, and project letting. Environmental Assessments (EA) are required when the environmental project impacts are uncertain.

Develop/Refine Purpose and Need Statement - The scope of services/purpose and need for a project originates in the Planning/Feasibility Phase. The first goal of the EA Project Team is to analyze and refine the original statement based on current goals, objectives, and data. Alternative Development is governed by 40 CFR 1502.14 (Council on Federal Regulations).

The FHWA has included NEPA and Transportation Decision-making Tools within the Environmental Review Toolkit for Development and Evaluation of Alternatives on their website. (http://environment.fhwa.dot.gov/projdev/tdmalts.asp)

Capacity Type Improvement - A Capacity Improvement increases the Operational Performance of a roadway. Operational Performance is achieved through Additional Lane Capacity and/or Intersection Improvements, such as Roundabouts and Alternative Intersection Design (Diverging Diamond Interchange (DDI), Continuous Flow Intersections (CFI), etc.). Intersection Improvements can eliminate the need for additional lane capacity resulting in a reduction in Peak Hour Delay and Overall Delay and an increase in Free Flow Capacity.

Projects typically excluded from this category include, but are not limited to, Bridge Replacements without bridge widening, Box Culvert and Cross Drain Replacements, and Pavement Preservation Projects. These projects allow the exclusion of a Traffic Study and allow the process to proceed with a Line & Grade Study directly from defining the Purpose & Need statement.

Traffic Study Complete - The Traffic Study is considered complete once Traffic Counts are complete and all Traffic Analysis is complete and Approved by LADOTD.

Line and Grade (L&G) - L&G is a visual depiction of Preliminary or Conceptual Pre-Construction Design Geometrics (Horizontal and Vertical Geometry) represented in Plan-Profile format. The L&G carries forward a typical roadway and/or bridge section throughout the length of a corridor.

Environmental Field Work - Environmental Field Work is required in order to accumulate data for Technical Reports (Wetlands, Standing Structures, Section 106, Section 4f, Environmental Justice, Conceptual Stage Relocation, etc.) included within a Categorical Exclusion (CE), Environmental Assessment (EA), and Environmental Impact Statement (EIS).

Public Meeting Review Meeting - Prior to commencing with a Public Meeting, LADOTD must approve the Public Meeting exhibits and handouts provided by the Consultant. This meeting is intended for material review and QA by the Department.

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Return to Stage 1 EA Flowchart

Return to Project Overview Flowchart

Stage 1 EA Overview *(continued)*

Public Meeting - The Public Meeting is an informal open house format style meeting held following the approval of the Preliminary Draft EA. This meeting is intended to identify the Project Alternatives and to solicit comments on the project.

Technical Reports - Technical Reports are independent studies identifying environmental impacts to a project area within the confines of certain criteria and objectives. Not all projects will include the entire list of reports. For instance, projects without ROW Acquisition will not include Conceptual Stage Relocation.

- **Highway Traffic Noise Analysis and Abatement**
  "The Noise Control Act of 1972 gives the Federal Environmental Protection Agency (EPA) the authority to establish noise regulations to control major sources of noise, including transportation vehicles and construction equipment. In addition, this legislation requires EPA to issue noise emission standards for motor vehicles used in Interstate commerce (vehicles used to transport commodities across State boundaries) and requires the FHWA Office of Motor Carrier Safety (OMCS) to enforce these noise emission standards.

  The EPA has established regulations which set emission level standards for newly manufactured medium and heavy trucks that have a gross vehicle weight rating (GVWR) of more than 4,525 kilograms and are capable of operating on a highway or street.

  For existing (in-use) medium and heavy trucks with a GVWR of more than 4,525 kilograms, the Federal government has authority to regulate the noise emission levels only for those that are engaged in interstate commerce. Regulation of all other in-use vehicles must be done by State or local governments.

  The FHWA regulations for mitigation of highway traffic noise in the planning and design of federally aided highways are contained in 23 CFR 772. The regulations require the following during the planning and design of a highway project: (1) identification of traffic noise impacts; (2) examination of potential mitigation measures; (3) the incorporation of reasonable and feasible noise mitigation measures into the highway project; and (4) coordination with local officials to provide helpful information on compatible land use planning and control. The regulations contain noise abatement criteria which represent the upper limit of acceptable highway traffic noise for different types of land uses and human activities. The regulations do not require that the abatement criteria be met in every instance. Rather, they require that every reasonable and feasible effort be made to provide noise mitigation when the criteria are approached or exceeded. Compliance with the noise regulations is a prerequisite for the granting of Federal-aid highway funds for construction or reconstruction of a highway." (http://www.fhwa.dot.gov/environment/noise/regulations_and_guidance/polguide/polguid.pdf)

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Stage 1 EA Overview *(continued)*

- **Section 4f**
  "The Department of Transportation Act (DOT Act) of 1966 includes a special provision – Section 4f – which stipulates that the Federal Highway Administration (FHWA) and other DOT agencies cannot approve the use of land from publicly owned parks, recreational areas, wildlife and waterfowl refuges, or public and private historical sites unless the following conditions apply:
  - There is no feasible and prudent avoidance alternative to the use of land; and
  - The action includes all possible planning to minimize harm to the property resulting from such use;
  Or
  - The Administration determines that the use of the property will have a de minimus impact."
  (http://environment.fhwa.dot.gov/4f/index.asp)

- **Section 106 (Cultural Resource Survey)**
  "Historic preservation has been a Federal concern since 1906 when the Antiquities Act provided for the protection of historic and prehistoric remains and monuments on Federal lands. Since that time, Congress has made historic preservation a responsibility of every Federal agency, enacting multiple laws that extend the consideration of our nation's historic and archeological resources to properties beyond Federal lands and reflect the importance the American people attach to safeguarding and maintaining the places that embody our nation's rich heritage." (http://www.environment.fhwa.dot.gov/histpres/index.asp)

- **Wetland Delineation**
  Wetland delineation is the process of determining if an area is technically considered a wetland and, if so, of establishing the boundary between wetlands and uplands. This decision is made using one of two delineation procedures. Both procedures can be found in the 1987 Corps of Engineers Wetlands Delineation Manual. Three Mitigations types are listed below:
  - **Mitigation banking.** A wetlands mitigation bank is an existing site that has been restored, preserved, established, or enhanced in some way. The bank is set aside as a compensation site for future development projects that impact wetlands within the same watershed. Permittees can purchase credits from a mitigation bank to fulfill their mitigation requirements. The amount and quality of the impacts to the aquatic resource determines the number of credits that a permittee needs to purchase. Mitigation banking is always performed offsite but within the same watershed as the proposed project.

    Because mitigation banks are fully permitted prior to their association with specific infrastructure projects, using them as a mechanism for compensatory mitigation reduces the time and resources required by the permitting process. In addition, mitigation banks are generally restored created or enhanced wetlands that are protected through the banking instrument. A larger mitigation site has greater potential for ecological success than do several smaller, scattered sites. The bank sponsor is responsible for the mitigation success and for all maintenance and management issues.

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Stage 1 EA Overview *(continued)*

Once a permittee has purchased the appropriate credits, they are relieved of further responsibility for the mitigation.

- **In-lieu fee mitigation.** With this mechanism, permittees pay a fee to an “in-lieu” sponsor—either a government agency or a nonprofit organization—to complete measures for wetland mitigation. The sponsor collects funds from one or more permittees, amassing the resources needed to build and maintain a mitigation site or various sites within the watershed. The sponsor is then responsible for the mitigation site, which can be located onsite but is more frequently offsite. This type of mitigation can be performed before or after impacts have occurred.

- **Permittee-responsible mitigation.** With this mechanism, permittees that need to perform mitigation for a proposed project undertake the compensatory mitigation project by themselves. The permittee must receive USACE approval of a devised mitigation plan. Permittee-responsible mitigation can be performed onsite or at an offsite location within the same watershed. The permittee is responsible for the ecological performance, monitoring and long-term management of the mitigation site. (https://highways.dot.gov/public-roads/julyaugust-2016/getting-sync)

- **Conceptual Stage Relocation**
  A Conceptual Stage Relocation Plan is prepared to assist the Agency Stakeholder and the Federal Highway Administration (FHWA) in the decision making process for the evaluation of impacts and benefits associated with the construction of a proposed roadway project.

- **Phase I Site Assessment**
  In the United States, an environmental site assessment is a report prepared for a real estate holding that identifies potential or existing environmental contamination liabilities. The analysis, often called an ESA, typically addresses both the underlying land as well as physical improvements to the property. A proportion of contaminated sites are “brownfield sites.” In severe cases, brownfield sites may be added to the National Priorities List where they will be subject to the U.S. Environmental Protection Agency’s Superfund program. The actual sampling of soil, air, groundwater and/or building materials is typically not conducted during a Phase I ESA. The Phase I ESA is generally considered the first step in the process of environmental due diligence. Standards for performing a Phase I site assessment have been promulgated by the US EPA and are based in part on ASTM in Standard E1527-13. If a site is considered contaminated, a Phase II environmental site assessment may be conducted, ASTM test E1903, a more detailed investigation involving chemical analysis for hazardous substances and/or petroleum hydrocarbons. (http://en.wikipedia.org/wiki/Phase_I_environmental_site_assessment)

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Stage 1 EA Overview *(continued)*

Preliminary Draft EA - The Preliminary Draft EA is the first Draft of the EA submitted following the completion of the Line & Grade Study. This submittal is reviewed by the FHWA for approval.

Public Hearing Review Meeting - Prior to commencing with a Public Hearing, LADOTD must approve the Public Hearing exhibits and handouts provided by the Consultant. This meeting is intended for material review and QA by the Department.

Public Hearing - The Public Hearing is an informal open house format style meeting held following the approval of the Final Draft EA. This meeting is intended to identify the Selected Preferred Alternative and to solicit comments on the selected alternative.

Final Draft EA - The Final Draft Environmental Assessment is the last Draft of the EA prior to receiving a Finding of No Significant Impact (FONSI). The Final Draft EA is submitted following the Public Hearing and includes comments derived from this meeting and from the FHWA.

FONSI (Finding of No Significant Impact) - "A FONSI is issued when environmental analysis and interagency review during the EA process find a project to have no significant impacts on the quality of the environment. The FONSI document is the EA modified to reflect all applicable comments and responses. If it was not done in the EA, the FONSI must include the project sponsor's recommendation or selected alternative. No formal public circulation of the FONSI is required, but the state clearinghouse must be notified of the availability of the FONSI. In addition, FHWA recommends that the public be notified through notices in local newspapers." (http://environment.fhwa.dot.gov/projdev/docufonsi.asp)

Stage 1 EIS Overview Flowchart

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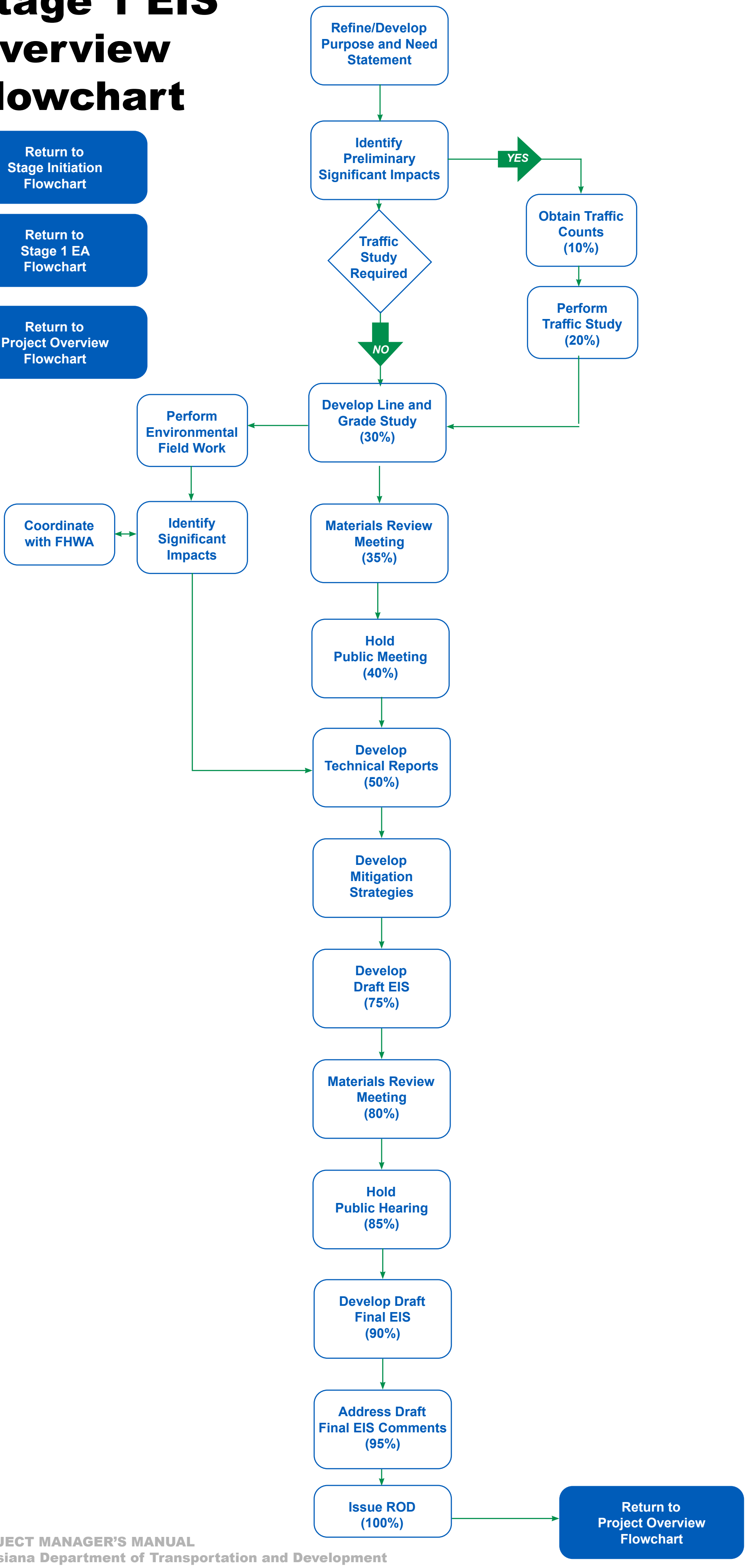

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Stage 1 EIS Overview

The purpose of Stage 1 is to obtain Environmental Approval, which is required prior to right-of-way acquisitions, utility agreements, final plan development, and project letting. Environmental Impact Statements (EIS) are required when the environmental project impacts are significant.

Develop/Refine Purpose and Need Statement - The scope of services/purpose and need for a project originates in the Planning/Feasibility Phase. The first goal of the EIS Project Team is to analyze and refine the original statement based on current goals, objectives, and data. Alternative Development is governed by 40 CFR 1502.14 (Council on Federal Regulations).

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Public Meeting Review Meeting - Prior to commencing with a Public Meeting, LADOTD must approve the Public Meeting exhibits and handouts provided by the Consultant. This meeting is intended for material review and QA by the Department.

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Stage 1 EIS Overview *(continued)*

Public Meeting - The Public Meeting is an informal open house format style meeting held following the approval of the Preliminary Draft EIS. This meeting is intended to identify the Project Alternatives and to solicit comments on the project.

Technical Reports - Technical Reports are independent studies identifying environmental impacts to a project area within the confines of certain criteria and objectives. Not all projects will include the entire list of reports. For instance, projects without ROW Acquisition will not include Conceptual Stage Relocation.

- **Highway Traffic Noise Analysis and Abatement**
  "The Noise Control Act of 1972 gives the Federal Environmental Protection Agency (EPA) thevauthority to establish noise regulations to control major sources of noise, including transportation vehicles and construction equipment. In addition, this legislation requires EPA to issue noise emission standards for motor vehicles used in Interstate commerce (vehicles used to transport commodities across State boundaries) and requires the FHWA Office of Motor Carrier Safety (OMCS) to enforce these noise emission standards.

  The EPA has established regulations which set emission level standards for newly manufactured medium and heavy trucks that have a gross vehicle weight rating (GVWR) of more than 4,525 kilograms and are capable of operating on a highway or street.

  For existing (in-use) medium and heavy trucks with a GVWR of more than 4,525 kilograms, the Federal government has authority to regulate the noise emission levels only for those that are engaged in interstate commerce. Regulation of all other in-use vehicles must be done by State or local governments.

  The FHWA regulations for mitigation of highway traffic noise in the planning and design of federally aided highways are contained in 23 CFR 772. The regulations require the following during the planning and design of a highway project: (1) identification of traffic noise impacts; (2) examination of potential mitigation measures; (3) the incorporation of reasonable and feasible noise mitigation measures into the highway project; and (4) coordination with local officials to provide helpful information on compatible land use planning and control. The regulations contain noise abatement criteria which represent the upper limit of acceptable highway traffic noise for different types of land uses and human activities. The regulations do not require that the abatement criteria be met in every instance. Rather, they require that every reasonable and feasible effort be made to provide noise mitigation when the criteria are approached or exceeded. Compliance with the noise regulations is a prerequisite for the granting of Federal-aid highway funds for construction or reconstruction of a highway." (http://www.fhwa.dot.gov/environment/noise/regulations_and_guidance/polguide/polguid.pdf)

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Stage 1 EIS Overview *(continued)*

- **Section 4f**
  "The Department of Transportation Act (DOT Act) of 1966 includes a special provision – Section4f – which stipulates that the Federal Highway Administration (FHWA) and other DOT agencies cannot approve the use of land from publicly owned parks, recreational areas, wildlife and waterfowl refuges, or public and private historical sites unless the following conditions apply:
  - There is no feasible and prudent avoidance alternative to the use of land; and
  - The action includes all possible planning to minimize harm to the property resulting from such use; Or
  - The Administration determines that the use of the property will have a de minimus impact." (http://environment.fhwa.dot.gov/4f/index.asp)

- **Section 106 (Cultural Resource Survey)**
  "Historic preservation has been a Federal concern since 1906 when the Antiquities Act provided for the protection of historic and prehistoric remains and monuments on Federal lands. Since that time, Congress has made historic preservation a responsibility of every Federal agency, enacting multiple laws that extend the consideration of our nation's historic and archeological resources to properties beyond Federal lands and reflect the importance the American people attach to safeguarding and maintaining the places that embody our nation's rich heritage." (http://www.environment.fhwa.dot.gov/histpres/index.asp)

- **Wetland Delineation**
  Wetland delineation is the process of determining if an area is technically considered a wetland and, if so, of establishing the boundary between wetlands and uplands. This decision is made using one of two delineation procedures. Both procedures can be found in the 1987 Corps of Engineers Wetlands Delineation Manual. Three Mitigations types are listed below:

  - **Mitigation banking**. A wetlands mitigation bank is an existing site that has beenrestored, preserved, established, or enhanced in some way. The bank is set aside as a compensation site for future development projects that impact wetlands within the same watershed. Permittees can purchase credits from a mitigation bank to fulfill their mitigation requirements. The amount and quality of the impacts to the aquatic resource determines the number of credits that a permittee needs to purchase. Mitigation banking is always performed offsite but within the same watershed as the proposed project.

    Because mitigation banks are fully permitted prior to their association with specific infrastructure projects, using them as a mechanism for compensatory mitigation reduces the time and resources required by the permitting process. In addition, mitigation banks are generally restored created or enhanced wetlands that are protected through the banking instrument. A larger mitigation site has greater potential for ecological success than do several smaller, scattered sites. The bank sponsor is responsible for the mitigation success and for all maintenance and management issues.

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Stage 1 EIS Overview *(continued)*

Once a permittee has purchased the appropriate credits, they are relieved of further responsibility for the mitigation.

- **In-lieu fee mitigation.** With this mechanism, permittees pay a fee to an "in-lieu" sponsor—either a government agency or a nonprofit organization—to complete measures for wetland mitigation. The sponsor collects funds from one or more permittees, amassing the resources needed to build and maintain a mitigation site or various sites within the watershed. The sponsor is then responsible for the mitigation site, which can be located onsite but is more frequently offsite. This type of mitigation can be performed before or after impacts have occurred.

- **Permittee-responsible mitigation.** With this mechanism, permittees that need to perform mitigation for a proposed project undertake the compensatory mitigation project by themselves. The permittee must receive USACE approval of a devised mitigation plan. Permittee-responsible mitigation can be performed onsite or at an offsite location within the same watershed. The permittee is responsible for the ecological performance, monitoring and long-term management of the mitigation site. (https://highways.dot.gov/public-roads/julyaugust-2016/getting-sync)

- **Conceptual Stage Relocation**
  A Conceptual Stage Relocation Plan is prepared to assist the Agency Stakeholder and the Federal Highway Administration (FHWA) in the decision making process for the evaluation of impacts and benefits associated with the construction of a proposed roadway project.

- **Phase I Site Assessment**
  In the United States, an environmental site assessment is a report prepared for a real estate holding that identifies potential or existing environmental contamination liabilities. The analysis, often called an ESA, typically addresses both the underlying land as well as physical improvements to the property. A proportion of contaminated sites are "brownfield sites." In severe cases, brownfield sites may be added to the National Priorities List where they will be subject to the U.S. Environmental Protection Agency's Superfund program. The actual sampling of soil, air, groundwater and/or building materials is typically not conducted during a Phase I ESA. The Phase I ESA is generally considered the first step in the process of environmental due diligence. Standards for performing a Phase I site assessment have been promulgated by the US EPA and are based in part on ASTM in Standard E1527-13. If a site is considered contaminated, a Phase II environmental site assessment may be conducted, ASTM test E1903, a more detailed investigation involving chemical analysis for hazardous substances and/or petroleum hydrocarbons. (http://en.wikipedia.org/wiki/Phase_I_environmental_site_assessment)

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Stage 1 EIS Overview *(continued)*

- **Preliminary Draft EIS -** The Preliminary Draft EIS is the first Draft of the EIS submitted following the completion of the Line & Grade Study. This submittal is reviewed by the FHWA for approval.

- **Public Hearing Review Meeting -** Prior to commencing with a Public Hearing, LADOTD must approve the Public Hearing exhibits and handouts provided by the Consultant. This meeting is intended for material review and QA by the Department.

- **Public Hearing -** The Public Hearing is an informal open house format style meeting held following the approval of the Final Draft EIS. This meeting is intended to identify the Selected Preferred Alternative and to solicit comments on the selected alternative.

- **Final Draft EIS -** The Final Draft Environmental Impact Statement is the last Draft of the EIS prior to receiving a Record of Decision (ROD). The Final Draft EIS is submitted following the Public Hearing and includes comments derived from this meeting and from the FHWA.

- **ROD (Record of Decision) -** "The ROD identifies the selected alternative, presents the basis for the decision, identifies all the alternatives considered, specifies the 'environmentally preferable alternative,' and provides information on the adopted means to avoid, minimize and compensate for environmentalimpacts." (http://environment.fhwa.dot.gov/projdev/docueis.asp)

Stage 2 Overview Flowchart

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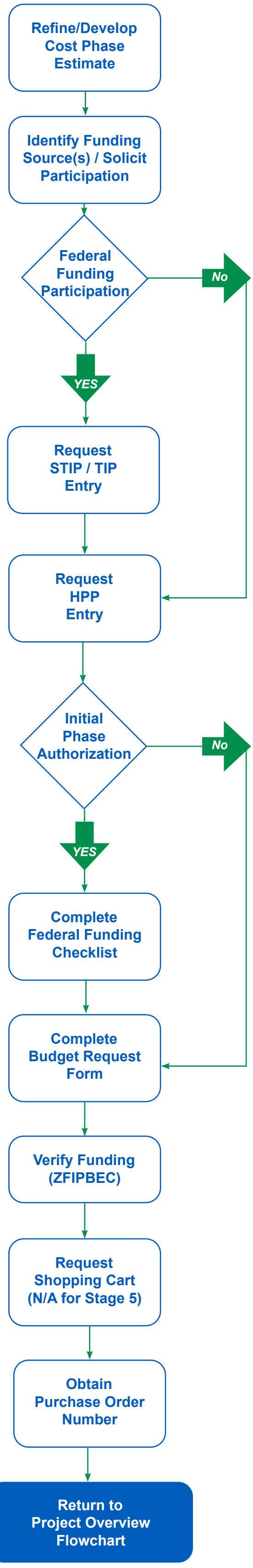

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Stage 2 Overview

The following information represents key terms, processes, forms, and programs that aid in the implementation of Project Funding (Stage 2). If applicable, links have been provided to access standard forms.

Refine/Develop Cost Phase Estimate – Construction Cost Estimate should be itemized by the following criteria:

- Funding Source
- Phase of work
- Fiscal Year (FFY and SFY)
- Work Type

The estimate is itemized in this fashion in order to request TIP/STIP entries.

Federal Funding Participation – There are several requirements for Federal Funding contribution. Projects utilizing Federal Funds, within the boundaries of an Urban Area (MPO), must be entered into the MPO's Transportation Improvement Plan (TIP). If a project lies within the jurisdiction of an MPO, the project must be entered in the State Transportation Improvement Plan (STIP).

Projects that deviate from the above mentioned criteria are state funded projects and projects covered by a line item.

State Funded Projects do not require TIP and STIP entries. Line Item projects are those in which the construction cost is at or below $10,000,000. Although, these projects still require budget requests completed through the Budget Portal.

Request TIP/STIP/HPP entry

- TIP entry – The request for TIP entry should sent to the Transportation Planning Section and itemized according to the criteria identified in the Refine/Develop Cost Phase Estimate verbiage above.
- STIP – The request for STIP entry should be sent to the Transportation Planning Section following TIP approval and itemized according to the criteria identified in the Refine/Develop Cost Estimate verbiage above.
- HPP entry – The request for HPP entry should be sent to the Transportation Planning Section and itemized by Phase and Fiscal Year.

Budget Request Form – This form is used to request the budget required to complete a particular Phase of a project, and to specify whether Federal Funds and/or State Funds will be obligated. Two forms can be attached with this request for justification. For first per Phase authorizations, a Federal Funding Checklist should be attached. Other forms that are commonly attached are Task Orders, Advertisements, and Contracts. The Budget Request Form can be found on the LADOTD Intranet page, or by using the link below.

- Budget Request Form

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Stage 2 Overview *(continued)*

Funding Checklists – When the first request for authorization for a Phase of a project is made, these forms are required. The state funding checklist should only be used when there are no federal fundsutilized in the requested Phase.

- Federal Funding Checklist
- State Funding Checklist

Funding Program Participation – Each project's funding originates from a Funding Program associated with a particular scope of services, or through various state funded bills and fund sources. Each scope of services may contain multiple design disciplines and tasks. Federal Funded Programs contribute either 100%, 90%, or 80% of the overall project fee. State funded sources usually provide 100% of the overall fee unless used as a match source. Local Entities may also provide funding for projects where there is a vested interest. Local Funds can be used as the major funding source, the match percentage, or a percentage of the overall match. The Project Manager, with direction from the Secretary's Office, the Transportation Planning Section (85), and the Project Finance Committee, is responsible for identifying the Funding Program(s) to be used and itemizing the project cost estimates according to the Funding Program (scope of services). The itemized cost estimates are used for inclusion into the Transportation Improvement Program (TIP), State Transportation Improvement Program (STIP), and the Highway Priority Program (HPP).

Funding Sources – Funding Sources are the mechanisms by which project costs are funded and are identified through specific Funding Programs.

Highway Priority Program (HPP) – The Highway Priority Program is a list of projects that LADOTD compiles and submits to the Louisiana Legislature outlining which projects will be let for construction in the next SFY and all other projects to be LET in future years. LADOTD is lawfully required to work only on projects that are listed in the HPP and approved by the Louisiana Legislature. The LaGov System contains a HPP entry tab for each project. The HPP tab should current project costs itemized by Phase, Fund, Fiscal year, and Control Section.

Line Item – "A line item clearly identifies the costs incurred to host planned special events and is useful for policymakers who, when clearly confronted with the magnitude of the funds, will more closely consider the benefits that special events provide to the community versus the costs that are absorbed. For an administration that is interested in understanding how much planned special events cost each year, the line item is a way to motivate those involved in the tracking process to accurately record expenditures and receipts."

> "An effective planned special events line item is a comprehensive forecast of how much the department or municipality expects to spend to host events during the upcoming year. It is the natural next step from cost tracking, because it only requires analyzing the data collected, estimating changes to individual items, and presenting the results clearly." (http://ops.fhwa.dot.gov/publications/fhwahop09028/chap_5.htm)

When a project is covered by a line item, the costs are not required for entry into the TIP and STIP. Line Item projects have a construction budget below $10M.

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Stage 2 Overview *(continued)*

Project Cost Estimate – A Project Cost Estimate is itemized by Phase and identifies all of the items required to plan, environmentally clear, design, and construct a project. The cost estimate usually originates in the Planning Phase, with a Preliminary Cost Estimate generated as a deliverable within the Feasibility Study.

The Project Cost Estimate is revised as a project advances through each Phase. Following the Planning Phase, the estimate is further refined within the NEPA process as Environmental items are identified.

When the project reaches the Pre-Construction Design Phase, design specific criteria drives revisions within the estimate. Usually, a Preliminary and Final Construction Cost Estimate, as well as Real Estate (Property Acquisition) and Utility Relocation estimates are provided.

Shopping Carts – A Shopping Cart is the mechanism by which project funds are encumbered to a particular task on a project. The Shopping Cart provides information regarding Funding Split (relationship between the main fund and the match fund), Fund, Fund Center, and G/L Account to the Contract Processor (CCS Purchase Order Creator). The Contractor Processor then obligates the funds to the project by assigning the amount to a vendor with a particular Purchase Order Number. The Purchase Order Number is provided on each vendor invoice, so that the Invoice Processor can process (pay) the invoice through the LaGov System by that particular PO Number.

- Shopping Cart Order Form

State Transportation Improvement Program (STIP) – The State Transportation Improvement Program is a four year Planning document that details LADOTD's plan of Federal expenditures for projects in the Highway Priority Program (HPP). All planned Federal Fund expenditures must be listed in this document before a Budget Request is requested.

Traffic Management Area – "A Transportation Management Area (TMA) is an area designated by the Secretary of Transportation, having an urbanized area population of over 200,000." (http://www.fhwa.dot.gov/planning/census_issues/archives/mpo_and_tma_definitions/)

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Stage 2 Overview *(continued)*

Transportation Improvement Program (TIP) – "The Federal Aid Highway Program offices, in cooperation with the State Departments of Transportation, administer the nation's comprehensive highway system. The Federal Lands Highway Program (FLHP) covers transportation programs in cooperation with Federal Land Management Agencies (FLMA). It provides transportation engineering services for planning, design, contract administration and construction of highways and bridges providing access to or within federally owned lands. The Federal Lands Highway also provides training, technology deployment, engineering services, and products to other customers."(https://www.transit.dot.gov/regulations-and-guidance/transportation-planning/transportation-planning)

> "The Transportation Equity Act for the 21st Century (TEA-21) required that a Transportation Improvement Plan (TIP) be developed as part of the transportation planning process for Federal Lands." (https://www.transit.dot.gov/regulations-and-guidance/transportation-planning/transportation-planning)
>
> "All projects located within the limits of a Metropolitan Planning Organizations boundaries must be included within the TIP. Every project located in the TIP must be included in the STIP and HPP." (https://www.transit.dot.gov/regulations-and-guidance/transportation-planning/transportation-planning)
>
> Highway Functional Classification:
> http://wwwsp.dotd.la.gov/Inside_LaDOTD/Divisions/Multimodal/Data_Collection/Mapping/Pages/Functional_Class.aspx

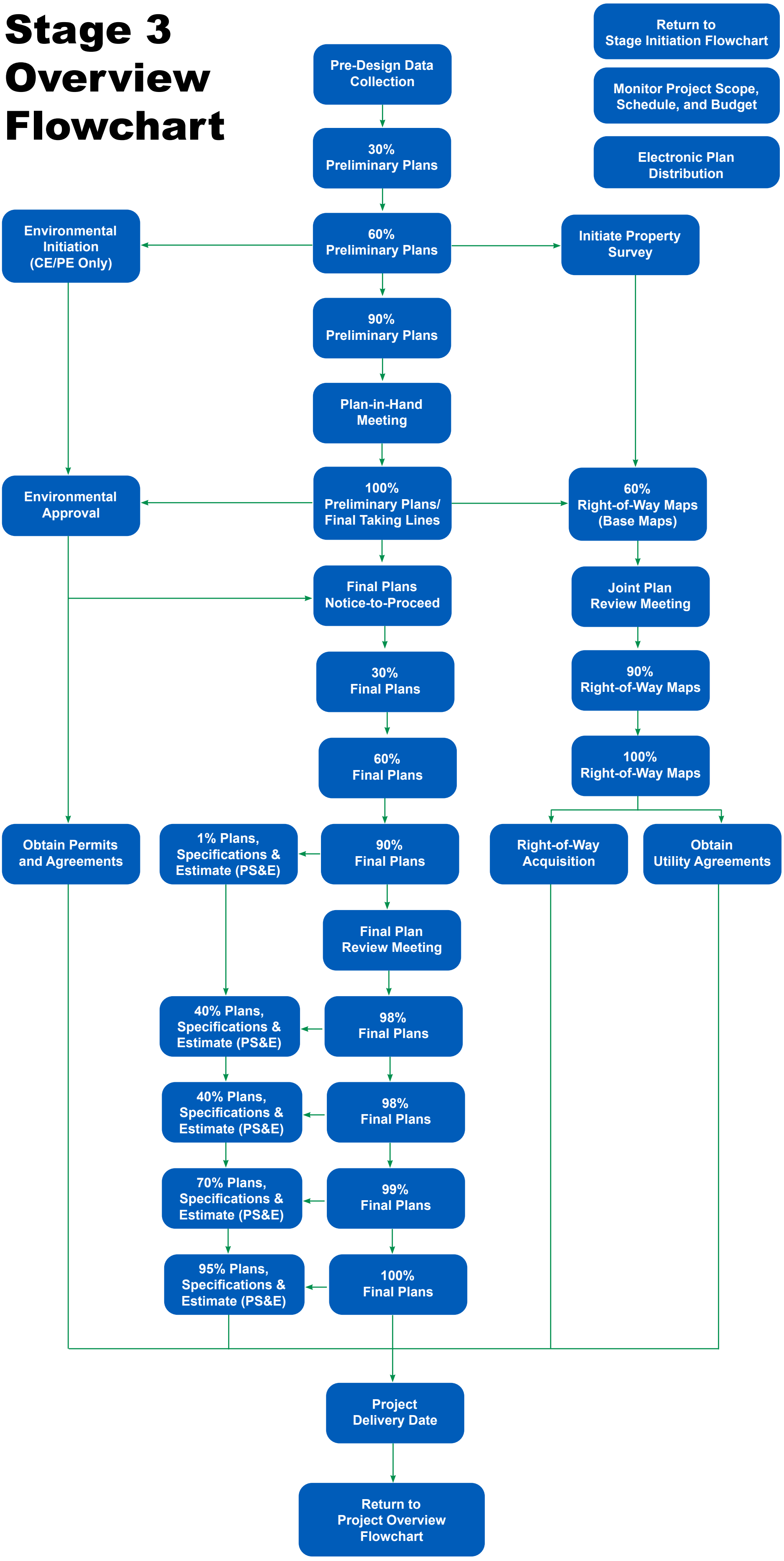
Metropolitan Planning Organization (MPO) – "A Metropolitan Planning Organization is a transportation policy-making organization made up of representatives from local government and transportation authorities. Federal legislation passed in the early 1970s required the formation of an MPO for any urbanized area with a population greater than 50,000. MPOs were created in order to ensure that existing and future expenditures for transportation projects and programs were based on a continuing, cooperative and comprehensive (3-C) planning process. Federal funding for transportation projects and programs are channeled through this planning process."(www.crpc-la.org)

ZFIPBEC – "Project Budget, Expenditure, and Commitment Report is a high level, summarized view of budget, expenditures, and remaining budget for selected funds or capital projects." (http://wwwprd.doa.louisiana.gov/lagov/rpt_desc/fm/ZFIPBEC_Project_Budget_Report.pdf)

100% State Funded Participation – Project budget: Where state funds are obligated towards 100% of a project's cost.

For additional information, refer to the DOTD Project Delivery Manual.

Stage 3 Overview Flowchart



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Stage 3 Overview

Stage 3 is the pre-construction design and plan development stage. Stage 3 includes:

- Development of Final Plans, Specifications, and Construction Cost Estimate
- Right-of-Way Acquisition
- Utility Clearance
- Permit and Agency Agreement Approval

Stage 3 is considered complete when the Project Delivery Date (PDD) is complete.

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Monitor Project Scope, Schedule, and Budget

Project Scope, Schedule, and Budget must be continuously monitored and modified as necessary throughout the duration of the project. The following tasks pertain to this activity:

Project Scope
The Project Scope is the written description of the project objectives to be performed under a contract or subcontract and is typically broken out into specific tasks. Task Managers should provide discipline specific scope to the Project Manager.

- Monitor and Enforce Project Scope
  Monitor the scope throughout the life of the project and ensure that the work being performed is consistent with the established project scope. Evaluate requests to modify the project scope relative to the purpose and need of the project as established in the project planning phase (Stage 0). Modification requests that do not conform to the original purpose and need of the project (i.e. scope creep) may require additional funding sources to be identified. Request approval from the Program Manager to incorporate appropriate modifications.

Project Schedule
The Project Schedule is the document that correlates the scope of services and the time frames in which those services are to be performed.

- Establish, Monitor, and Enforce Project Schedule
  Establish the project schedule, monitor the schedule throughout the life of the project, and ensure that the tasks associated with that schedule are completed within their allotted timeframes. Be in frequent communication with Task Managers to ensure that the schedule is feasible. The schedule should be kept in a critical path method (CPM) type format such that impacts to the schedule can be dynamically evaluated. The dates in LaGov Project Systems must be kept current using the CPM information as they are the basis for the biweekly status meeting reports. If the established schedule cannot be maintained (to the extent that the project letting date must be changed), request approval from the Program Manager and Project Development Division Chief to move the letting date.

Project Budget
The Project Budget is the sum of the funds that have been or will be allocated to cover project development and construction expenses.

- Monitor and Enforce Project Budget
  Monitor the budget throughout the life of the project and ensure that the budget is sufficient to fund project expenses. Be in frequent communication with Task Managers to ensure that they are aware of the financial constraints for both project development and construction and to be aware of any task required budgetary actions. The budget information in the HPP tab in LaGov Project Systems must be kept current. The budget information in the STIP tab in LaGov Project Systems must be correct (within 20%) for the initial phase authorization only. Notify the Program Manager if significant budget modifications are required for any project phase.

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Electronic Plan Distribution

Electronic Plan Distribution is the preferred method of distribution in lieu of hard copy plan sets. The Project Wise Explorer Program is the storage and communication center for electronic plan distribution. LADOTD Consultant Contracts specify that "The Consultant shall upload (or check in) electronic deliverables directly into the DOTD Project Wise repository at each plan delivery milestone". It is the expectation that DOTD in-house staff abide by this delivery method as well. Milestone tasks are as follows, but not limited to:

- Upload CAD plan deliverables to the discipline "Plans" folder.
- Apply and maintain indexing attributes to CAD plans (and other deliverables as needed).
- Publish PDF format plan submittals in Project Wise using automated publishing tools.
- Digitally sign PDF format plan submittals in Project Wise according to DOTD standards and procedures (Final Plans, Revisions and Change Orders). Signatures shall be applied in signature blocks provided with electronic seals and Title Sheets.

DOTD's Information Services Section (Section 13) is responsible for folder procurement and maintaining Consultant privileges within the Project Wise Program. Once a Contract is executed, the Project Manager is responsible for ensuring that each project has a discipline "plans" folder created with privileges associated to it for the tasks required.

Electronic Plan Distribution is facilitated by the "Publish to PDF" feature within iPlot, an add-on program used in conjunction with MicroStation. Information and project specific requirements, such as, control cad reports, cad conform, etc. should be vetted through the DOTD Design Automation Manager in the Road Design Section (Section 24).

A Project Kick-Off Meeting is the appropriate place to discuss electronic delivery expectations with the Consultant, or the DOTD in-house design team.

E-Mail and/or Meeting Invitations through Microsoft Outlook (or equal E-Mail Program) is the preferred conduit for electronic distribution notification. The Project Manager should provide the following items within the e-mail/invitation:

- PDF copy of the distribution memorandum
- Link to the Project Wise folder
- Link to the DOTD Exchange Plans Folder (for those unable to receive Project Wise)
    - o For parties outside of DOTD, the large file transfer is a useful option to ensure all parties have access to the electronic distribution

Provided below are two examples of electronic distribution media, by e-mail and invitation:

- Plan-in-Hand Meeting Invitation and Plans Distribution
- Plan Distribution E-Mail

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Environmental Initiation (CE/PCE Only)

Environmental Initiation is the prompt for the Environmental Section (28) to begin the Environmental Approval process. Environmental Initiation commences during Stage 3 only when processed as an Environmental Exclusion (EE), Programmatic Categorical Exclusion (PCE), or Categorical Exclusion (CE). Projects that are processed by an Environmental Assessment (EA) with an approved Finding of No Significant Impact (FONSI) or an Environmental Impact Statement (EIS) with a Record of Decision (ROD) are approved in Stage 1.

The following tasks occur at this milestone:

- **Environmental Receives the Initiation Request**
  Once the Environmental Initiation Request is received, Environmental Approval is considered to be 1% complete. This request is the initial notification to the Environmental Section (28) that Environmental Approval is needed.

- **Environmental Transmits an Environmental Document Type Determination**
  The Environmental Section (28) will review the submitted documentation, make a determination regarding the type of Environmental Approval Document required, and notify the Project Manager of that determination*. Typically, no work is performed on the actual Environmental Approval at this time.

*If the required document is an EA or and EIS, the Project Manager should immediately request a meeting with the Environmental Section to ensure the determination is correct. If it is correct, Stage 3 work should be suspended and Stage 1 should be initiated.

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Environmental Approval

Environmental Approval is the conclusion of the National Environmental Policy Act (NEPA) process. The actual process can be extensive and is not described herein.

The following tasks pertain to this milestone:

- **Receive Environmental Approval Document from the Environmental Section (28)**
  As applicable, the approved environmental document will contain a summary of mitigations and a list of permits required.

- **Ensure the Summary of Mitigations Is Transmitted to the Design Disciplines**

- **Ensure the Environmental Field Is Marked Approved in Project Systems (PS)**
  This field is maintained by the Environmental Task Manager; however, the Project Manager is responsible for ensuring the information has been entered.

- **Updates to Environmental Document**
  As required by the NEPA process, all Environmental Documents shall be reevaluated every three years. If impacts change, the Project Manager is to consult with Environmental Task Manager concerning the need for additional environmental work (i.e. supplement, re-evaluation).

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Obtain Permits and Agreements

Required permits are as defined by the Environmental Clearance document. Required agreements are as needed to define relationships and responsibilities between DOTD and other public or private entities.

The following tasks pertain to this milestone:

- **Receive Copies of the Approved Permits from the Permit Coordinator**
  Permits are processed through the Environmental Section (28) and are received from various local, state, and federal agencies. These agencies include but are not limited to:
  - o United States Army Corps of Engineers (USACE)
  - o United States Coast Guard (USCG)
  - o Louisiana Department of Environmental Quality (DEQ)
  - o Louisiana Department of Natural Resources (DNR)
  - o Levee Boards

- **Receive Copies of the Approved Rail Road Agreement from the Rail Road Construction Coordinator in the Road Design Section (24)**
  Agreements are processed through the Rail Road Construction Unit and are received from rail road companies. These agreements may be required anytime the project limits include or are adjacent to a rail road.

- **Receive Copies of the Approved Entity Agreements from the Entities**
  The Project Manager is typically responsible for the procurement of these agreements and should work with the Consultant Contract Services group in the Contracts and Specifications Section (80) and the local entities to develop the contract language. Though not technically required for project delivery, these agreements should be developed as soon as reasonably possible; in some cases, these agreements must be in place prior to the initiation of any work.

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1% Plans, Specifications, & Estimate (PS&E)

1% Plans, Specifications, & Estimate is the initiation of the development of the Construction Proposal.

The following tasks occur at this milestone:

- **Contracts and Specifications Receives the 95% Final Plans**
  Once the 95% Final Plans are received, PS&E is considered to be 1% complete. This submittal is the initial notification to Contracts and Specifications Section (80) that the Construction Proposal needs to be developed. Typically, no work is performed on the Construction Proposal at this time.

- **Contracts and Specifications Initiates Development of Special Provisions and Non-Standard (NS) Items**
  The DOTD Specifications and Standards Engineer in the Contracts and Specifications Section (80) receives the Specification Request Forms and initiates the development and approval process for the requested project specific Special Provisions and/or NS Items.

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40% Plans, Specifications, & Estimate (PS&E)

40% PS&E is the first milestone in the development of the Construction Proposal.

The following tasks occur at this milestone:

- **Construction Contracts Receives the 98% Final Plans**
  Once approval letter is obtained from PQU for completion of 98% Final Plans review, the PS&E process can be initiated. Documents for development of contract proposal have been submitted to Construction Contracts Section (80). PS&E is considered to be 40% complete.

- **Contracts and Specifications Initiates Development of the Draft Construction Proposal**
  The Construction Contracts Section assigns the project for review of the submitted design plans and associated documents and preparation of the Draft Construction Proposal.

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70% Plans, Specifications, & Estimate (PS&E)

70% PS&E is the second milestone in the development of the Construction Proposal.

The following tasks occur at this milestone:

- **Draft Construction Proposal Developed**
  The Contracts and Specifications Section (80) develops the Draft Construction Proposal. Once substantially complete, the DOTD Contracts Engineer Manager provides a quality control review of the Draft Construction Proposal.

- **Contracts and Specifications Provides Comments**
  The Construction Contracts Section returns plan comments to the Project Manager that must be addressed to ensure the plans and Construction Proposal are compatible.

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95% Plans, Specifications, and Estimate (PS&E)

95% PS&E is the third milestone in the development of the Construction Proposal and is the final PS&E milestone required for Project Delivery.

The following tasks occur at this milestone:

- **Draft Construction Proposal Complete**
  The Contracts and Specifications Section (80) completes the development of the Draft Construction Proposal and makes it available for review.
    - o Draft Proposals

  Review the draft proposal to ensure that all necessary Special Provisions have been included. Coordinate with the District Project Engineer, Construction Section (40) and the design disciplines to confirm that the contract time, daily road user cost, etc., provided in the proposal are appropriate.

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Pre-Design Data Collection

Pre-Design Data is information that must be obtained before plan development commences. The following tasks pertain to this milestone:

- **Request Traffic Data**
  Request Traffic Data from the Transportation Planning Section (85). This request includes Average Daily Traffic (ADT) and the thirteen FHWA vehicle classification breakdowns.
    - o Request Letter
- **Request Traffic Analysis**
  Request a Traffic Analysis from the Traffic Engineering Management Section (77). The specific analysis required will vary based on the scope of the project. Typical requests may include Intersection Analysis and Roundabout Analysis (for capacity type improvements), Queue Analysis (for Interstate projects), etc.
    - o Request Letter
- **Request Safety Analysis**
  Request a Safety Analysis from the Traffic Safety Section (82). This request includes Crash Data and Abnormal Crash Analysis.
    - o Request Letter
- **Request Pavement Type Selection**
  Request the District to complete the “District Project Information Checklist” in accordance with EDSM II.2.1.11, Pavement Type Selection.
    - o Request Letter
    - o EDSM II.2.1.11
- **Request Topographic Survey and Subsurface Utility Engineering (SUE) Utility Location**
  Request Topographic Survey and SUE Utility Location from the Location and Survey Section (30). Ensure the Road Design Section (24) and Bridge Design Section (25), if applicable, have reviewed the proposed limits of the work and the level of SUE requested. Level C SUE Utility Location is the default level unless requested otherwise; descriptions of the SUE Levels are provided on the SUE Utility Location Request Form. Transmit a project vicinity map and an aerial photograph showing the proposed limits of the work with the request.
    - o Request Letter
    - o Topographic Survey Request Form
    - o SUE Utility Location Request Form
- **Request Hydraulic Analysis**
  For projects where large drainage structures are anticipated (oversized reinforced box culverts and/or bridges), the Bridge Design Task Manager will request Hydraulic Analysis from the Hydraulics Group in the Public Works and Water Resources Section (64). Provide an electronic link (file path) to the directory containing the topographic survey with the request.
    - o Request Letter

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30% Preliminary Plans

30% Preliminary Plans is the first major preliminary plan development milestone.

The following tasks occur at this milestone:

- **Receive 30% Preliminary Plans from Design Disciplines**
  Refer to the Road and Bridge Design Manuals for a list of sheets typically included in this milestone.
    - o Road Design Manual
    - o Bridge Design Manual

- **Request Preliminary Typical Section and Distribute Plans for Review**
  Request the Pavement and Geotechnical Section (67) to provide a Preliminary Typical Section. This request is for the design of the pavement structure. Transmit a copy of the 30% Preliminary Plans and Traffic Data with the request.
    - o Request / Distribution Letter

- **Compile and Distribute Comments to Design Disciplines**

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Stage 3 Overview
Flowchart

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Flowchart

60% Preliminary Plans

60% Preliminary Plans is the second major preliminary plan development milestone. The following tasks pertain to this milestone:

- **Receive 60% Preliminary Plans from Design Disciplines**
  The design disciplines will also transmit:
  - o Drainage Design Calculations
  - o Disposition of comments from the previous plan development milestone
  - o Preliminary Design Report

  Refer to the Road and Bridge Design Manuals for a list of sheets typically included in this milestone.
  - o Road Design Manual
  - o Bridge Design Manual

- **Request Hydraulic Review and Distribute Plans**
  Request the Hydraulics Group in the Public Works and Water Resources Section (64) to review the Drainage Design Calculations and corresponding drainage structures and sizes included in the plans. Transmit the following:
  - o Electronic copy of 60% Preliminary Plans
  - o Drainage Design Calculations
  - o Disposition of comments from the previous plan development milestone
  - o Preliminary Design Report
  - o 60_Preliminary_Plan_Review_Distribution_Letter

- **Request Property Survey**
  Request the Location and Survey Section (30) to initiate the Property Survey and Right-of-Way Map development. Transmit the following:
  - o Electronic copy of 60% Preliminary Plans
  - o Alignment files (.alg) and electronic design file (.dgn) including alignments, limits-of-construction and required right-of-way.
  - o Property Survey Request and 60ROWMAP Letter

- **Request Subgrade Soil Survey**
  Request the District Lab Engineer to provide a Subgrade Soil Survey and pH and Resistivity Analysis. Transmit the following:
  - o Electronic copy of 60% Preliminary Plans
  - o Vicinity Map
  - o Subgrade Soil Request Letter

continued on next page

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60% Preliminary Plans *(continued)*

- **Request Deep Borings**
  Request the Pavement and Geotechnical Section (67) to provide Deep Borings for projects where major culverts (defined in EDSM II.2.1.6 as culverts 72" in diameter or larger or any multiple barrel culverts), bridges, significant fill heights (in excess of 10 feet), MSE Walls, and/or non-standard plan retaining walls are anticipated. Ensure the Road Design Section (24) and Bridge Design Section (25), if applicable, have reviewed the information provided in the Boring Request Form. Transmit the following:
    - o Bridge general plan and/or plan and profile sheets
    - o Vicinity Map
    - o Deep Boring Request Letter
    - o Boring Request Form

- **Request Environmental Initiation**
  Request the Environmental Section (28) to initiate the NEPA and related environmental processes. This request is only required for CE and PCE type environmental classifications where Environmental Approval has not yet been obtained. Transmit the following:
    - o Electronic copy of 60% Preliminary Plans
    - o Alignment files (.alg) and electronic design file (.dgn) including alignments, limits-of-construction and required right-of-way.
    - o Completed Stage 0 Report
    - o Environmental Initiation Request Letter

- **Request Draft Transportation Management Plan (TMP) (Level 3 and 4 TMPs Only)**
  Request a draft TMP for all Level 3 and 4 projects. Refer to the below EDSM for TMP level determination:
    - o EDSM VI.1.1.8 Transportation Management Plan
    - o Example TMP

  Transmit the following:
    - o Electronic copy of 60% Preliminary Plans
    - o TMP Request

- **Request Value Engineering (VE) Study**
  Request a VE Study for all projects with a total project cost of $50 million or more ($40 million or more for bridge projects). Total project cost includes all preconstruction and construction costs. Refer to the link below for the Value Engineering (VE) Study Set-Up.
    - o VE Study Checklist.pdf

  In addition to what's shown for submittal in the VE Study Checklist, transmit the following:
    - o Electronic copy of 60% Preliminary Plans
    - o Value_Engineering_Study_Request

- **Compile and Distribute Comments to Design Disciplines**

Return to Stage 3 Overview Flowchart

Return to Project Overview Flowchart

90% / 95% Preliminary Plans

90% / 95% Final Plans is the third major preliminary plan development milestone. Plans are considered to be 90% when they are received; plans are considered to be 95% when they are distributed. The following tasks occur at this milestone:

- **Receive 90% Final Plans from Design Disciplines**
  The design disciplines will also transmit:
    - o Construction cost estimate
    - o Draft TMP
    - o Road QC/QA Checklist
    - o Bridge QC/QA Checklist
    - o Disposition of of comments from the previous plan development milestone

  Refer to the Road and Bridge Design Manuals for a list of sheets typically included in this milestone.
    - o Road Design Manual
    - o Bridge Design Manual

- **Schedule Plan-in-Hand Meeting and Distribute 95% Plans for Review**
  Coordinate the date and location of the Plan-in-Hand Meeting with the Project Engineer. Transmit blank copies of the Plan-in-Hand Checklist and the disposition of comments along with the plans
    - o Plan-in-Hand Meeting Invitation and Distribution Letter
    - o Plan-in-Hand Checklist

- **Value Engineering (VE) Study**
  Distribute 95% Preliminary Plans to VE Director for use during the VE Study.

- **Request Review of Draft Transportation Management Plan (TMP) (Level 3 and 4 TMPs Only)**
  Request the TMP Coordinator in the Traffic Engineering Section (27) to review and provide comments on the Draft TMP. The TMP Coordinator is responsible for soliciting comments from FHWA and subsequently providing the comments received to the Project Manager. The Project Manager is responsible for transmitting all comments received to the developer of the TMP. Transmit the following:
    - o Draft TMP
    - o TMP_Submittal_Letter_Preliminary_Draft

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Stage 3 Overview
Flowchart

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Plan-in-Hand Meeting

The Plan-in-Hand Meeting is typically the first opportunity for all key individuals to discuss the project as presented in the plans in a group setting. Typically, a field review of the plans at the project site willfollow the office Plan-in-Hand Meeting.

The following tasks pertain to this milestone:

- **Prepare for and Conduct the Plan-in-Hand Meeting**
  Complete the Plan-in-Hand Checklist prior to the meeting to ensure that all potential issues are discussed. Ensure meeting minutes are taken.
    - o Plan-in-Hand Checklist
    - o Sign-in Sheet

- **Distribute Draft Meeting Minutes to Meeting Attendees and Request Comments**

- **Finalize and Distribute Composite Meeting Minutes to Meeting Invitees and Attendees**

- **Compile and Distribute Comments to Design Disciplines**

Return to Stage 3 Overview Flowchart

Return to Project Overview Flowchart

100% Preliminary Plans/Final Taking Lines

100% Preliminary Plans / Final Taking Lines is the formal conclusion of the preliminary plan process.

The following tasks pertain to this milestone:

- **Receive 100% Preliminary Plans from Design Disciplines**
  The design disciplines will also transmit:
    - o Updated construction cost estimate
    - o Final Draft TMP
    - o Finalized design report
    - o Disposition of comments from the previous plan development milestone

  Refer to the Road and Bridge Design Manuals for a list of sheets typically included in this milestone.
    - o Road Design Manual
    - o Bridge Design Manual

- **Request 60% Right-of-Way Maps / Transmit Final Taking Lines and Distribute Plans for Review**
  Request the Location and Survey Section (30) to develop 60% Right-of-Way Maps. Comments are typically not requested unless changes to geometry, right-of-way, etc. have occurred since the Plan-in-Hand Meeting. Transmit the following:
    - o Electronic copy of 100% Preliminary Plans / Final Taking Lines
    - o 100% Preliminary Plans / Final Taking Lines Transmittal

- **Request Design Exceptions/Waivers**
    - o Design Exception Flowchart
    - o Design Exception Request
    - o Design Wavier Request

- **Create AASHTOWare Project Preconstruction (APP) Bid Package**
  Create the APP Bid Package and input the project items, quantities, and costs.
    - o AASHTOWare Project Preconstruction

- **Mark Preliminary Plans Complete in Project Systems (PS)**
  Enter 100 into the “100% Preliminary Plans” milestone field and the date into the corresponding “Actual Date” field.

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Final Plans Notice-to-Proceed

Final Plans Notice-to-Proceed is the formal transition point between Preliminary and Final Plans. Final Plans Notice-to-Proceed cannot be issued until receipt of Environmental Approval.

The following task pertains to this milestone:

- **Transmit Final Plans Notice-to-Proceed Notification**
  Notify the design disciplines that they may proceed with final plan development.
  - o Transmittal Letter

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30% Final Plans

30% Final Plans is the first major final plan development milestone.

The following tasks pertain to this milestone:

- **Receive 30% Final Plans from Design Disciplines**
  Typically, this is a Bridge Plan submittal only. Refer to the Bridge Design Manual for a list of sheets typically included in this milestone.
    - o Bridge Design Manual

- **Formal Plan Distribution Is Not Required**

Return to Stage 3 Overview Flowchart

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60% Final Plans

60% Final Plans is the second major final plan development milestone.

The following tasks pertain to this milestone:

- **Receive 60% Final Plans from Design Disciplines**
  The design disciplines will also transmit:
    - o Foundation Loads
    - o Updated construction cost estimate
    - o Disposition of comments from the previous plan development milestone

  Refer to the Road and Bridge Design Manuals for a list of sheets typically included in this milestone.
    - o Road Design Manual
    - o Bridge Design Manual

- **Distribute Plans for Review**
  The Project Manager should include the disposition of comments in the distribution.Transmit the following:
    - o Electronic copy of 60% Final Plans
    - o Distribution Letter

- **Request Geotechnical Analysis and Design**
  For projects containing major culvert (defined in EDSM II.2.1.6 as culverts 72” in diameter or larger or any multiple barrel culverts), bridges, significant fill heights (in excess of 10 feet), MSE Walls, and/or non-standard plan retaining walls, request the Pavement and Geotechnical Section (67) to perform geotechnical analysis and design. Transmit a copy of the 60% Final Plans with the request.
    - o Request Letter

- **Solicit Construction Engineering and Inspection (CE&I) Participation from the District**
  For all projects, send a request to the District Administrator to determine whether CE&I will be performed by the District or if a consultant will be procured to perform these services.

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90% / 95% Final Plans

90% / 95% Final Plans is the third major final plan development milestone. Plans are considered to be 90% when they are received; plans are considered to be 95% when they are distributed. The following tasks pertain to this milestone:

- **Receive 90% Final Plans from Design Disciplines**
  The design disciplines will also transmit:
  - o Updated construction cost estimate
  - o Updated Final Draft TMP
  - o Project specific Special Provisions Non-Standard (NS) and/or Technical Specification (TS) Items (if applicable)
  - o Road QC/QA Checklist
  - o Bridge QC/QA Checklist
  - o Disposition of comments from the previous plan development milestone

  Refer to the Road and Bridge Design Manuals for a list of sheets typically included in this milestone.
  - o Road Design Manual
  - o Bridge Design Manual

- **Distribute 95% Final Plans and Schedule Final Plan Review Meeting/Constructability Biddability Form**
  Transmit 95% Final Plans combined with one of the following: Coordinate a Final Plan Review Meeting with the Project Engineer, or complete a Constructability/Biddability Review Form. If a Final Plan Meeting is held, the Project Manager will also have to distribute blank copies of the Final Plan Review Checklist, and the disposition of comments. Meeting minutes and disposition of comments from the Final Plan Review Meeting must be kept and transmitted to the Chief Engineer with the Final Plans for signature. Otherwise, if a Final Plan Review Meeting is not held, a Constructability/Biddability Review Form is required. In this case, the completed review form will have to be transmitted to the Chief Engineer with the Final Plans for signature. Transmit the following:
  - o Electronic copy of 95% Final Plan
  - o Final Plan Review Meeting Invitation and Distribution Letter
  - o Final Plan Review Checklist
  - o Constructability/Biddability Review Form

- **Request Processing of Project Specific Special Provisions and Technical Specification Items**
  Request the Plan Quality Administrator in the Contract Services Section (80) to develop and obtain approval for the project specific Special Provisions NS and/or TS Items using the Specification Request Form.
  - o Specification Request

- **Request Final Draft TMP Review (Level 3 and 4 TMPs Only)**
  Request the TMP Coordinator in the Traffic Engineering Development Section (27) to review and provide comments and/or concurrence on the Final Draft TMP.
  - o Request Letter

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90% / 95% Final Plans *(continued)*

- **Update the Transportation Improvement Plan (TIP), Statewide Transportation Improvement Plan (STIP), and Highway Priority Program (HPP) for Construction**
  Send a request to the TIP, STIP, and HPP Coordinators in the Transportation Planning Section (85) to update Project Systems (PS). Ensure that the construction cost estimate is within 30% above or below the amount listed in the LaGov Project Systems STIP tab.
    - o TIP, STIP, and HPP Update Request

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Final Plan Review Meeting

The Final Plan Review Meeting is typically the last opportunity for all key individuals to discuss the project as presented in the plans in a group setting. If appropriate, a field review of the plans at the project site should follow the office Final Plan Review Meeting.

The following tasks pertain to this milestone:

- **Prepare for and Conduct the Final Plan Review Meeting**
  Complete the Final Plan Review Checklist prior to the meeting and use it and the completed Constructability/Biddability Review Form to ensure that all potential issues are discussed. Ensure meeting minutes are taken.
  - o Final Plan Review Checklist
  - o Sign-in Sheet

- **Distribute Draft Meeting Minutes to Meeting Attendees and Request Comments**

- **Finalize and Distribute Composite Meeting Minutes to Meeting Invitees and Attendees**

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98% Final Plans

98% Final Plans is the last major final plan development milestone. All comments should be addressed and the plans should be complete.

The following tasks pertain to this milestone:

- **Receive 98% Final Plans from Design Disciplines**
  The design disciplines will also transmit:
  - o Final TMP
  - o Disposition of comments from the Final Plan Review Meeting
  - o Storm Water Pollution Prevention Plan

- **Finalize AASHTOWare Project Preconstruction (APP) Bid Package**
  Create the APP Bid Package and input the project items, quantities, and costs.
  - o AASHTOWare Project Preconstruction

- **Transmit Plans to Plan Quality Unit**
  Transmit the plans to the Plan Quality Unit (Section 80) along with the following completed form and supplemental information:
  - o Plan Quality Review Submittal Form
  - o Plan Development Required Documentation

  Refer to the Chief's memorandum for guidance on processing plans to Plan Quality Unit.
  - o Chief's Memorandum on Submittal Guidance

- **Transmit Plans for Development of Contract Proposal**
  Once Plan Quality Unit review is complete, transmit the plans* to the Construction Contracts Section (80) along with the following completed forms:
  - o Transmittal Letter
  - o Supplemental Construction Proposal Information Form**

  *Plans may be transmitted as follows:
  - o Full-size sheets (22"x34") marked Final Plans, which are sealed, signed, and dated
  - o Half-size sheets (11"x17") marked 98% Final Plans, which are stamped preliminary.

  **Coordinate with the Construction Section (40) to confirm the contract type to be provided in the proposal.

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98% Final Plans *(continued)*

- **Verify the Construction Amounts in the Statewide Transportation Improvement Plan (STIP), and Highway Priority Program (HPP)**
  Ensure that the construction cost estimate is within 30% above or below the amount listed in the LaGov Project Systems STIP tab. If it is not, construction phase authorization could be jeopardized. If required, send a request to the TIP, STIP, and HPP Coordinators in the Transportation Planning Section (85) to update Project Systems (PS).
    - o TIP, STIP, and HPP Update Request

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99% Final Plans

99% Final Plans is not a formal plan development milestone; rather, it is the time period during which comments received from the Contracts and Specifications Section (80) are addressed and signatures are requested from the Chief Engineer.

The following tasks pertain to this milestone/time period:

- **Receive and Address Comments from Contracts and Specifications**
  Work with the design disciplines to address all comments. Modify plans as necessary and provide corrected information to the Contracts and Specifications Section. Repeat this process as required until the Contracts and Specifications Section have no further comments.

- **Receive Full-Size Stamped and Signed Final Plans**
  If they were not provided at the 98% Final Plan milestone, the design disciplines will provide fullsize stamped and signed Final Plans.

- **Transmit Signature Package to Chief Engineer**
  Provide the Final Plans to the Chief Engineer for signature along with the following documents:
    - o Transmittal Letter “Green Sheet”
    - o Engineer’s Estimate Sheet with AASHTOWare Project Pre-Construction Cost Estimate
    - o Constructability/Biddabilty Review Form (completed at 95% Final Plan Review Meeting)*
    - o QC/QA Documentation (completed at 90% Final Plans milestone)

  *Meeting minutes and disposition of comments from the final plan review meeting may be submitted in lieu of the Constructability/Biddability Review Form.

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100% Final Plans

100% Final Plans is the formal conclusion of the Final Plans process.

The following tasks pertain to this milestone:

- **Receive Signed Final Plans from the Chief Engineer**
  Any other documents that required signature from the Chief Engineer will also be returned.

- **Transmit Signed Final Plans to General Files**
  Transmit the signed Final Plans and Distribution Order Form to the General Files group in the Enterprise Support Services Section (26) for distribution, storage, and further processing.
    - o Transmittal Letter
    - o Transmittal Form

- **Mark Final Plans Complete in Project Systems (PS)**
  Enter 100 into the “100% Final Plans” milestone field and the date into the corresponding “Actual Date” field.

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Initiate Property Survey

The Property Survey is used to establish the existing right-of-way lines within the vicinity of the project.

The following task occurs at this milestone:

- **Location and Survey Receives the Property Survey Request**
  The Location and Survey Section (30) uses the 60% Preliminary Plan submittal to perform Property Title Research and the Property Survey.

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60% Right-of-Way Maps (Base Maps)

60% Right-of-Way Maps (also known as Base Maps) is the first major Right-of-Way Map submittal milestone.

The following tasks pertain to this milestone:

- **Receive 60% Right-of-Way Maps from Location and Survey**
  The Location and Survey Section (30) develops 60% Right-of-Way Maps and transmits them to the Project Manager.

- **Schedule Joint Plan Review (JPR) Meeting and Distribute Maps for Review**
  Coordinate the date and location of the JPR Meeting with the Real Estate and Location and Survey representatives. The 100% Preliminary Plans must be completed and Final Taking Lines must be established prior to the JPR Meeting. Transmit the following:
    - o Electronic copy of 100% Preliminary Plans
    - o Electronic copy of 60% ROW Maps
    - o JPR Meeting Invitation and Distribution Letter

  Within the JPR Invitation, the Right-of-Way Section (23) and the Utility Group in the Road Design Section (24) are requested to provide Preliminary Cost Estimates.

- **Update the Transportation Improvement Plan (TIP), Statewide Transportation Improvement Plan (STIP), and Highway Priority Program (HPP) for Real Estate and Utilities**
  After Preliminary Cost Estimates have been received, send a request to the TIP, STIP, and HPP Coordinators in the Transportation Planning Section (85) to update Project Systems (PS).
    - o TIP, STIP, and HPP Update Request

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Stage 3 Overview
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Joint Plan Review Meeting

The Joint Plan Review (JPR) Meeting is an opportunity for all key individuals to ensure the Construction Plans and Right-of-Way Maps correlate and are appropriate.

The following tasks pertain to this milestone:

- **Attend the Joint Plan Review Meeting**
  The Location and Survey representative will conduct the JPR Meeting. The Project Manager is responsible for taking meeting minutes. The Plan-In-Hand Meeting must be completed and Final Taking Lines must be established prior to the JPR Meeting.

- **Distribute Draft Meeting Minutes to Meeting Attendees and Request Comments**

- **Finalize and Distribute Composite Meeting Minutes to Meeting Invitees and Attendees**
  The Location and Survey Representative will initiate development of the 90% Right-of-Way Maps upon receipt of the JPR Meeting Minutes.

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Stage 3 Overview
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90% Right-of-Way Maps

90% Right-of-Way Maps is the second major Right-of-Way Map submittal milestone.

The following tasks pertain to this milestone:

- **Location and Survey Develops 90% Right-of-Way Maps**
  The Location and Survey Section (30) develops 90% Right-of-Way Maps for internal review. Once the 90% Right-of-Way Maps are acceptable they are considered to be 100%.

- **Formal Distribution is Not Required**

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100% Right-of-Way Maps

100% Right-of-Way Maps is the conclusion of the Right-of-Way Map development process.

The following tasks pertain to this milestone:

- **Receive 100% Right-of-Maps from Location and Survey**

- **Request Final Real Estate and Utility Cost Estimates**
  Request the Real Estate Section (23) and the Utility Group in the Road Design Section (24) to provide Final Cost Estimates.
    - o Real Estate Cost Estimate Request Letter
    - o Utility Cost Estimate Request Letter

- **Update the Transportation Improvement Plan (TIP), Statewide Transportation Improvement Plan (STIP), and Highway Priority Program (HPP) for Real Estate and Utilities**
  After Final Cost Estimates have been received, send a request to the TIP, STIP, and HPP Coordinators in the Transportation Planning Section (85) to update Project Systems (PS).
    - o TIP, STIP, and HPP Update Request

- **Request Funding for the Real Estate and Utility Phases**
  Use the Budget Request Form to submit the Funding Authorization Request. For federally funded projects, attach a copy of the completed Federal Authorization Checklist.
    - o Federal Authorization Checklist
    - o Budget Request Form

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Right-of-Way Acquisition

Right-of-Way Acquisition is the process by which all temporary and permanent servitudes and permanent property procurements are accomplished. The actual process can be extensive and is not described herein.

The following tasks pertain to this milestone:

- **Receive All Right-of-Way Commitments from the Real Estate Section (23)**
  During the course of Right-of-Way Acquisition, agreements may be made with property owners which must be accommodated by the plans.

- **Ensure the Summary of Commitments Is Transmitted to the Design Disciplines**

- **Receive Right-of-Way Clearance Letter from the Right-of-Way Section (23)**

- **Ensure the Right-of-Way Field Is Marked Complete in Project Systems (PS)**
  This field is maintained by the Right-of-Way Task Manager; however, the Project Manager is responsible for ensuring the information has been entered.

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Obtain Utility Agreements

Utility Agreements establish the mechanisms by which all utilities affected by the project will be remediated. The actual process can be extensive and is not described herein.

The following tasks pertain to this milestone:

- **Receive Utility Clearance Letter from the Utility Relocation Administrator in the Road Design Section (24)**

- **Ensure the Utility Field is Marked Complete in Project Systems (PS)**
  This field is maintained by the Utility task manager; however, the Project Manager is responsible for ensuring the information has been entered.

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Project Delivery Date (PDD)

The Project Delivery Date (PDD) is the conclusion of the Stage 3 Development Process.

The following are required for PDD to be complete:

- **Signed Final Plans in General Files**
- **Environmental Approval**
- **Right-of-Way Acquisition Complete**
- **Utility Agreements Signed**
- **Permits Acquired**
- **Final Draft Transportation Management Plan (TMP) Developed (Level 3 and 4 TMP's only)**

The following tasks pertain to this milestone:

- **Request Funding Authorization**
  Use the Budget Request Form to submit the Funding Authorization Request. For federally funded projects, attach a copy of the completed Federal Authorization Checklist. For state-only state funded projects, the state authorization checklist should be utilized instead. For Phase 6 assumed projects (state or local delegated oversight), attach a copy of the Chief Engineer signed title sheet. Plans, Specification and Estimate (PS&E) is required to be at 95% for funding request.
  o Federal Authorization Checklist
  o State Authorization Checklist
  o Budget Request Form

- **Transmit PS&E Package to FHWA**
  For Phase 6 Projects of Division Interest (PODI) (full federal oversight) only, after submitting the Budget Request Form, transmit the PS&E package to FHWA. Ensure that the PODI Agreement for Construction has been signed and returned to FHWA. The PS&E package should consist of the following:
  o Signed Half-Size Final Plan Set
  o Final Draft Construction Proposal
  o Final TMP (Level 3 and 4 TMPs only)
  o Construction Cost Estimate (from AASHTOWare Project Preconstruction)
  o Disposition of all Final Plan Comments

Note: The Notice of Intent (NOI) is no longer submitted prior to letting. See the Stage 4 Overview for NOI submittal requirements.

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Stage 4 Overview

Stage 4 (Letting) includes all activities that occur between project delivery and execution of the construction contract. The majority of the Stage 4 tasks are the responsibility of the Contracts and Specifications Section (80); however, notable Stage 4 tasks for which the Project Manager is responsible or should be aware are described below:

- **Federal Authorization**
  Federal Authorization, which is requested in Stage 3, is formal federal approval that enables federal funds to be expended on a construction project. Federal Authorization is required for all projects that utilize federal construction funding.

- **Contract Advertisement**
  The Contracts and Specifications Section (80) will advertise a construction contract for contractor review and bidding for a minimum of twenty-eight calendar days. In some cases, with the permission of the Chief Engineer, a shorter advertisement period of no less than twenty-one calendar days may be allowed. Contract Advertisement may not occur prior to obtaining federal authorization.

- **Falcon Questions and Answers**
  Falcon is the DOTD electronic plans distribution program. Contractors access construction contract documents, including the contract proposal, final plans, plan revisions, and other contract addenda, through Falcon. Additionally, the contractor can make construction contract related inquiries to DOTD through the Falcon system. The DOTD Project Manager shall, with the help of the Project Engineer and Task Managers as appropriate, respond to questions through this system. The Project Manager is ultimately responsible for the content of the response and shall not delegate this responsibility to a third party. DOTD is not required to respond to Falcon questions posed within 72 hours of project letting. If the response to a question necessitates a change to the contract documents, the Project Manager should initiate a plan revision and/or contract addendum to address he issue. If the required changes will affect the letting date, the Project Manager shall request a Letting revision from the Chief Engineer. The Falcon question and answer module is intended to provide clarity concerning the contract documents. The following general guidance shall govern responses to Falcon questions:
    - o All contractor inquiries must be made through the Falcon system; Project Managers shall not respond to direct inquiries from any interested parties.
    - o Responses to Falcon questions shall not be used to correct or contradict the contract documents.
    - o Questions that do not seek clarification of contract documents or add constructive information to the bid process should not be posted and responses to such questions should not be provided. Seek approval and concurrence from the corresponding Section Head prior to declining to post or respond to a Falcon question.
    - o Project Managers may post and respond to their own Falcon questions to provide additional clarification to contract documents.

  The Falcon system can be accessed from the DOTD internet.
    - o Falcon

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Stage 4 Overview *(continued)*

- **Plan Revisions**
  Changes to construction plans prior to letting are considered Plan Revisions. For more information regarding Plan Revisions, see EDSM I.1.1.28.

- **Bid Opening (Letting)**
  Projects are let for construction at DOTD Headquarters on the second Wednesday of each month. Occasionally, when there are extenuating circumstances, a secondary letting may be held. Letter bid projects are let through the District Offices and do not coincide with Headquarter lettings. Following bid opening, responsive bidders and their bids, including the apparent low bid, can be found on the LADOTD website.
    - o Bid Results

- **Bid Review**
  The Project Manager shall review the bid tabulations for the apparent low bidder and request that the Task Managers review the bid as well. The Project Manager should also request a bid review analysis from the Value Engineering and Cost Estimate Direction in the Project Management Section (34). The purpose of these reviews is to ensure that major cost contributing items, which are defined as items that make up 80% of the project cost, are free from significant material or cost imbalances, quantity discrepancies, and hidden costs. Subsequently, Project Managers shall complete the bid review form, recommend award or rejection, and receive concurrence from his supervisor, and approval from the Program Manager*. The completed bid review form shall be submitted to the Project Control group in the Contracts and Specifications Section (80).
    - o Bid Review Form
    *Approval from the Program Manager is required when the bid amount differs substantially from the cost estimate.

- **Contract Execution**
  The construction contract is executed upon signature by both the winning bidder and DOTD.

- **Notice of Intent (NOI) Form***
  After contract execution, complete the Notice of Intent (NOI) Form and upload it to ProjectWise. Transmit the NOI Form to the Construction Audit group in the Construction Section (40) in accordance with requirements provided in the NOI Form. Use the Rainfall Erosivity Factor Calculator on the EPA website to determine the erosivity factor; use the contact information on the LDEQ website to determine the LDEQ Regional Office.
    - o Notice of Intent Form
    - o Erosivity Factor Calculator
    - o LDEQ Contact Information
    *The NOI Form is only required when the area being disturbed by the project exceeds one acre.

For additional information, refer to the DOTD Project Delivery Manual.

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Stage 5 Overview

Stage 5 (Construction) includes all activities that occur between execution of the construction contract and final acceptance. The majority of the Stage 5 tasks are the responsibility of the District Project Engineer; however, notable Stage 5 tasks for which the Project Manager is responsible or should be aware are described below:

- **Change Orders**
  Changes to construction plans after project letting are considered change orders. For more information regarding change orders, see EDSM I.1.1.28 and EDSM III.1.1.1

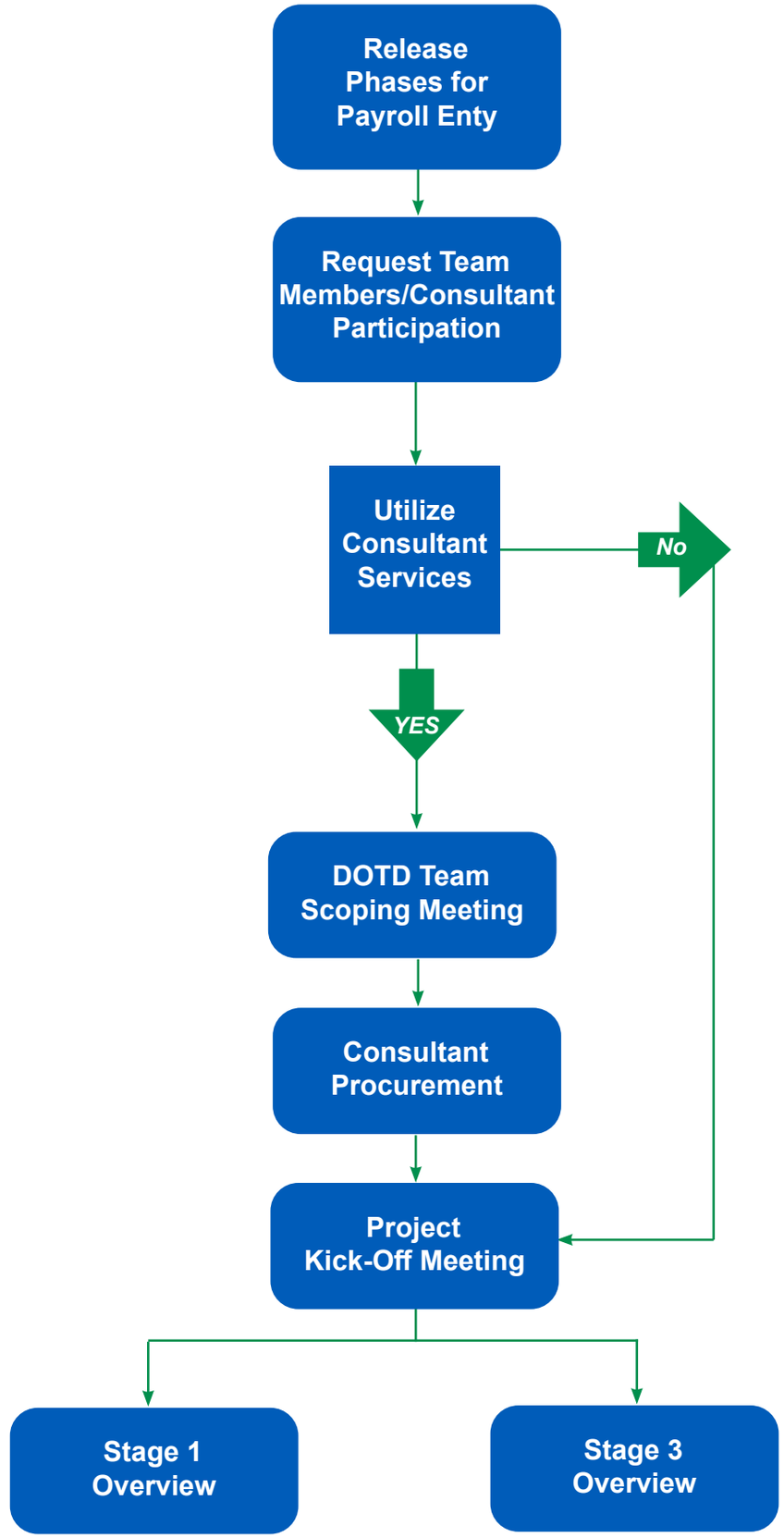
  Change orders may require additional funding for services not included in the original proposal. If funding is required, the Project Engineer will send a request for budget procurement to the Project Manager. This budget request will serves as a Modification to the Existing Authorization.
  o Budget Request Form

Following the conclusion of construction activities on a project, the Project Engineer verifies that all items set forth in the construction plans and proposal have been completed. The Project Engineer drafts a Final Acceptance Letter to be signed by the Chief Engineer written to the project files. The Project Manager is provided a copy of this letter.

For additional information, refer to the DOTD Project Delivery Manual.

Stage Initiation Flowchart

Return to Project Overview Flowchart



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Stage Initiation
Flowchart

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Stage Initiation

Stage Initiation is the sum of activities required to begin Stage Development.

Stage Initiation includes:

- **Scope of Services Determination**
- **Identification of Design Specific Disciplines Involved**
- **Procurement of In-House Task Managers**
- **Procurement of Consultant Services (as Required)**

Stage 1 Initiation involves the activities that are required prior to the start of the environmental approval process for Environmental Assessments (EA) and Environmental Impact Statements (EIS). The Environmental Approval Process for Categorical Exclusions (CE) and Programmatic Categorical Exclusions (PCE) are performed in-house, concurrently with the Stage 3 Development Process, and are covered therein.

Stage 3 Initiation involves the activities that are required prior to the start of Pre-Construction Design and Plan Development.

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Release Phases for Payroll Entry

Releasing Phases for Payroll Entry allows DOTD personnel to charge payroll to a specific project.

The following task pertains to this milestone:

- **Request to Release Phases for Payroll Entry**
  Submit a Budget Request Form to release each project phase. To release all phases at once, select Construction in the Phase Field, enter zero in the Increase Field, and request that all phases be released for payroll entry in the Justification/ Comments Field.
    - Budget Request Form

Return to Stage Initiation Flowchart

Return to Project Overview Flowchart

Request Team Members / Consultant Participation

Request Team Members / Consultant Participation to determine which disciplines and team members will be involved in the project.

The following task pertains to this milestone:

- **Identify Required Disciplines**
  Determine which sections are anticipated to provide services for the project.

- **Request Team Members and Determine Consultant Participation**
  Request the Section Head of each previously identified section to provide a Task Manager for the project and advise whether the required services will be performed in-house or by a consultant.
    - Team Member Request Form

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Stage Initiation
Flowchart

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Utilize Consultant Services

Not all disciplines will utilize consultants for a particular project or stage. In most cases, there will be a combination of consultant and in-house participation. When consultants are utilized, the “YES” option should be followed. Disciplines that may require consultant services include, but are not limited to, the following:

- **Stage 0**
  Transportation Planning Section (85)
  Traffic Engineering Management Section (77)

- **Stage 1**
  Environmental Section (28)
  Traffic Engineering Management Section (77)

- **Stage 3**
  Real Estate Section (23)
  Road Design Section (24) – Includes Utilities and Rail Road
  Bridge Design Section (25) – Includes Electrical and Mechanical
  Location and Survey Section (30)
  Public Works and Water Resources Section (64)
  Pavement and Geotechnical Section (67)
  Traffic Engineering Management Section (77)

- **Stage 5**
  District (02, 03, 04, 05, 07, 08, 58, 61, and 62) – Construction Engineering and Inspection (CE&I)
  Road Design Section (24) – Includes Utilities and Rail Road
  Bridge Design Section (25) – Includes Electrical and Mechanical
  Construction Section (40)

Return to
Stage Initiation
Flowchart

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Project Overview
Flowchart

DOTD Team Scoping Meeting

The DOTD Team Scoping Meeting is used to explain the overall project intent to the DOTD project team and to confirm which disciplines will be involved in the project.

The following tasks pertain to this milestone:

- **Schedule and Conduct Meeting**
  The Project Manager shall schedule and conduct a Scoping Meeting with all of the applicable Task Managers.

- **Determine Initial Scope of Services for the Project**
  The Task Managers will use this meeting as a source to aid in further refinement of their discipline specific scope of services. Once completed, the Task Managers will provide their respective scope of services to the Project Manager.

Return to Stage Initiation Flowchart

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Project Kick-off Meeting

The Project Kick-Off Meeting is used to establish the general project parameters and to disseminate relevant information to all parties involved.

The following task pertain to this milestone:

- **Schedule and Conduct the Project Kick-Off Meeting**
  Schedule the Project Kick-Off Meeting and ensure all of the appropriate parties and stakeholders are invited. The Project Manager is responsible for preparing for, conducting, and taking meeting minutes; for consultant projects the consultant assumes these responsibilities.
    - o Project Kick-Off Meeting Invitation
    - o Reconnaissance Evaluation / Pre-Design Planning Conference Form (Stage 3 Only)

  Discussion at the meeting should include, but not be limited to the following:
    - o Functional Classification/Design Standards
    - o Scope of Services
    - o Project Schedule
    - o Project Budget
    - o QC/QA Procedure
    - o Invoicing (for consultant projects)
    - o Ratings (for consultant projects)
    - o Expectations (for consultant projects).

Consultant Procurement Flowchart

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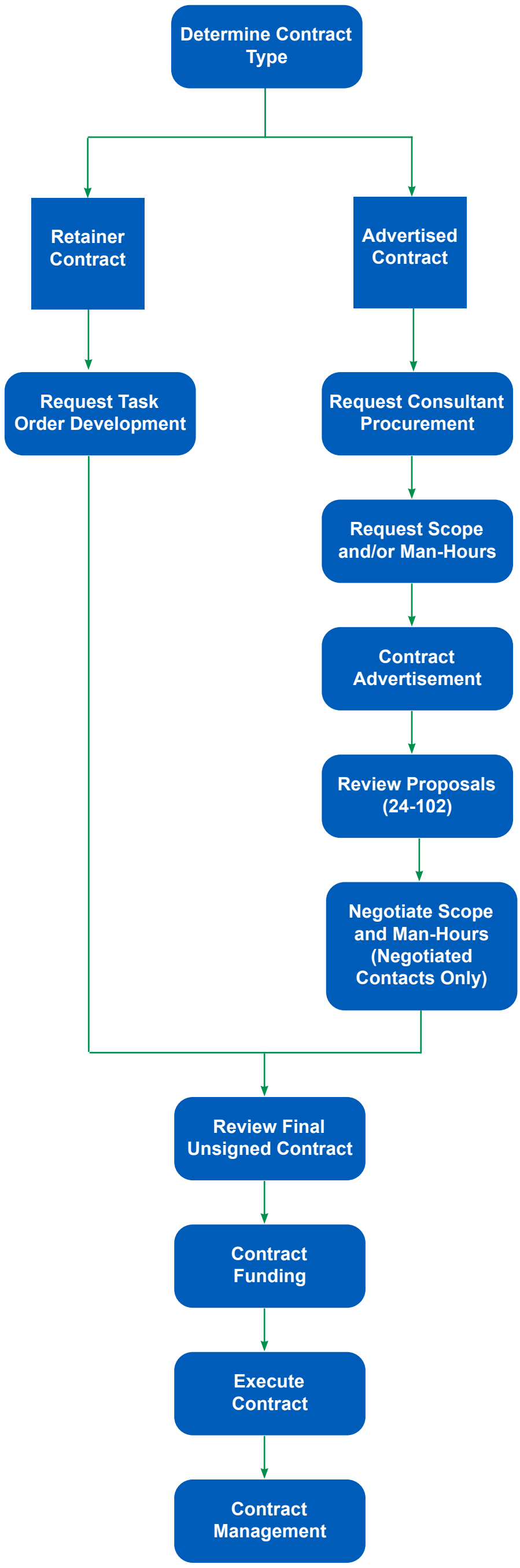

Return to Consultant Procurement Flowchart

Consultant Procurement

Consultant Procurement is the process used to hire independent consultants to provide DOTD with discipline specific services for project tasks.

Return to Project Overview Flowchart

In addition to the information contained in this flowchart, reference the following technical flowcharts for additional information:

- Procuring Title 48 Consultant Contracts (Retainer Contracts/Task Orders) Process
- Procuring Title 48 Consultant Contracts (Standard/Non-Retainer Contracts) Process

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Determine Contract Type

There are multiple contract types which may be appropriate depending on the scope and timeframe for the project. The Project Manager is responsible for working with the design disciplines to determine the best contract type and procurement strategy for the consultant services required.

Available contract types are as follows:

- **Non-Negotiated Lump Sum**
- **Negotiated Lump Sum**
- **Non-Negotiated Cost Plus with Fixed Fee**
- **Negotiated Cost Plus with Fixed Fee**

Negotiated contract fees are established using audited billable salary rates. Non-Negotiated contract fees are established using statewide average salary rates. All contract supplements and extra work letter fees are established using audited billable salary rates. Reference the Consultant Contract Services Manual for additional information regarding contract types.

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Retainer Contract

Retainer Contracts are contracts with consultants who have been preselected to perform future work. Several design disciplines have existing Retainer Contracts that they may choose to utilize on any given project. When utilized, it is not necessary to advertise for the services for the corresponding design discipline.

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Request Task Order Development

The Task Order is the contract mechanism by which the design specific services are procured when a Retainer Contract is utilized.

The following task pertains to this milestone:

- Request Task Order Development
  The Task Manager in the design discipline is responsible for developing the scope of services and preparing and negotiating man-hours and direct expenses as applicable. The Task Manager will request preparation of the task order contract from the Consultant Contract Services Group in the Contract Services Section (80). Once the draft contract has been developed and reviewed, the Task Manager will notify the Project Manager that funding is required.
    - o Task Order Request Memorandum

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Advertised Contract

Advertised Contracts are used to procure consultant services for a specific project. The Project Manager is responsible for preparing the advertisement request, which should include all services required for the project that are not being performed either in-house or through a task order under a retainer contract.

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Request Consultant Procurement

Prior to advertising for consultant services, the Project Manager must solicit approval from the appropriate authority in accordance with Revised Statute 48:286.

The following task pertains to this milestone:

- **Request Permission for Consultant Procurement**
  Develop a request memorandum for the use of consultant services. The memorandum should reference the applicable portion of the revised statutes and be addressed to either the Chief Engineer, Assistant Secretary for Operations, Assistant Secretary for Planning and Programming, or the Assistant Secretary for Public Works, Hurricane Flood Protection, and Intermodal Transportation as appropriate. The memorandum must be recommended for approval by the Section Head prior to transmitting it to the Approving Authority.
    - o Revised Statute 48:286
    - o Request for Consultant Procurement

Return to Consultant Procurement Flowchart

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Request Scope and/or Man Hours

The Scope of Services and Man-Hours are the basis for the language and fees associated with a consultant contract.

The following task pertains to this milestone:

- Request Scope of Services and/or Man-Hour and Direct Expense Estimates
  Solicit (typically via email) a scope of required services and man-hour / direct expense estimate from each Task Manager who is responsible for a design aspect of the project. Include any project related information that may aid the Task Manager in this task. The HCPC (Highway Construction Proposal Costs System) software is a tool that can be used to develop man-hour estimates.
    - o HCPC – User Manual

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Contract Advertisement

The Consultant Contract Services Group (CCS) in the Contracts and Specifications Section (80) is responsible for preparing the advertisement for consultant services.

The following tasks pertain to this milestone:

- **Request Development of Advertisement**
  Compile the scope of services from the Task Managers into one document. Submit the scope of services along with the following information required for the preparation of the advertisement to CCS.
  - o Request Letter
  - o Advertisement Request Form
  - o Evaluation Team Member Request Form
  - o Approval to Procure Consultant Services

- **Review Draft Advertisement**
  Once completed, CCS will transmit the draft advertisement to the Project Manager (or Contract Requestor) for review and comment. Review the advertisement and solicit review of the advertisement from all appropriate parties (Task Managers, Entities, Stakeholders, etc.) then return all comments to CCS. Repeat this process as necessary until concurrence on the advertisement has been received from all parties.

- **Request Contract Funding (Non-Negotiated Contracts Only)**
  For non-negotiated contracts only, the Project Manager should request contract funding once the final fee has been determined and the draft advertisement has been received; the Project Manager should also request that CCS develop the draft contract such that it can be available for immediate execution once the consultant has been selected. For negotiated contracts, the contract fee cannot be determined until after scope, man-hours, and direct expenses have been determined. Refer to the Contract Funding milestone for additional information.

- **Contract Advertisement**
  CCS will advertise the request for services on their website and subsequently receive proposals (24-102 Forms) from consultants. If changes to a contract advertisement are required during the advertisement period, CCS can issue an addendum to the advertisement. If the changes are substantial, it may be appropriate to issue a time extension as a part of the addendum; all proposals must be received prior to the established deadline. Once received, CCS will perform a cursory review to verify that all proposals are responsive to the advertisement.

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Review Proposals (24-102)

Consultant proposals in response to DOTD advertisements are submitted using DOTD Form 24-102. These forms contain the consultant qualifications requested in the advertisement and are used by the Consultant Contract Services Group (CCS) in the Contracts and Specifications Section (80) and the selection team to evaluate and score the consultant proposals.

The following tasks pertain to this milestone:

- **Schedule Meeting with the Evaluation Team**
  After receiving the 24-102 Forms from CCS, meet with the evaluation team to go over the evaluation criteria. CCS should provide some guidance regarding the review of the proposals that may be beneficial to cover in the meeting.

- **Review Proposals**
  Although previously checked by CCS, proposals should be reviewed to ensure that they are responsive to the minimum personnel requirements and any other pertinent requirements of the advertisement. Any concerns regarding responsiveness should be brought to the attention of the CCS Administrator. At minimum, the evaluation team is responsible for assigning firm and staff scores in accordance with R.S. 48:293; occasionally the evaluation team may be required to perform additional tasks in accordance with the requirements of the advertisement.

- **Compile Firm and Staff Scores and Submit to CCS**
  After assigning firm and staff scores to the proposals as appropriate, each evaluation team member will submit their scores to the Project Manager (or Contract Manager) who will compile and transmit them to CCS.

- **Review and Initial the Shortlist**
  Using the submitted scores along with the other evaluation criteria, CCS will numerically rank the proposing firms and shortlist the top three accordingly. Each member of the evaluation team must review and initial the shortlist. The shortlist is provided to the Secretary who will make the consultant selection using the information provided by the evaluation team.

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Negotiate Scope and Man-Hours (Negotiated Contracts Only)

For negotiated contracts, where advertisements contain only a general scope of services, the actual detailed scope of services and corresponding man-hours and direct expenses must be negotiated with the selected consultant.

The following tasks pertain to this milestone:

- **Schedule Scoping Meeting with Selected Consultant**
  Schedule a scoping meeting with the selected consultant, Task Managers, and applicable entities and stakeholders. This meeting should be used to refine the scope of services by providing an interactive setting to discuss the project requirements and objectives. After the meeting, the consultant should provide DOTD with a detailed scope of services based on the advertisement.

- **Negotiate Scope of Services**
  Review the submitted detailed scope of services and solicit review and comment from the Task Managers and applicable entities and stakeholders. Work with the consultant to incorporate all comments and repeat this process as necessary until all parties are in concurrence on the scope of services.

- **Negotiate Man-Hours and Direct Expenses**
  Once the scope of services has been established, corresponding man-hours and direct expenses, if applicable, must be developed. The consultant and DOTD team must both independently develop man-hours and direct expenses based on the scope. For additional information concerning negotiation procedures refer to the CCS Manual.
    - o CCS Manual (Section 4.4 – Negotiation Procedure)

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Consultant Procurement
Flowchart

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Flowchart

Review Final Unsigned Contract

Following the selection of a consultant for a non-negotiated advertisement, the completion of negotiations for a negotiated advertisement, or the development of a task order under a retainer contract, the Consultant Contract Services Group (CCS) in the Contracts and Specifications Section (80) will draft and provide a final contract for review and signature.

The following task pertains to this milestone:

- **Review the Final Unsigned Contract**
  Review the language and compensation in the final unsigned contract provided by CCS. Provide copies of the contract to the Task Managers and appropriate entities and stakeholders for their review and comment. For task order contracts, this will typically be done by the Task Order Manager. Provide all comments to CCS for incorporation. After concurrence has been received from all parties, including the consultant, CCS will obtain the requisite signatures on the contract document.

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Contract Funding

Contract Funding is required prior to the execution of the contract. Due to the extended time frames associated with several of the tasks below, each task should be performed and funding should be requested as soon as possible. Reference the Stage 2 Flowchart for additional information regarding the procurement of funding.

The following tasks pertain to this milestone:

- **Review and Update the Transportation Improvement Plan (TIP) and State Transportation Improvement Plan (STIP)**
  For the initial authorization of a project phase, the amount listed in the STIP and TIP must be within 20% of the amount being requested for the initial authorization only. Review the STIP document to ensure that the amount and the fiscal year are correct.
    - o STIP Documents and Amendments
    - o STIP / TIP Update Request

  If the information in the STIP needs to be modified, send a modification request to the STIP Coordinator in the Transportation Planning Section (85); the request should contain the revised amount and fiscal year as applicable. If the project is located within the jurisdiction of a Metropolitan Planning Organization (MPO), the TIP must be modified as well. If required, the modification request should be sent to the TIP Coordinator as well. It may take an extended period of time for a TIP modification to occur.
    - o List of Metropolitan Planning Organizations

  Note: The STIP and TIP are only required to be updated for the initial federal authorization of a project phase. They are not updated when modifications are made to an existing federal authorization. When only state funds are being used, it is not necessary to request an update to the STIP or TIP.

- **Review and Update the Highway Priority Program (HPP) Information LaGov Project Systems**
  The HPP reflects the total of the expended and the anticipated funds required for the various project phases. It should be kept up to date at all times for the duration of the project. If the information needs to be modified, send a modification request to the HPP Coordinator in the Transportation Planning Section; the request should contain the revised total amount for the corresponding project phase.
    - o HPP Update Request

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Contract Funding *(continued)*

- **Submit Budget Request**
  After the STIP, TIP, and HPP have been updated, use the Budget Request Portal to request funding in the amount of the draft contract. A copy of the final unsigned contract should be uploaded and attached to the budget request. If the request is also the first request under a project phase, the Federal Authorization Checklist must also be attached. If the contract is using state funds only, the state authorization checklist should be utilized instead. If the project is a Project of Division Interest (PODI) for the Phase being authorized, ensure that the PODI Agreement for Design has been signed and returned to FHWA.
    - o Budget Request Form
    - o Federal Authorization Checklist
    - o State Authorization Checklist

- **Request Shopping Cart**
  After the budget has been approved, an email will be sent to the requestor by the Budget Section (38). Once received, a shopping cart request form should be completed and given to an individual with privileges in LaGov to complete a shopping cart (typically the administrative assistant in each section will have sufficient privileges to process the request). Once submitted, the contract processor in the Consultant Contract Services Group in the Contracts and Specifications Section (80) will convert the shopping cart into a purchase order. Once created, the CCS contract processor shall provide the purchase order number to the Project Manager (or Contract Manager). The purchase order is the mechanism used to encumber funding to the contract and must be in place to process and pay invoices.
    - o Shopping Cart Request

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Execute Contract

The Consultant Contract Services Group in the Contract Services Section (80) will issue a Notice-to-Proceed (NTP) to the consultant after all requisite signatures have been obtained, federal authorization has been received (if applicable), and contract funding has been established and encumbered to a purchase order. The NTP is the directive for the consultant to begin work. The consultant cannot submit an invoice for work performed prior to the NTP date.

Contract Management Flowchart

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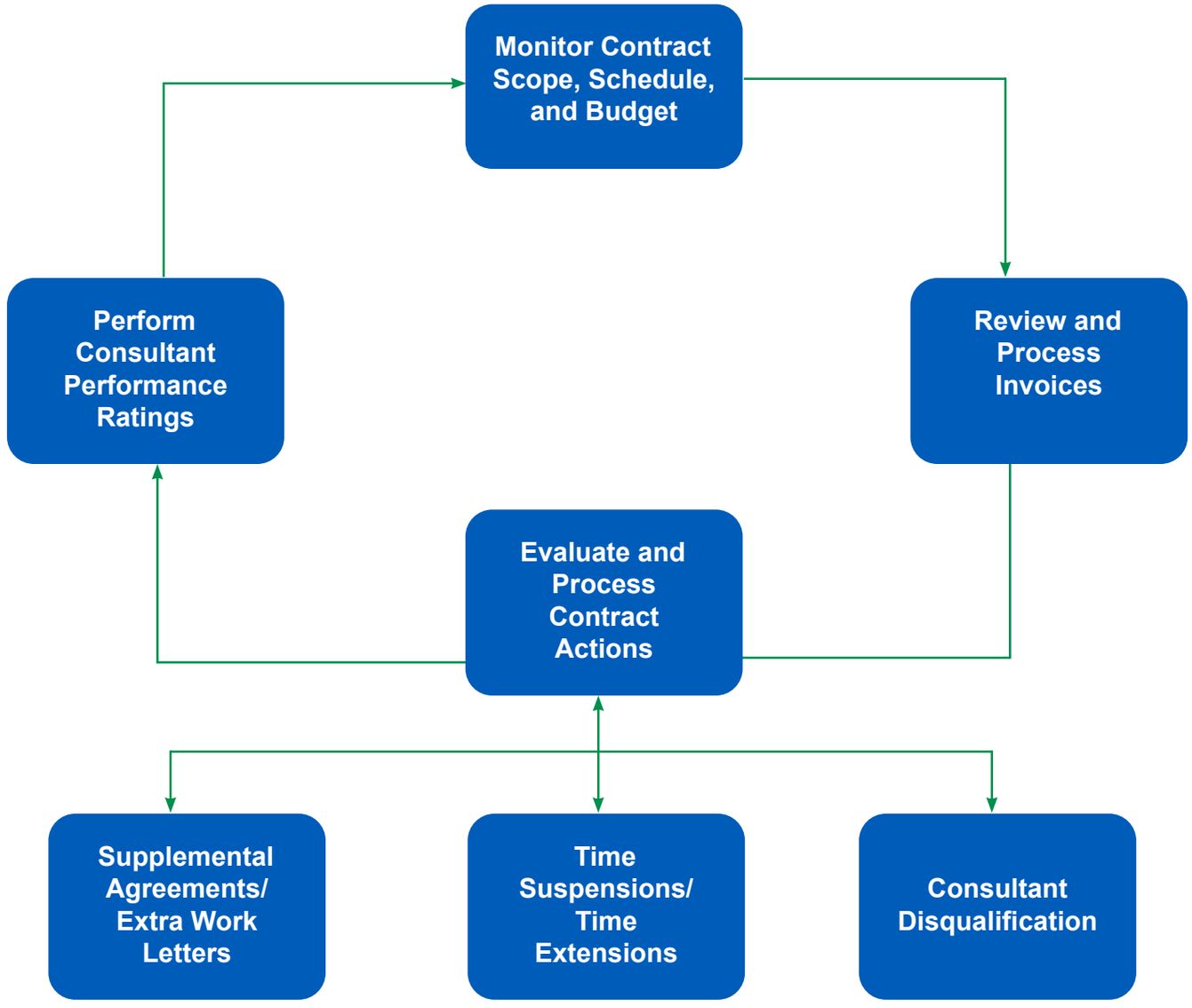

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Monitor Contract Scope, Schedule, and Budget

Contract Scope, Schedule, and Budget must be continuously monitored and modified as necessary throughout the duration of the contract.

The following tasks pertain to this activity:

- **Monitor and Enforce Contract Scope**
  Monitor the scope of work throughout the life of the contract and ensure that the work being performed is consistent with the established requirements.

- **Monitor and Enforce Contract Schedule**
  Monitor the schedule throughout the life of the contract and ensure that the tasks associated with that schedule are completed within their allotted timeframes.

- **Monitor and Enforce Contract Budget**
  Monitor the budget throughout the life of the contract and ensure that the work being performed is compatible with the available contract funds remaining.

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Review and Process Invoices

Invoices are the mechanisms by which consultants are compensated for their work.

The following tasks pertain to this activity:

- **Receive and Review Invoices**
  Receive invoices from the consultant and review them for compliance with the contract.
    - o Review and Verify Invoiced Amounts
      Ensure the calculated amounts on the invoice are correct. Review direct expenses for compliance with Consultant Contract Services Group (CCS) in the Contract Services Section (80) policies and State Travel Policies as applicable.
      ~ State Travel Policies
    - o Compare the Percentage of Work Completion with Amount Invoiced
      The invoice should contain a project schedule showing a task completion percentage and contract time elapsed. Where appropriate, solicit review and comments from the design disciplines to ensure that the invoiced amount is comparable with the amount of work performed. If requested payment exceeds the work performed to date, it may be appropriate to reject the invoice.
    - o Compare the Percentage of Work Completion with Contract Time Remaining
      The invoice should contain a project schedule showing a task completion percentage and contract time elapsed. This information is the basis for Consultant Disqualification if appropriate.
      ~ Consultant Contract Tracking
    - o Retainage Payment
      After the completion of all contract services the consultant will invoice for retainage. Confirm with all appropriate parties to whom deliverables are due that all work required under the contract has been performed. After payment of retainage, and assuming that no other work is to be performed under the contract (via extra work letter or supplemental agreement), notify CCS that the contract can be closed out.
- **Ensure Sufficient Funds Are Available for Payment**
  Ensure that sufficient funds are encumbered to the purchase order to pay the invoice. Funds are initially encumbered to the purchase order when the contract is executed. The remaining funds can be verified using the Purchase Order Overview – Funding report in the LaGov Data Warehouse. This report must be printed and attached to the invoice prior to transmitting the invoice to CCS. Note that retainage is removed with each invoice such that, when retainage is invoiced, it appears that funds are not available for payment; this is not an issue.
    - o Purchase Order Overview Instructions
- **Transmit Invoice to CCS for Processing**
  Transmit the reviewed invoice to CCS for processing. The CCS Invoice Information Webpage has additional information that may be useful.
    - o CCS Invoice Information Webpage
    - o Transmittal Letter

Return to Consultant Procurement Flowchart

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Evaluate and Process Contract Actions

Evaluate and Process Contract Actions that are beyond the original contract that may be required during the life of the project. These actions include, but are not limited to, the following:

- **Supplemental Agreements / Extra Work Letters**
- **Time Suspensions / Time Extensions**
- **Consultant Disqualification**

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Consultant Procurement
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Perform Consultant Performance Ratings

Performance ratings are used to provide an official evaluation of a consultant's performance on a project. Performance ratings are not a substitute for on-going feedback and assessment, which should happen continuously throughout a contract. Performance ratings are used as a criterion (past performance scores) in the consultant selection process.

- **Evaluate Consultant Contract Management**
  Provide ratings in the "Contract Management Only" category using the Consultant Previous Performance Rating (CPPR) System. Ratings should be provided at major milestones (100% Preliminary and 100% Final Plans) but can be provided for at any time at the discretion of the Project Manager.

- **Request Design Disciplines to Evaluate the Consultant as Appropriate**
  The Project Manager is not responsible for providing technical ratings for the consultant. However, the Project Manager should encourage the design disciplines to provide ratings in their specific discipline related categories at each major milestone.

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Supplemental Agreements/Extra Work Letters

Supplemental Agreements and Extra Work Letters are contract mechanisms by which additional scope or additional funding can be added to an existing contract. Typically, they are used to account for additional work that becomes necessary due to project circumstances or to incorporate additional project parts into the contract. Supplemental Agreements / Extra Work Letters cannot be issued for expired contracts.

- **Supplemental Agreement**
  A Supplemental Agreement is the typical mechanism to modify an existing contract. It can be used to modify the contract language and/or contract fee as necessary. The fee amounts for all supplemental agreements for a contract are limited to a combined total that cannot exceed 75% of the original contract amount. Note that Supplemental Agreements for Task Orders are not subject to the 75% limitation; they are limited to the remaining balance on the Retainer Contract.
    - o Request for Supplemental Agreement

- **Extra Work Letter**
  An Extra Work Letter can be utilized in lieu of a Supplemental Agreement when the additional work required for a particular task or sum of tasks is less than 10% of the original contract amount. Note that Extra Work Letters cannot be issued to Task Orders.
    - o Request for Extra Work Letter

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Time Suspensions/Time Extensions

Time Suspensions / Time Extensions are used to adjust contract time as needed to allow the consultant to address evolving project issues within the confines of the contract. Note that existing supplemental agreements are not covered by Time Suspensions / Time Extensions unless explicitly included in the letter.

- **Time Suspension**
  Time Suspensions are issued by the Project Manager (or Contract Manager) when work progress is interrupted or halted by outside influences including, but not limited to, extensive review periods, delay in procuring material, weather, environmental approval, multiple party coordination, etc.
    - o Time Suspension Letter

- **Time Extension**
  Time Extensions are issued by the Project Manager (or Contract Manager) when work requires a longer duration than originally anticipated or when it necessary to increase the scope of work (via supplemental agreement or extra work letter). Note that if the contract time elapses the contract is expired and cannot be extended or supplemented.
    - o Time Extension Letter

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Consultant Disqualification

Disqualification is the contract mechanism used to prevent a consultant that is underperforming on an existing contract from procuring additional work with the DOTD. During a period of disqualification, the consultant shall not be considered or approved for contracts or as a sub-consultant on contracts.

- **Reasons for Disqualification**
  Disqualification may be justified due to failure of the consultant to comply with the terms, progress, or quality of the work. Disqualification is typically a last resort and should only be pursued after the consultant has failed to comply with requests to rectify the issues. When disqualification is justified, the Project Manager (or Contract Manager) should transmit a letter of intent to disqualify to the Chief Engineer for approval. Once approval has been received, the Project Manager (or Contract Manager) shall notify the consultant in writing that they are in a state of disqualification.
    - o Letter of Intent to Disqualify
    - o Notice of Disqualification

    The consultant shall be allowed to continue with any work being performed under any pre-existing contract or written sub-consultant agreement but shall not be considered for any additional contracts. The period of disqualification will continue until the consultant is no longer failing to comply.

    o Terms of the Work
    If the consultant has established a pattern of failing to perform activities required by the contract, the consultant shall be considered for disqualification.

    o Progress of the Work
    When the ratio of percentage of work completed to percentage of time elapsed falls below 0.90, the consultant should be issued a disqualification warning letter. If the ratio of percentage of work completed to percentage of time elapsed falls below 0.75, the consultant shall be considered for disqualification. The period of disqualification shall continue until the completed work on the contract is not delinquent by more than the forgoing percentage or until all work on the contract has been satisfactorily completed.
    ~ Disqualification Warning Letter

    o Quality of the Work
    If the consultant has established a pattern of providing work that was not performed in accordance with all applicable standards and policies, the consultant shall be considered for disqualification.

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Consultant Disqualification *(continued)*

- **Appeal of Disqualification**
  The disqualified consultant may submit a written appeal to the DOTD Chief Engineer for review by the Disqualification Review Board (DRB). The written appeal must be submitted within seven business days after issuance of written notice of disqualification and may either request a meeting with the DRB or that the DRB consider a written appeal. A meeting of the DRB will be scheduled within 10 business days after receipt of the appeal. After all the information has been considered, the Chief Engineer will notify the consultant of the decision in writing within 10 business days.

- **Contract Termination**
  After disqualification, if the consultant continually fails to make a good faith effort to comply with the terms, progress, or quality of work in a satisfactory manner, it may become necessary to terminate the consultant's contract. If the contract is terminated, the consultant shall remain in a state of disqualification for a period of one-year, unless disbarment procedures are instituted.