

***FDOT***

***State Funded Project Delivery***

***PD&E Manual Process Training***

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October 14, 2015**

# ***SWAT Background***

FDOT 2014 took close look at time and cost of preconstruction activities:

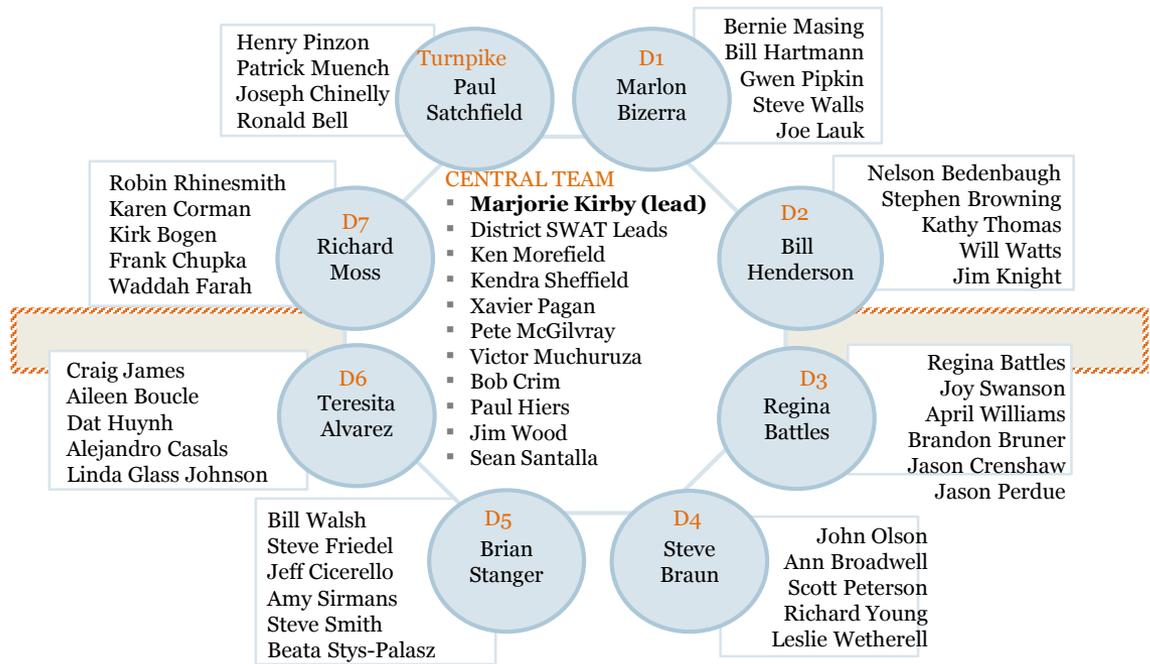
- Although PD&E phase least costly, absorbs greatest time
- FDOT set out to transform project delivery process for state funded projects to increase efficiency and savings
- Statewide Acceleration Transformation (SWAT)
- Project management approach benefits both state funded and FHWA funded projects

# ***What is SWAT?***

- ◆ Statewide Acceleration Transformation (SWAT) - Project Management Approach
- ◆ SWAT Teams Established: Multi-disciplined and Experienced Practitioners  
(MPO Liaison, Work Program, Management, Project Manager, DEMO, PLEMO, Design, others..)
- ◆ Realistic Scheduling and Project Management technique for **ALL** projects
- ◆ Consider and establish if project to advance with state funds only
- ◆ ETDM Screening during Planning: Early identification of relevant issues, use of available information from evaluations in planning and other sources
- ◆ Build Environmental Evaluation – Iterative yet Progressive
- ◆ Identify and conduct key analysis prior to PD&E study start to inform or streamline
- ◆ Customize PD&E Scopes of Services and project schedules
- ◆ Overlap design with PD&E – establish project management and contract approach
- ◆ Continual feedback - monitor success and share best practices

# SWAT Team Purpose & Goals: The SWAT Team represents the best expertise of the agency, coming together to improve how FDOT operates

Current SWAT Team Organization Chart



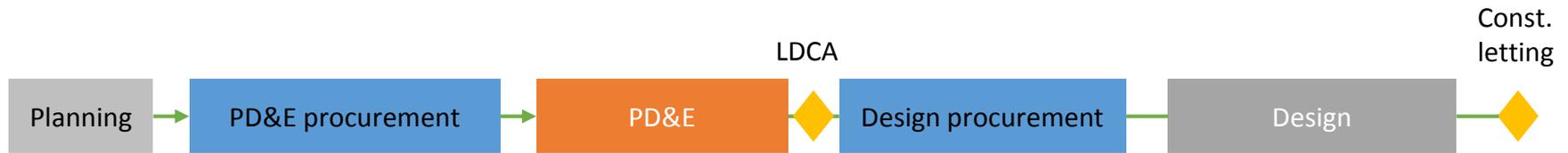
- District SWAT Teams: Support the Projects**
- Hold SWAT planning and project kick-off meetings to focus the project scope and schedule
  - Drive improvement through structured problem solving
  - Push District innovations state-wide through Central SWAT
  - Communicate process changes to PMs and Consultants

- Central SWAT Team: Support the Districts**
- Collect expertise and best practices across Districts
  - Identify and deploy tools and programs to encourage continuous improvement
  - Monitor progress of implementation
  - Work with District SWATs to facilitate state-wide training

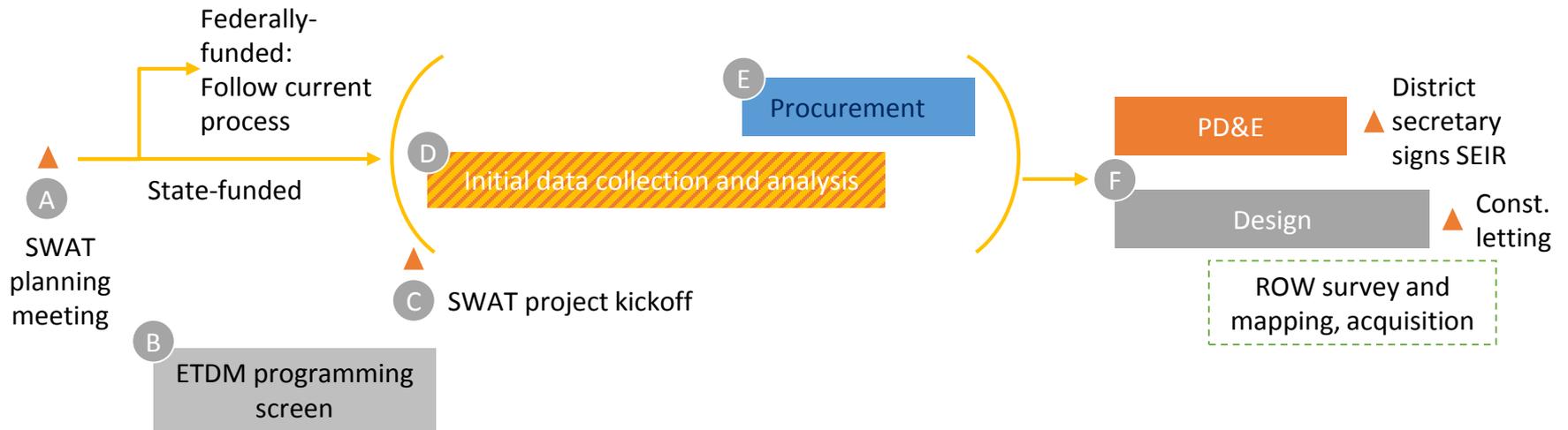
# Improved state process expected to cut pre-construction time by 60-75%

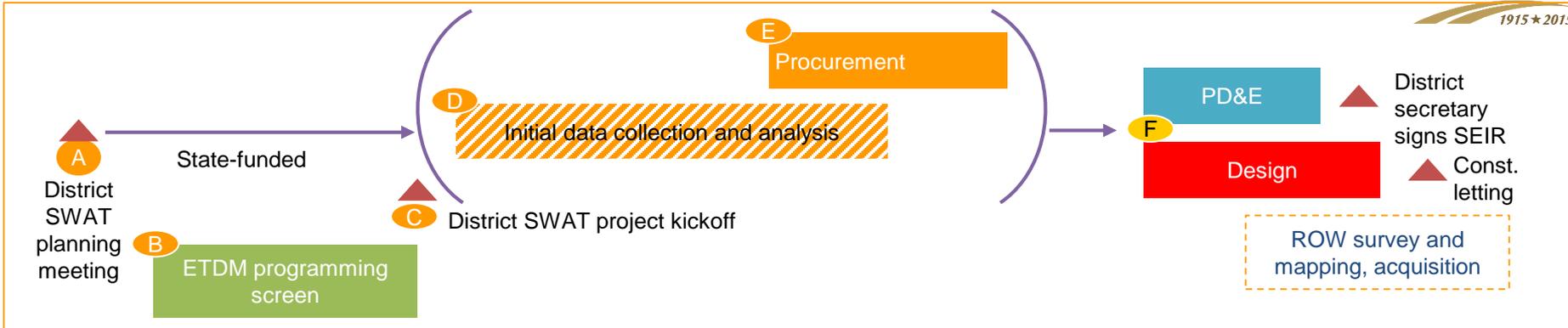
Planning
  Procurement
  PD&E activity
  Design activity
  Both PD&E and Design

Existing process: average duration of 94 months across all project types



New process : average duration of 28 months across all project types





	A	B	C	D	E	F
Step	▪ District SWAT planning meeting	▪ ETDM Programming Screen	▪ District SWAT Project Kickoff	▪ Initial Data Collection & Analysis	▪ Procurement	▪ PD&E and Design
Timing	▪ Late summer before each new gaming cycle	▪ Must be complete one year before PD&E funding is programmed in work program	▪ One year ahead of PD&E / Design funding date in work program	▪ Begins after project kick off	▪ 4-6 months	▪ 10-30 months – PD&E: 6-14 months – Design: 10-18 months
Participants	▪ SWAT team ▪ ISD / Planning ▪ Work program ▪ EMO	▪ ETDM coordinator	▪ SWAT Team ▪ PD&E and Design PMs ▪ ISD / Planning	▪ PD&E and Design PMs	▪ PD&E and design PMs ▪ Procurement	▪ PD&E and Design PMs
Activities	<ul style="list-style-type: none"> <li>▪ Discuss all projects to be gamed in upcoming cycle</li> <li>▪ Decide core elements of purpose and need</li> <li>▪ Use ETDM planning screen if possible</li> <li>▪ Decide State or Federal funded</li> <li>▪ If state funded, decide NMSA vs. SEIR</li> </ul>	<ul style="list-style-type: none"> <li>▪ Communicate list of state projects to ETDM coordinator</li> <li>▪ Check state or federal funding box</li> <li>▪ Conduct ETDM programming screen</li> <li>▪ FHWA will not comment on project</li> </ul>	<ul style="list-style-type: none"> <li>▪ Scoping</li> <li>▪ Segmentation consideration</li> <li>▪ High-level schedule</li> <li>▪ Plan for tech panel</li> <li>▪ Use ETDM programming screen to scope</li> </ul>	<ul style="list-style-type: none"> <li>▪ Environ-mental review</li> <li>▪ Survey</li> <li>▪ Geotech</li> <li>▪ Traffic</li> <li>▪ Long lead species surveys</li> </ul>	<ul style="list-style-type: none"> <li>▪ Concurrent and/or joint procurement</li> </ul>	<ul style="list-style-type: none"> <li>▪ Overlap of PD&amp;E and Design activities, working to get quickly to the preferred alternative</li> <li>▪ 60% of Design done by end of PD&amp;E</li> </ul>

# ***Federal or State Funding***

- ◆ SWAT approach is used on all PD&E projects
  - Streamline and expedite project delivery
  - Increase plans on shelf
  
- ◆ Funding determination is made early during District SWAT planning meetings
  
- ◆ Consideration to state fund project
  - SEIR instead of NEPA
  - Time savings by reduced review/comment/approval steps
  - Greater flexibility
  - Excludes consideration under Section 4f

# ***Other Considerations***

- ◆ FDOT Work Program Instructions:
  - Determine Non-federal Eligible (NFE) projects
  - State funding is used unless FHWA process is required or the use of federal funds is justified
  
- ◆ Considerations to remain FHWA funded:
  - On the interstate
  - Using or involving Interstate ROW (e.g., air rights, adjacent, etc.)
  - Facilities within and impacting federal lands such as National Parks or Forests, etc.
  - Transportation Alternatives (TA) program
  - Safety Program projects
  - Off-system projects

# ***State funded projects may require NEPA***

- ◆ Federal permits/actions may be required
  - US Army Corps of Engineers
  - US Coast Guard
  - US Fish and Wildlife Service

# ***Federal Permit***

- ◆ If a federal permit/action is required:
  - Follow Section 106 of the National Historic Preservation Act to address historic or archaeological resources
  - Follow Section 7, ESA
- ◆ If no federal permit/action is required, but a state permit is:
  - Consult with the Florida Division of Historical Resources
  - Follow Section 10, ESA

# ***State Funded Documents***

- ◆ No federal funds for ANY phase- NFE
  
- ◆ FDOT projects
  - Non-Major State Actions (NMSA)
  - State Environmental Impact Report (SEIR)
  
- ◆ Non-FDOT projects
  - Project Environmental Impact Report (PEIR)
  
- ◆ Revising *Part 1, Chapter 10 , PD&E Manual*

# Changes

- ◆ Combined the NMSA and SEIR documentation into an FDOT Project Evaluation Form
- ◆ Now a single evaluation process with 2 outcomes
- ◆ Separate Forms for FDOT and non-FDOT projects (PEIR)
- ◆ Engineering Analysis included in the document, no separate Preliminary Engineering Report (PER) needed

# ***FDOT Project Evaluation Form Overview***

## ◆ Section A

- Completed during SWAT planning meeting

## ◆ Section B

- Completed during SWAT project kickoff meeting

## ◆ Section C

- Completed during PD&E

# *Use SWAT Deliverables*

- ◆ List of projects for gaming, sorted into state funded and federal funded
  - NFE Identifier
  - Coordinate with Work Program
- ◆ Preliminary view on anticipated Class of Action assigned to each project
- ◆ List of NMSA projects, which the SWAT team no longer discusses
- ◆ List of projects to put through ETDM
- ◆ Section A of the FDOT Project Evaluation Form

# Section A – FDOT Project Evaluation Form

**FDOT PROJECT EVALUATION FORM**

**SECTION A**

**1. GENERAL INFORMATION:**

Project Name: \_\_\_\_\_  
 Project Limits: \_\_\_\_\_  
 ETDM Number (If applicable): \_\_\_\_\_  
 Financial Management Number: \_\_\_\_\_

**2. PROJECT DESCRIPTION:**

- a. Existing:
- b. Proposed Improvements:

**3. EVALUATION:**

**YES NO**

- \_\_\_ \_\_\_ Is this a transportation project qualifying for EST screening? (See Part 1, Chapter 2, Environmental Class of Action Determination of the PD&E Manual)
- \_\_\_ \_\_\_ Will the project cause adverse impacts to local traffic patterns, property access, community cohesiveness, or planned community growth or land use patterns?  
 \_\_\_\_\_
- \_\_\_ \_\_\_ Will the project cause adverse impacts to air, noise, or water?  
 \_\_\_\_\_
- \_\_\_ \_\_\_ Will the project cause adverse impacts to wetlands requiring a state and/or federal permit?  
 \_\_\_\_\_
- \_\_\_ \_\_\_ Will the project cause adverse impacts to navigation requiring a federal permit?  
 \_\_\_\_\_
- \_\_\_ \_\_\_ Will the project cause impacts to floodplains in accordance with Part 2, Chapter 24 of the PD&E Manual?  
 \_\_\_\_\_

- \_\_\_ \_\_\_ Will the project affect endangered or threatened species or their critical habitat or require a state species permit?  
 \_\_\_\_\_
- \_\_\_ \_\_\_ Will the project require acquisition of significant amounts of right of way?  
 \_\_\_\_\_
- \_\_\_ \_\_\_ Will the project require relocation of residents or businesses?  
 \_\_\_\_\_
- \_\_\_ \_\_\_ Are properties protected under Chapter 267, F.S. adversely affected as determined in consultation with the Florida Division of Historical Resources?  
 \_\_\_\_\_
- \_\_\_ \_\_\_ Are there any known potential contamination sites which would impact right of way, design, or construction activities, or other issues/resources? (See Part 2, Chapter 22 of the PD&E Manual for specifics on contamination impacts)  
 \_\_\_\_\_
- \_\_\_ \_\_\_ Is there a potential for public controversy on the project?  
 \_\_\_\_\_
- \_\_\_ \_\_\_ Is a public hearing needed in accordance with Part 1, Chapter 11 of the PD&E Manual and 339.155(5)(b), F.S.?  
 \_\_\_\_\_

**IF ALL ANSWERS ARE NO: THE PROJECT IS A NON-MAJOR STATE ACTION (COMPLETE BLOCK A)**

**BLOCK A**

The project is not defined in Section 339.155(5)(b) of the Florida Statutes as a major transportation improvement (increasing the capacity of a facility through the addition of new lanes or providing new access to a limited or controlled access facility or construction of a facility in a new location) and based upon this project evaluation, it has been determined that the project is a Non-Major State Action.

District Environmental Administrator or designee:

Date: \_\_\_/\_\_\_/\_\_\_

**END PROJECT EVALUATION**

This Form is the Environmental Document for a Non-Major State Action. Supporting documents are included in the project file.

**IF THE PROJECT REQUIRES FURTHER ANALYSIS CONTINUE WITH SECTION B**

# ***Document Non-Major State Action***

- ◆ If all answers in Section A, 3 Evaluation are no **and**
- ◆ Project type is not defined in Section 339.155(5)(b) F.S. as a major transportation improvement:
  - Increasing capacity of a facility through the addition of new lanes
  - Providing new access to a limited or controlled access facility
  - Construction of a facility in a new location

# Complete Block A

**IF ALL ANSWERS ARE NO: THE PROJECT IS A NON-MAJOR STATE ACTION (COMPLETE BLOCK A)**

## **BLOCK A**

The project is not defined in Section 339.155(5)(b) of the Florida Statutes as a major transportation improvement (increasing the capacity of a facility through the addition of new lanes or providing new access to a limited or controlled access facility or construction of a facility in a new location) and based upon this project evaluation, it has been determined that the project is a Non-Major State Action.

District Environmental Administrator or designee:

\_\_\_\_\_

Date: \_\_\_/\_\_\_/\_\_\_

**END PROJECT EVALUATION**

This Form is the Environmental Document for a Non-Major State Action. Supporting documents are included in the project file.

**IF THE PROJECT REQUIRES FURTHER ANALYSIS CONTINUE WITH SECTION B**

# ***FDOT Project Evaluation Form - Next***

- ◆ After the Programming Screen has occurred use Section B of the FDOT Project Evaluation Form to:
  - Scope the project-SWAT Kick-off
  - Narrow the number of issues to be considered
  - Determine the level of analysis that is needed
  - Prepare focused PD&E Scope of Services
- ◆ Modify the same form in which Section A was completed

# Section B - FDOT Project Evaluation Form

## STATE ENVIRONMENTAL IMPACT REPORT

### SECTION B

#### 1. ENVIRONMENTAL ANALYSIS

\*Topical Categories      Substantial Impacts?      \*\*Basis for Decision  
Yes    No    Enhance    NoInv

#### A. SOCIAL and ECONOMIC

1. Social	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
2. Economic	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
3. Land Use Changes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
4. Mobility	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
5. Aesthetic Effects	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
6. Relocation Potential	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____

#### B. CULTURAL

1. Historic Sites/Districts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
2. Archaeological Sites	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
3. Recreation Areas	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____

#### C. NATURAL

1. Wetlands and Other Surface Waters	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
2. Aquatic Preserves	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
3. Water Quality	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
4. Outstanding FL Waters	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
5. Wild and Scenic Rivers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
6. Floodplains	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
7. Coastal Barrier Resources	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<i>(unless federal funds sought in the future)</i>
8. Listed Species and Habitat	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
10. Essential Fish Habitat	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____

#### D. PHYSICAL

1. Noise	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
2. Air Quality	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
3. Construction	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
4. Contamination	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
5. Bicycles and Pedestrians	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
6. Utilities and Railroads	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
7. Navigation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____

\* Topical Categories: Yes = Substantial Impact; No = No Substantial Impact; Enhance = Enhancement; NoInv = Issue absent, no involvement.

\*\*Basis of decision is documented in the referenced attachment(s).

NEW:

\* Topical Categories: Yes = Substantial Impact; No = No Substantial Impact; NoInv = Issue absent, no involvement.

\*\*Basis of decision is documented in the referenced attachment(s).

# ***Document SEIR***

- ◆ Finish preparing the FDOT Project Evaluation Form
  - Use the draft that was started at the SWAT planning and kick-off meetings
  - Revisit Section A and B and update based on analysis
    - Include engineering information
    - Summarize technical reports and memorandums and reference them
  - Complete Section C of the FDOT Project Evaluation Form

# ***Multiple Alternatives Consideration***

- ◆ A SEIR does not require examination of a range of alternatives
- ◆ The District determines the number of alternatives
- ◆ Consider multiple alternatives when:
  - USACE Permit requires
  - Need to avoid a historic structure
  - Need to avoid substantial environmental impacts
  - Substantial public controversy

# Section C – FDOT Project Evaluation Form

## SECTION C

### 2. ANTICIPATED PERMITS

- Individual Dredge and Fill Permit- USACE
- Nationwide Permit- USACE
- Bridge Permit- USCG
- Environmental Resource Permit \_\_\_\_\_ (FDEP or WMD)
- \_\_\_\_\_

For guidance on ensuring sufficient information for permitting agencies is included see Section 10.2.1.5.1 of Part 1, Chapter 10 of the PD&E Manual

### 3. ENGINEERING ANALYSIS

### 4. COMMITMENTS

### 5. FDOT SELECTED ALTERNATIVE

### 6. APPROVED FOR PUBLIC AVAILABILITY (BEFORE PUBLIC HEARING)

\_\_\_ / \_\_\_ / \_\_\_ Date

### 7. A Public Hearing was held on \_\_\_ / \_\_\_ / \_\_\_ Date

### 8. APPROVAL OF FINAL DOCUMENT

The final SEIR reflects consideration of the PD&E Study and the Public Hearing.

\_\_\_\_\_  
 District Secretary or Designee

\_\_\_ / \_\_\_ / \_\_\_  
 Date

# *After Signature of SEIR*

- ◆ District completes an Environmental Certification for State Funded Projects form
- ◆ Project Commitment Record is transmitted to Design and Construction
- ◆ Reevaluations may be needed
  - ◆ *Part 1, Chapter 13*
  - ◆ *New Reevaluation form for SEIRs*

# Environmental Certification

## ENVIRONMENTAL CERTIFICATION FOR STATE FUNDED PROJECTS

FINANCIAL MANAGEMENT NUMBER: \_\_\_\_\_

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

PROJECT DESCRIPTION: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_ This project is a Non-Major, State funded action. It was reevaluated on \_\_\_\_\_ and the Administrative Action determination remains valid.

\_\_\_\_\_ This project is a major, state funded action which requires the preparation of a State Environmental Impact Report (SEIR). The SEIR was approved on \_\_\_\_\_.

A reevaluation in accordance with the FDOT Project Development and Environment Manual Part 1, Chapter 13 was approved on \_\_\_\_\_.

SIGNATURE:

\_\_\_\_\_ DATE: \_\_\_\_\_  
District Environmental Administrator

# ***Project Environmental Impact Report***

- ◆ Used by non-FDOT entities
  - At their discretion
  - Required when the project lies on a
    - Strategic Intermodal System (SIS)
    - State Highway System (SHS) facility
    - A project advanced through a State Infrastructure Bank (SIB) loan
- ◆ If a PEIR is required, coordination must be ongoing with FDOT
- ◆ Compliance with federal, state, and local regulations is still required

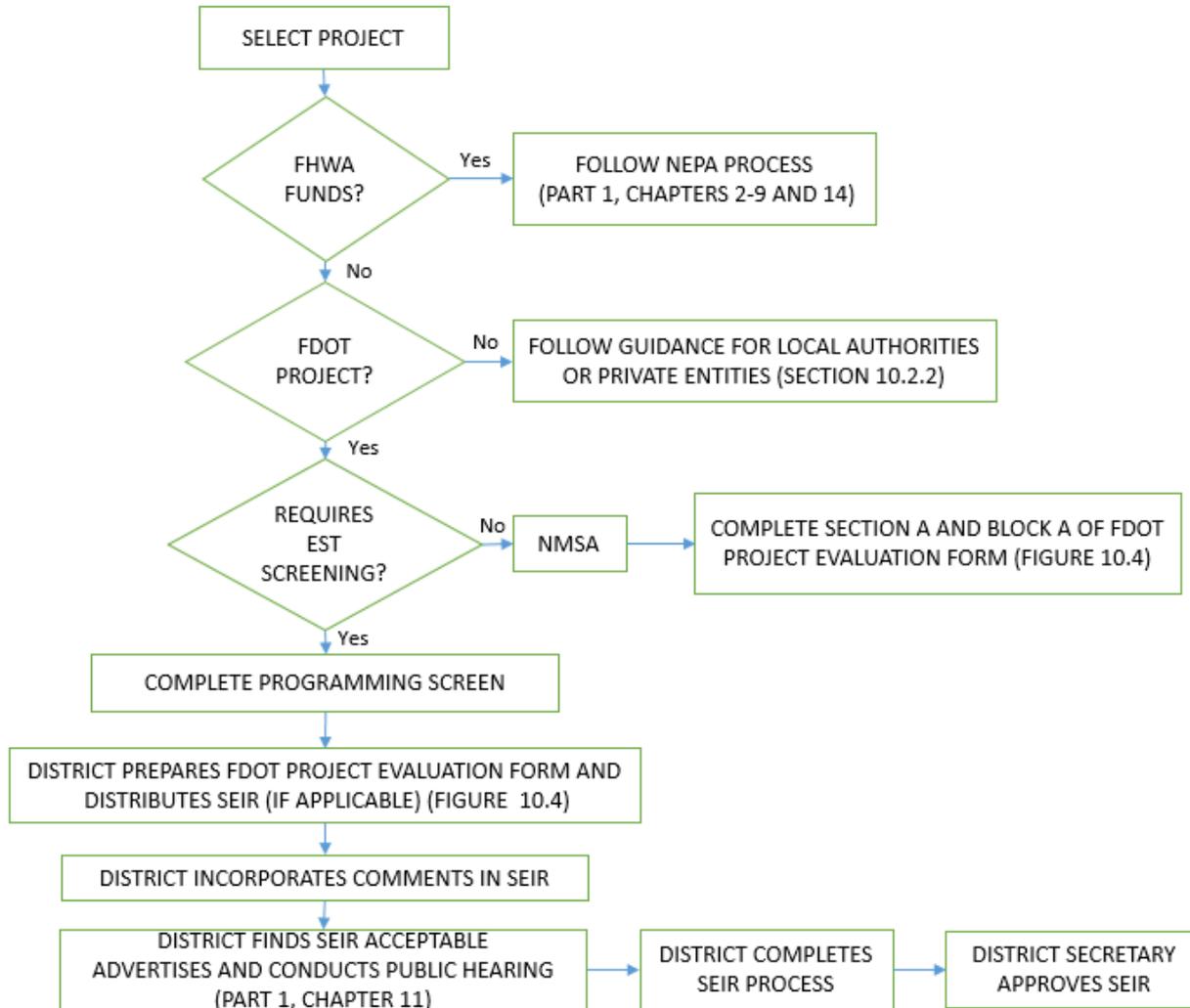
# ***Project Environmental Impact Report***

- ◆ Not an FDOT document
- ◆ Prepared following same procedures and requirements as SEIR
- ◆ District responsible for providing oversight on the preparation
- ◆ District reviews it, but does not sign it
- ◆ Project Environmental Impact Report form and Acceptance Memo prepared

# Non-federal Funded Projects

COA	Funding/Lead Agency	Screen in EST	Environmental Document
SEIR	FDOT	Yes	FDOT Project Evaluation Form/SEIR
NMSA	FDOT	No	FDOT Project Evaluation Form/NMSA
PEIR	Local Agency	Optional	PEIR if FDOT is involved

# Non-Federal Highway Funded Projects



# QUESTIONS?