



Illinois Department of Transportation

2300 South Dirksen Parkway / Springfield, Illinois / 62764

BDE PROCEDURE MEMORANDUM

NUMBER: 16-06 Project Oversight and Design Exception Process
SUBJECT: BDE Manual Revision – Chapter 2, Chapter 3, Chapter 4, Chapter 11, Chapter 31, Chapter 33, Chapter 37, Chapter 44, Chapter 48, Chapter 49, Chapter 50, Chapter 58, and Appendix A
DATE: March 17, 2016

Chapter 2, Chapter 3, Chapter 4, Chapter 11, Chapter 31, Chapter 33, Chapter 37, Chapter 44, Chapter 48, Chapter 49, Chapter 50, Chapter 58, and Appendix A of the BDE Manual have been revised pursuant to our current FHWA/IDOT Stewardship and Project Oversight Agreement. Please see the BDE Manual on-line to view the revisions.

Background

Title 23 U.S.C. 106(c)(3) requires FHWA and IDOT to enter into an agreement relating to the extent to which IDOT may assume project responsibilities. On May 27, 2015, FHWA and IDOT signed a new Stewardship and Oversight (S&O) Agreement which outlined the roles and responsibilities of each agency.

The new agreement includes a national template prescribed by the FHWA headquarters and incorporates a more targeted and risk-based approach for stewardship and oversight of the Federal-aid Highway Program. As a result, the notion of “full oversight” on Federal-aid projects by FHWA will no longer exist for all practical purposes as Congress has recognized the need to give the States more authority to carry out project responsibilities traditionally handled by FHWA.

The goal of risk-based project stewardship and oversight is to optimize the successful delivery of programs and projects and help ensure compliance with federal requirements using three main avenues of project involvement:

- 1) Project approval actions,
- 2) Data-driven compliance assurance, i.e., the Compliance Assessment Program (CAP), and;
- 3) New oversight categories for projects, entitled Projects of Division Interest (PoDI's) and Projects of Corporate Interest (PoCI's), which are a subset of PoDI's.

The FHWA's selection of and involvement with PoDIs is explained in Attachment D of the new agreement (found in Appendix A of the BDE Manual), and represents the single greatest change from the former agreement. FHWA will annually select PoDI's and PoCI's and will develop a PoDI plan per each selected PoDI project, which will be the controlling document regarding project oversight.

As a result, the manual was updated throughout to eliminate mention of full FHWA oversight, and to incorporate the new procedures. Please see Section 4-2 of the manual and the S&O Agreement located in Appendix A for more information.

Specific changes to the Manual include:

- Removal of the former FHWA/IDOT Stewardship and Oversight (S&O) Agreement from, and replacement with the current S&O Agreement in, *BDE Manual Appendix A, "Regulations and Guidance,"* located in *Part III, "Environmental Procedures,"*
- Elimination of Section 31-7 from Chapter 31, "Basic Design Controls," which previously described the former S&O Agreement, expectations, and roles of FHWA and the Department, and replacement of these functions in Section 4-2 of Chapter 4, "Coordination Responsibilities," which better flows directly into discussion of project functional responsibilities and coordination activities. The revision includes removal of Figure 31-7.A, entitled "FHWA Project Oversight Actions". This information is now provided directly in the S&O Agreement, and Attachments A through D of the S&O Agreement, which are also included in Appendix A of the Manual. With the elimination of Section 31-7, subsequently, former Section 31-8 has been re-named as new Section 31-7. Figure 31-7.A is replaced under a different context. Please see below;
- Updates to Section 4-1, Introduction, to discuss the incorporation of the S&O Agreement into this Chapter;
- With the creation of a new Section 4-2, the subsequent re-naming of former Section 4-2 as new Section 4-3;
- Re-organizing and re-numbering functional responsibilities in new Section 4-3 to better progress from start to finish through the program development process, as well as updating necessary coordination activities in new Section 4-3;
- Changes to Chapters 2, 3, 11, 12, 31, 33, 44, 48, 49, 50, and 58 to update verbiage where necessary regarding project oversight activities under the previous S&O Agreement;

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Revisions to the design exception process in new Section 31-7 (formerly Section 31-8), including new definitions for "Level One" and "Level Two" design exceptions. Specifically, Level One design criteria, pursuant to the new S&O Agreement, will include any of FHWA's thirteen controlling criteria noted in Chapter 31, on Interstate projects only. Level Two design criteria will include any IDOT design criteria other than FHWA's thirteen controlling criteria on Interstate projects, or any project off the Interstate system using any of FHWA's or IDOT's design exception criteria;

- Changes to Chapter 31 and on the Forms Master List to reference new and revised forms, including revised form BDE 3100, "Design Exception Request - Project Identification", new form BDE 3107, "Level One Design Criteria Checklist", and revised form BDE 3108, now entitled "Level Two Design Criteria Checklist". Form BDE 3108 will now be used for Level Two design exceptions only. Also, "Guidelines for Completion of Design Exception Request – Project Identification form BDE 3100" has been included directly in the BDE Manual as a new figure, Figure 31-7.A;
- Subsequent verbiage revisions to the design exception process and "Level One" and "Level Two" definitions mentioned in Chapters 11 and 12 to follow the revised process detailed in new Section 31-7;
- Changes to Chapters 11, 12, 31, 33, 37, 44, 48, 50, and 58 to update verbiage where necessary regarding the design exception process, including references to the new Section 31-7;
- Various revisions throughout Chapters 11 and 12 regarding minor procedural updates to the design report submittal and approval processes to conform to current departmental policy; and
- Various revisions throughout Chapters 2, 3, 4, 11, 12, 31, 33, and 49 regarding minor procedural updates/clarifications, recent revisions to the organizational structure within BDE, or new or revised resource documents mentioned in the chapter verbiage or under References.

Please see the BDE Manual on-line to view the revisions.



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