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SECTION B

NON-CERTIFIED AGENCY

Chapter 2

Project Prospectus

The project prospectus is one of the main items contained in the project application package. The project application package includes the project prospectus either in conjunction with the project agreement or in conjunction with the non-certified local agency master agreement and supplemental project agreement.



A. OVERVIEW

Parts 1 and 2 of the project prospectus describe the proposed project and serve as the support document for the FHWA authorization of federal funds. Part 3 of the project prospectus serves as the environmental classification. The prospectus also provides a basic or preliminary overview of environmental studies and documents required, and a schedule that indicates to ODOT and FHWA when the local agency anticipates obligating federal funding sources.

B. SCOPING

In order to develop a prospectus, project scoping must be completed. The scoping effort builds upon the information provided by the local agency in its project application. Scoping is the process of defining the parameters of the project and the level of effort required in the various project delivery phases.

Scoping will be performed using an ODOT Local Program scoping team. The required personnel that attend the scoping are as follows:

- Personnel comprising the scoping team;
- Any contractors as appropriate;
- ODOT [Local Government Section](#) staff;
- ODOT [Regional](#) staff;
- Local agency staff.

In addition to this staff, it is recommended that other appropriate personnel participate on the scoping team to provide needed information regarding roadway design, foundation, environmental, right of way, utilities, railroads, land survey, hydraulics and structural issues.

Scoping can be done by meeting with the assigned project personnel and specialists in the field at the site, or in the office, if sufficient data is available. ODOT and the scoping consultant coordinate a field review in consultation with local agency and the [Regional Local Agency Liaison](#). The field review provides the initial project data and information needed to program the project in the STIP. It also guides the Project Development Team to the successful production of the Plans, Specification & Estimate (PS&E). Additional information regarding PS&E is available in Section B, Chapter 11, PS&E. It is recommended that the scoping process be documented by a draft scoping package, as described in Section C of this Chapter.

1. Scoping Package

The scoping team is responsible for developing a draft scoping package as required within the work order contract.

ODOT's Project Delivery Unit's [Project Scoping Best Practices Guidebook](#) describes the processes and procedures for scoping highway improvement projects. On the [Local Government Section's website](#), a scoping checklist is available under the document entitled "[Scoping Notes](#)."

The draft scoping package at a minimum will include the following:

1. decisions regarding site investigation and analysis procedures for geometric design elements, foundations, hydraulics, structures, right of way, environment, traffic, utilities, permits, etc.;
2. the names and roles of the teams' members throughout the project (if known);
3. outside agency involvement;
4. preliminary discussion of alternative designs and establishment of the project limits or footprint;
5. "[Scoping Notes](#);"
6. discussion of funding and who will perform project development, advertisement, award and administration of construction;
7. desired project schedule; and
8. a detailed break down of the cost for all phases of work.

The scoping team will supply the draft scoping package for each project scoped to the following for review and comment:

- ODOT's Local Government Section
- Local agency
- [Regional Local Agency Liaison](#)

The scoping team collects comments from all parties involved. The comments are incorporated into the final scoping package. Any disputes will be resolved through ODOT's Local Government Section.

The scoping team delivers the final scoping package to ODOT's Local Government Section. The Local Government Section will distribute the final scoping package so each involved entity has access to the package.

C. PROCEDURE FOR COMPILING THE PROSPECTUS

Local agencies must coordinate with ODOT's [Regional Local Agency Liaison](#) to develop and submit the following completed documents.

1. Original and One Copy of the Completed Project Prospectus

This is the three-part federal-aid project prospectus that must be completed with current project information:

- **Part 1** of the federal-aid project prospectus is used for FHWA federal-aid programming purposes.
- **Part 2** provides ODOT and FHWA additional information about the proposed project, such as design and accident data and identifies other government agencies that will be involved during project development.
- **Part 3** provides the environmental classification for the project. Instructions for completing the prospectus are available in the "Additional Resources and Information" section below.

2. Original and One Copy of the Region Environmental Checklist

Refer to [Region Environmental Checklist](#); also see the "Additional Resources and Information" section below. Comment: the checklist is really part of the Part 3 – the proof of investigation that leads to the narrative summary section of the Part 3.

1. ORIGINAL AND ONE COPY OF THE PROJECT VICINITY MAP

A given project may not require all of the items on the [Region Environmental Checklist](#); however, the local agency must include all items that are relevant. Identify those items included by inserting an "X" in the appropriate column of the checklist. Many of the items and activities listed on the checklist arise during the course of project development and are not complete at the time the prospectus is submitted. The local agency shall note such items on the checklist and submit them when the items are completed. Steps must be taken to ensure that a complete environmental checklist is finalized and the required activities identified are completed prior to project authorization. FHWA concurrence must also be obtained before project construction authorization can be made.

The latest point in a project's development at which each item may be submitted is noted in the [Region Environmental Checklist](#) located on ODOT's [Local Government Section FTP website](#).

The local agency should obtain and provide supporting data, documentation and approval authority as needed.

NOTE: Please contact the [Regional Local Agency Liaison](#) with any questions. If the prospectus package is incomplete, incorrect, or has missing items, the project authorization will be delayed.

Once selected for funding, the intergovernmental project agreement shall be signed by the appropriate approving authorities.

D. ADDITIONAL RESOURCES AND INFORMATION

Visit ODOT's [Local Government Section website](#) for the following items:

- [Region environmental checklist](#)
- Local agency federal-aid project prospectus, parts 1, 2 and 3
- Instructions for completing project prospectus and environmental checklist

The following links provide information necessary to complete the prospectus:

- [Prospectus Help Document](#) on ODOT's Local Government Section website;
- For Environmental Classification information refer to, [23 CFR 771](#), Chapter 4 of ODOT's [Environmental Procedures Manual](#), or [Environmental Classification Guidance](#) on ODOT's Geo-Environmental website;
- [U.S. Congressional Districts](#);
- [Oregon Legislative Senate Districts](#);
- [Oregon Legislative House \(Representative\) Districts](#);
- For information related to the "Design Categories (1-7)" refer to Chapter 2, page 2-6 of ODOT's [Highway Design Manual](#);
- Refer to ODOT's [Maps website](#) for ODOT's Region and District maps;
- For additional information related to the "Work Type Codes (1-13)" that are shown in the table below, refer to ODOT's [Highway Design Manual](#);

WORK TYPE	
CODE	DESCRIPTION
01	Construction
02	Reconstruction
03	Widening and Resurfacing
04	Resurfacing
05	Structures
06	Minor Improvement Projects
07	Landscaping
08	Safety and Traffic Control
09	Signalized Intersections
10	Railroad Signals
11	Rock Production
12	Unique
13	Rockfall and Slide Mitigation

- Refer to the following table for codes relating to [Statewide Transportation Improvement Program](#) (STIP) work types.

STIP WORK TYPES	
STIP Code	STIP DESCRIPTION
BIKPED	Bike/Ped Grant Program only
BR-CLV	Non-NBI Culverts
BR-MBM	Major Bridge Maintenance
BR-SCR	Bridge Overpass Screening
BRIDGE	Bridge Program
CMAQ	New code for CMAQ Projects
EM-REL	Emergency Relief Projects
ENHANC	Enhancement Program
ENVIRO	Env. Projects (Soundwall, etc.)
EXCHNG	Jurisdictional Exchange
IOF	IOF Program (Special Programs)
MAINT	Maintenance (Non STIP)
MISCEL	Will be removed w/ 02-05 STIP
MODERN	Modernization (add capacity)
MODIOF	IOF counting against MOD target
OP-ITS	Operation ITS
OP-SLD	Slides and Rockfalls
OP-SSI	Signs, Signals, Illumination
OP-TDM	Transportation Demand Managmt
OPERAT	Operations (ITS, TDM, etc.)
OPERTN	Transit Operations
PLANNG	Planning Limitation
PRESRV	Pavement Preservation
PURCHS	Transit Purchase
RAILRD	Highway Rail Crossing Program
SAFETY	Highway Safety
SALMON	Salmon Recovery Projects
SCENBY	Scenic Byway Projects
SPPROG	Special Programs (Limitation)
TRANST	Transit Program / Project

The following Oregon County Code Chart provides county code information.

<u>County Name</u>	<u>ODOT Region Number</u>	<u>County Code Number</u>
Baker	5	01
Benton	2	02
Clackamas	1	03
Clatsop	2	04
Columbia	1	05
Coos	3	06
Crook	4	07
Curry	3	08
Deschutes	4	09
Douglas	3	10
Gilliam	4	11
Grant	5	12
Hamey	5	13
Hood River	1	14
Jackson	3	15
Jefferson	4	16
Josephine	3	17
Klamath	4	18
Lake	4	19
Lane	2	20
Lincoln	2	21
Linn	2	22
Malheur	5	23
Marion	4	24
Morrow	5	25
Multnomah	1	26
Polk	2	27
Sherman	4	28
Tillamook	2	29
Umatilla	5	30
Union	5	31
Wallowa	5	32
Wasco	4	33