

## Chapter 6

# The Project Proposal

### 6.1 General Discussion

The Project Proposal is the description of the proposed improvement which serves as the support document for Federal Highway Administration (FHWA) authorization of federal funds. The Project Proposal may serve as the design report for those projects that are categorically excluded. The proposal also provides a schedule which tells State and FHWA programmers when the local agency anticipates obligating federal funds.

The Project Proposal is one of the main items contained in the project application package discussed in this chapter. Other items in this package include the Local Agency Agreement (Chapter 7) and the items of supporting data listed in the Proposal Submittal Checklist (Appendix 6.3.1).

### 6.2 Procedure for Compiling the Project Application Package

Local agencies must submit the following to the MDT LAG Certification Liaison:

- Proposal Submittal Checklist;
- Original and one copy of the completed Project Proposal;
- Original and one copy of the Local Agency Agreement signed by the approving authority;
- Supporting data listed in the Project Application Checklist; and
- Original and one copy of the Environmental Classification Summary Form.

A given project may not require all of the items in the checklist; however, the local agency must include all items that are relevant. Identify those items included with an “x” in the right column of the checklist. Many of the items listed in the checklist take place during the course of project development and are not complete at the time the Project Proposal is submitted. An agency may note such items on the checklist and submit them when they are completed. The latest point at which each item may be submitted is noted in Appendix 6.3.2 describing the item in detail.

Incomplete, incorrect, or missing items will delay project authorization.

The first item in the project application package is the checklist. The next item is the three-page Federal Aid Project Proposal (Appendix 6.3.4) itself, which must be filled out with the current project information. Page 1 of the Federal Aid Project Proposal is used for the FHWA federal aid programming purposes. Pages 2 and 3 of the Federal Aid Project Proposal give the state and FHWA additional information about the proposed project, such as design and accident data, and identify other government agencies that will be involved during project development. Appendix 6.3.3 contains instructions for completing the Project Proposal.

**6.3 Appendices**

6.3.1 Proposal Submittal Checklist

6.3.2 Instructions for Project Application Transmittal Items

6.3.3 Instructions for Completing Project Proposal

6.3.4 Local Agency Federal Aid Project Proposal

6.3.5 Proposal Planning Scope of Work

Appendix 6.3.1 Proposal Submittal Checklist

Local Agency: \_\_\_\_\_ Project Identification: \_\_\_\_\_

Use this sheet as a cover sheet to the Project Proposal package. Place an "X" in the right column to denote items included.

If not applicable, state N/A. Include in the cover letter a comment explaining the action taken on each item as appropriate.

Note later with an "L" if the information will be supplied at a future date.

Application:

- 1. Project Proposal (Chapter 6)
2. Vicinity Map
3. Typical Roadway Section
4. Typical Bridge Section
5. Local Agency Agreement (Chapter 7)
6. TIP/STIP Inclusion (MPO/County/Agency, selected/limited to \$)
7. Project Cost Estimate

Supporting Data:

- 8. Safety Checklist- A Supplement to the Project Proposal for Resurfacing and Rehabilitation Projects
9. Photos
10. Deviation Request and Deviation Analysis Form to Justify Request
11. Environmental Considerations (Chapter 10)
12. Hearing Notices (Chapters 10 and 16)
13. Location and Design Approval (Chapter 16)
14. Right-of-Way Requirements (Chapter 11)
15. Right-of-Way Certification (Chapter 11)
16. Agreements/Easements with Railroads, Utilities, and Other Agencies
17. FAA Notification (FAA Form 7460-1) (Chapter 10)
18. Tied Bids (Chapter 17)

Remarks:

## Appendix 6.3.2 Instructions for Project Application Transmittal Items

The application package shall include:

### 1. **Project Proposal** (Attach completed proposal submittal checklist)

To be included with original submittal and whenever there is a change in the scope of work or termini. For planning and TDM projects, use the Project Proposal.

### 2. **Vicinity Map**

A vicinity map of the project with the termini clearly marked must be submitted with the Project Proposal. The map should be 8.5 inches by 11 inches and of a scale such that a reviewer can identify the project area in the field. Show the agency name, project title, project termini, north arrow, map scale, and nearest city or distance to the nearest city/town, or major road intersection.

### 3. **Typical Roadway Section**

Attach a sketch of the proposed roadway section showing all data pertaining to the section, including side slopes and limits of right-of-way. Also indicate stationing and note any variations of the section throughout the stationing. If the design does not conform to the design standards (see Section 13.6), a request for deviation from these standards with complete justification is required.

### 4. **Typical Bridge Section**

(If Necessary)

Attach a sketch of the proposed bridge section showing all dimensions and type of construction.

On bridge projects where approaches are to be included in the contract, include roadway section and length of the approaches. In cases where the structure consists of a main span and approach spans, the length of the approach spans should be indicated, if known.

### 5. **Local Agency Agreement**

This agreement is necessary on all projects involving federal funds and/or when state forces will be involved in the processing of projects. It must be submitted with the Project Proposal. See Chapter 7 for instructions on completing the agreement.

### 6. **Deviation Request**

See Section 13.52.

### 7. **Hearing Notices**

Chapters 10 and 16 outline procedures for public hearings.

### 8. **Scope of Work Report Approval**

For most projects, the Project Proposal along with the data satisfying items 1 to 14 of this transmittal, pavement design criteria and geometric design will be considered sufficient for the Scope of Work Report. Complicated projects require a more detailed Scope of Work Report. The items listed below are typically required discussion for Scope of Work Report approval.

- a. Traffic Data, Design-year ADT
- b. Accident Data
- c. Right-of-Way
- d. Utilities

- e. Design Speed
- f. Horizontal-Vertical Alignment
- g. Roadway Section
- h. Pavement Design Criteria
- i. Grading
- j. Hydraulics
- k. Traffic
- l. Bike/Pedestrian Features
- m. Design Exceptions
- n. Traffic Control
- o. Cost Estimate
- p. Environmental Considerations
- q. Public Involvement
- r. Permits

**9. Right-of-Way Requirement**

- a. No right-of-way required. Mark appropriate box on proposal. This serves as the agency’s right-of-way certification. (This replaces the no right-of-way certification.)
  
- b. Right-of-way required. Mark appropriate box on proposal and refer to Chapter 11 for further instructions.

**10. Right-of-Way Certification**

Required on all projects where right-of-way was acquired. Refer to Chapter 11 for further explanation.

**11. Agreements/Easements with Railroads**

Refer to MDT LAG Certification Liaison

**12. FAA Notification**

Check with the nearest FAA office if the project is within 3.2 km (2 miles) of an airport, if significant.

**13. Tied Bids**

If the project has tied bids (see Chapter 17), indicate the approval date. If the project is tied to another federally funded project, include the federal aid project number of the project, along with other information outlined in Section 16.

**Appendix 6.3.3 Instructions for Completing Project Proposal**

Ensure that reproductions are readable.

**Federal Aid Project Number**

MDT will assign

**Date**

Form is filled out.

**Local Agency Project Number**

Limited to eight (8) alpha/numeric characters that your agency identifies.

**Federal Employer Tax ID Number**

Required. Indicate the agency's tax identification number.

**Agency**

Required. This is your agency's name.

**Federal Program Title**

Enter the program number or title from the following list:

20.205 Highway Planning and Construction

**Project Title**

Write the project's title, as shown in TIP/STIP.

**Project Termini**

Indicate the beginning and ending limits of the section to be improved. For railway/highway grade crossing projects, show the name of the railroad involved. For intersection projects write the name of the crossroad.

**From: To;**

Indicate MP to MP

**Length of Project**

Project's length in miles.

**Award Type**

Mark the appropriate type.

**Federal Agency**

Indicate where the federal funds are coming from FHWA, etc.

**City Number**

For a city project, write the city number.

**County Number**

Write your county number.

**County Name**

Write the county the project is in.

**MDT District**

Write your MDT District number.

**Urban Area Route Number**

For projects inside urban areas, locate the appropriate urban area route numbers.

**Total Estimated Cost**

Required for each phase of the project; estimate to the nearest hundred dollars.

**Local Agency Funding**

Required for each phase of the project; estimate to the nearest hundred dollars.

**Federal Funds**

Required for each phase of the project; estimate to the nearest hundred dollars.

**Phase Start Date**

Enter the month and year which expenditure for the phase will begin.

**Description of Existing Facility**

In one or two paragraphs, give a detailed description of the existing facility including but not limited to: (1) type, pavement, lane and shoulder width, horizontal and vertical alignment, and (2) condition of existing surfacing and roadway within project limits and on adjacent sections at each end of the project. Note any substandard existing alignment and grade or other project deficiencies.

**Description of Proposed Work**

Check whether the project is new construction, reconstruction, resurfacing, or rehabilitation as described in Chapter 13. Explain the nature of the improvement proposed, such as widening of existing roadway for additional lanes or left-turn channelization, or to provide signalization to an intersection. Give the purpose of the improvement, such as upgrade facility to current standards, or to remedy a hazardous situation, or reduce congestion. Indicate the major work involved, such as grading, surfacing, bridge construction, drainage, etc. Give a contact person for the project in case there are questions.

**Design Approval**

On all federal aid transportation projects, agencies should document a location and design report to the agency and should document any evidence prior to requesting approval to acquire right-of-way or the preparation of the PS&E.

A project design cannot be approved before the environmental considerations have been approved by FHWA.

In most cases, the Project Proposal serves as the location and design report; this space is provided for the approving authority of the local agency to sign and date indicating the location and design approval.

When there is a subsequent change to the project design, an amended location-design approval is

required.

### **Geometric Design Data Accidents**

Refer to design report data and/or Chapter 15.

Enter the required accident information in the appropriate blanks according to the following definitions.

There are three categories of accidents differentiated by increasing degrees of severity — property damage, injury, and fatality?. An accident, irrespective of the number of vehicles involved or the number of persons killed or injured, is entered as one accident and defined as follows:

- a. Property Damage Accident: If there is damage to one or more vehicles or property, with no injuries and no fatalities, this equals one property damage accident.
- b. Injury Accident: If one or more persons are injured, regardless of property damage, this equals one injury accident.
- c. Fatal Accident: If one or more persons are killed regardless of property damage, this equals one fatal accident.

Examples:

1. Vehicle leaves roadway and hits utility pole, but driver is not hurt.  
Category: Property Damage Acc.
2. Vehicle slows on roadway, is hit from behind and pushed into vehicle ahead. Two persons are injured.  
Category: Injury Accident (two persons injured)
3. Two vehicles collide at intersection and involve two other vehicles. Two people are killed, three occupants are injured, and one pedestrian is injured.  
Category: Fatal Accident (two fatalities, four injuries)

If the above examples were all of the accidents for a location during a year, the total annual accident experience would indicate:

- 1 Property damage
- 1 Injury accident
- 1 Fatal accident
- 3 Accidents total
- 6 Persons injured
- 2 Persons killed

All accident, injury, and fatality information must be derived from official records.

### **Performance of Work**

PE: Indicate who will be performing the work and the percentage of the work they will do.

CN: Indicate if work is to be done by contract and/or local forces and the percentage to be done by each.

CE: Describe responsibilities

IC: Describe responsibilities



**Environmental Classification**

Mark the appropriate NEPA class of the project as defined in Chapter 10.2.

If the nature of the proposed improvement is likely to have a significant impact on the environment an “Environmental Impact Statement” (EIS) is required.

If the project is not expected to have a significant impact on the environment a “Categorical Exclusion” (Cat Ex) is determined.

When the significance of the impact on the environment is not clearly established an “Environmental Assessment” (EA) will be required.

**Right-of-Way Requirements**

- a. No right-of-way required. Projects need only check no right-of-way.
- b. Right-of-way required. A Right-of-Way Project Funding Estimate or True Cost Estimate, a Right-of-Way Plan, and a Relocation Plan (if required).

If right-of-way acquisition becomes necessary on a job previously submitted as having no right-of-way, a Project Funding Estimate or True Cost Estimate would need to be submitted to the MDT LAG Certification Liaison

**Description of Utility Relocation or Adjustments and Existing Major Structures Involved**

Indicate the agency responsible for any relocation and/or adjustments.

- a. Existing utilities-type of utility, publicly or privately owned, and other pertinent information.
- b. Existing major structures — number, year built, overall length and conditions, roadway width, estimated or posted capacity, and proposed treatment of any substandard structures to remain in place.



Local Agency		Project Title			Date	
<b>Geometric Design Data</b>						
Description		Through Route		Crossroad		
<b>Federal Functional Classification</b>		Urban <input type="checkbox"/> Principal Arterial <input type="checkbox"/> Minor Arterial <input type="checkbox"/> Collector		Urban <input type="checkbox"/> Principal Arterial <input type="checkbox"/> Minor Arterial <input type="checkbox"/> Collector		
Terrain		<input type="checkbox"/> Flat <input type="checkbox"/> Roll <input type="checkbox"/> Mountain		<input type="checkbox"/> Flat <input type="checkbox"/> Roll <input type="checkbox"/> Mountain		
Posted Speed						
Design Speed						
Existing ADT						
Design Year ADT						
Design Year						
Design Hourly Volume (DHV)						
<b>Accident – 3 Year Experience</b>						
Year	Property Damage Accidents	Injury Accidents		Fatal Accidents		Total Number of Accidents
		Number of Accidents	Number of Injuries	Number of Accidents	Number of Fatalities	
Total Number of Accidents Attributable to Lack of having the Proposed Improvement						
<b>Performance of Work</b>						
Preliminary Engineering Will Be Performed By				Others	%	Agency
Construction Will Be Performed By				Contract	%	Agency
Construction Engineering Will Be Performed By				Others	%	Agency
Incidental Construction Will Be Performed By				Contract	%	Agency
<b>Environmental Classification</b>						
<input type="checkbox"/> Final <input type="checkbox"/> Preliminary <input type="checkbox"/> Environmental Impact Statement (EIS) <input type="checkbox"/> Programmatic Categorically Excluded (Cat Ex) <input type="checkbox"/> Project Involves NEPA/MEPA Section 404 Interagency Agreement <input type="checkbox"/> Projects Requiring Documentation (Documented Cat Ex) <input type="checkbox"/> Environmental Assessment (EA) <input type="checkbox"/> Project Involves NEPA/MEPA Section 404 Interagency Agreement						
Environmental Considerations						

Local Agency	Project Title	Date
<b>Right of Way</b>		
<input type="checkbox"/> No Right of Way Required All construction required by the contract can be accomplished within the existing right of way.	<input type="checkbox"/> Right of Way Required	
<input type="checkbox"/> No Relocation		<input type="checkbox"/> Relocation Required
<b>Incidental Construction</b>		
Description of Utility Relocation of Adjustments and Existing Major Structures Involved in the Project		
FAA Involvement Is any airport located within 3.2 kilometers (2 miles) of the proposed project? <input type="checkbox"/> Yes <input type="checkbox"/> No		
Remarks		

This project has been reviewed by the legislative body of the administration agency or agencies, or its designee, and is not inconsistent with the agency's comprehensive plan for community development.

Agency \_\_\_\_\_

Date \_\_\_\_\_

By \_\_\_\_\_

Mayor/Chairperson

Appendix 6.3.5 Proposal Planning Scope of Work

FEDERAL-AID PROJECT PROPOSAL  
PLANNING SCOPE OF WORK

Agency: \_\_\_\_\_ Federal Aid Project  
Number: \_\_\_\_\_

Project Title: \_\_\_\_\_

Federal Funding Program: \_\_\_\_\_ Amount: \_\_\_\_\_

Matching Funds: \_\_\_\_\_ Total Amount: \_\_\_\_\_

Project Area: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Background: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Type of Study (check all that apply):  
Region \_\_\_\_\_ Area \_\_\_\_\_ Corridor \_\_\_\_\_ Intersection \_\_\_\_\_  
Design \_\_\_\_\_ Feasibility \_\_\_\_\_ Modeling \_\_\_\_\_  
Other \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Scope of Work:

---

---

Public Involvement Plan:

---

---

Environmental Considerations:

---

---

TDM/TSM and Transit Alternatives to be considered:

---

---

Land Use Implications:

---

---

Project Schedule:

---

---

Cost Breakdown by Task:

---

---

Deliverable Final Products:

---