Chapter 4 – CONCEPTUAL STUDIES AND PRELIMINARY DESIGN

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CHAPTER 4

CONCEPTUAL STUDIES AND PRELIMINARY DESIGN

4.1 GENERAL

This chapter provides policies, standards, practices, guidance, and references for developing and documenting the first two phases of the project development engineering process: the conceptual studies phase and the preliminary design phase. Subsequent steps in the project development engineering process are described in Section 9.6.3. Refer to Section 1.1.1 for definitions of policy, standards, and guidance. Statements of FLH Policy are shown in **bold type**. Statements regarding FLH Standard Practice are so indicated. Information on how to perform basic design procedures and fundamental steps for performing the design work are typically incorporated by references to other documents.

The overall objectives of the conceptual studies and preliminary design phases are to:

- Fully clarify and quantify the transportation needs and deficiencies identified during the planning and programming phase,
- Develop a general course of proposed action,
- Identify and evaluate with engineering analyses the feasible and reasonable solutions (alternatives) to these needs and deficiencies, and
- Document the engineering analyses, preliminary design, and the project delivery plan, to guide implementation of the project.

Conceptual studies are typically initiated as needed to support the planning and programming process (see Section 2.5). After projects are placed in the multi-year FLH program for preliminary engineering the conceptual studies phase further identifies, defines and considers sufficient courses of action (i.e., engineering concepts) to address the transportation needs and deficiencies initially identified during the planning and programming process. This phase advances a project proposed in the multi-year program to a point where it is sufficiently described, defined and scoped to enable the preliminary design and technical engineering activities to begin. Conceptual studies are typically based on analysis of existing available information, on-site interdisciplinary reviews and meetings with stakeholders. The conceptual studies phase is typically documented in the form of a project scoping report and in a project agreement.

The preliminary design phase involves developing the engineering design and evaluation in collaboration with the various functional disciplines including right-of-way, surveys and mapping, environment, safety, highway design, pavements, hydraulics, geotechnical, structural design, and construction, to support the identification of a preferred alternative and the decision-making process as described in Section 3.4. This phase may include developing multiple alignment configurations, roadway templates, pavement structures, roadside features or other alternatives for evaluation. The preliminary design is typically developed to approximately the 30 percent level of design detail using substantial additional engineering data, information and input to supplement the information gathered during the conceptual studies phase. This phase typically includes identification of a detailed scope of engineering activities, estimated costs, and a project delivery plan for implementing the proposed project and achieving the project objectives on schedule and within budget.

For small-scale improvements such as resurfacing, restoration and rehabilitation (RRR) type projects, isolated bridge replacements and other projects constrained by a limited or well defined scope, the preliminary design and technical engineering activities are often readily identifiable without the need to fully perform all of the activities described for the conceptual studies phase. A typical process for the preliminary design phase includes:

- Develop survey and mapping for preliminary engineering and environmental activities,
- Develop design criteria for each alternative being considered,
- Develop initial alignments, typical sections and roadway design for each alternative,
- Determine proposed pavement structure options,
- Develop preliminary technical discipline recommendations, as applicable (e.g., cut/fill slopes, walls, major culverts, bridge foundations),
- Develop resource mapping and identify potential impacts of each alternative;
- Provide design information for the environmental analysis, such as: areas of impact, preliminary earthwork quantities, waste and staging areas, material source plans, preliminary drainage designs, bridge layout, right-of-way exhibits, construction phasing and closure schedules and cost estimates; and
- Provide design information for other analyses, such as for Park Roads projects a Value Analysis may be performed by the NPS.

Deliverables or outputs from the preliminary design process may include:

- Corridor study report, if applicable,
- Preliminary engineering study report,
- 30 percent preliminary plans of the design alternatives (i.e., plan/profile sheets, typical sections, major work items identified and located), and
- Preliminary construction cost estimates for the design alternatives.

The conceptual studies and preliminary design phases are performed in conjunction and concurrently with the environmental process outlined in Section 3.4. The environmental process evaluates environmental impacts of the engineering proposals resulting from the conceptual studies and preliminary design phases.

A preferred alternative is identified after the environmental effects of the proposed actions are evaluated in the environmental process. The selected action is recorded in the final approved environmental decision document (e.g., Categorical Exclusion (CE), Finding of No Significant Impact (FONSI), Record of Decision (ROD)). Assuming the selected action is a build alternative it will be carried forward into final design (see Chapter 9). The conceptual studies and preliminary design phases conclude with the documentation of the engineering aspects of the selected action, defined by a category of improvement, geographical corridor, preliminary highway design standards and clear design concepts. Exhibit 1.1-B depicts the general, overall project development process. Specific interdisciplinary activities that are involved in the project development process are not shown, but are addressed in detail in this and other *PDDM* chapters. Exhibit 4.1–A depicts the conceptual studies and preliminary design process that are described in this chapter.

Guidance and references for performing the conceptual studies and preliminary design are described in Section 4.2. The basis for the preliminary engineering investigation is the problem definition and evaluation of existing information that is gathered as described in Section 4.3, together with consideration of the applicable design standards and controls as described in Section 4.4. The result of the preliminary engineering investigation (see Section 4.5) is an initial recommended course of action that is carried forward for development during the preliminary design phase as described in Section 4.6, including any alternatives that will be developed as described in Section 4.7. The results of the preliminary design and alternatives analysis are determined and established as described in Section 4.8. Considerations for implementation of preferred action are described in Section 4.9, and the final results of the conceptual study and preliminary design process are documented as described in Section 4.10. Supplemental requirements, guidance and procedures specific to the FLH Division offices are listed throughout the chapter.

The development of the final design is covered in Chapter 9. Additional information on the overall project development process is provided in Chapter 1 of *A Guide for Achieving Flexibility in Highway Design*, AASHTO, 2004.

Refer to [EFLHD – CFLHD – WFLHD] Division Supplements for more information.

Exhibit 4.1–A CONCEPTUAL STUDIES AND PRELIMINARY DESIGN PROCESS

Project Planning and Programming

↓

Problem Definition
Purpose and Need Definition
Preliminary Recommendations for Study
Gathering and Evaluating Existing Information and Documentation

↓

Applicable Design Criteria and Standards
Type of Program and Level of Improvement
Geometric Design Criteria and Controls
Technical Discipline Criteria and Standards
Flexibility and Risk Assessment

↓

Preliminary Engineering Investigation
Project Scoping and Report
Technical Discipline Considerations
Corridor Study and Report (if applicable)

Conceptual Studies [Obtain and evaluate existing available information]

Environmental Process [See Chapter 3]

↓

Developing the Evaluation Framework
CSS Approach
Interagency Scoping and Public Involvement
Proposed Course of Action and Alternatives
Project Delivery Plan and Management

↓

Alternatives Development and Evaluation
Alternative Levels of Improvement
Alternative Design Concepts
Technical Evaluation of Alternatives

↓

Preliminary Design Features Development
Geometric Design Features and Concerns
Technical Discipline Features and Concerns
Involvement of Other Entities (if applicable)
Preliminary Cost Estimate

↓

Considerations for Implementation of Final Design, PS&E Delivery and Construction
Preliminary Design Review
Program Requirements
Project Development and Construction Considerations

Preliminary Design [Obtain, develop and evaluate new information]

↓

Documentation
Project Scoping Report (see Preliminary Engineering Investigation)
Corridor Study Report (see Preliminary Engineering Investigation)
Preliminary Engineering Study Report
Environmental Document (see Chapter 3)
Development Required for Final PS&E Delivery

4.2 GUIDANCE AND REFERENCES

The regulations, policies, guides and references that provide the background for implementing conceptual studies and preliminary design are listed in the various chapters of this manual relating to the interdisciplinary development of the conceptual studies and preliminary design.

For references on specific subjects, refer to the guidance and references in the appropriate *PDDM* chapter. The primary references that are most frequently cited in this chapter are provided below. The guidance and references are not all inclusive and other documents may contain useful information in special situations.

Abbreviations and definitions are described in Section 1.4.

4.2.1 STANDARDS OF PRACTICE

1.	Green Book	*A Policy on Geometric Design of Highways and Streets*, AASHTO, current edition.
2.	Park Road Standards	*Park Road Standards*, US Department of the Interior, National Park Service, 1984.
3.	RDG	*Roadside Design Guide*, AASHTO, 2006.
4.	VLVLR	*Guidelines for Geometric Design of Very Low-Volume Local Roads (ADT ≤400)*, AASHTO, 2004
5.	23 CFR 625	Title 23 of the Code of Federal Regulations, Part 625, *Design Standards for Highways*.
6.	NS 23 CFR 625	Federal-Aid Policy Guide (FAPG), Non-regulatory Supplement to 23 CFR 625.

4.2.2 GUIDANCE

1.	FHWA-PD-97-062	*Flexibility in Highway Design*, FHWA, 1997
2.	AASHTO Flexibility Guide	*A Guide for Achieving Flexibility in Highway Design*, AASHTO, 2004.
3.	NCHRP Report 480	NCHRP Report 480, *A Guide to Best Practices for Achieving Context Sensitive Solutions*, TRB, 2004.

4.	T 5040.28	Technical Advisory T 5040.28, *Developing Geometric Design Criteria and Processes for NonFreeway RRR Projects*, FHWA, October 17, 1988.
5.	ERFO Manual	*Emergency Relief for Federally Owned Road Disaster Assistance Manual*, FHWA, April 2004
6.	Special Report 214	TRB Special Report 214, *Designing Safer Roads: Practices for Resurfacing, Restoration, and Rehabilitation*, TRB, 1987
7.	IHSDM	Interactive Highway Safety Design Model

4.3 PROBLEM DEFINITION

This section provides guidance to define the transportation problem, the context, and the related issues addressed by the project. This includes clarifying the purpose and need for action, determining the type and extent of information gathering, and investigating the project site.

4.3.1 IDENTIFY PURPOSE AND NEED

Identification of the purpose and need for action begins with an evaluation of the facility's operational, physical, and performance characteristics for determination of deficiencies. This includes a comprehensive assessment of its physical condition, safety performance, traffic operational performance, capacity, efficiency, convenience, sustainability, environmental compatibility and maintenance aspects. For new roads, the purpose and need will be established as part of a comprehensive planning study. Refer to Section 2.5.

A goal or general objective will typically be identified during the planning and programming process. Refer to Section 2.3 for a description of this activity. Development of the purpose and need is an essential activity that is performed as part of the environmental analysis and documentation. Refer to Section 3.4.2.2.1, item (1)(g), Task 7 for additional guidance on development of purpose and need for improvements.

A listing of the road's current deficiencies, both physical and operational, and the relative importance of each should be prepared to indicate where the performance of the road is currently substandard and not functioning properly. Exercise care when determining the major contributing factors of a poorly functioning road facility. Many factors influence and contribute to the performance characteristics of a facility; an existing substandard road feature is not necessarily the problem.

The long-term transportation performance needs of the users, the facility infrastructure condition, and the surrounding context must also be determined. This is based on projections of how land use activities in an area are going to change along with their associated transportation requirements. A forecasted 20-year average daily traffic (ADT) from the anticipated completion date of the project, and percentage of vehicle types (e.g., trucks, buses, recreational vehicles) that will use the facility is commonly used to describe the future level of use that an improvement is intended to accommodate. Other factors such as development of the roadside or of destinations along the route, and functional classification changes also characterize future transportation requirements. The intended lifetime of the improvement and future serviceability must also be determined in order to identify the purpose and need, and to evaluate the level of investment warranted and resulting benefits of various alternative solutions that may be proposed.

4.3.1.1 Interdisciplinary/Interagency Approach

The gathering of existing information and other activities for development of the purpose and need, conceptual studies and preliminary design is performed with an interdisciplinary team (IDT), lead by the project manager. For an interagency IDT, identify the respective agency roles and responsibilities. Close coordination among the various technical disciplines, especially with the environmental specialist preparing the environmental analysis and documentation, is essential. Various members of an interdisciplinary project team may perform the activities and requirements described in this chapter, so it is essential that the project team be properly organized with clearly assigned responsibilities to perform each of the various activities that are necessary. It is also essential to maintain close and continuous coordination with the land management agency, and other stakeholders in the facility, during the conceptual studies and preliminary design phases, as well as throughout the project delivery process.

Since the FLH Program is delivered entirely through partnerships with other agencies, a collaborative approach is used during all phases of the project delivery, with involvement of all stakeholders. The interagency/interdisciplinary approach to conceptual studies and preliminary design is fundamental to obtaining an end product that will serve the public and be consistent with Federal, State and local goals, objectives and standards. Early contact and coordination with partner agencies helps to alleviate or minimize conflict and controversy. As early as possible in the project development process, a project agreement should be prepared that addresses the principle contacts, roles and responsibilities for interagency coordination of project delivery activities, as described in Section 4.6.4.

Coordinate with the land management agency contacts and other stakeholders throughout the preliminary and final design process, to achieve a smooth transition between the design and construction phases. The interdisciplinary/interagency study team includes the principle agency contacts for projects that require an environmental assessment or environmental impact study, as described in Section 3.4.2.2.1, item (1)(b), Task 2. Coordinate with contacts of regulatory, resource and other agencies regarding permit requirements and clearances. The interagency contacts should be identified and included in the Project Scoping Report described in Section 4.5.2.

On Park Road and Parkway projects, the coordinator in the NPS Denver Service Center, or if appropriate, the National Park Service Support Office or the local park representative is the principal contact for input and review of the design alternatives. The NPS will sometimes take the lead for coordination with other agencies and outside disciplines, when applicable.

On Forest Highway projects, the road-owning agency (typically either a County or State DOT) engineering staff, together with engineering staff and resource staff in the Forest Supervisor's Office and/or the District Ranger's Office are typically the principal contacts for project input. These agencies will normally have technical specialists with local expertise and are familiar with the transportation needs and resource issues of the facility, its users and its local context.

On Refuge Road projects, the FWS regional program coordinator and the refuge facility manager are typically the principal contacts for engineering and technical input. The FWS will sometimes take the lead for coordination with other agencies and outside disciplines for environmental and permit compliance, when applicable.

On some projects, the FHWA Federal-aid Division office may participate in the development of the project. The extent of the involvement varies from office-to-office, but using the expertise available in the FHWA Federal-aid Division offices can provide an independent review of the preliminary design and environmental analysis.

4.3.1.2 Transportation Planning Reports and Inventories

Data collection is an integral step in the conceptual study process. The following sections describe the most common sources and areas where comprehensive information must be gathered for highway location analysis. Also, general traffic data and operational characteristics including seasonal variations, peak use, vehicle types and their volume percentages should be obtained. Travel information like running speeds, congestion periods or any irregularities should be determined. Typically, the maintenance forces have many observations to offer. The needs and quantity of other road users (e.g., bicyclists, pedestrians) must also be established.

Refer to Section 2.5 for transportation planning reports and inventories that are prepared. FLH maintains a road inventory program (RIP) data and reports, bridge inventory program (BIP) data and reports, and other system information for National Park roads and other Federal land management agencies. For National Park roads an interactive video and condition database is maintained in VisiData format, and this information should be readily available.

Planning reports and inventories are sometimes available from the land management agency or agency with jurisdiction of the highway, in the form of a Needs Study. These documents provide system-wide highway information on the physical condition, current deficiencies and future needs of routes on a system. General types of needed improvements and approximate construction cost estimates may also be documented and can be used to develop a priority list of projects.

While this information is primarily used to show funding needs or assists the priority setting/programming process, it can provide good starting data for conceptual studies. Usually, needs studies are general in nature and must be expanded and refined into specific project data, issues and details. Comparing the current highway facility with the geometric standards of a road that is sized to accommodate its future traffic volumes and travel conditions can provide an initial indication of the extent of upgrading that may be warranted to address the long-range transportation needs.

4.3.1.3 Information from Land Management Agencies

The land management agencies through their planning offices and area-wide comprehensive planning documents (e.g., NPS General Management Plan, NPS Development Concept Plans, FS National Forest and Resources Management Plans) can provide some information and assistance in determining future travel demands on highways. General management plans and other documents are used to document the land management agency's need to expand facilities or services to other areas, and support the purpose and need for new or improved roads.

4.3.1.4 Response to Emergencies/Site Conditions

Occasionally, a project is developed to repair a damaged road or highway due to an act of nature or a major vehicle incident that made the roadway impassible. These projects cannot be programmed or planned in advance, but are necessary to keep the roadway open and operational to local and regional traffic. The Emergency Relief of Federally Owned Roads (ERFO) program provides funding for repairing disaster damaged Federal highway facilities and returning them to their pre-disaster condition. The Program of Projects (POP) Letter authorizes ERFO Projects and the scope of the repair is specified in the Damage Survey Report (DSR). The purpose of this type of project is to restore the facility to pre-disaster conditions as quickly as possible, and will likely not have the benefit of advance planning and coordination to implement all of the desirable improvements, or the available funds to complete any more than restoration in-kind to the pre-disaster condition. For approval of upgrades or additional features to protect the facility from future disaster damage it must be shown that the added expenditure is cost-effective for reducing future ERFO program costs. Within the program eligibility guidelines, the repair must not only restore the facility, but also it should ensure that an inordinate risk of subsequent failure is not perpetuated in the reconstruction. Therefore, every effort should be made by the response team to evaluate repairs that will make efficient and effective use of the limited funds for the roadway system, and to identify appropriate betterments and safety enhancements as recommended improvements that may be funded by the land managing agency.

4.3.1.5 Programming Information

Refer to Section 2.3 for programming information that is developed for the project development activities. The following sections describe programming information that should be obtained early in the conceptual design phase.

4.3.1.5.1 Pre-Programming Studies

Obtain relevant project pre-programming reconnaissance studies and scoping documents, if available (e.g., Project Agreement, Project Identification Report (specific to WFLHD)), and relevant scoping reports, conceptual studies and data that may have been prepared for planning or programming purposes. Obtain information about the scope of project as established by FLH and partnering agencies and roles and responsibilities of FLH and partnering agencies.

4.3.1.5.2 Project Delivery Schedule

Obtain the proposed project delivery schedule, including the environmental and design schedule milestones, from the Division’s project delivery and resource scheduling program (e.g., Program Resource Management System (PRMS), Primavera P3e/c, Open Plan).

4.3.1.5.3 Preliminary Engineering Budget

Obtain existing information on programmed funding available for preliminary engineering (PE).

4.3.1.5.4 Preliminary Construction Cost Estimate

Obtain any construction estimate information previously developed for the project from any prior conceptual studies and scoping documents (e.g., Project Identification Report, Project Agreement).

4.3.1.5.5 Interdisciplinary Team (IDT) and Social, Environmental, Economic (SEE) Team Members

Obtain a listing of interdisciplinary (IDT) team members and Social, Environmental, Economic (SEE) team members that are assigned as resources for the project. The SEE team is formed to guide the NEPA environmental process. The interdisciplinary team may also be referred to within FLH as the cross-functional team (CFT).

4.3.1.6 Preliminary Recommendations for Study

Based on the prior planning and programming activities, and initial contacts made at the beginning of project development activities, assess information needs and determine how extensive the reconnaissance and preliminary engineering investigation effort needs to be. Before proceeding with subsequent activities covered in this chapter, develop preliminary recommendations that describe the level of study to be performed during the conceptual and preliminary design. For smaller scale projects, a less comprehensive effort that only requires a limited level of information gathering and reporting may be appropriate for conceptual studies and preliminary design. It may not be necessary to gather all of the existing information listed in the following sections if the scale of planned improvements is very limited.

4.3.2 GATHERING EXISTING INFORMATION

The information on the existing facility provides the historical background and gives an insight as to why the facility was designed the way it exists today. This effort also includes some initial assessments of existing deficiencies. The following subjects are the most common areas where comprehensive information must be gathered before evaluation or analysis can begin for the conceptual studies and preliminary design. These sources supplement information available from planning studies and inventories described in Section 4.3.1.2.

4.3.2.1 As-Built Plans and Previous Studies

Gather relevant information regarding the facility's history, including prior engineering work and previous construction projects, construction reports, etc.

A primary source of information for reconstruction and RRR projects is as-constructed plans. Each Federal Lands Highway Division office has access to a set of as-constructed plans for its completed projects. They contain information on alignments, drainage, bridges, right-of-way, pavement structure and other engineering features.

Local governments, State DOTs and other Federal land management agencies can also provide as-constructed plans and a variety of information relating to a specific section of highway.

The NPS Denver Service Center maintains microfilm files on as-constructed plans on park road projects. The NPS Regional Offices and individual park units may also have as-built plans, previous engineering studies, or may maintain other information systems that can provide relevant information about the existing facility.

While information from as-constructed plans and from other agencies has significant value, the data should not be blindly accepted as fact. Field verification is necessary.

4.3.2.2 Roadway Geometry

The existing geometric elements of a roadway are used to describe in conventional engineering terms the physical, structural, safety and operational characteristics of a facility. While many elements of design (e.g., stopping sight distance, grades, horizontal/vertical alignment, superelevation) must be established to develop a highway design, only a few controlling elements are essential to evaluate it at the conceptual stage. Roadway width (i.e., lanes, shoulders), design speed, surfacing type and alignment location, or new corridor location, if applicable, are the main criteria for studying highway alternatives.

Other than for new roads entirely on new location, this information consists of an inventory of the physical features and operational characteristics of the existing highway. Most of this information is available from the highway owning agencies (e.g., highway departments, Federal land management agencies), through their road monitoring reports and planning/inventory studies. In addition to as-constructed plans and these reports, the engineer should determine and verify through field inspections the road's length, width, surfacing type, traffic control devices and roadside features along with their current condition. Evaluate the available sight distance along the roadway and at intersections, and identify any discernible sight distance restrictions. Refer to Section 8.4.3 for guidance on gathering this information and preparing an Existing Geometric Controlling Features Analysis.

After gathering the data, compare the existing road and its current functional classification, geometric standards, physical condition and present and future travel demand with the highway agency's road standards. If the highway agency has separate RRR geometric standards and design procedures, determine if they apply to the project. The AASHTO *Green Book* geometric standards are broad enough to address most types of roads if there are no other standards that apply.

For RRR projects where the roadway geometry is not changed, completing the Existing Geometric Controlling Features Analysis, described in Section 8.4.3, is still necessary to verify the design criteria that will be incorporated into the project.

Applicable geometric design standards and criteria that are developed are discussed in Section 4.4.

Exhibit 4.3–A provides an illustration of typical rural cross section elements, Exhibit 4.3–B shows a recoverable roadside including clear zone and Exhibit 4.3–C shows a typical urban cross section elements.

Exhibit 4.3–A TYPICAL RURAL CROSS SECTION ELEMENTS

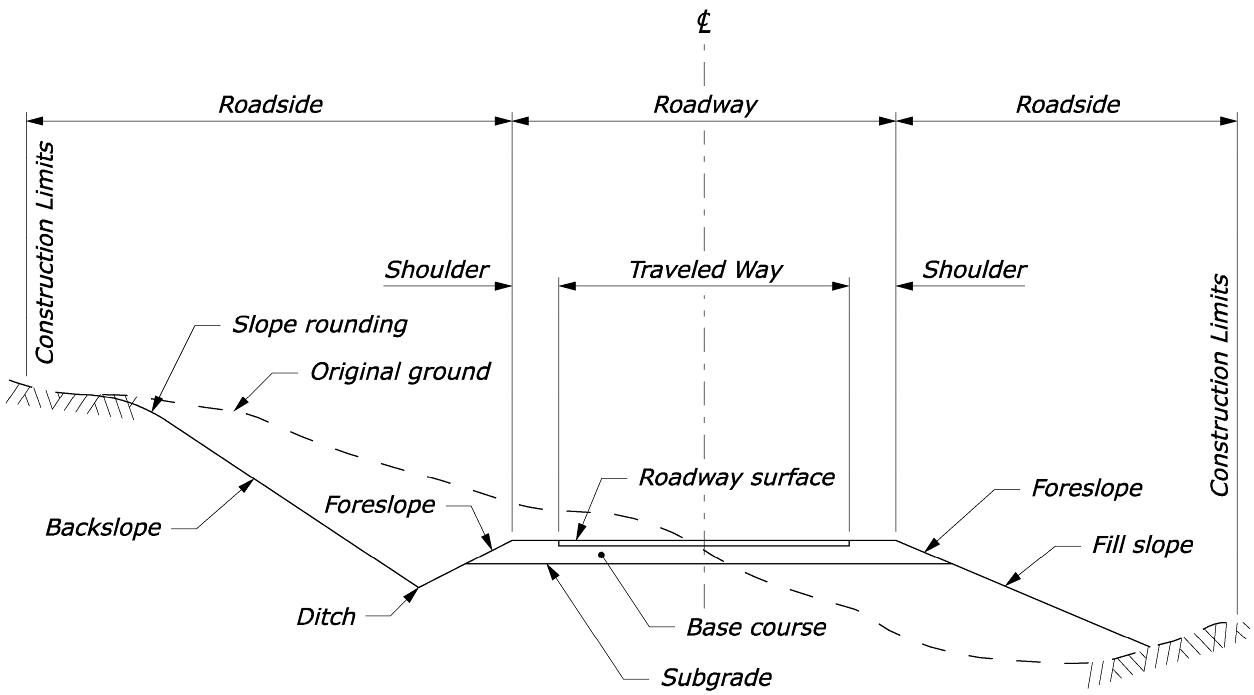


Exhibit 4.3–B RECOVERABLE FORESLOPE

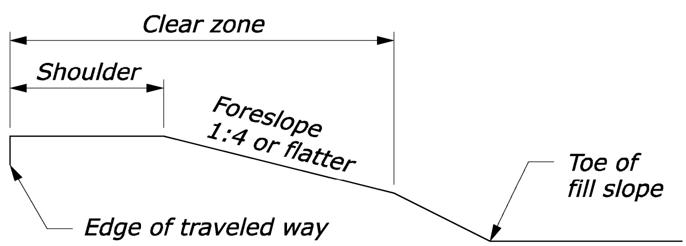
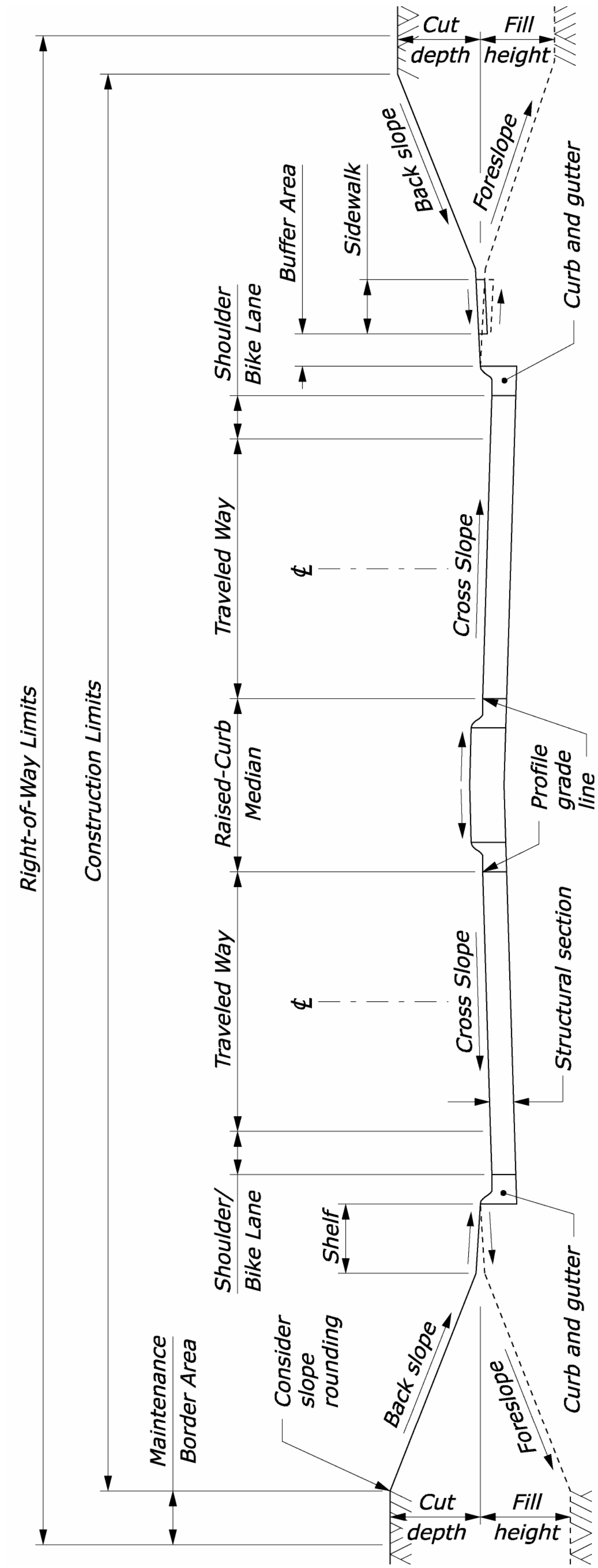


Exhibit 4.3–C TYPICAL URBAN CROSS SECTION ELEMENTS



4.3.2.3 Traffic Characteristics

Traffic characteristics play a major role in establishing the concept and design of a highway. Traffic indicates the type of service for which the improvement is being made and directly affects the criteria for geometric design features (e.g., widths, alignment, grades).

Basic traffic data (e.g., average daily traffic, vehicle classification) is collected on almost a continuous basis by most highway departments and some land management agencies, including the National Park Service. This information can be readily obtained and provides a benchmark for traffic data in the study area. When traffic data is not present, it must be developed by special counts or by calculating the number of vehicles from related information (e.g., National Park visitations, cubic meters [board feet] of timber hauled, recreational visitor days). The FLH Division offices have traffic counter equipment that can be used to collect current traffic data for development of individual projects. When needed to verify the functional classification or other design controls, obtain information on the various users' origin and destination patterns and their functional use of the highway.

Some of the common traffic data elements are listed below, and are described in more depth in Section 8.6.1. Note that not all items listed are required for every project and can vary depending on specific project requirements:

1. **Average Annual Daily Traffic (AADT).** The total yearly volume of automobiles and trucks divided by the number of days in the year.

2. **Average Daily Traffic (ADT).** The calculation of average traffic volumes in a time period within the year, greater than a single day and less than one year. If for a specific season within the year, it is designated Seasonal Average Daily Traffic (SADT).

3. **Peak-Hour Traffic (PH).** The highest number of vehicles passing over a section of highway during 60 consecutive minutes. Non peak-hour traffic is representative of other times.

4. **Peak-Hour Factor (PHF).** A ratio of the total volume occurring during the peak hour to the maximum rate of flow during a given time period with the peak hour (typically 15 minutes).

5. **Design Hourly Volume (DHV).** The one-hour volume in the design year selected for determining the highway design.

6. **K-factor (K).** The K-factor is the percent of daily traffic that occurs during the peak hour. A rule of thumb for rural highways is approximately 15% of the ADT.

7. **Traffic Growth Rate.** The trends and growth rates, past and projected.

8. **Classification of Vehicles.** Percent passenger vehicles, trucks and buses, recreational vehicles.

9. **Directional Split.** Percentage of the design volumes in either direction.

10. **Turning movements.** Traffic volumes of vehicles making allowable turns at major intersections. Typically expressed as a portion of the DHV.

11. **Congestion data.** Speed, density, volume, headway, percent of time following, and level of service data at identified traffic congestion areas.

12. **Speed and delay data.** Measurements of operating speeds, running speeds, and amount of delay to vehicles at intersections.

13. **Conflict study data.** The identification of potential conflict points at intersections, and the associated numbers of vehicles exposed to the potential conflicts.

Identify any areas that are being considered for new traffic patterns, directional signing, revised pavement markings and other change to traffic control devices that benefit traffic operations.

The AASHTO *Green Book* in Chapter 2 §Traffic Characteristics provides a description of traffic characteristics (e.g., volume, directional distribution, composition of traffic projections, speeds). While much of this information has a more direct bearing on design details, conceptual studies and associated alternative analyses are also dependent on overall traffic data. Sometimes traffic data (e.g., operating speeds, travel time and delay, occupancy rates) are needed to address a special issue (e.g., determining the design speed or the need for passing lanes). If this data is unavailable, conduct the traffic studies as described in the ITE *Transportation and Traffic Engineering Handbook* to provide this information.

4.3.2.4 Crash Data

Obtain the current traffic crash data for the route. Vehicular crash data can provide excellent guidance in determining a road's past safety performance problems. These data and statistics are usually maintained and readily available at the highway department, land management agency and/or the law enforcement office responsible for that highway facility. When this type of data is not immediately available, conduct a short-term traffic safety study or an assessment of crash potential. If a formal traffic study is not available, anecdotal information from responsible sources can provide insight as well, and it is recommended to contact law enforcement agencies responsible for the area to supplement the information from their records.

Figures for crash rates are shown in crashes per million vehicle kilometers [miles] traveled. Figures for fatality rates are shown in fatalities per one hundred million vehicle kilometers [miles] traveled.

See Section 8.4 for guidance on the safety analyses of highways.

4.3.2.5 Roadside Safety Features

Identify existing information on roadside features (e.g., clear zone, side slopes, ditch widths, clearing limits, barriers, barrier terminals and transitions, fixed objects) even if the width of project disturbance will not affect them, as these existing features contribute to the roadside safety as incorporated within the project. (See Exhibit 4.3–A.)

4.3.2.6 Controlling Site Features

Identify and obtain information regarding the existing features that may control the location, design or scope of improvements. These may be topographic features, environmental features, roadside development, intersections, approach roads, utilities, railroads, etc.

4.3.2.7 Construction Considerations

Obtain available information on considerations that will control construction activities (e.g., work limitations, access limitations, construction staging, environmental commitments and stockpile area limitations and hauling limitations) and limitations on sources of construction materials.

4.3.2.8 Environmental Considerations

A highway has wide-ranging effects beyond that of providing traffic service to its users. It is essential that the highway be considered as an element of the total environment. The highway can and should be located and designed to complement its environment and serve as a catalyst to environmental improvement. Obtain relevant information on the context of the facility and the needs of non-highway users that are affected by the facility, as well as the users. Obtain available information about the project community both in terms of its physical attributes (e.g. land use, landscape, demographics, economic conditions and trends, and natural and man-made resources), as well as relevant information that describe the intrinsic characteristics that are valued by its members, define its sense of place, and which make the community unique. Obtain relevant information on travel destinations and access needs served by the facility (e.g., schools, commercial, recreation access within the corridor) and the relationship of the facility within the overall environment.

Determine requirements for wildlife crossings and fish passage within the highway corridor. Refer to Section 9.5.10 for information regarding design of wildlife crossings and design of drainage structures for fish passage.

Obtain resource mapping (e.g., wetland delineation, historic and archeological sites, wildlife habitat areas mapping and restrictions). Obtain resource information from stakeholder, partner and cooperating agencies and incorporate with the engineering mapping information described below.

Obtain relevant environmental documentation from the environmental process. Data for conceptual studies and preliminary design are collected concurrently with the environmental process and each has a major effect on the other. As outlined in Chapter 3, close coordination is important to ensure the range of improvement alternatives is established in recognition of overall environmental factors. This allows for an orderly, complete evaluation when determining the preferred improvement alternative. Also, the design of the selected alternative must reflect the limitations and mitigation commitments identified in the environmental phase.

4.3.2.9 Survey and Mapping

Obtain existing information on survey control points, benchmarks and control data (e.g. datum, coordinate system basis, etc.), as described in Chapter 5.

If available, obtain existing aerial photography and mapping for study and illustration of the existing highway, roadside features and proposed improvements. Obtain available maps and mosaic photo composites, USGS digital ortho quarter quadrangle maps (DOQQ's), satellite imagery or aerial photographs from other agencies to assist in the conceptual studies, even when minor improvements are being investigated.

As applicable, obtain photogrammetric maps, topographic maps (paper copies or digital files) and aerial photographs of the area from the following sources:

- Previous route surveys and reports,
- Previous highway corridor mapping,
- Maps by Federal, State, county and municipal agencies,
- Topographic maps by US Geological Survey (USGS) and National Geodetic Survey,
- Hydrographic surveys of rivers and river and harbor surveys by the US Army Corps of Engineers (USACE),
- Tideland maps by the State land department,
- Surveys by the Bureau of Reclamation, NPS and Bureau of Indian Affairs (BIA),
- Highway right-of-way maps by FHWA, State and county agencies,
- Public Land Survey System (PLSS) plats and Master Title Plats from the Bureau of Land Management (BLM),
- Maps by Forest Service (e.g., transportation maps, firemen's maps, topographic maps),
- Stereo-photographs from private sources and government agencies, particularly the USGS and the Department of Agriculture,
- Railway maps and profiles,
- Maps made by the State planning divisions (i.e., county maps showing county road systems and roadside culture and city maps, which include the immediate surrounding area),
- FLMA, State and local GIS mapping,
- County tax maps,
- Geotechnical maps, and

- Mapping services such as Google Earth, Virtual Earth, and NASA World Wind.

4.3.2.10 Right-of-Way

Collect existing right-of-way documents, plats and exhibits. Obtain existing information regarding railroad property, if applicable. See Chapter 5 and Chapter 12 for right-of-way information gathering.

4.3.2.11 Existing Access Management

Collect existing access management plans and documents, travel management maps, corridor travel management plans, etc., if available.

4.3.2.12 Utilities

Collect existing utility maps, plans and agreements. See Chapter 5 and Chapter 12 for utilities information gathering. Contact the utility company to determine the type and location of existing utilities. Utilities may be located within easements.

4.3.2.13 Permits

Obtain existing use permits for activities within the corridor. Refer to Section 3.3.3 for information on common environmental related permits. See Chapter 12 for Special Use Permits. Utilities typically are within the right of way by permission from the highway owner or operating agency. Permits differ from easements or fee title in that permits are revocable.

4.3.2.14 Geotechnical

Obtain existing geotechnical and materials reports, if available. Obtain geological maps, references and reports for the area. Refer to Section 6.3 for geotechnical information gathering.

4.3.2.15 Pavements

Obtain existing information on surfacing conditions, if available. Refer to Section 11.1.5 for pavement information gathering.

As applicable, obtain pavement condition data for National Park Service (NPS) roads and parkways from the Road Inventory Program (RIP). The VisiData software application is available to view and query RIP data. VisiData displays forward-view and pavement-view digital imagery, as well as surface condition data and an asset inventory of each paved NPS road.

4.3.2.16 Hydrology and Hydraulics

Obtain available hydrology and hydraulic information where water resources are an issue affecting the road project (e.g., flood plains, erosion, drainage, water quality). This data aids in determining the cause of some road problems and, more importantly, provides guidance to determine feasibility, location or size of hydraulic structures for the alternatives under consideration. This data is needed to establish baseline conditions, address environmental concerns and to resolve engineering design problems, in the preliminary and final design phase. See Section 7.1.3 for scoping and gathering information about hydrology and hydraulic conditions.

4.3.2.17 Structures

Obtain bridge inventory and condition inspection reports. Obtain existing reports regarding pier, abutment or channel scour. Obtain as-constructed plans of existing bridge structures.

4.3.2.18 Pedestrian and Bicycle Use

Obtain information on pedestrian and bicycle use. Also obtain information on any other motorized and non-motorized use of the facility (e.g., equestrian, snowmobile, all terrain vehicles). This may also include Statewide, regional or local bicycle and pedestrian planning documents.

4.3.2.19 Alternative Transportation Elements

Obtain existing information (not performance of new planning or design) pertaining to alternative transportation elements (e.g., transit systems, school busing, tour busing).

4.3.2.20 Intelligent Transportation System (ITS) Elements

Obtain existing information on any ITS elements or systems that are present. See Section 8.7.5 for more information.

4.3.3 SITE INSPECTION

Perform a site inspection to view the existing conditions and verify the existing information that has been gathered. Conduct a collaborative walk-through with the project stakeholders, technical specialists, and local project constituents familiar with the features or concerns related to the project. Key items to investigate or information to verify during the site inspection include:

- Context resources (environmental, cultural, historic, and man-made), constraints and controls that have been, or will need to be, inventoried and mapped for the project area;

- Traffic data, travel demands (for all modes), and crash data which identify operational, capacity, and roadway safety problems, and/or potential problems with future conditions. See Section 8.4.1;

- Roadside safety conditions, barriers, signs and markings. See Section 8.4.2;

- Roadway geometry, cross section dimensions, sight distances, roadside and ditches. See Section 8.4.3;

- Pavement conditions, local materials and geotechnical conditions. See Section 11.3.1;

- Road approach and access conditions, traffic conflicts, intersection sight distances;

- Hydraulic conditions, adequacy and sufficiency of existing structures, bridge inventory information and floodplain effects;

- Geotechnical conditions. See Section 6.3;

- Right-of-way information, identification of property lines and property owners; and

- Existing utilities, location and potential conflicts.

An essential result of reviewing the existing information and evaluating the on-site conditions in the field is so the interdisciplinary team understands the overall context, land uses, and intrinsic character of the project location, the natural environment, and surrounding community. Local knowledge and on-site interaction is critical to form an understanding of the environment, surrounding land use, and community character and values.

4.4 DESIGN STANDARDS

Design standards include the geometric design standards and other technical standards. Geometric design standards relate to the functional classification of highways, types of users, traffic density and character, design speed, capacity, safety, terrain, and land use.

Design of the overall highway should be done to a consistent standard. Evaluate the route between major termini to maintain a uniform approach to the major design features of an overall route that may be improved in stages on a project-by-project basis. Identify contextual features and qualitative aspects of each project early in the design process, before design standards are selected, and consider them throughout the design process.

Proposed highway improvement alternatives are principally described by the preliminary design standards. The design standards listed in *FLHM* 3-C-1 (see Exhibit 4.4–A) can be supplemented or substituted with approved highway design standards from owner agencies. Any substitutions of design standards must be consistent with the highway program legislation, regulations and interagency agreements discussed in Section 2.3 and Section 2.4. Refer to interagency memorandums of agreement for information regarding applicable design standards.

Some Federal agencies, most States and many local highway agencies have established standards that adopt AASHTO policy supplemented with additional and clarifying criteria. The practitioner should be familiar with the sources of information on the design policies, standards, guidelines and procedures that are applicable to the State in which the project is located. See the list of State DOT design manuals.

Current FHWA and AASHTO guidelines for geometric design and technical activities emphasize balancing the needs of the transportation user with the context of the facility. This requires a comprehensive understanding of social, economic, and environmental concerns and effects, as well as the concerns and effects for capacity, speed, safety, quality, and efficiency. Achieving an appropriate balance of the needs of the transportation facility users with values of the environment and communities that are affected involves seeking *Context Sensitive Solutions* (CSS) and applying innovative decision-making approaches to the project development, design and delivery process. Refer to NCHRP Report 480, *A Guide to Best Practices for Achieving Context Sensitive Solutions* for additional information on CSS. Also, refer to Section 4.4.5 and Section 4.7.2 for guidance on CSS.

FHWA has adopted policies and standards for Federal-aid highway design that recognize these concepts and which are also applicable to Federal Lands Highway design. The policies and standards are listed in Title 23 of the Code of Federal Regulations, Part 625 (23 CFR 625) and supplemented in the *Federal-aid Policy Guide* (*FAPG*) NS 23 CFR 625. These standards basically adopt AASHTO policy for projects on the National Highway System (NHS) and refer to the approved State or local design guidelines, standards and procedures for non-NHS projects.

Refer to [EFLHD – CFLHD – WFLHD] Division Supplements for more information.

4.4.1 APPLICABLE DESIGN STANDARDS

It is FLH policy to use approved standards for the design of projects funded from the highway trust fund. Refer to 23 CFR 625. For non-NHS projects funded through owner-agency appropriations, the owner-agency's standards apply, provided they are consistent with professional engineering practice and FHWA and FLH policies, and the FLH standard practices outlined in this manual including guidelines for providing context sensitive solutions. For all new construction and reconstruction projects on the NHS, the 23 CFR 625 listed standards apply, in particular the criteria in the *Green Book* pertaining to arterials. For non-Interstate RRR projects on the NHS, FHWA approved State standards may be used. Exhibit 4.4–A lists the principle FLH Programs and corresponding design standards.

Exhibit 4.4–A DESIGN STANDARDS

Type of Roadway	Applicable Standards
Forest Highway and Public Lands Highways	23 CFR 625 listed standards and FHWA approved State or local standards
National Park Roads and Parkways	*Park Road Standards* (1984) and 23 CFR 625 listed standards *[See note 2]*
Indian Reservation Roads	25 CFR 170, *BIA Design Manual* and 23 CFR 625 listed standards
FAA Roads	23 CFR 625 listed standards
BLM Access Roads	*FAPG G6090.13* and *BLM Manual*, Section 9113 – Roads
Defense Access Roads	23 CFR 625 listed standards or FHWA-approved State or local standards
FS Roads and Trails	*FS Handbook FSH 7709.56*
ERFO	Standards determined by classification of highway to be repaired or reconstructed. (See *ERFO Manual*)
Refuge Roads	23 CFR 625 listed standards as applicable to RRR projects
US Virgin Islands	23 CFR 625 listed standards and FHWA approved standards (AASHTO Green Book)

Notes: 1. *Where there is a conflict between agency standards and 23 CFR 625, mutually resolve the design criteria with the client agency.*

2. *For all references in the Park Road Standards to criteria compiled from 1984 AASHTO Green Book tables, substitute corresponding values in the latest version Green Book.*

The appropriate standards are normally identified from the source of program funding for the project and the associated MOU as described in Chapter 2. Occasionally the practitioner will need to determine which standards are approved for use on a specific project. When it is uncertain which standards apply, consult with the (CFLHD or WFLHD) Project Development Engineer or the (EFLHD) Design Engineer, or the Technical Services Engineer, as appropriate.

When it is determined that specific design criteria are applicable to the particular project type and conditions, then the applicable design criteria is established as the standard for the project. Use of design criteria less than the applicable minimum standards must be approved and documented as a design exception. In addition to meeting the minimum design standards, each project should be evaluated on the basis of desirable design criteria to provide the safest overall design. The AASHTO publication, *A Policy on Geometric Design of Highways and Streets*, (also known as the *Green Book*) is specifically referenced in 23 CFR Part 625 and is the principle source for highway design standards and criteria. Either the 2001 edition or the 2004 edition of the *Green Book* may be used as the basis for design standards for FLH projects. Use the 2004 edition for new designs. Supplements to the *Green Book* include other AASHTO and technical publications adopted by FHWA as acceptable criteria and other approved Federal, State and local specifications for use on their roads. These acceptable supplements are referenced throughout the *PDDM*. The AASHTO *Guidelines for Geometric Design of Very Low-Volume Local Roads (ADT ≤ 400)*, 2001 may be used in lieu of the 2004 *Green Book* when designing local roads that fit the criteria; however, first consult with the (CFLHD or WFLHD) Project Development Engineer or the (EFLHD) Design Engineer.

While, in many cases, the minimum AASHTO or Park Road geometric standards will provide the most appropriate level of safety, convenience and operational efficiency, alternatives with different standards must also be considered to address special factors (e.g., economic, environmental, operational) that affect the road, its users and context. Gathering and evaluating diverse land use, transportation, environmental and economic data, together with applied engineering judgment and analysis, will aid in formulating practical improvement alternatives that may fall above and/or below the minimum geometric standards.

Consider higher than minimum values for the geometric design standard if analyses of design traffic volumes, percent of truck traffic, level of pedestrian, bicycle or transit use, safety performance, level of service, future transportation needs, or other factors indicate such values are appropriate.

Environmental impacts and concerns, social impacts, extraordinary costs, or costs prohibitive of the limited available funds occasionally justify the need for design elements that are less than the minimum design standard. This is often the case for RRR projects. Analysis should include consideration of adjacent highway sections and the relationship to future improvements, as well as existing conditions, and operational and safety conditions that will result from completion of the project. When the analysis concludes that achieving full standards is not practical, evaluate the consequences and document each decision for exception to the standards as outlined in Section 9.1.3. The design exception analysis and documentation process shall also include and discuss the incorporation in the design any existing substandard conditions or elements that are not reconstructed to approved, current standards as part of the project.

The preliminary design standards, applicable to describe the alternatives being considered, establish more detailed criteria to be used in the final design process. Many of these other elements are functions of the ADT, design speed or roadway width and are developed during the final design phase. The design criteria is typically represented by a range of acceptable values from which a selection is based on the discretion and engineering judgment of the design team to best fit the conditions and a variety of competing objectives. The preliminary design standards, as well as the other design standards and criteria, become the adopted project standards when an alternative is selected in the final approved environmental document (see Section 3.4.2.2.1).

Refer to [EFLHD – CFLHD – WFLHD] Division Supplements for more information.

4.4.2 RESURFACING, RESTORATION AND REHABILITATION (RRR) PROJECTS

The primary purpose of a RRR project is to preserve and extend the pavement service life, provide additional pavement strength, restore or improve the original roadway cross section, improve the ride of the roadway, and enhance highway safety and traffic operations. The scope of such projects exceeds routine maintenance, but is less than new construction or reconstruction. This may include placement of additional base and surface material and/or other work necessary to return an existing roadway to a condition of structural or functional adequacy.

The improvements, whether only at spot locations or continuous, should acceptably meet existing and preferably future (i.e., 10 to 20 years) traffic needs and conditions in a manner conducive to safety, durability and economy of maintenance. Usually, the RRR project only addresses the most critical deficiencies of the highway so the resultant condition will still retain some potential problem areas or substandard features that would normally be addressed as part of a future reconstruction.

RRR projects may consist of the following limited types of improvements:

- Pavement preservation other than routine maintenance,
- Resurfacing,
- Pavement structural and joint repair, other than isolated segments and patching,
- Minor lane and shoulder widening,
- Minor selected alterations to vertical and horizontal alignment,
- Superelevation correction as practical,
- Intersection improvements,
- Traffic control improvements,
- Bridge repair, and
- Safety improvements, such as sight distances and removal or protection of roadside obstacles.

The design policy applicable for RRR projects is the same as for new construction and reconstruction, unless a separate FHWA approved State or local RRR design policy is applicable to the project. See Section 4.4.1. However, designing RRR programmed projects to full standards is usually not intended and may not be practical. Funding limitations and other factors often prevent designing RRR projects to meet approved standards. The RRR design process often includes incorporation into the design many existing substandard conditions or elements that are not necessary or practical to reconstruct to approved, current standards as part of the project. As stated in the *Green Book*, Foreword, existing roads that do not meet the guidelines for geometric design are not necessarily unsafe and do not necessarily have to be upgraded to meet the design criteria. However, all substandard elements must be identified and evaluated. Identify all such substandard features and document each exception to the standards as outlined in Section 9.1.3.

The agency with jurisdiction of the road may have separate design standards and procedures that apply to RRR projects. Most of the State DOT's have established separate RRR design standards and procedures, which have received FHWA approval for use on their Federal-aid projects. The State's approved RRR design standards and procedures may be used for specific programs or projects where appropriate, such as for Forest Highway and Public Lands Highways, and Defense Access Roads. Before using approved State or local RRR design standards and procedures for a project, consult the (CFLHD or WFLHD) Project Development Engineer or the (EFLHD) Design Engineer.

FHWA has issued guidance to the States for developing specific RRR design standards and procedures, and this guidance is appropriate for use in developing FLH RRR projects, as an exception to the listed standards. FHWA T 5040.28 provides guidance for developing safety conscious design procedures for the design of RRR projects. For RRR projects, any deviations from the established design standards (e.g., design criteria associated with the posted speed) are treated as design exceptions. This requirement also pertains to the roadside design, and while not included in the 13 principal design elements classified as controlling criteria requiring a formal design exception (see Section 9.1.3), it must be fully documented if approved roadside design criteria are not possible to achieve. Although deviations from the 13 controlling criteria require approval and documentation as a formal design exception, all deviations from FLH standard practices need to receive endorsement and be documented in some manner regardless if for a RRR or a reconstruction project.

When the pavement condition reaches minimal service level, there is a need for cost-effective pavement and roadway improvement projects. RRR projects reflect and emphasize economic management of the highway system. Therefore, economic considerations will largely determine the scope of work. The following are factors that may influence the scope of a RRR project:

- Pavement conditions,
- Roadside conditions,
- Funding constraints,
- Environmental concerns,
- Changing traffic and land use patterns,
- Traffic data, and
- Crash data.

The limits of construction for RRR projects are generally limited to the existing roadbed bench, consisting of the roadway surface and subsurface, adjacent foreslope, and ditch. Acquisition of additional right-of-way to construct RRR improvements is sometimes necessary. Horizontal and vertical alignment modifications, if any, should be minor and should be consistent with the geometry of adjoining roadway segments. However, the proposed work on the roadway will typically affect the foreslopes from the edge of pavement to the hinge point of the fill slope and to the bottom of ditch slopes.

A RRR project must not decrease the existing geometrics of the roadway section. For RRR projects, the original roadway template is, at best, restored or slightly enhanced and the geometry (alignment, width, profile) of the facility remains essentially as it was originally constructed. If the surface condition has greatly deteriorated, improvements to the roadway surface may result in slightly increased operating speeds. At some locations the roadway may have deteriorated to a point that the original design template cannot be easily restored. In some locations the existing geometry, and its inferred theoretical design speed as categorized by current geometric standards, will often be less than the current design standards for the posted speed limit. Although the original geometry and its associated design criteria is perpetuated by the RRR project, the project should assume a new overall design speed that is consistent with the regulatory speed or the posted speed limit that will be established after the project is completed (or a higher speed if justified). Refer to Section 9.3.1.13 for guidance on establishing an appropriate design speed for RRR projects. Although a facility's as-constructed plans may indicate or theoretically infer an original design speed, it should not ordinarily be perpetuated as the design standard for the new project if it is less than the regulatory or posted speed limit. There may be certain instances (such as where the theoretical design speeds of curves are consistently 16 km/h [10 mph] lower than the posted speed) where the posted speed should be re-evaluated.

If the RRR project cannot be surveyed cost effectively in enough detail to identify the deficiencies to the controlling criteria (e.g., superelevation, grades), visually evaluate the roadway for any discernable geometric deficiencies. Perform an on-site study or field review of the RRR project and document any identified geometric design deficiencies and exceptions to standards and design policy.

Improvements to the roadway surface may result in increased operating speeds. To maintain an acceptable level of operational safety, examine the geometrics and roadside conditions with respect to anticipated operating speeds after construction and consider modifying them, if necessary.

Carefully establish project limits, particularly where widening occurs. Avoid ending the project at potentially hazardous locations (e.g., a narrow structure, a severe vertical or horizontal curvature). Provide the appropriate safety measures where these conditions are unavoidable.

Section 8.4 describes techniques to evaluate safety conditions and deficiencies applicable to RRR projects. Additional considerations for the evaluation of lesser design conditions are provided in Chapter 3 (pages 49-80) of AASHTO *A Guide for Achieving Flexibility in Highway Design*, May 2004; and on pages 190-206 of Special Report 214, *Designing Safer Roads: Practices for Resurfacing, Restoration, and Rehabilitation*, TRB, 1987. Refer to FHWA policy memorandum dated September 12, 2005 regarding pavement preservation definitions.

Refer to Section 9.4 for additional design guidance specific to RRR projects.

4.4.3 GEOMETRIC DESIGN CRITERIA

Geometric design is the development of the surface dimensions of a highway such that its form will meet the functional and operational characteristics of drivers, vehicles, pedestrians and other users. The geometric design includes the facility's location, alignment, profile, cross section, intersections and shape of the roadside. The geometric form and dimensions should reflect the user's desires and expectations for safety, mobility, comfort, convenience and aesthetic quality. It should do so with compatibility and sensitivity to the terrain, land use, roadside and community development, natural and cultural environment, and with consideration for cost and economic efficiency. A consistent approach to geometric design matches and reinforces expectations of the user, which is important to guide the full range of drivers and conditions including drivers that are unfamiliar, older, inexperienced, distracted, inattentive, tired or impaired. A consistent approach also addresses the safety and other needs of pedestrians and bicyclists, and their interactions with motor vehicles. Refer to Section 9.3 for standards, criteria, guidance, and philosophy for development of the geometric design.

4.4.4 DESIGN CONTROLS

Basic design controls serve as the foundation for establishing the physical form, safety and functionality of the facility. Some design controls are inherent characteristics of the facility (e.g. its context and the transportation demands placed upon it). Other basic design controls are selected or determined in order to address a project's purpose and need. Selecting appropriate values or characteristics for these basic design controls is essential to achieve a safe, effective, context sensitive solution. Evaluate the following design controls to understand the factors influencing the design and to determine the applicable criteria for establishing the standards for the project.

- Contextual factors and environmental constraints,
- Functional classification,
- Topography within the corridor,
- Location (i.e. rural or urban),
- Existing and expected traffic volumes and composition (e.g. ADT),
- Level of service and mobility,
- Level of access and management,
- Cross section type and level of multi-modal accommodation,
- Existing and expected users and their characteristics,
- Superelevation rate,
- Existing and expected speed characteristics,
- Appropriate design speed,
- Existing and expected safety performance, and
- Other technical factors (geotechnical, hydraulic, pavement, structural, etc.).

Refer to Section 9.3.1 for guidance on evaluating the geometric design controls. Refer to the respective chapters in this manual for applicable guidance on other design controls.

4.4.5 FLEXIBILITY IN HIGHWAY DESIGN

The design standards shown in Exhibit 4.4–A provide considerable flexibility in the determination of specific design criteria applicable to particular highway types and conditions. Flexibility in the design standards is associated with the purpose and function of the highway and other design parameters (e.g., traffic volume and type of vehicles).

The determination of applicable highway standards is intended to cover broad classifications of highway facilities. However, each project is unique. The setting and character of the area, the values of the community, the needs of the highway users, and the challenges and opportunities of the site are unique factors that must be considered with determination of design criteria for each highway project. The applicable standards provide flexibility in the selection of highway design criteria, which requires decisions on the part of the project design team and stakeholders. The standards allow designs to be tailored to the particular situations encountered in each highway project. Often, the flexibility within the range of criteria provide enough flexibility to achieve a balanced design that meets both the objectives of the project and is sensitive to the surrounding environment and context. In some instances, the criteria may not provide sufficient flexibility to adequately protect essential resources or values. For these cases a design exception process is provided to recognize the need for an exception to the standard, evaluate the consequences and risks, and develop mitigation.

The interdisciplinary project development team is expected to use their respective expertise and judgment to develop the conceptual and preliminary design of each road to fit into the natural and human environments, while functioning efficiently and operating safely. Each highway situation must be evaluated to determine the possibilities that are appropriate for that particular project, using an interdisciplinary approach to explore various concepts, options, constraints and flexibilities.

Refer to *Flexibility in Highway Design*, (FHWA-PD-97-062), 1997 and *Achieving Flexibility in Highway Design*, AASHTO, 2003 for additional guidance in using flexibility in the selection of applicable design standards and criteria.

4.4.6 RISK ASSESSMENT

See Section 1.1.3 for general guidance on risk assessment and risk tolerance. Also refer to the other chapters in this manual for guidance on risk assessment applicable to the specific engineering disciplines.

Exhibit 4.4–B describes generalized categories of risk level, the type of endorsement that is anticipated, and the form of guidance for evaluation and approval.

The safety effects (predicted crash risks), if any, of providing geometric design features that are less than the standard for a particular design speed are not well established, although new methods for estimating safety effects of geometric designs are available (e.g., the IHSDM and its library of references). The safety risks may be lowered by providing mitigating features (e.g., additional traffic control devices, enhanced warning signs with advisory speed plaques, delineation, markings) and by modifying the roadway and roadside (e.g., shoulder widening, enhanced recovery area, improved barrier) to reduce the severity of crashes. However, the degree to which the safety risks may be reduced by this type of mitigation is difficult to quantify.

Exhibit 4.4–B RISK ASSESSMENT AND ENDORSEMENT LEVELS

Risk Level	Endorsement	Guidance
Expected/Typical	Interdisciplinary Team Representative	PDDM acknowledges risk tolerance and provides policy, FLH standard practices, criteria, and guidelines that allow flexibility.
Elevated	Project Manager and Division Discipline Functional Managers	PDDM discusses technical considerations and mitigation applicable for various engineering disciplines, when deviation from FLH standards is necessary.
High	Branch Chiefs or Directors	Procedures for design exceptions and exceptions to critical FLH standard practices applicable for various engineering disciplines.
Very High	Division Engineer	Project-specific design standards and criteria may be approved if necessary, as applicable for various engineering disciplines.

Refer to Section 8.4 for guidance on assessment of the safety and operational risks associated with existing roadway conditions, and refer to Section 9.3 or Section 9.4 for guidance on assessment of the geometric design and operational effects, risks and mitigation for specific geometric design elements and features. Also refer to Chapter 4 of *A Guide for Achieving Flexibility in Highway Design*, AASHTO, 2004 for guidance on evaluating and documenting risks associated with the geometric design.

Refer to the Division Supplements for guidance specifically applicable to each FLH Division regarding procedures for evaluating and documenting risk assessments.

Refer to [EFLHD – CFLHD – WFLHD] Division Supplements for more information.

4.5 PRELIMINARY ENGINEERING INVESTIGATION

The purpose of the preliminary engineering investigation is to compile, evaluate and document all the preceding conceptual studies in order to plan the various interdisciplinary activities for performing the preliminary design and related engineering activities considered in the environmental process, and to plan the interdisciplinary activities for the comprehensive project development and delivery process. The following sections provide guidelines for performing the:

- Project scoping study,
- Preparation of the project scoping report, and
- Corridor studies and report (if applicable).

The basis for this preliminary engineering investigation is the problem definition and evaluation of existing information that is gathered as described in Section 4.3, together with consideration of the applicable design standards and controls as described in Section 4.4.

The result of this preliminary engineering investigation is an initial recommended course of action that will be carried forward for development during the preliminary design phase as described in Section 4.6, including any alternatives that will be developed as described in Section 4.7. The results of the preliminary design and alternatives analysis are subsequently established as described in Section 4.8.

4.5.1 PROJECT SCOPING STUDY

The project scoping study evaluates the existing data and context information, project needs, goals and objectives, initial environmental coordination and public outreach, and applicable design standards and controls, which is all performed in advance of preliminary design. The project scoping study collectively includes:

- Interdisciplinary field inspections and engineering investigations involved with identifying and quantifying a highway's deficiencies and needs,

- Evaluating the feasibility and identifying a proposed course of action with improvement alternatives, and

- Conducting engineering analyses that result in a report identifying feasible proposed improvements.

Project planning study, route study, feasibility study, reconnaissance study and preliminary engineering study are all terms used by different agencies and offices to mean some form of project scoping activity that falls within the conceptual study phase. Within FLH, the Project Scoping Report may also be known as a design scoping report, project identification report or reconnaissance report. For evaluation of road corridors on new alignment, a Corridor Study may also be needed (see Section 4.5.3).

The project scoping study initially organizes and documents the major needs, issues, constraints, scope and feasibility of proposed improvements from which the more comprehensive, interdisciplinary preliminary engineering activities, surveys, investigations, environmental studies and analyses for the project can be effectively planned, budgeted, and scheduled.

A project scoping study should be initiated as part of the pre-programming activity to help prioritize or screen projects being considered for inclusion in the multi-year program (refer to Section 2.5), and to help streamline the project development activities. The pre-programming scoping study may not be as detailed as described in this chapter. If a project scoping study was not completed earlier, the remaining project scoping study activities are performed directly after the project is programmed for funding.

The project scoping study is performed using an interdisciplinary, interagency approach with close coordination of the land management agency and principal stakeholders of the facility. For reconstruction projects, the interdisciplinary team should thoroughly explore the existing corridor for opportunities to improve safety, traffic operations and efficiency including realignment and reconstruction of the existing roadway within the existing corridor.

For purposes of defining the series of investigations during the conceptual studies phase for Federal lands, the project scoping study is a combination of the field inspections and existing engineering data used to identify and quantify a highway's deficiencies and needs. The data are gathered and summarized in the Project Scoping Report. As part of this study, recommendations for further study will also be made in order to develop a course of action with suggestions for investigating improvement alternatives and conducting engineering analyses that ultimately result in a preferred alternative are collectively called a project scoping study.

4.5.2 PROJECT SCOPING REPORT

The results of the field inspections and compilation of existing engineering data used to identify and quantify a highway's deficiencies; user needs and context are gathered and summarized in the Project Scoping Report. Also refer to Division Supplements for specific information requirements, report format or checklists that are applicable to each Division. As applicable to each individual project scope of work, include information described in the following sections.

Refer to [EFLHD – CFLHD – WFLHD] Division Supplements for more information.

4.5.2.1 Introduction

Describe the authority, purpose and need for the study. It should include the relevant project history, a general project description and describe the nature of the work. It should also describe the major issues, concerns and opportunities that will be addressed by the study.

4.5.2.2 Resources Used

Identify all sources of information, maps and available data obtained for the study. This is not merely a listing of the agencies that provided data, but a summary of all of the existing reports, as-constructed plans and previous studies reviewed as well as any site investigations performed.

4.5.2.3 Route Description/Termini

The study termini should be established to be comprehensive and logical, although the overall route may include portions that already conform to standards or meet the purpose and need. Identify any segments along the route where significant changes occur in traffic use, speed, roadway width, terrain or overall condition. If this project is one of several on a corridor, also provide a brief summary of the other projects, their limits and how they relate to this study. Refer to Section 3.4.2.2.1 for more information to determine logical termini for analysis.

4.5.2.4 Preliminary Programming and Funding Information

Based on preliminary program budgets for the project, or expectations of the land management agency, a budget and target fiscal year is established for the proposed work. This information should document those initial assumptions so the project team is aware of the anticipated scope of improvements and the funding constraints that may exist. This includes the funding type(s), program fiscal year(s), construction cost, engineering and other project delivery costs. This information should also describe any inter-agency agreements that have been made that will help fund the project. Also document the assumptions and risks identified and agreed upon when creating the budget. This may include risks associated with unknown subsurface conditions, environmental, social or political uncertainties, and other factors that may greatly affect project scope and budget.

4.5.2.5 Project Contacts

A conceptual study is a discovery process. The time required to complete these discoveries can frequently result in new participants being assigned to the study from the various contributing agencies. To keep all of the agencies informed, and to provide contact information to those that are added to the team, the contact information of all participants should be included in the Project Scoping Report. In addition to their respective phone, mail and e-mail addresses, it should include their title and what discipline/subject area they are responsible.

4.5.2.6 Description of Purpose and Need

A preliminary purpose and need is initially described in the planning and programming phase. The purpose and need description should be refined by the interdisciplinary/interagency team in collaboration with the environmental process. Refer to Section 3.4.2.2.1 for additional information on this process.

This purpose and need description is more detailed than the general purpose and need described in Section 4.3.1. Some examples of points that could be addressed include:

- Describe the primary highway related needs for improvement of this route (e.g., safety, operational, capacity, structural deficiency, travel corridor demand, system continuity). Also, describe the secondary needs for improvement of this route (e.g., water quality).
- How would improvement of this route aid in the development, use, protection and administration of the land and its renewable resources by the land management agency?
- How would improvement of this route aid in the enhancement of economic development at the local, regional and national level?
- How would improvement of this route aid in the continuity of the transportation network serving its dependent communities and the land management agency?
- How would improvement of this route aid in the mobility of the transportation network and the goods and services provided?
- How would improvement of this route aid in the protection and enhancement of the surrounding environment associated with the land managing agency and its renewable and nonrenewable resources?
- Have there been public requests for improvement of the route?

The purpose and need for improvement of the facility should be related as closely as possible to the intent, authority and eligibility of the enabling program that is funding the project.

The purpose and need should include a summary of the available traffic data and crash data.

4.5.2.6.1 Summary of Traffic Data

Based on the evaluation of existing traffic data and other related information that is collected, summarize the average daily traffic and the projected traffic level for the future design period.

4.5.2.6.2 Summary of Crash Data

Based on evaluation of the current traffic crash statistics for the route, summarize the crash information. Categorize data according to route segments and spot high-frequency locations. This must be supplemented with field identification of potential crash sites that may not be discernible from the past data.

4.5.2.7 Climate, Physiography and Geology

Provide a general description of the climate, significant geographic features, land uses and geology of the area.

4.5.2.8 Controlling Factors

Describe all controlling features involved found during reconnaissance of the route. The following provides some examples:

- Major intersecting roads;
- Railroad crossings;
- Bridges and other structures;
- High-voltage power line crossings (i.e., elevation of low point in power line cable and air temperature at time of measurement);
- Major utilities and/or special services (e.g., gas and oil pipelines, water distribution lines, telecommunications trunk lines);
- Roadside developments (e.g., private commercial and residential development, visitor centers, lodgings);
- Historic structures and features, special architectural, decorative or aesthetic features and aspects;
- Designated critical habitat for protected species, or other areas that have special designation by law, regulation or policy;
- Floodplains, wetlands, major natural features, major rock outcrops, etc.;
- Existing, unique features outside the limits of the pavement that define the context of the roadway corridor that should be preserved or avoided (e.g., take photos of any vistas or vegetation to preserve, unique outcroppings);
- Especially difficult terrain; and
- Restrictions on, or difficult construction access, staging, etc.

4.5.2.9 Criteria to Be Applied

Describe the primary design standards and criteria to be followed for the development of the various alternatives for all disciplines. Describe the source and range of proposed preliminary roadway design standards, especially alignment and grades, roadway cross sections, type and cost of structures and other preliminary design elements being considered. Describe all the proposed controlling geometric design criteria and any proposed design exceptions as outlined in Section 9.1.3.

4.5.2.10 Preliminary Recommendations for Study

During the project scoping efforts, the project interdisciplinary team will have insights as to what is anticipated to address the purpose and need. These recommendations will form the scope of work for the preliminary engineering stage. All of the alternatives to be considered and the breadth of effort needed to investigate these alternatives should be described to properly convey the vision of the interdisciplinary team to those performing the preliminary engineering efforts.

4.5.2.11 Environmental Features and Concerns

Briefly describe the overall level of environmental sensitivity of the facility and the action, key features and concerns, and the anticipated type of NEPA document that is recommended by the environmental discipline specialists. Describe the proposed lead agency and cooperating agencies for the NEPA document and associated responsibilities. Identify any State-specific documentation requirements (e.g. CEQA in California, SEPA in Washington, etc.) that must be coordinated. Briefly describe the anticipated level of applicability of the following key issues, which are addressed as part of the environmental process (see Section 3.4.2.2):

- Wildlife resources (e.g., T&E species, State-listed species, species of local concern, critical habitat, conservation areas);
- Aquatic resources (e.g., wild/scenic/recreational rivers, lakes, shorelines, fish passage, spawning restrictions, NOAA fisheries);
- Wetlands or water quality resources, water supplies, groundwater protections;
- Historic, cultural or archeological resources (e.g., National Register eligible sites, SHPO – Section 106 involvement);
- Tribal or traditional cultural properties (TCP);
- Recreation areas, parks, Section 4(f) and 6(f) requirements (see Section 3.3.2.14);
- Scenic Byway or aesthetic resources;
- Public concern or controversy; and/or
- Other key environmental issues.

4.5.2.12 Summary of Functional Discipline Considerations

This section provides guidance for each engineering functional discipline to consider for planning the development of the preliminary engineering (30 percent plans). For each discipline, provide a description of technical considerations, and the anticipated scope of services to be performed during the preliminary engineering stage.

4.5.2.12.1 Roadway Design

Describe the overall existing horizontal and vertical alignment characteristics, cross section elements, intersections, public access approach roads and other major geometric features. Describe the existing and proposed traffic operations and user characteristics. Provide a listing of roadside features that will control or have a major influence on the design. Describe major roadway features (e.g., parking areas, walls, curbs, barriers, sidewalks, fencing) that may be left in place or rehabilitated. Describe the general roadside conditions, slopes, drainage, vegetation, aesthetic features and other factors that will heavily influence the design criteria and development of the preliminary design that are not addressed in Section 4.5.2.8. Describe the overall level of roadway improvements that are proposed, and level of design development that is anticipated during the preliminary design phase.

Based on the evaluation of the existing geometry, describe any horizontal and vertical alignment problems that must be specifically addressed or studied further. If there are alternatives to be considered, describe potential realignment options that should be considered, provide the general scope and the reasons for the investigation. Describe the major maintenance issues that the road owner is dealing with that should be addressed in the roadway design.

Perform a design assessment of driver information needs and describe locations with potential for either insufficient positive guidance information, or information overload, including sight distance needs for these conditions. Refer to the *Green Book*, Chapter 2 §Driver Performance ~Design Assessment, for guidance on these considerations.

Identify any intersection problems that must be improved or problems with approaching roadways that tie into the roadway that must be studied further. Associated with this, identify any private driveways or access points that require special improvement or investigation within the project limits.

Describe other roadway features to be rehabilitated or rebuilt (i.e., parking areas, pullouts, picnic areas, entrance gates, concession areas, rest areas, bus shelters). Identify who will provide the design plans if they are not part of this study.

In addition to the roadway, identify any other facilities that must be realigned (e.g., bicycle, pedestrian, equestrian, snowmobile trails).

4.5.2.12.2 Traffic/Safety Investigations

Traffic and crash data are described in Section 4.5.2.6. Investigate the crash history data and describe any identifiable problems with sight distance, clear zone, roadside hazards (e.g., trees, headwalls, utility poles, boxes), pedestrian crossings, unusual traffic conditions or poor operations. Identify constraints for obtaining clear zone and forgiving, recoverable roadside conditions at completion of the construction. Describe locations where needed improvement of the roadside is difficult, and where barriers may be warranted. Describe any identifiable deficiencies in the roadside safety hardware (e.g., sign supports, barriers and terminals, bridge rails and terminals) for compliance with current standards for crashworthiness. Describe the condition of traffic control devices (e.g., signs, markings, delineation, retro-reflectivity, messages) and the scope of needed improvements. Describe the overall level of safety and traffic operations improvements that are proposed.

In order to develop and evaluate the recommended alternatives, identify any site-specific traffic counts that are required to help determine the future traffic needs of the facility. These could include general counts, turning movements at busy intersections or projected growth information due to proposed developments in the area.

4.5.2.12.3 Survey and Mapping

Describe the level of existing survey, mapping or GIS information that is available. If existing survey data is not adequate to design the project, describe additional survey data needed. Describe the type(s) of survey that is recommended or that should be considered. Describe the factors affecting the survey work (e.g., as availability of control, monuments, sky exposure for GPS, photogrammetric mapping or LiDAR data collection, terrain and ground cover, traffic). Describe the extent of special features that will require precise location (e.g., walls, fences, utilities, bridges). Describe the extent of coordination that may needed for survey and mapping with environmental resource surveys of wetlands, critical habitats, nest sites, etc.

The type and scale of surveys and mapping required are dictated by the terrain and land use intensity of the route corridor area, type of project and the level of preliminary design analysis to be conducted. The maps must be complete, current and provide full details of topography and physical features.

Mosaic reproductions or photographic prints may be used in conjunction with USGS quadrangle maps or satellite imagery to show overall existing routes. Development of new photogrammetric mapping or other imagery for scoping studies may be used where feasible and cost-effective.

Topographic mapping for areas of moderate to intensive land use should preferably be to a scale of 1:1000 [1:1200] or 1:2000 [1:2400] with a 1 m or 2 m [5 ft or 10 ft] contour interval. In areas of limited or homogeneous land use and in mountainous or heavily forested areas, a map scale of 1:5000 [1:4800] with a 3 m or 5 m [10 ft or 20 ft], contour interval will suffice. If only broad reconnaissance is to be done, existing USGS quadrangle maps with 1:24,000 scale and 5 m or 10 m [10 ft 40 ft] contour intervals may be adequate.

Further survey and mapping guidance is contained in Section 5.4.

4.5.2.12.4 Right-of-Way

Describe existing right-of-way in terms of existing widths, types of ownership and types of property improvements adjacent the roadway. Describe the overall extent of the route that is private and public property and the approximate number of landowners that may be affected. Identify the agency and contacts that have responsibility to coordinate and pay for any additional right-of-way. Describe the level of existing right-of-way documents that are available. If right-of-way plans need to be prepared for acquisition, describe the agency responsible for preparing documents and any unusual requirements for preparation. For public land, describe any special use permits for the roadway or related uses. Describe the approximate area of private and public right-of-way that may be affected or acquired for purposes of estimating the level of right-of-way activities. Describe any special fencing requirements or access management features that are anticipated.

4.5.2.12.5 Utilities

Describe the type and location of existing utilities. Identify if any known utilities will likely need to be relocated or avoided. Describe any special considerations regarding utilities that are unusually sensitive or difficult to address for clearance prior to construction. Identify the agency responsible for utility issue coordination and costs for relocation. Develop a contact list of utility representatives. Describe any existing utility agreements or easements between the roadway owner and the utilities. Describe entities (e.g., water and irrigation districts, transmission lines, railroad facilities).

Most existing utilities can be easily identified in the field or summarized by utility section maps. If there are specific utility issues that must be addressed during the evaluation of alternatives, describe what these issues are (outage limitations, lead time for acquiring materials, impacts to buried facilities due to changes in grade), and what level of investigation is necessary to complete the alternatives analysis. For most studies, only coordination with the utility owners will be required to determine their specific relocation needs and schedules. If there are relocations required where either hazardous or environmental consequences could occur, these should be fully investigated as part of the alternatives analysis.

4.5.2.12.6 Permits

Identify the likely permits or authorizations that will be needed (e.g., Section 401 (water quality certification), 404 (discharge of fill), NPDES (Storm water), Coastal Zone, Management Act of Compatibility, FS or NPS special use permits for material sources or plants, staging, borrow or waste). Identify any State permits anticipated (e.g., air quality, dewatering, channel alteration, burning, water quality, highway access or encroachments) and any local erosion and sediment control plans that need consideration. Refer to Section 3.3.3 for a description of commonly required permits. Identify if any local permits, special permits or coordination are needed, e.g. in heavily urbanized or highly sensitive areas.

Are there any known permits that will be required as part of the evaluation of alternatives? If special surveys are required (e.g., geotechnical, ground surveys), will special use permits be required before this work can begin? Special permits for the purpose of study investigations could include:

- USACE 404 permits, if there will be a discharge of fill into waters of the US;
- NPDES permits, if the geotechnical investigation will require pioneer roads or result in more than 1-acre of disturbance to the land;
- Access and/or ROW permits from private property owners or Tribes;
- Cultural clearances for any ground disturbing activities;

- Drilling or well permits from state or county; and
- Environmental permit or authorization pursuant to the Endangered Species Act or Migratory Bird Treat Act.

4.5.2.12.7 Geotechnical

Geotechnical specialists should perform a reconnaissance early in the conceptual studies phase. This will assist in determining the cause for instability or pavement problems on the existing highway and provide information on potential problems for constructing the alternatives under consideration. This will also assist in identifying potential sources of higher-quality materials within the area, and opportunities for optimizing the subgrade, base and pavement design. Normally, a visual inspection of the study area is performed. Hand samples may be collected and tested to categorize the materials and support the visual inspection. More extensive investigations may be required if existing information is inadequate and/or incomplete.

Typically, a geotechnical reconnaissance report addresses the following:

- Geology of the study area,
- Existing and/or potential unstable soil conditions,
- Major geological features that will constrain the design and not described above in Section 4.5.2.8, and
- Location of possible sources or sites for base, surfacing and topsoil materials.

Identify the geology of the general area. Use a geologic map if one is available. Interpret and show the relationship of the geology to the proposed route. Include the location and the extent of the following features:

- Landslide areas,
- Solid rock,
- Unconsolidated material,
- Ground water and surface water conditions,
- Availability of road construction materials within the project (e.g., type of deposits, quantity and quality), and
- Recommendations for type of materials and locations to be used (e.g., borrow, waste sites, contractor staging areas).

More in-depth investigations are conducted later in the preliminary design process as described in Section 6.3.

4.5.2.12.8 Pavements

Describe existing pavement and surfacing conditions and the type of surfacing options that should be considered during preliminary design. Describe the type and areas of existing pavement distress and document with photographs. Describe the apparent cause of any major distress areas (e.g., subgrade failures, poor drainage, severe oxidation). Describe any major factors that will influence the pavement design (e.g., heavy truck traffic, buses) and any special areas of concern (e.g., heavy truck or bus parking or stops, pedestrian or equestrian traffic). Describe the anticipated type of pavement and base construction that should be investigated (e.g., pulverization, recycling, subgrade stabilization, overlay).

4.5.2.12.9 Hydrology and Hydraulics

Describe the location of all major drainage crossings and document with photographs. Describe the overall condition, sizing, materials and performance that are evident in the existing drainage facilities. Describe any significant scour, erosion, sedimentation, debris, abrasion and other problems, and if bridge waterway issues have been documented in reports. Describe any channel modifications that are anticipated and any floodplain issues that will need to be investigated. Describe the overall level of hydrology and hydraulics improvements that are needed and proposed. Describe any overriding local or State requirements for hydrology methodology or hydraulic design. Describe if any drainage crossings will have fish passage requirements.

If the size of a new or improved drainage structure could have an impact on the outcome of the alternatives analysis, the hydrology investigation should begin during the preliminary engineering phase, as described in Chapter 7. Generally, the detailed evaluation of the drainage basin and the specific waterways for structures less than 1.2 m [4 ft] diameter will be completed during the final design phase.

4.5.2.12.10 Structures

Describe the existing structures (e.g., bridges, large box culverts, retaining walls, tunnels) including the type, span lengths, dimensions, apparent condition, railing and any utilities. Describe the waterway opening or roadway clearances, any visible scour, sediment deposition or any apparent instability around the structure. Describe the available data (e.g., as-built plans, inspection reports, structure ratings, foundation and hydraulic information). Document the existing structures, any apparent deficiencies and upstream and downstream stream channels with photographs. For proposed new structures or improvements to the existing facilities, describe the preliminary options that should be considered for structure type, layout and alignment. Describe the proposed structure's basic requirements including flow capacity, number of lanes, shoulders, sidewalk, utility, vehicle loadings, animal crossing requirements, and aesthetic considerations.

The detailed evaluation of structures and the selection of the desired type, size and location of a bridge or structure are typically completed after the roadway alternatives are complete. The detailed scope of these investigations is described in Section 10.3.

During the project scoping study, investigate and provide all available structure site data. Document typical roadway section, approach rail, potential environmental issues and apparent right-of-way limits at each structure crossing. When available, obtain roadway plan and profile sheets, mapping and right-of-way limits that could have impacts on both the construction and maintenance of the bridge. For especially large structures, also include a discussion on how materials can be delivered and erected on the site as these requirements may be constrained environmentally.

In many cases, structures provide the only source of wildlife connectivity from one side of the highway to the other. Work with the wildlife agencies to be certain clearance, openness and capacity issues for wildlife are clearly understood and agreed upon by the project team.

4.5.2.12.11 Constructability, Construction Sequencing and Construction Materials

Describe all known sources of construction materials available in the area. Identify pit sites by location and pit name or number, if known, and the location of local construction materials' suppliers. Describe any known restrictions for construction operations, equipment operation, hauling, staging, water or storage that are not described above in Section 4.5.2.8. Describe any construction staging or traffic control or traffic management requirements that may influence the type or scope of work that is proposed, sequencing of the construction work or affect construction costs. Describe any unusual housing or transportation issues for construction workers or suppliers. Describe any difficult construction problems or issues encountered on previous projects in the area.

4.5.2.13 Cost Estimate

Prepare a cost estimate, and document the extent of unknowns potentially affecting the cost, and cost risks, at the time of creating this estimate. Refer to Section 4.8.15.

4.5.2.14 Exhibits

Use exhibits to include route maps or aerial mosaics depicting the location of the existing contextual features, proposed improvements, typical roadway sections, vicinity maps, route profiles, physical characteristics outlined in project scoping forms and detailed cost estimates of the alternatives.

4.5.2.15 Site Photographs

Ground photographs and/or oblique aerial photographs should be taken of controlling elements in the field. These can be used in analysis, report illustration and for exhibits in the public involvement process.

4.5.3 CORRIDOR STUDY

When formulating improvement alternatives, it occasionally becomes apparent that a highway should be considered on new alignment in a corridor outside of the existing road. In fact, there may not even be a road connecting the termini, although this situation is not common. For most projects, the improvements are confined to the existing corridor and frequently are confined to the existing disturbed area within the corridor, such that a corridor study outside of the existing road is not applicable.

When applicable, new highway corridors are usually identified and evaluated separately from an alternative's preliminary design standards although they must be compatible with all the components that make up the alternatives. A highway corridor can be defined as a linear strip of ground that connects termini and has sufficient width and variable positioning on the terrain to allow a road with its preliminary design standards to be built within its borders.

Depending on length and terrain, most corridors are between 30 m to 120 m [100 ft to 400 ft] wide. Its position on the topography is tied to existing land forms and sometimes defined in relation to a control survey (see Section 5.4.1).

Highway corridors are normally established with three general objectives in mind:

1. **Size**. The corridor must be broad enough to allow the highway centerline to be positioned or shifted in conformance to the geometric standards and to achieve reasonable cost effectiveness.

2. **Features**. The geographical and geophysical features should be stable and compatible with the construction, operational and maintenance requirements of the highway.

3. **Environmental Impacts**. The environmental impacts should be minimized and aesthetics maximized.

Historically, the process of investigating new highways and corridors was called a location survey or reconnaissance study. Currently, much of the process is covered by the environmental analysis and documentation. However, the basic procedures in establishing feasible highway corridors are still valid.

A thorough initial investigation is essential in making effective corridor determinations. If the most feasible, serviceable and economical corridor is not determined at this stage; no amount of engineering effort can overcome the inherent deficiencies that will exist. When presenting corridor evaluations, it is imperative that the same basic data and methods of investigation be used for each corridor studied.

Most corridor reconnaissance work is done using photogrammetric or other topographic maps supplemented with field data. On occasion, ground reconnaissance surveys are made as a substitute for or supplement to the topographic mapping.

Before beginning the study, review all available maps and photographs to determine if any additional data and mapping are needed for conducting the study.

The following information is pertinent to corridor studies:

- Land use, population and density;
- Geophysical and geological formations;
- Potential of the area for future industrial, residential, farm or recreational development (i.e., land use changes);
- Frequency, condition and type of existing roads and highways serving the area;
- Existing utilities and facilities, planned and potential (e.g., transportation (other than highways), dams, power lines, gas and water lines, communication lines, sanitary or storm sewer facilities, recreational areas); and
- Photographs of controlling features.

4.5.3.1 Major Considerations and Physical Controls

Identify the termini that are the major controls of the route. From a strict user's standpoint, the most economical route is a straight line between the termini, both horizontal and vertical. However, the practical economic location and the environmentally acceptable locations are based on a compromise between construction cost, user's cost and environmental impacts. Consider physical controls (e.g., bridge sites, rock areas, valley and mountain sides, built-up areas, lakes and drainages) that affect the construction costs.

4.5.3.2 Corridor Selection for Evaluation

Specific procedures should be followed in the selection of route corridors for comparative evaluation. Common points of termini for all routes to be studied should be identified in addition to any constraints that may limit alignment, grade and route location.

Typical constraints include the following:

- Limitations imposed by design standards (e.g., maximum allowable grades and curvature);
- Physiographic controls (e.g., landform and watercourse gradients, shorelines, property or jurisdictional boundaries, preemption of lands for other use) and the avoidance of known problem areas (e.g., unstable, highly erosive land forms);
- Economic controls, including encroachment on high cost lands or improvements, and alternatives involving features of excessively high construction cost;

- Mandated points of contact (e.g., intersection with a limited access facility where the access point is predetermined, access to a major point of interest that has a fixed location); and

- Environmental controls, some of which are mandated by law, govern the avoidance of wetlands, prime and unique farm lands, habitat for endangered species, historical and archaeological sites and park lands.

4.5.3.3 Aesthetic Elements

Weigh the aesthetic qualities of the corridors under investigation as carefully as those that contribute to traffic safety, highway efficiency and structural adequacy. Gentle curves, easy grades and lanes with adequate clearance between passing vehicles contribute both to pleasant and safe driving. Both horizontal and vertical alignments should be coordinated to create a total roadway alignment that complements rather than disrupts the natural landform.

Pleasing appearance can usually be achieved at little extra cost if the road is located with these aesthetic elements in mind from the start. Further, roadside development (e.g., scenic vista, streamside parking areas), flattening and rounding slopes, contribute significantly to roadway beauty and safety as well as reduce maintenance cost. Landscape specialists should be consulted to assist integration of the roadside, structures, community and scenic considerations into the geometric design (horizontal, vertical and cross sectional elements). Consider aesthetic treatments and enhancements, such as plantings, trees, shrubs, and colored concrete.

When the merits of competing alternatives are nearly equal, scenic quality may be a deciding factor.

4.5.3.4 Map and Photograph Study

Study the various alternative corridors between the termini using a large-scale (e.g., 1:5000) map that shows the major topographic features (e.g., rivers, mountains, roads, cities, towns). Select the more representative and feasible alternatives to be evaluated in detail.

Study and analyze the collected material before gathering field information. If good photographic and map coverage is available, much of the corridor analysis can be done by stereo aerial photo analysis and map study. Impractical locations can logically be eliminated to concentrate on the more promising alternatives during the field investigation. Further refinement or screening of corridor location alternatives may occur during the field investigation.

4.5.3.4.1 Map Study

Study the topography between assigned termini to identify avenues through the terrain that may be a feasible road location and also difficult terrain that may be avoided. Ridges or watersheds are often feasible avenues, especially where there are long regular ridges leading in the desired direction. Valleys are also practical avenues if they lead in the desired direction. The most difficult corridor locations are those that cut across the natural avenues or those that lie in confusing terrain where the ridges and streams have no continuous well-defined direction.

Each possible avenue should be examined, and some may be quickly discarded as impracticable. Each practical route should be represented on the map using different colors or line symbols. Where the gradient might be controlling, the contour gradient intervals should be stepped out on the map with a divider or equivalent CADD technique to ensure that the route grade is within acceptable limits. Points where curvature may be critical should also be verified.

4.5.3.4.2 Stereo Aerial Photo Analysis

If available, examine stereo aerial photos. It is possible to check gradients on the photography using a stereoscope and an engineer's scale. Possible lines may be represented on the photos and compared with map locations. Stereo photo examination will yield information that may not be shown on a map, so if both the map and photos are available, both should be used.

A thorough map or stereo aerial photo study should investigate all possible routes within a band that is 40 to 60 percent as wide as the distance between termini. If adequate photo and map coverage are not available, consider viewing the terrain from a plane or helicopter before traversing it in the field. Under some conditions it is desirable to have uncontrolled aerial stereo and oblique photos of the route taken for use in the corridor reconnaissance.

The effort required for the corridor reconnaissance field investigation will depend on the effectiveness of the preliminary office studies, the accessibility of the route, weather, etc., and might vary from a day to weeks. The field investigation can be made by any means available (e.g., vehicle, horseback, by-foot). During this investigation, observe and note the forest cover, drainage, potential bridge sites or major drainage crossings, the nature and classification of the soil, rock outcrops, land use and anything else that might affect the alignment location.

Oblique and terrestrial photography can be helpful in studying and depicting proposed improvement corridors, and can be enhanced by visualization techniques to illustrate future highway improvements. These visualization techniques may be roughly prepared by photo-composition, or may require a preliminary design (i.e., alignment, cross section), to accurately depict the proposed improvements.

4.5.3.5 Corridor Study Report Format

When applicable, in addition to the Project Scoping Report, a comprehensive corridor analysis of potential new alignment and corridor locations may be documented in a Corridor Study Report. More typically, however, this information is kept informal. In either case, corridor analyses are summarized in the environmental document (i.e., Environmental Assessment, Environmental Impact Statement). The corridor study report not only contains the results of the corridor analysis but also summarizes the preliminary design standards under consideration. In addition to the engineering information, the social, environmental and economic features of the alternatives (separate corridors) used in the analysis are presented at least in a general fashion.

The corridor study report, if prepared, should contain the following items:

1. **Introduction**. Describe the authority and purpose of the study.

2. **Resources Used**. Identify all sources of information, maps and data obtained for the study.

3. **Climate, Physiography and Geology**. Provide a description of the climate, significant geographic features, land uses and geology of the area.

4. **Preliminary Design Standards**. This section should include all traffic data and design criteria for the study. Describe range of proposed preliminary roadway design standards, especially alignment and grades, roadway sections, type and cost of structures and other preliminary design elements being considered. Many of these are illustrated in a roadway cross section.

5. **Corridor Descriptions**. Provide a detailed description of each corridor studied.

6. **Comparative Evaluation**. This section should contain a comparative evaluation of routes studied. Include a dissertation of the related social, economic and environmental (SEE) impacts (e.g., changes in land uses, displacement of residences, disruption of communities, environmental mitigation measures, construction costs, road user costs, secondary economic factors).

7. **Benefit Cost Analysis**. An optional section that may be used to provide a benefit cost analysis for each corridor and the basis for them.

8. **Exhibits**. Use exhibits to include route maps or aerial mosaics depicting the location of the corridors, typical roadway sections, vicinity maps, route profiles, physical characteristics outlined on reconnaissance study form and detailed cost estimates of the alternatives.

9. **Aesthetics**. Use exhibits to depict the consideration for aesthetics in the analysis of each corridor.

10. **Risks and Unknowns**. For cost estimates, time schedules, and extent of project scope, describe the potential risks and unknowns in order to qualify the basis for these estimates.

4.6 DEVELOPING THE EVALUATION FRAMEWORK

The evaluation framework consists of the preliminary design concepts and the technical analysis for a recommended course of action leading to the evaluation of any alternative that may be developed in Section 4.7. The development of the conceptual and preliminary design, and concurrent technical analysis, combines the preliminary engineering investigations (e.g., traffic engineering, survey/mapping, geotechnical, hydraulics, structural engineering, roadway design) into a coordinated comprehensive preliminary design package, with assessment of a highway's transportation problems and an array of proposed context sensitive solutions. The analyses involve evaluating the diverse field data. The analyses are preliminary or general in nature, but they are sufficient to support an overall implementation decision. A higher degree of technical detail is necessary in the final design phase. Exhibit 4.6–A shows a sample evaluation framework containing various design parameters and design alternatives.

Exhibit 4.6–A EVALUATION FRAMEWORK

	Scope Alternatives No build Pavement Preservation RRR Spot Repairs Light Reconstruction Full Reconstruction Corridor Alternatives Others	**Design Alternatives** Typical Sections Design Speed Others
Safety Performance Roadway Geometrics Roadside		
Operational Performance Speed Design Consistency Capacity Intersections Access Management		
Conditions Pavement Drainage Appurtenances Environmental		

Establish the evaluation framework prior to developing the preliminary design or alternatives. The framework considers the various design parameters and decisions that are to be made in relation to the levels of accessibility, mobility, safety, operational performance, environmental and social compatibility, sustainability, cost effectiveness, and other goals to be achieved from proposed alternative solutions. Use the best available techniques to understand the relationships between the design choices or alternatives proposed, and the expected transportation performance, environmental effects, and other consequences. Use the established evaluation framework throughout the development of the conceptual and preliminary design to:

- Enable consideration of varying benefits, costs and impacts,
- Accommodate consideration of diverse perspectives and values,
- Allow a collaborative, transparent project development and design process, and
- Contribute to a fully informed and well-considered decision.

The types and sequence of steps in the conceptual and preliminary design process are described in the following subsections. The technical analyses are not always presented in depth, but references are given to the other chapters where the preliminary and detail design requirements are discussed.

4.6.1 CONTEXT SENSITIVE SOLUTIONS APPROACH

FLH standard practice is to use a context-sensitive approach to perform the project planning, development, evaluation and design. Approach the project development from the basis that every project's context is unique. Context sensitive solutions (CSS) is a collaborative, interdisciplinary approach that involves all stakeholders in providing a transportation facility that complements its physical setting and preserves scenic, aesthetic, historic and environmental resources, while maintaining safety and mobility. CSS approach addresses the total context within which a transportation facility will exist. Each project incorporates unique, rather than generic, solutions in order to provide the needed condition, operational and safety performance improvements while integrating the facility into its surrounding natural and built environment. CSS differs from the concept of context sensitive design (CSD) in that the approach extends far beyond the highway design to address how a facility is planned, implemented, and maintained. Although the CSS approach may be associated with flexibility in highway design, it involves the full range of activities from the early planning through design, construction and maintenance, and includes broad solutions involving every discipline. CSS applies to any and all projects and types of roads (i.e., every project has a unique context as defined by the terrain, the community, users and the surrounding land use). The approach includes both the outcome (qualities of the project) and the process by which it is achieved. Incorporate the following principles, which are essential aspects to a successful CSS project:

- Be respectful of the land, partner agency goals, tribal values, cultural significance of landforms and sites, wildlife and habitat;

- Provide safe passage for all users and affected community including residents, travelers, visitors, tourists, recreationists, and wildlife;

- Satisfy the project vision, purpose and need as developed and agreed early on by a full range of stakeholders;

- Actively communicate and include early, continuous and meaningful participation of all stakeholders and the public throughout the project delivery process in an open, honest, and respectful manner;

- Demonstrate clearly defined, effective decision-making and implementation that meets commitments;
- Design the project so it is built with an agreed level of temporary disruption, yet is seen as having added lasting value to the community;
- Minimize impacts to existing features and conditions in a “lightly on the land” manner;
- Work cooperatively to integrate safety as a basic principle in all activities;
- Deliver a financially feasible and quality facility with well managed, efficient and effective use of everyone’s resources including cost, time, effort and material; and
- Exceed the expectations of both designers and stakeholders, thereby achieving a level of excellence in people’s minds.

During each phase of the project delivery include the active engagement and collaboration of stakeholders and technical specialists, open discussion, creativity, respect for a diversity of perspectives and effective weighing of choices to implement an appropriate solution.

Refer to NCHRP Report 480, A G*uide to Best Practices for Achieving Context Sensitive Solutions* for guidance on CSS, and FHWA and Context Sensitive Solutions (CSS).

4.6.2 INTERAGENCY SCOPING AND STAKEHOLDER/PUBLIC INVOLVEMENT

Stakeholders include any person or group that is affected by the project. Stakeholder participation and public involvement is integral to the CSS approach and a key part of the formal environmental process requirement. It provides necessary input and benefit during conceptual studies and preliminary design. As outlined in Section 3.4.2.2, it is important to publicly announce the beginning of the conceptual studies and preliminary design phase, especially for the larger scale projects. This can help in identifying stakeholders and the local perspective on the major highway problems and operational difficulties along the route. Stakeholders should participate in development of design concepts and alternatives. Once alternatives have been developed, stakeholder and public input can be obtained through the environmental review process for the proposed improvement alternatives and their respective scopes of work.

More importantly, the interagency scoping and stakeholder/public involvement provides essential information about the natural, cultural and historic context of the environment encompassing the project, and the values of the community, and about the transportation facility users for, inclusion in the development of preliminary design solutions. The interagency scoping and stakeholder/public involvement provides a mechanism for those affected by the project, as well as those representing the users of the facility, to add value and local expertise and to influence from the earliest possible opportunity the outcome of the transportation decisions and solutions that will affect them.

Additional information on project scoping and effective stakeholder/public involvement is provided in Chapter 2 of *A Guide for Achieving Flexibility in Highway Design*, AASHTO, May 2004.

4.6.3 DEVELOPING A PROPOSED COURSE OF ACTION

Depending on the degree of investigation and analysis in the planning and programming phase, a project's proposed course of action, as it enters the preliminary design phase, could vary greatly from a simple description of study area limits with intent to improve whatever is most needed, to a specific course of action (e.g., resurface the pavement, replacement of a particular bridge). To fully develop a complete, specific course of action, the overall highway deficiencies, transportation needs and context of the project vicinity must be well identified, quantified and evaluated in the conceptual studies phase. The initial recommended course of action developed during the preliminary engineering investigation as described in Section 4.5 should provide effective planning and launch for the more intensive activities performed during development and analysis of the preliminary design.

As the project develops during the preliminary design phase, the technical interdisciplinary investigations and analyses should provide the necessary data and technical recommendations to support development of the roadway alignments, grades, template cross sections, roadside design, structures type, size and location, anticipated construction activities, safety, traffic operations, technical performance (e.g., hydraulic, pavement, geotechnical), anticipated service life, sustainability, costs, user benefits and other aspects of the project; and that fully represent the effects, consequences and impacts of the proposed action.

For small projects, RRR improvements, and projects with limited or well-defined effects and impacts, the preliminary design and proposed course of action are readily developed with limited investigations and fewer technical disciplines that require involvement. For these type projects many of the following activities are not applicable, or should be reduced appropriately.

4.6.3.1 Definition of Project Objectives

To establish a proposed course of action, recognize the existing facility, its deficiencies and future needs, the user needs, the context of the facility and then describe the type of improvement that meets objectives. The objectives are typically to provide a facility for the highway user that fulfills the following:

- Fulfills the purpose and need for proposed action,
- Fulfills the operational and safety needs of the users,
- Meets the convenience, operational and safety standards for that system of highways,
- Is cost-effective to build,
- Is compatible with the context of the facility,
- Avoids or minimizes environmental impacts, and
- Minimizes maintenance costs.

A typical course of action addresses the road's width, alignment, surfacing, major structures, roadside features and the general types of construction items needed to implement these improvements.

The intent is to describe the type of proposed improvements, but allow flexibility so various alternatives can be considered that will accomplish the proposed course of action.

4.6.3.2 Safety and Operational Needs

Evaluate and develop the type of solutions that will address the safety and operational needs of all users, as well as non-users affected by the facility. As applicable, identify transportation performance measures that can be used to quantitatively evaluate the existing conditions, and proposed alternative solutions under the anticipated future travel demands. Traffic operation and mobility performance measures may include:

- Capacity and volume-to-capacity,
- Operating speed and consistency,
- Travel time and rate,
- Level of service,
- Stops and delay,
- Percent of time following,
- Queue characteristics for turning movements,
- Congestion and reliability,
- Density, and
- User cost of travel.

Existing and predicted highway safety performance measures may include:

- Crash frequency and rate,
- Crash severity and cost, and
- Safety index.

Also consider indirect mobility and safety performance indicators such as the availability and quality of sight distances (i.e. stopping, passing, intersection, decision), driveway frequency, access spacing, and number of potential traffic conflicts at intersections.

Refer to Section 8.3 for more detail on what safety and operational considerations are required.

As applicable for evaluation of safety and operational performance, consider using estimating tools such as:

- Interactive Highway Safety Design Model (IHSDM),
- Sketch-planning tools,
- Highway Capacity Manual,
- Macroscopic simulation models, and
- Microscopic simulation models.

Refer to the FHWA traffic analysis tools for additional information.

In addition, the preliminary design should address seasonal driving conditions including problems of removing snow and ice in winter as addressed in Section 8.5.6. Slow moving traffic (such as farm machinery in rural areas) may also present unique traffic conflict problems on the highway.

4.6.3.3 Traffic and Land Use Projections

Evaluate data on current traffic and projected growth. If necessary, conduct special traffic studies as a part of the evaluation.

Evaluate current and future traffic projections on the following subjects, as applicable:

- Traffic data on existing facilities:
  - ◊ Average daily traffic (ADT),
  - ◊ Seasonal average daily traffic (SADT),
  - ◊ Peak hourly volumes, and
  - ◊ Design hourly volumes (DHV);
- Traffic trends and growth rates, past and projected;
- Classification of vehicles (e.g., percent passenger vehicles, percent trucks and buses and percent recreation vehicles);
- Directional split;
- Turning movements at major intersections;
- Speed and delay data; and
- Conflict study data.

Refer to Section 8.6 for more details on how to develop this traffic information. Speed and delay data and conflict study data may be applicable depending on specific project requirements. Highways in urban areas will typically require more detail and traffic data than for rural projects, in order to analyze traffic operations, capacity, level of service, and other traffic operation performance measures.

4.6.3.4 Context and Environmental Objectives

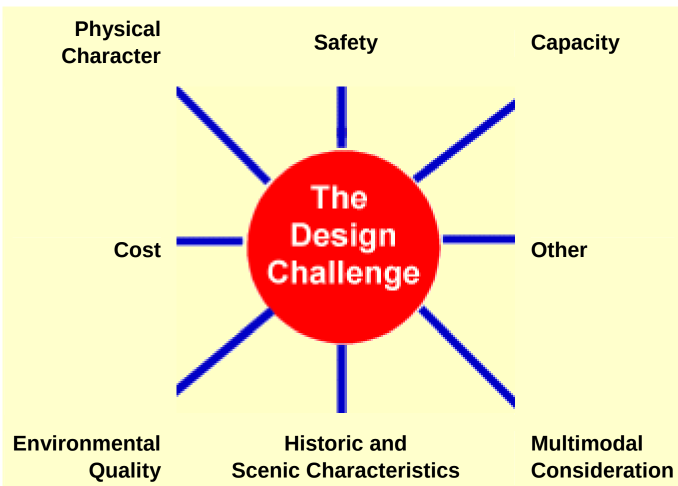
During the conceptual and preliminary design phase, designers cannot work at solving the transportation problems of a project in a vacuum. It is important that during the development of concepts that input from all of the various disciplines, agencies, stakeholders and the public, working together, can have the greatest positive impact on the design features of the project. In fact, the flexibility available for highway design during the detailed final design phase is limited a great deal by the decisions made at the earlier stages of planning, programming, conceptual studies and preliminary design. Therefore, it is important to plan ahead during the conceptual studies phase and to fully consider the potential effect that a proposed facility or improvement may have while the project is still in the preliminary design phase. During concept development, key decisions are made that will affect and limit the design options in subsequent phases. Some questions to ask at this stage include:

- How will the proposed transportation improvement fit within the general physical and social character of the area surrounding the project?
- Does the design need to have unique historic or scenic characteristics?
- How does the design reflect the safety, capacity and livability concerns of the community?

Answers for these types of questions should be found during the concept development phase, as well as in public involvement during concept planning. It is important that all of the issues, concerns and opportunities identified for maintaining the character and scenic integrity of the highway are clearly defined at the onset of the concept stage, so they can be either accommodated or mitigated. Factors to consider during the planning stage of project development are presented in Exhibit 4.6–B.

Additional insights and information for developing concepts that fit within the context of the projects surroundings can be found in FHWA-PD-97-062, *Flexibility in Highway Design*.

Exhibit 4.6–B FACTORS TO CONSIDER IN PLANNING



4.6.3.5 Reconstruction Versus Resurfacing, Restoration and Rehabilitation Improvements

As part of the project development framework and determining the scope of work, it must be clearly stated why the study effort should pursue a resurfacing, restoration and rehabilitation (RRR) approach versus a reconstruction approach to completing the improvements. This determination should provide the justification for either reconstructing the current roadway, or providing the proposed level of effort to improve the current roadway. This justification should focus on the operational benefits and user benefits for proceeding with either approach. If a RRR approach is selected, both the benefits and consequences of deferring full reconstruction improvements must also be described. These include safety risks and the operational and life cycle construction and maintenance costs.

4.6.4 PROJECT AGREEMENT

The purpose of the project agreement is to establish and reach agreement with the primary stakeholders the overall scope, schedule, budget, roles, responsibilities and quality expectations for delivery of the proposed project. The project agreement should address the principle contacts and roles and responsibilities for coordination of project delivery activities. The project agreement should address the following items:

- Description and overall scope of the project;
- Purpose for the project;
- General approach to project delivery;
- Quality expectations;
- Schedule of milestone activities and responsibilities;
- Functional activities and responsible party (e.g., environmental compliance, design and technical services, construction, maintenance, right-of-way acquisition, utility relocation);
- Funding sources, amounts, and proposed budgets of functional activities; and
- Roles and responsibilities, and signatures of primary stakeholders.

Refer to Division Supplements for guidance on the format for specific project agreements as applicable for each FLH Division.

The project agreement should be in place before significant preliminary engineering work is begun or significant costs are incurred. The project agreement is typically prepared with input and involvement of the interdisciplinary team and program agency stakeholders.

The project agreement should be updated at the conclusion of NEPA decision-making, and at other major project milestones. It is considered a living document that should be updated as major changes may occur in scope, schedule or budget, key project personnel change, key roles or responsibilities change, if major design services are outsourced, etc.

Refer to [EFLHD – CFLHD – WFLHD] Division Supplements for more information.

4.7 ALTERNATIVES DEVELOPMENT AND EVALUATION

Several reasonable build alternatives may need to be investigated and considered. Alternatives should be developed using the design guidance provided in the preceding sections. While the categories of alternatives indicate the proposed action, more specific terms must be used to describe an alternative beyond the general physical characteristics to evaluate its operational, safety and structural performance. If one or more build alternatives are developed, they should include the following information:

- Type of improvement (e.g., traffic operations, rehabilitation, reconstruction, realignment);
- General design criteria (e.g., roadway width, design speed, surface type);
- Design elements (typical roadway cross sections, preliminary alignment and grade, grading/clearing limits, auxiliary lanes/tapers, intersection types, right-of-way widths);
- Multi-modal accommodation and operational characteristics for all users (e.g. accessibility, shared use, pedestrian or bicycle facilities, transit, traffic controls);
- Physical impacts (e.g., limits of impact, boundaries of resources, compatibility with adjacent environment, land uses and activities)
- Technical features (e.g. safety appurtenances, bridges, walls, large culverts); and
- Cost estimate.

The intent of conceptual studies and preliminary design is not to develop the final design of the project, but to provide direction and scale of the improvement. Alternatives should be developed to comparable levels for evaluation. Given this direction, a practical, cost-effective design of each of the proposed alternatives should be developed for relative comparison. The alternatives evaluation should accomplish the following:

- Identify, evaluate and compare benefits and impacts of each alternative;
- Establish design flexibility;
- Define commitments to protect and preserve the environment for each alternative; and
- Provide project implementation guidance.

The preliminary design studies should define the project by line and grade, right-of-way limits, construction quantities and roadway geometry in general terms based on projected traffic volumes, terrain and other special features. For the final design phase of the project, these features are addressed in more detail (see Chapter 9).

Once the proposed purpose and need and project objectives are established, all reasonable alternatives that can accomplish the objectives should be identified. These should be practical engineering solutions to the identified problems (e.g., current deficiencies, future needs) within the overall limits and intent of the planning and programming goals.

Initially, alternatives might cover quite a range or scale of improvements, but they should be condensed to three or four succinct alternatives for which further engineering analyses can be applied. Otherwise, the details, data and description become very cumbersome to handle.

4.7.1 TYPES OF ALTERNATIVES

The basic categories of alternatives to be considered on most road upgrading are described in the following sections.

4.7.1.1 No Action

The no-action alternative would only continue the routine maintenance of the facility and does not include any upgrading that would change the road's operation or extend its service life.

4.7.1.2 Transportation System Management (TSM)

Transportation system management (TSM) alternatives should always be considered when upgrading a road. TSM consists of travel controls, operational improvements, and/or limited construction to maximize the operation and efficiency of the existing facility without major reconstruction or new construction. Examples of these type controls include the following:

- Accommodating the existing traffic on other routes or with different types of vehicles,
- Posting vehicle restrictions and load limits, and
- Providing or enhancing an alternate mode of transportation.

4.7.1.3 Resurfacing, Restoration and Rehabilitation (RRR)

Resurfacing, restoration and rehabilitation (RRR) projects are alternatives with limited construction efforts that are very cost-effective. The objective is preservation and extension of the service life of the existing highway and enhancement of safety without substantial costs, construction impacts or major right-of-way acquisitions. Generally, RRR projects do not reconstruct the highway for the purpose of achieving full geometric standards. However, a safety-conscious approach must be used to develop RRR projects. Refer to FHWA T 5040.28, *Developing Geometric Design Criteria and Processes for Non-Freeway RRR Projects*, and dated October 17, 1988 for guidance in the development of RRR projects.

Transportation Research Board, Special Report 214, *Designing Safer Roads, Practices for Resurfacing, Restoration, and Rehabilitation* (1987), documents the result of research on cost effectiveness of highway geometric design standards for RRR projects, and provides guidance on the overall approach for design of RRR improvements. Refer to Section 4.4.2 for FLH approach to developing RRR alternatives and Section 9.4 for additional design guidance.

4.7.1.4 Reconstruction (4R)

This is an improvement alternative that rebuilds a highway essentially along the same alignment; the retention of the pavement structure is not a primary objective. Reconstruction (the 4th R) may involve making substantial modifications to the existing highway's horizontal and vertical alignment, including alignment shifts, in order to improve safety and traffic operations.

Reconstruction work normally involves a substantial construction effort to rebuild the existing highway to at or near full geometric and safety standards to provide long-term, multi-modal transportation performance. The complete spectrum of design deficiencies and functional obsolescence of the roadway and structures, as well as the future transportation needs, should be addressed by this level of upgrading. Typical work includes widening, realignment, access improvement, and replacement of bridges. While reconstruction approximately follows an existing road corridor, it may deviate significantly in width and alignment from the present road to achieve full geometric standards.

4.7.1.5 New Construction

This is an improvement alternative to build a road and/or bridge on completely new alignment or substantially upgrade a highway facility along an existing alignment providing new access to or through an area. This might take the form of a bypass constructed to carry through traffic around a town or it might be a new access route linking an existing highway with a new recreational facility.

Typically, the highway is built on new alignment in a virgin corridor. It normally is constructed to full geometric standards to fulfill both the current as well as long-term transportation needs of the area.

4.7.2 DEVELOPMENT OF PRELIMINARY ENGINEERING CONCEPTS

Following the development of the Evaluation Framework and the proposed action, some elements of the preliminary engineering phase may have been modified since the completion of the project scoping report. At the onset of the preliminary engineering, clearly define the project, the design standards to be followed and the requirements for each functional classification. This is the final scope for developing the various alternatives to be considered to meet the project objectives.

Develop the design features for each viable alternative under consideration during the preliminary design phase to a similar level of detail.

4.7.2.1 Horizontal Alignment Objectives

Establish an alignment that best fits the horizontal control features, as well as the design controls described in Section 4.4.4. Conform to the guidelines for horizontal alignment described in Section 9.3.5. Determine the superelevation runoff lengths and check that tangent lengths are sufficient to accommodate superelevation transitions.

4.7.2.2 Vertical Alignment Objectives

Establish the vertical control features (e.g., driveways, bridges, adjacent private property development, etc.) and establish a profile grade to fit these control features while adhering to the standards for percent of grade and vertical curve length. Conform to the guidelines for vertical alignment described in Section 9.3.6.

4.7.2.3 Aesthetic Considerations and Relationship of Horizontal and Vertical Alignment

Ensure that aesthetics are incorporated in the highway design, and consider coordination of the horizontal and vertical alignment and interactions with other design features. Adhere to the guidelines of Section 9.3.2, Section 9.3.3, and Section 9.3.4.

4.7.3 DESCRIPTION OF THE ALTERNATIVES

Provide a detailed description of each alternative that was considered, whether it is carried forward for final consideration or not. The alignments and the impacts of each alternative should be fully described including specifics on why the improvement option was considered.

Exhibit 4.4–A is an example of how to show and describe an alternative and its preliminary design standards. This information should also be supplemented with a map depicting the location of the alternative as discussed in Section 4.7.5. When comparing numerous alternatives, it can also be effective to display them together in a conceptual setting.

A fatal flaw analysis should be performed on each alternative to determine if it has flaws which prevent meeting the established purpose and need; and if so, then to determine that the alternative cannot be modified to meet the transportation, environmental, socioeconomic, and feasibility goals of the project, and finally that the flaws make the alternative insurmountable to proceed further in the development process.

If during development of a concept or idea, an option does not appear to best meet the goals and objectives of the project, document the reasons why the alternative was not carried forward so that if, in the future, others may consider this option during final design they will have the benefit of this evaluation and effort. Documentation is of great benefit to those that may later work on the final design to know of all of the options and constraints that were considered, and not just the benefit of the recommended solution.

4.7.4 ALTERNATIVE BENEFITS AND CONSEQUENCES

The transportation related benefits and consequences of each alternative considered should be documented. The engineering and technical analysis is closely coordinated with the analysis of environmental and social impacts as described in Section 3.4.2. A suggested method of evaluation is to compare each alternative relative to its fulfillment of the project’s transportation related goals and objectives of the project's purpose and need. As a means of comparison, each alternative may be evaluated for its transportation related benefits and consequences, as applicable:

- Safety performance,
- Capacity,
- Traffic operations,
- Level-of-service,
- Accommodation of pedestrian and bicycle use,
- Life-cycle cost,
- Construction time,
- Traffic management,
- Structures and drainage,
- Earthwork volumes,
- Geotechnical hazards,
- Environmental impacts,
- Right-of-way acquisition,
- Utility relocation,
- Maintenance requirements,
- Design exceptions, and
- Risk assessment for delivery and/or service life.

Alternatives may be presented in an evaluation matrix chart to show the results of the evaluation and comparison of the alternatives. The evaluation matrix visually presents the alternatives in a manner that facilitates comparison and helps ensure that the above listed benefits and consequences of each alternative are consistently considered for the purposes of screening the best option among all of the alternatives. A weighting may be assigned to each type of benefit or consequence to indicate its relative importance in the evaluation. The benefits and consequences for each alternative may then be scored and tabulated so one alternative can be directly compared to another. The criteria and weighting used to assess fulfillment of the objectives in assigning scores to the different benefits and consequences should be developed with collaboration, understanding and agreement of the agency stakeholders prior to beginning the alternatives comparison, and fully explained to stakeholders at the completion of the evaluation.

The alternatives analysis of engineering and technical feasibility described above is performed concurrently, and in combination and close coordination with the process for analysis of environmental impacts, economic viability, and public involvement described in Chapter 3.

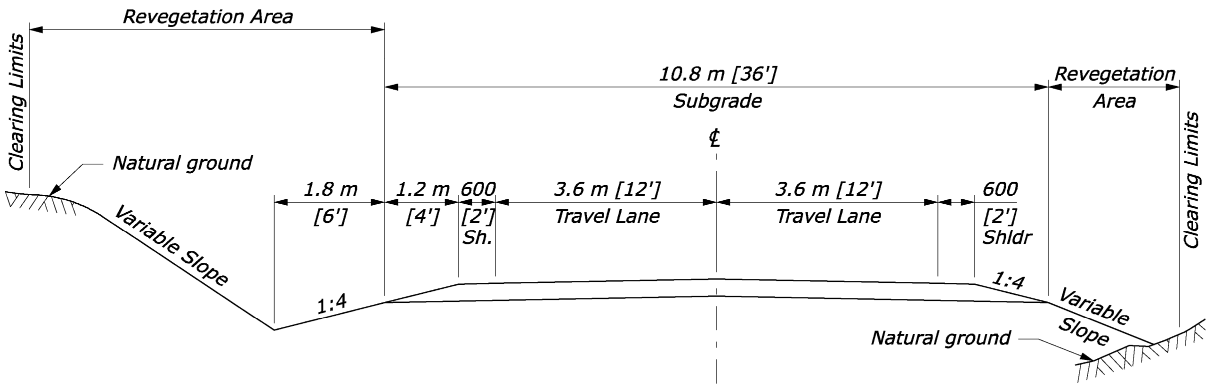
4.7.5 ALTERNATIVE EVALUATION AND RECOMMENDATIONS

After all of the conceptual and preliminary engineering and technical analysis is complete, one alternative will typically be identified as the preferred or recommended solution from a transportation standpoint. For the recommended alternative, document all of the reasons and logic used to recommend this improvement over the other alternatives considered. This should be a succinct, clear representation of the how the improvements included with this alternative meet the transportation related goals and objectives of the project's purpose and need. This information will be used as part of the environmental process and for incorporation within the decision document. The comprehensive evaluation of the alternatives developed for meeting the project purpose and need, including all the goals and objectives of the project, is addressed in the environmental process and decision document as described in Section 3.4.2.2.1.

Visual depictions and visualizations of project alternatives should be used to convey the full extent of the project.

Exhibit 4.7–A presents an example presentation of an alternative.

Exhibit 4.7–A EXAMPLE PRESENTATION OF AN ALTERNATIVE



ALTERNATIVE A

Note: This alternative for the reconstruction of 105 km [65 mi] of Flat Mountain Road by widening and adding bituminous surfacing to obtain a 8.4 m [28 ft] wide roadway consisting of two 3.6 m [12 ft] paved lanes and two 0.6 m [2 ft] paved shoulders. Roadside features such as 1V:4H foreslopes, variable ditch widths and backslopes with minimum selective clearing are included to provide a reduced, but adequate cross section with standard sight distances and roadside safety.

The horizontal and vertical alignment of the existing road will be adjusted by curve flattening, grade raises and short relocations to provide a minimum 60 km/h [40 mph] design speed. Necessary widening will be provided with the least effect on natural features and private property. Generally, widening will be made on the roadside away from the river or other sensitive features (e.g., wetlands).

The bridge over Deep Creek at km 20.1 [MP 12.9] is to be replaced in approximately the same location. The existing right-of-way can be used in constructing much of this alternative. Partial takings from parcels along the existing roadway totaling approximately 0.93 ha [2.3 acre] will be required for widening, improving the sight distance and reducing the severity of curves.

The proposed improvement of FH 72 begins at km 20.8 [MP 12.9], which is the northern terminus of previous improvements and generally follows the existing road to the vicinity of Dutch Road, about km 20.4 [MP 12.7]. At this point, an alignment shift is proposed 60± m [200 ft] to the east of the existing road. This approximately 600 m [2000 ft] long relocation would avoid a congested area formed by residences and commercial property bordering the east side of the existing road and a historic mine site bordering the west side. The proposed improvement connects with the existing road at about km 20.9 [MP 12.9] and generally follows it northerly to its terminus at an intersection with US 22 (km 30.2 [MP 18.7]).

4.8 DESIGN FEATURES OF THE PROPOSED IMPROVEMENTS

This section establishes preliminary design parameters of the proposed improvements that form the project definition in terms of highway engineering practice. Once the recommended improvement has been identified and the preliminary engineering developed, a clear and succinct summary of the known and unknown design parameters should be outlined as part of the preliminary design. This information will be used as the controlling design information as the project moves from a study perspective to a final design perspective.

This preliminary design information is also needed to quantify environmental impacts and assess compliance with numerous environmental laws and responsibilities (see Section 3.3). Specific design and engineering information is needed to support the environmental process and ultimately a NEPA decision document. A primary objective of this section is to identify the discipline-specific information that is needed to support that decision-making process.

Refer to Exhibit 4.1–A for a flow chart of the overall conceptual studies and preliminary design process.

4.8.1 GEOMETRIC DESIGN ELEMENTS

Incorporate consideration of the geometric design controls proposed for the recommended improvement. These may be identical to those controls listed in Section 4.4.4 of this chapter, but if any adjustments were necessary during the alternatives investigation, they should be clearly defined for the final design team to use during the completion of the final design.

4.8.1.1 Design Speed

Establish the design speed to be used for each type of facility to be designed (e.g., mainline, intersecting collectors, frontage/access roads, turnouts). If there are changes in the design speed due to changes in topography or capacity of the facility, describe where the changes occur and why these changes were necessary.

4.8.1.2 Superelevation

Determine the normal crown and maximum superelevation of the roadway and curves. Determine if maximum superelevation rates should vary, according to the elevation or climatic conditions on the project. Define the methodology for distribution of superelevation on the curve and on the tangent, and what the maximum and minimum rates are for various conditions. Determine if spirals should be used in the horizontal alignment.

4.8.1.3 Horizontal and Vertical Controls

Develop an alignment fulfilling the horizontal alignment objectives of Section 4.7.2.1. For the horizontal alignment, establish the minimum radius to be used for each design speed and roadway section, and the requirements for stopping and passing sight distance. Determine if there are horizontal clearance criteria constraints to be applied.

For the vertical alignment, develop an alignment fulfilling the objectives of Section 4.7.2.2. Determine the minimum and maximum gradient to be used for each design speed and roadway section. These may vary within a project as the terrain changes. If so, define where and why these changes occur. Determine the minimum vertical clearance and stopping sight distance requirements.

Document the design standards information using the process described in Section 9.1.3.4.

4.8.1.4 Typical Section

Develop a full representation of the cross section elements of the final design. For each roadway section, develop the number of lanes, lane widths, shoulder type and widths, type and location of auxiliary lanes and widths, median provisions, foreslope widths and slope, the conceptual design of the ditches, curb and gutter requirements, etc. If lane widening is required for turning movements, develop the lanes, shoulders and slopes adjacent to these facilities as well.

Determine the provisions for pedestrians including sidewalks, crosswalks and other facilities, and bicycle accommodation features.

Determine the widths of clear zones, and location and type of roadside barriers and terminal sections.

4.8.1.5 Slope Selection

Develop the cut and fill slope selection criteria, if other than provided in Exhibit 9.5-A. The general slope requirements of the roadway section are described in the typical section. If there are special slopes required due to variations in the materials or for rockfall mitigation, provide these criteria. Develop the preliminary design of cut and fill slopes.

4.8.2 INTERSECTIONS

Determine the location and density of access points and intersections. Identify the standards and criteria to be used for the access points and intersections contained within the project. Determine and provide a description of the design vehicle that will use the intersection, and the minimum radius of the outside and inside radius returns. Also determine the turn lanes, acceleration and deceleration lanes that are proposed.

Determine the horizontal and vertical alignment of approaches, type of control, number and types of lanes, lane widths, median opening configuration, shoulders, islands, and auxiliary lane transitions and terminals. Also determine the intersection pavement cross slope, curve radii and tapers, sight distances, pedestrian facilities including sidewalks and crosswalks, and bicycle accommodation facilities.

For controlled access facilities determine the general configuration of interchanges, speeds, alignments and widths of ramps, and locations of auxiliary lanes.

If there are known constraints that preclude obtaining the desired intersection sight distance, provide guidance on how to mitigate this safety concern.

4.8.3 RAILROAD-HIGHWAY CROSSINGS

Define the scope of improvements to the crossing by conducting an on-ground joint inspection of the site with railroad engineering staff, the State or highway operating agency and other interested parties before starting the survey or design.

If possible, obtain a recent railroad map of the site indicating railroad right-of-way for the meeting.

This on-ground review should clarify other railroad company policies on these topics:

- The closest encroachment to the centerline of tracks permitted,
- Sight distance triangles,
- Traffic maintenance (detours),
- Drainage, bank protection or other conditions to be encountered on the proposed highway location, and
- Railroad work schedules.

Before designing improvements in the vicinity of existing crossings or new crossings, arrange for the above field inspection of the crossing site. Even if no improvements are made to the railroad crossing, coordination is needed early with the railroad company in regard to temporary traffic control that may affect the railroad. The above review should identify all matters necessary to resolve financial responsibility, scheduling, and authorization to proceed with the work. The traffic control and protection (e.g. type, number and location or railroad signals) to be installed should also be determined.

All utilities, both aerial and buried, in possible conflict with the proposed installation must be determined, including facilities interfering with the proposed railroad signals or gate installations requiring adjustments. In some instances, it may be preferable to adjust the location of the railroad signals. Consider any proposed future railroad or highway widening projects when determining placement of the signals.

Photographs should be taken during field inspections, and are very helpful to reference during the subsequent design activities for the project.

4.8.4 GEOTECHNICAL

Incorporate the results of the evaluation performed under Section 4.5.2.12.7.

Determine the scope of follow-up investigations that are still necessary to conduct for the preliminary or final design process, as described in Section 6.3.

4.8.5 HYDROLOGY AND HYDRAULICS

Develop the conceptual hydrology and hydraulic design to be applied for the drainage watersheds where the project is located, including typical roadway ditches, and determine the location, type and size of major drainage crossings and culverts that have an impact on the preliminary roadway design or which control the alignment and grade.

Determine the scope of any apparent existing drainage problems and develop the preliminary design of needed improvements based on field observations, previous safety reports or discussions with the roadway maintenance staff. Determine if there are any special measures required for erosion control or improvements to existing inlets/outlets that must occur. Also, determine any roadway profile issues that may need to be addressed during the final design (e.g., insufficient clearance over proposed culverts or adjustments in the roadway design or drainage facilities to prevent roadway flooding or overtopping).

4.8.5.1 Hydrology and Hydraulic Standards

Determine the standards and criteria that are to be used for evaluating and designing the roadway drainage improvements and river hydraulics, and apply these in the preliminary design. These are defined in Section 7.1.6.

4.8.5.2 Floodplain Considerations

Determine the limits of any floodplains either within or nearby the project that are regulated. Refer to Section 7.4.1. If there are known encroachments into these waterways by the recommended improvements, evaluate the potential effects and whether these encroachments could or could not be avoided and how they can be mitigated.

Assess the potential impacts or encroachments into floodplains and floodways, coastal waterways and fisheries and streams. Determine the scope of any channel migration concerns and any anticipated stabilization work that may be necessary. If there are potential embankments or retaining walls required adjacent to streams/channels, they should be evaluated. If there are any active waters that must be crossed during construction, access across these features should be investigated including detours, low-water crossings, timing, and temporary structures for construction activities. For any bridges over waterways, any scour and flow capacity issues must be addressed as part of the preliminary engineering study.

If a change in the floodplain is required, develop the procedures for working with the local jurisdictional agency to submit and complete these changes.

4.8.6 STRUCTURES

Determine the location, type, size, cross section, railing and transitions, and other results of the evaluation performed under Section 4.5.2.12.10.

4.8.7 PAVEMENTS

Incorporate into the preliminary design the results of the evaluation performed under Section 4.5.2.12.8. For conceptual design, the depth of the pavement structure may be an assumption based on past experience or by comparing with the depths used on an adjacent project. If this is used, provide the basis of where this information was obtained.

4.8.8 RIGHT-OF-WAY

Identify the existing right-of-way corridor and roughly approximate the proposed right-of-way area. Describe the property affected and the nature of impacts. Estimate the approximate right-of-way cost and any special right-of-way problems. If all or part of the route crosses public lands, identify the agency controlling the land.

4.8.9 ACCESS MANAGEMENT

Refer to evaluation of access management issues as described in Section 8.4.2 and Section 9.3.12.5. Consider the following issues:

- Operational effects,
- Safety effects,
- Design considerations, and
- Right-of-way considerations.

4.8.10 UTILITIES

Incorporate the results of the evaluation performed under Section 4.5.2.12.5.

4.8.11 PERMITS

Incorporate into the preliminary design the features that will be provided for any permit applications, and anticipated requirements of any necessary permits described under Section 4.5.2.12.6.

4.8.12 ENVIRONMENTAL FEATURES AND CONCERNS

Incorporate into the preliminary design the environmental, public and context sensitive issues, concerns and opportunities addressed in Section 4.6. If any of these objectives could not be achieved during the development of the preliminary design of alternatives, explain why these objectives presented such a challenge and what mitigation efforts should be considered.

4.8.13 CONSTRUCTION CONSIDERATIONS

Incorporate construction considerations into the preliminary design including the sequencing of the work and its constructibility. Refer to Section 9.5.11.

4.8.14 DESIGN EXCEPTIONS

Evaluate any features of the preliminary design that do not conform to current approved standards. Refer to Section 9.1.3 for preparation of design exceptions.

4.8.15 COST ESTIMATES

Develop a construction cost estimate for the project. A Class C estimate is based on a per-kilometer [mile] cost for similar type scope of work projects in the area. A Class C estimate may have been previously prepared during the planning or programming phase, or may have been provided by the Federal land management agency. Develop, or verify, a Class C estimate for the scope of the improvements as part of the conceptual studies. At minimum, update the Class

C estimate, and preferably develop a Class B estimate for the preliminary design. Refer to Section 9.6.8.4.2 for a description of Class B estimate.

Document the cost unknowns and risks that are taken into consideration, and provide with estimates prepared in the early design phases, and in particular during the conceptual phase, since the estimate may be used to determine the project's viability or to determine when the project can be funded, or if it should be broken into multiple construction packages due to funding limitations.

4.9 IMPLEMENTATION

This section addresses how the project will be subsequently designed and delivered. Topics include how the project will be staged into multiple projects or stages if it is a long route, whether alternative delivery methods (e.g., design-build) will be used, how the PS&E is going to be developed and presented, overall final design and construction schedule, funding options, program requirements and other similar details.

4.9.1 PRELIMINARY DESIGN REVIEW

See Section 9.6.4.1 for guidance on the preliminary design review

4.9.2 PROGRAM REQUIREMENTS

The preliminary design documents should address the FLH and program-specific requirements, expectations or guidelines for final design and project delivery that will affect the project implementation. Reference to Memorandums of Agreement where they pertain to final design and delivery should be included in the project documentation. Refer to Section 2.3 for information on the various FLH programs. In addition to the program requirements described in the following sections, each project should be implemented in accordance with the project agreement that is developed specifically for the individual project, as described in Section 4.6.4.

Refer to [EFLHD – CFLHD – WFLHD] Division Supplements for more information.

4.9.2.1 Forest Highways and Public Lands Highways

For Forest Highways and Public Lands Highways, the project will be located within or provide access to National Forest or other public lands. The road-owning agency is typically the State DOT if the road is a State highway or the county or city, if the road is not a State highway, or the Forest Service. The Public Lands Highways program is described in Section 2.3.1.1. The project may involve private right of way and utilities, and will typically provide access to private lands as well as public lands. The project stakeholders will generally consist of

- The Forest Service or other public land management agency,
- The road owning agency,
- Other cooperating and resource agencies, and
- Representatives of interest groups, highway users and the local public.

The project implementation should be in accordance with the Tri-agency agreement for the State in which the project is located, or a special interagency agreement.

4.9.2.2 National Park Roads and Parkways

National Park Roads and Parkways projects will typically be located entirely within a national park or parkway. The road-owning agency is typically the National Park Service, but may be a State DOT, a County or city in some cases. The Park Roads and Parkways (PRP) program is described in Section 2.3.1.2. The project may involve utilities and possibly access to private properties. For major Park Roads and Parkways projects, a value analysis may be performed by the NPS. The designer should provide the appropriate preliminary design information as described above to the Park Service and should attend the Value Analysis meeting as requested. Refer to the NPS document, *Value Based Decision-making* for guidance on value analysis. Following the value analysis, a Development Advisory Board (DAB) review will be performed by the NPS for major reconstruction projects. As part of the preliminary design activity, provide further technical support (e.g., preliminary design details, cost estimates) for this review as requested. The project implementation should be in accordance the MOU between the FHWA and the National Park Service.

4.9.2.3 Refuge Roads

Refuge Roads are public roads within a national wildlife refuge that are owned and maintained by the Federal Government, typically by the US Fish and Wildlife Service. The Refuge Roads Program (RRP) is described in Section 2.3.1.4. The project may involve utilities and possibly access to private properties or other Federal lands. For refuge roads, the projects are intended to be rehabilitation or maintenance type improvements, and not major reconstruction or construction of new roads. The project implementation should be in accordance with the Interagency Agreement between the US Fish and Wildlife Service and the FHWA.

4.9.2.4 Defense Access Roads

Defense Access Roads are public highways that provide transportation services to a defense installation. This may also include public highways through military installations when right-of-way for these roads is dedicated to public use and a civil authority maintains the roads. These roads are generally owned by State or local governments and are typically not within the boundaries of military reservations, but they may be roads at military reservations or defense industry sites and may be closed to the public or restricted. There will generally be an agreement between the FHWA and the military command for the specific military roads or installations, and the project implementation should be in accordance with this agreement.

4.9.2.5 ERFO Projects

ERFO Projects are intended to repair or reconstruct Federal roads and bridges seriously damaged by a natural disaster or catastrophic failure. Due to their nature, these unplanned projects are generally very high priority and may need to be delivered using fast, non-traditional approaches. The projects may include any of the type roads described in the previous sections or other type roads on Federal lands. Restoration in-kind to pre-disaster conditions is expected to be the predominant type of repair. Implementation should be in accordance with the ERFO Manual.

4.9.2.6 Special Projects

Special projects are in addition to the main FLH Program projects that are described in the above sections. A special project agreement will typically be executed between the FHWA and the partner agencies or project stakeholders. The project implementation should be in accordance with this agreement.

4.9.3 STAGE CONSTRUCTION

Limited funding may restrict the sequence of reconstruction of a highway segment. When this is the case, consider Stage Construction. This is where the grading is completed first and the paving at a later time. This assures that the basic geometry (i.e., alignment, grades, cross section) is initially built to an established standard without need of further modification during later stages. For projects completed through a base course there is generally a need to re-establish the base grade staking and possibly recondition the base course if left for more than a year.

4.10 DOCUMENTATION

Conceptual studies and preliminary design provide findings and recommendations that are reviewed and commented on by various agencies and stakeholders. The studies are used to guide further design activities, environmental studies, field investigations, etc. This information can be documented and reported to the agencies in various ways or combined in other documents.

For the purposes of defining the series of investigations during the conceptual studies phase for Federal lands, they are defined as follows:

1. **Project Scoping Report**. The field inspections and compilation of existing engineering data used to identify and quantify a highway's deficiencies and needs are gathered and summarized in the Project Scoping Report. As part of this study, recommendations for further study will also be made to develop a course of action with suggestions for investigating improvement alternatives and conducting engineering analyses. The details of this report are detailed in Section 4.5.2.

2. **Corridor Study Report**. Occasionally, it becomes apparent that a highway should be considered on new alignment in a corridor outside of the existing road. These new highway corridors are usually identified and evaluated separately from preliminary engineering alternatives although they must be compatible with all the components that make up the alternatives. A highway corridor can be defined as a linear strip of ground that connects termini and has sufficient width and variable positioning on the terrain to allow a road with its preliminary design standards to be built within its borders. This report documents the decision to develop a new corridor, or contain the improvements within the existing corridor. The details for performing this work are detailed in Section 4.5.3.5.

3. **Preliminary Engineering Study Report**. After a determination is made to evaluate specific alternatives, each option considered is developed to the same level of effort (15 to 30 percent design) for similar comparisons. The Preliminary Engineering Study Report is the final report or checklist, formal or informal, that documents the information, investigation and evaluation made during the conceptual studies and preliminary design process, and presents the engineering results of a recommended alternative for final design. The details for performing this work are detailed in Section 4.10.1.

Since the results of the conceptual studies and preliminary engineering analysis provide the critical engineering and/or reconnaissance information, array of alternatives and, in some cases, form the preferred alternative to be contained in the environmental document, these findings should be reviewed and concurred with by the appropriate Division staff responsible for the clearance of environmental documents. In addition, land management agencies should also review and concur in the engineering findings regardless of whether they have been documented by informal analyses or in a comprehensive, formal Preliminary Engineering Study Report. This will ensure the environmental process is evaluating alternatives that the land management agency is comfortable with. Concurrence of the report or informal findings does not constitute approval of a specific alternative or issue authority to commence final design activities.

4.10.1 PRELIMINARY ENGINEERING STUDY REPORT

The results of the conceptual studies and preliminary engineering analysis of the conceptual design should be documented in a Preliminary Engineering Study Report (e.g., design scoping report, project checklist, design technical memorandum). As a minimum, the findings and recommendations should be documented by a standardized form or checklist that addresses the applicability of each of the listed items and a description of existing features, design controls, proposed design standards and scope of the engineering work needed to deliver the project. Memorandums, trip reports or semi-formal checklists can be used to support the Preliminary Engineering Study Report. In any case, this information must be documented to ensure the findings and/or recommendations, as well as existing conditions can be reviewed and understood by all interested and affected parties. The report should be retained and readily retrievable until the final design is completed. All improvement alternatives should be readily supportable from an engineering position, which is contained in these study documents.

The final study report should contain the following items:

1. **Summary.** This will be a brief summary of the project's location, limits, route number, a brief summary of the project's scope, a summary of alternatives investigated and the description and cost of the preferred alternative. It should also describe any inter-agency agreements that have been made to complete the project.

2. **Introduction**. Describe the authority, the purpose and need for the project, ownership and maintenance, project objectives, brief history and a full description of the project. It should include:

    - Length of the project,
    - Termini of the project,
    - Functional classification,
    - Typical section of the project,
    - Number of lanes,
    - Existing intersections,
    - Existing site conditions,
    - Safety upgrades proposed,
    - Drainage improvements proposed,
    - Structure improvements proposed,
    - Utility issues,
    - Traffic control issues, and
    - Right-of-way constraints.

3. **Resources Used.** Identify all sources of information, input, maps and data obtained for the study.

4. **Climate, Physiography and Geology**. Provide a description of the climate, significant geographic features, land uses and geology of the area.

5. **Summary of Traffic and Crash Data**. Provide a summary of all the traffic and crash data obtained for the project.

6. **Summary of Controlling Design Criteria**. This section will describe the applicability of design standards, any non-conforming design elements of the existing facility that will be upgraded as part of the project and those elements for which design exceptions will be required.

7. **Location Analysis**. For those projects where a corridor study (see Section 4.5.3) is included, also include a location analysis.

8. **Design Concepts and Alternatives.** This section will include a description of those alternatives considered and discontinued, those studied in full, an evaluation of the studied alternatives and conclusions/recommendations for the final improvement. Design concepts and recommendations should be described for distinct segments of the route that have varying characteristics.

9. **Major Design Features of the Recommended Alternative**. Include descriptions of the major design features of the recommended alternative, which includes:

   - Design controls,
   - Horizontal and vertical alignments,
   - Intersections,
   - Drainage,
   - Geotechnical including earthwork balance and issues,
   - Pavements,
   - Structures,
   - Constructibility and traffic control,
   - Intersections,
   - Utilities,
   - Right-of-way,
   - Access management, including operational effects of access management and the safety effects of access management,
   - Permits,
   - Constructibility and staged construction (implementation), and
   - Design exceptions.

   See Section 9.3 for further information on geometric design.

10. **Cost Estimates**. Include a Class C or B cost estimate as appropriate. See Section 4.8.15.

11. **Construction Phasing or Scheduling**. Where a project includes construction phasing, include a description of each of the phases. Also, include a description of the construction schedule for all projects.

12. **Social, Economic and Environmental (SEE) Concerns**. Address any concerns or issues regarding the social, economic and environmental aspects of the project. See Section 3.4.2.2 for detailed information on the environmental process.

13. **Exhibits**. Examples of exhibits include:

- Typical Sections,
- Project Vicinity and Location Maps, and
- Plan/Profile Exhibits of Alternatives.

Refer to [EFLHD – CFLHD – WFLHD] Division Supplements for more information.

4.10.2 ENVIRONMENTAL DOCUMENT

At the conclusion of conceptual studies and preliminary design, a decision must be made identifying which alternative is going to be advanced into the design phase. The decision-making process is described in Section 3.4.2.2.

The engineering information and descriptions of the improvement alternatives contained in the environmental documents are summarized from the conceptual studies and preliminary design. Since the final decisions are a product of the environmental process, it is imperative that environmental documents present the engineering data in an accurate, complete and understandable fashion. Close and continuous collaboration between the preliminary design and the environmental analysis and documentation is essential. The content of environmental documents is described in Section 3.5.

4.10.3 DEVELOPMENT REQUIRED FOR FINAL PLANS, SPECIFICATIONS, AND ESTIMATE (PS&E)

Formal selection of the preferred alternative occurs when the project's environmental clearance document is approved as described in Section 3.5. This also completes the conceptual study and preliminary design phase and advances the project into the final design phase and subsequent plans, specifications and estimates (PS&E) preparation.

The description of the selected alternative that is contained in the environmental decision making documents (e.g., categorical exclusion, finding of no significant impact, record of decision) should include preliminary design standards and corridor engineering information in sufficient detail to ensure the project will be designed to implement the approved concept.