

**FHWA Risk-Based Oversight  
PoDI Identification Criteria**

Primarily, Projects selected will be on the Interstate or National Highway System. However, other F-A projects can also be selected (unless the State has assumed FHWA responsibilities in accordance with 23 USC106).

Federal Project Number: TGER-002-A  
 State Number: 434688-1  
 Estimated Cost (Federal funds): 11.4M

<b>Project Description</b>
Pedestrian-Oriented Transit Access Infrastructure Improvements (Urban Design & Infrastructure) <input type="checkbox"/> Community Transit Service Development Enhancements (Community Transit) <input type="checkbox"/> Informed Traveler Program and Applications (ITPA)

<b>Project Selection Criteria</b>	<b>Potential for Risk-Based Activity</b>
Use criteria to determine potential risk-based involvement Note: Indicate areas of potential risk-based activity for informing your decision for risk-based project involvement with a "X".	
<i>Significant Project:</i>	
Identified as a PoCI	
High Dollar/ Large Scope Project	
Project on the NHS	X
High freight / Traffic Volume	
Regional Importance	
Directly support one or more USDOT/FHWA Initiatives (e.g. TIGER)	X
Multimodal	X
Unique safety features or implications	X
<i>Complex Project:</i>	
New design features (Roundabout, DDI, etc.)	
Access control Issues	
ROW impacts (major relocations)	
Innovative Construction Methods	X
Innovative Contracting Techniques	X
Traffic impacts	X
Difficult location (constructability issues)	X
State Capacity	
<i>Complex Tunnel or Bridge Project:</i>	
New design features	
Difficult locations for construction (over water ways, urban setting, etc.)	X
State has limited experience in design or construction of bridge type or tunnel	
<i>Environmental/Legal Considerations:</i>	
Higher Class NEPA Documents (EIS)	
Natural Resources	
Cultural Resources	
Human impacts	
Public Controversy	
Law suits (pending or anticipated)	
<i>LPA Administered Projects:</i>	
Questionable capacity to manage project	X

<b>Project Selection Criteria</b> Use criteria to determine potential risk-based involvement Note: Indicate areas of potential risk-based activity for informing your decision for risk-based project involvement with a "X".	<b>Potential for Risk-Based Activity</b>
Limited experience with Federal-aid projects	X

<b>Project Selection Criteria</b> Use criteria to determine potential risk-based involvement Note: Indicate areas of potential risk-based activity for informing your decision for risk-based project involvement with a "X".	<b>Potential for Risk-Based Activity</b>
<i>Political/Public Interest</i>	
State (Government, DOT, other stake holders)	
Congressional delegation	
Other Federal agencies	
Local governments/MPOs	X
Other stake holders	X

<b>Summary</b>	<b>Result</b>
Is this project identified for risk-based stewardship and oversight activities? (Major Projects and PoCI will be selected)	Yes
Explanation:	
TIGER	

Employee's Printed Name \_\_\_\_\_

\_\_\_\_\_  
 Employee Signature Date: \_\_\_\_\_

Supervisor's Printed Name \_\_\_\_\_

\_\_\_\_\_  
 Supervisor's Signature Date: \_\_\_\_\_

# PoDI S&O Plan

**Procedure:**

1. For each PoDI, the FHWA Engineer/ Specialist reviews the items below and "X" areas to focus oversight that mitigate the identified risks from project selection. Areas selected for FHWA oversight do not include required project actions prescribed by law. States are not assuming additional project responsibilities simply because FHWA is using risk to identify which areas to focus our resources.
2. The rationale for the selection is provided in the "Reason" column. If the project is also identified to receive a CAP inspection, the CAP inspection should be noted on the check sheet.
3. The proposed plan is submitted to the employee's supervisor/team leader for concurrence.
4. The PoDI S&O Plan should be retained in the project files. As the identified oversight items are completed, the resulting documentation should be attached. Ideally, the information attained can validate the original assumptions and be used to inform the next cycle of risk assessments and unit plans.
5. The plan does not restrict FHWA staff from taking action on other items, as determined appropriate.

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Phase/Activities	Selected for Involvement	Actions	Reason	Results
<b>Preconstruction (Design)</b>				
Design Exceptions	X	Review & Approval		
Bridge/Structures design	X	Review Without Approval		
Consultant Management				
Environmental Commitments	X	Review Without Approval		
ITS Project Development-standards & System Engineering				
Pavement design				
<b>Typical Sections</b>				
Design:				
Initial (30%)				
Intermediate (60%)				
Semi-Final (90%)				
Value Engineering (VE)				
Financial plans				
Project Management Plan				
Experimental Features or Patented &				
<b>Preconstruction (PS&amp;E Approval Advertising, and Awards)</b>				
Plans, Specification and Estimates (PS&E)	X	Review Without Approval		
Final RFP Document				
Project Authorization (Refer to SOP)				
Utility Agreements				
Railroad Agreements				
LAP Checklist				
Concurrence in Award	X	Review & Approval		
<b>Project Construction &amp; Contract Administration</b>				
Pre-construction Meeting / Partnering				

Phase/Activities	Selected for Involvement	Actions	Reason	Results
workshop				
Inspections	X			
Initial				

Phase/Activities	Selected for Involvement	Actions	Reason	Results
Intermediate	X			
In-Depth				
Final	X			
Pay Estimate Reviews (Selective),				
Progress Meetings	X	No Action		
Materials testing / (DDM)				
Change Orders	X	Review & Approval		
Supplemental Agreements/ Work				
Notice of Intent to Claim				
Time Extensions				
Cost Savings Initiative (VE)				
Contractor Claims	X	No Action		
Final Acceptance	X	Review & Approval		
Other:				

Employee's Printed Name \_\_\_\_\_

\_\_\_\_\_  
Employee Signature

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

Supervisor's Printed Name \_\_\_\_\_

\_\_\_\_\_  
Supervisor's Signature

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