2024 Statewide Planning Services Scoping Meeting
Hybrid: KYTC Central Office C107 and MSTeams
February 27, 2024, at 9:00 AM EST

1. Introductions

Everyone at the meeting introduced themselves. See the sign-in sheet attached following summary.

2. Statewide Contract

The mission of the Division of Planning is to "Provide support, strategy, and direction for maintaining and improving a safe, reliable, customer-oriented transportation network through the collection, management, analysis/utilization, and reporting of data and information."

The current Statewide Planning Agreements will close on June 30, 2024. KYTC expects to have a Notice to Proceed (NTP) for the new Statewide Planning Agreements by July 1, 2024.

The new agreements will end on June 30, 2026, with a contract modification option to extend the time for one additional year to complete any on-going work. No new work may be authorized after June 30, 2026.

All consultants must have on file with KYTC a current audit approved by KYTC by July 1, 2024. Consultant prequalifications must also be kept current. Any necessary updated audit or prequalification files should be received prior to the issuance of any Letter Agreements (LAs).

Consultants must follow the procedures outlined in this document. Deviations/reminders from staff may result in lowered evaluation scores.

3. Assignment of Projects Under Contract

Stephen De Witte will be the Central Office point of contact for Statewide Agreements. The upset limit for each consultant agreement will be $2 million, with a $300,000 maximum per LA, including any supplemental LAs.

A Central Office Planning Project Manager and a District Project Manager will be assigned for each LA.

Current District Assignments (subject to change)

Stephen De Witte	D5
Catherine Davis	D1, D6, D9
Dave Heil	D4, D8, D12
Libbie Lowe	D2, D10
Brent Sweger	D3, D7, D11

Projects will generally be offered to firms on a rotational basis.

The Department reserves the right to select one of the firms outside of the assignment order for a particular project if it is to the benefit of the Department. That firm, if selected out of order, will be skipped in the rotation when their turn comes, and the regular order will be followed thereafter.

The Department reserves the right to group multiple projects together or may add additional work to an existing LA if it is advantageous to the Department.

The order of rotation for work assignments was determined by the final ranked order of the Selection Committee. The order is 1) Qk4, Inc., 2) Stantec Consulting Services Inc., 3) HDR Engineering, Inc., 4) HMB Professional Engineers, Inc.

All electronic correspondence should include Stephen De Witte, the Central Office Project Manager, and the District Project Manager. Email correspondence should include the item number, study name, and LA number in the subject line for internal communications.

Each item in the Scope of Work should have a corresponding item on the Production Hour Worksheet. Stephen and/or the Central Office PM will manage the agreement, person-hours, and all negotiations. See example file in the handouts for recommended portal-format tasks and units. The production hour worksheet can be expanded to include additional tasks. The Consultants' continuous feedback on this template is encouraged. Tasks relating to StoryMap production, Intersection Control Evaluation (ICE), and Roadway Safety Assessments (RSAs) are expected to be added this spring.

Production hours greater than 500 hours will be negotiated through the Division of Professional Services.

If subtasks are less than 500 hours, the consultant may negotiate directly with the Subject Matter Expert (e.g., Modal Branch, Environmental, and Geotechnical) and provide minutes of those negotiations to Stephen De Witte, the Project Managers, and the Division of Professional Services. Person-hours over 500 hours should be sent to Adrian Wells directly, with a copy to Eric Pelfrey and David Gormley.

Assignments can include geotechnical, modal (forecasting or modeling), and environmental work; therefore, if warranted, KYTC staff from each of these divisions will participate in the scoping process.

KYTC anticipates that the LAs will be lump sum, but also reserves the right to use cost-plus contracts. The date the consultant is notified of a Letter Agreement will be the NTP. The original signed LAs should be returned to the Division of Planning.

Invoices can be submitted to Stephen no sooner than every 30 days. For ease of review, invoices should have the Proof of Necessity (PON2), Item Number (if applicable), Letter Agreement Number, and Invoice number in the Subject Line, in that order. As required by the Division of Accounts, at minimum the following documents shall be attached in the following order as a single PDF:

TC 40-408 Invoice (signed by consultant)
PSC (Personal Service Contract) Invoice Form
Consultant Monthly Report
Executed Letter Agreement

As a reminder, Item 6 on the PSC form is only checked "Yes" for the final invoice of the master agreement.

Payment milestones can be negotiated for each Letter Agreement; however, the milestone for the Draft Report submittal must be 85% or lower, with the final invoice to follow.

Invoices should be structured so that the "work end date" for a period will coincide with the end of the fiscal year on June 15th. This is particularly important for studies funded via SPR, which have new funding codes every year.

The study's co-project managers will collaborate and complete the Consultant Evaluation form over the course of the study. Following the final invoice, the evaluation will be distributed to the Consultant and Professional Services.

A packet of information was electronically distributed to the attendees, including:

- Planning Guidance Manual Chapter on Corridor Planning
- Typical Planning Study Timeline
- Production Hour Tasks and Units Template
- Guidance Manual Chapter on Purpose & Need
- Speed data agreement
- Consultant Evaluation Form
- KYTC Project Delivery and Preservation Contacts
- KYTC Project Development Contacts
- KYTC Engineering Support Contacts
- KYTC Central Office and District Contacts

4. Anticipated Work

Anticipated study types include corridor studies, small urban area studies, scoping studies, interchange modification/justification reports, districtwide studies, planning-environmental linkage (PEL) studies, studies that support SHIFT, grant applications, and other tasks. Recommendations from the Statewide Corridor Plan or the Statewide Interstate and Parkway Plan may advance individually for traditional planning efforts.

5. Typical Planning Study Tasks

The following are the most common elements included in each study. The study should generally be laid out in chronological order of tasks completed.

a. Study Goals and Objectives

The Project Team will help define what the goals and objectives of the study should be. Projects have purposes and needs, not studies.

b. Existing Conditions Inventory

In addition to Highway Information System (HIS), other data sets are becoming available online for consultant use and should be included in planning studies. For example, LIDAR data is available statewide. National Performance Measurement Research Data Set (NPMRDS) and HERE speed data are also available (see note under Traffic Forecasting/Modeling below).

Continue to use Kentucky State Police (KSP) data records for crash data. Critical Rate Factor (CRF) is no longer to be used in planning studies.

The Excess Expected Crash (EEC) methodology is the preferred method of crash analysis. The Crash Data Analysis Tool (CDAT) should be used. Focus should be on KA or KAB crashes, instead of fatal-injury-PDO distribution.

Consultants should send crash data requests to the Central Office and District Project Managers. All consultants should make sure they read and understand the crash agreements, paying particular attention to the sensitivity of data and KYTC's relationship with the KSP. Crash data must be stored in a location where only those persons who have signed the CRASH MOU have access.

Crash information should be included in study report appendices. The Master File Number, which is no longer provided from the KSP database, is considered identifiable information and shall not be disclosed. Incident ID is not considered sensitive and can be published.

A Roadway Safety Assessment (RSA) is expected to be completed on most corridor planning assignments. It is likely that the personnel completing the RSA will be different than the personnel on the consultant project team.

The Division of Highway Design's preferred method to analyze traffic at intersection. is the utilization of volume to capacity (v/c) ratios. However, since the public is more comfortable with Level of Service (LOS) analysis, planning studies should include both as a measure to analyze existing conditions, as well as future no-build scenarios and various improvement options.

Consultants are encouraged to utilize mapping and data tools available from USDOT located at their Navigator Page.

c. Project Purpose and Need

Using KYTC guidance when developing Purpose and Need (P&N) statements, the Project Team (mostly consultants) will provide a draft P&N for each project that may be identified as a result of the study. A focus of this effort should be to separate deficiencies from needs, with some discussion or justification on how a transportation-related "need" is more than simply a deficiency. Studies have goals/objectives while the resulting projects have P&N.

d. Traffic Forecasting/Modeling

Many assignments are expected to involve traffic modeling, either using the statewide model (Kentucky Statewide Travel Demand Model, KYSTM) or a model local to the project area. It is important that each consultant team have an individual or two who can perform this task with minimal assistance from the Modal Branch.

Representative(s) from the Modal Branch will be present at scoping meetings and are an integral part of the Project Team. A separate modeling & forecasting scoping meeting should be held following the scoping meeting.

The scope of work and accompanying production hours shall be sent to the appropriate Modal Branch project team member with a copy to the Central Office Planning Project Manager, District Project Manager, and Stephen.

Prior to the first project team meeting, the consultant should prepare for and attend a model review meeting with the Modal Branch to discuss/review existing/no build travel demand and microsimulation models. Coordinate model development/review and scheduling meetings with Jay Balaji.

Traffic forecasts for lower-volume roads (<4000 ADT) may not require a forecast and the Modal Branch may prepare a one-page summary noting the current and future traffic conditions.

Speed data is available through NPMRDS (National Highway System, NHS routes) and HERE (all routes). HERE is segmented to match the KYSTM. Use of this data is encouraged and should be requested from Daniel Hulker, Systems Consultant IT, Division of Planning. Daniel is also the custodian for Streetlight data, which can be used for a variety of uses.

Other data (WAZE, TMC incident data, and others) may begin to be available for consultant use. Access to these data is requested from Chris Lambert, Systems Consultant IT, Division of Maintenance.

e. Environmental Overview/Socio-Economic

The appropriate Subject Matter Expert in the Division of Environmental Analysis (DEA) will negotiate the environmental services as long as the person-hours remain under 500 hours. Note the hours must be "right-sized" for each project, keeping in mind that additional analysis will most likely be needed as project recommendations advance in development.

The scope of work and accompanying production hours shall be sent to the appropriate DEA Project Manager (Connor Ouellette, Scott Schurman, Tyler Reynolds, or Casey Claunch) with a copy to the Central Office Planning Project Manager, District Project Manager, and Stephen.

DEA needs 21 days to review the draft Environmental Overview, which should be conducted in the existing conditions phase of the project. The final approved overview should also be included in the Appendix (excluding sensitive archeological data, which shall be provided via PDF to Central Office with the final submittal).

If required, a Socioeconomic Study will be conducted by the appropriate Area Development District (ADD) planner on the project team. The socio-economic report must be completed prior to a public meeting to ensure Title VI requirements. Consultants will provide review and will include the final document in the study appendices.

Resource Agency coordination will be determined on a project-by-project basis but will be performed no more than once during a planning study. Consultants may be enlisted to help draft the letter and provide attachments, but Central Office will identify the contacts and send the package. If a hard copy coordination is determined to be the best for a project, consultants should be prepared to deliver 75 to 100 hard copies of the attachments.

f. Analysis of Conditions and Improvement Concepts

The intent of a project is to address the need, not to bring it up to "desirable" Green Book Standards. Therefore, the Safe Systems Approach and Performance Based Flexible Solutions (PBFS) should be applied in the Planning phase.

Transportation Systems Management & Operations (TSMO) concepts may be viable in meeting a project's purpose and need and will be given full and equal consideration throughout the project development process.

Quick wins should be identified for district maintenance staff. In addition, at least one concept should be developed that meets the budget listed in the Highway Plan if any future phase dollars are programmed (where appropriate).

The consultant may be asked to perform a planning-level cost-benefit analysis for each improvement option as a means for comparing potential projects. This could include a comparison of the basic elements including traffic operations and safety benefits compared to the major cost elements. Applicable Crash Modification Factors (CMFs) should be coordinated with Central Office and KTC. The DDSA website publishes a Kentucky recommended CMF list on a Power BI Dashboard.

Each corridor planning study will include the no build option for a basis of comparison. Overall, planning studies should address broad corridors rather than specific alignments.

During the Design phase, the planning-level alignments are usually revisited. Seeing a specific alignment during the planning phase, could cause the public to be confused over something that will very likely change.

Note that projects with a longer overall length will often have a wider corridor band and those that are shorter in length will typically have a narrower corridor band. However, there are no set criteria for the corridor width.

Standalone bike/ped projects are appropriate for consideration; multi-modal grant opportunities are an emphasis in current federal funding programs, as are projects which incorporate innovative resiliency techniques, such as low-carbon pavements and stormwater runoff mitigation. Some of these innovations may be advocated for in the planning phase.

KYTC is currently developing guidance for Intersection Control Evaluation (ICE). In the Planning phase, CAP-X and SPICE shall be utilized on any intersection within the project area where turning movements are available.

Cost Estimates

For improvement option cost estimates, including phased cost estimates, statewide averages should not be used; rather, use regional averages and, if possible, use comparable similar projects in the area. District offices vary on their availability to assist with developing cost estimates, including estimates for right-of-way and utilities. Construction cost estimate spreadsheets shall be shared with the CO Project Manager and the Location Engineer prior to publication of the document or sharing with Local Officials.

A programming contingency shall be added which accounts for the risk of the project not being constructed until some years after it is begun.

The language in the report regarding the programming contingency is shown below:

Body of Report – Cost Estimates Section

Cost estimates were calculated in 2024 dollars using standard unit-bid prices where available, along with some parametric costs (for whatever: structures, mobilization/demobilization, and maintenance of traffic) and including contingencies for drainage, traffic control, environmental permitting, etc. This forms the base construction cost estimate and was utilized for the benefit-cost calculation in ***Section X.X****.*

Finally, a programming contingency to account for the time-risk associated with the potential complexity of the project was included to form the final construction cost estimate.

Body of Report – Benefit/Cost Section

To assist in prioritizing improvement concepts, the project team conducted a benefit-cost analysis (BCA). This analysis provided a means for determining which improvements have the greatest benefit and are the most economical. The BCA was conducted based on crash reduction and travel time savings.

Concepts were assigned a 10-year congestion relief savings based on the vehicle hours traveled (VHT) saved from the peak hour traffic simulation model and the average hourly wage in X County, Kentucky. Crash modification factors were used to quantify crash reduction savings by estimating the number of crashes that would be reduced by implementing the improvement.

The total benefit was then divided by the total cost to produce a benefit-to-cost ratio (BCR), as shown in ***Table X****.*

To ensure costs were consistently comparable, the base 2024 construction cost estimate (without any additional programming contingency for time risk) was used.

Project Sheets

Show the cost in 2024 dollars, inclusive of the programming contingency for time risk. (The "Final Cost Estimate" from above)

g. Public Involvement

The level of public involvement will be determined on a case-by-case basis for each study. We have the opportunity now to do more new things with virtual, hybrid and on-line public meetings. This includes tools or approaches such as MetroQuest, GIS StoryMaps, online surveys, online GIS maps, etc.) Stakeholder and public meeting summaries and minutes should be included in the appendices of the final report.

USDOT is trying to clear up a longstanding incorrect assumption that agencies are barred from compensating public engagement participants. So long as there is a demonstration these expenditures are "necessary and reasonable," this is an acceptable use of federal funds as project expenses. It is taking time for this information to filter down through the Division offices and state DOTs.

Illustrative examples include the hiring of community-based organizations, providing food and childcare at meetings, and providing financial incentive/reimbursement for participation.

This guidance can be found in Appendix C of the Nov. 8 edition of the "Promising Practices for Meaningful Public Involvement in Transportation Decision-Making" document.

The Division of Planning holds a MetroQuest subscription and can give consultant access to individual surveys. These have been useful for both public and narrower stakeholder feedback.

If public meetings are held at different stages in the project, each should have a Public Meeting Notebook developed. Those that are held in the same stage shall be combined into one notebook.

An electronic draft public meeting notebook shall be submitted to both the District and Central Office for review. Two hard copies and one electronic copy of each finalized public meeting notebook shall be submitted to Central Office Planning.

The Office of Civil Rights and Small Business Development has Title VI brochures translated into several languages for use at public meetings. The English and Spanish translations, as well as the English survey, are required to be available at **all** public meetings. Translations in other languages are required to be provided if 5% of the eligible population or more than 50 people in the study area speaks a specific language (USDOT 70 Fed. Reg. 74095, 76 Fed. Reg. 21765). Please contact the CO Project Manager or the Office of Civil Rights to have these items made available prior to the meeting.

Materials for meetings shall be shared with the project management team:

Project Team Meeting	At least **2** working days in advance
Local Officials/Stakeholders Meeting	At least **5** working days in advance
Public Meeting	At least **7** working days in advance

h. Geotechnical Overview

As with previous Statewide Planning contracts, the geotechnical overview may be conducted by the consultant during the existing conditions analysis. At this time, the Geotechnical Branch has adequate capacity to conduct Geotechnical Overviews.

i. Recommendations

Not all studies will result in recommendations. Any recommendations should be in line with the Goals and Objectives of the study, as well as the Purpose and Need of a potential project.

Concepts that clearly do not meet the Goals and Objectives or that are not viable should not be advanced, and the planning document should clearly state this. On the other hand, planning documents should not typically identify a specific recommended or preferred alternative, as that decision will be made in the next phase in accordance with NEPA for federally funded projects. For some projects, the preferred approach is to clearly outline the issues with certain concepts and allow the design team to decide on whether to drop the concept at a later date.

Planning studies should include a “menu” of possible strategies to improve the roadway conditions, from quick wins that involve maintenance issues to spot or other small improvements, TSMO deployments, and overall long-term strategies.

A number of conceptual improvement projects may arise as a result of a study. These short- or long-term projects should be prioritized as high, medium, or low based on feedback from the public involvement process and the Project Team.

“Project sheets” have been extremely helpful to district planning staff and are a recommended output of the planning document for all studies. They are very helpful for development of Continuous Highway Analysis Framework (CHAF) entries.

j. Study Documentation

Project documentation should include all assumptions made in project analyses, such as capacity analysis calculations.

The documentation usually consists of three major components: 1) Executive Summary, 2) Body of Report, and 3) the Appendices. The table of contents should include executive summary items (i.e., figures and tables) in addition to the main report content.

Draft report deliverables shall be submitted to the District and Central Office project managers for review. KYTC shall be provided one month for review although coordinated reviews on Projectwise may complicate this process.

In preparing Final Report deliverables, the consultant shall be provided a minimum of two weeks to address comments from the project team. A disposition of comments and/or a marked-up Word file is required alongside a final proof copy before it goes to print.

The Final Report should be 8.5”x11” where possible. The Executive Summary should be provided as a separate bound document, and as a forward in the Final Report (prior to table of contents). Any project sheets developed as part of the study should be included in the Executive Summary and other chapters as appropriate.

The final report and ES should also be made available as standalone PDFs for posting to the website. Appendices have one file for each appendix (i.e., all items in Appendix A should be merged into one PDF, not separate files for A.1, A.2, etc.). Coordinate with the Central Office project manager on how to attach appendices to the final report (USB flash drive, QR code, etc.)

Typical appendices include crash history, traffic forecast report, environmental overview, socioeconomic study, geotechnical overview, traffic analysis, and meeting summaries. An archeological overview showing sensitive locations shall not be included except in a single PDF that Central Office Planning will distribute to DEA.

Emphasis should be placed on producing a quality document that is error free and easy to understand for both professionals and non-professionals. It is acceptable to produce study documentation in stages.

Until such time as KYTC or the Commonwealth of Kentucky adopts an Artificial Intelligence/Machine Learning (AI/ML) Acceptable Use Framework, AI or AI-related tools are not to be used in the planning process.

6. Next Steps

Following approval of these minutes (within one week of submittal of draft), the contract will be developed for each consultant. The contract shall be signed, completed, and a Notice to Proceed will be granted prior to the new contract start date of July 1, 2024.

During the contract period, each team is expected to send periodic (monthly) status updates outlining the progress/status for each letter agreement to the entire Corridor Team.