OHIO RIVER CROSSING

I-69 Ohio River Crossing
Project Management Plan
Evansville, IN and Henderson, KY

September 20, 2021

Prepared by:

HNTB

INDIANA DEPARTMENT OF TRANSPORTATION
INDOT

KENTUCKY TRANSPORTATION CABINET

ACCEPTANCE AND ENDORSEMENT OF THE PLAN

We, as executive leadership of the Federal Highway Administration, Indiana Department of Transportation, and Kentucky Transportation Cabinet for the I-69 Ohio River Crossing Project, endorse this Project Management Plan (PMP) and are committed to actively supporting it. We accept responsibility for fulfilling any aspect of the plan that applies to us, including providing resources, actively participating, and effectively communicating. Our endorsement is an active and positive statement that we are committed to fulfilling the project objectives and responsibilities designated in this plan. The effectiveness of this Project Management Plan will be evaluated, and revisions will be issued as the project progresses to generate the most effectively managed project while meeting the project objectives.

This PMP has been developed to comply with the requirements of Title 23, United States Code, Section 106 and the FHWA Project Management Plan Guidance for Major Projects. It includes documented procedures and processes to manage the project and roles of the project management team.

Todd Jeter

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Kentucky Division Administrator
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EXECUTIVE SUMMARY

This Project Management Plan (PMP) for the I-69 Ohio River Crossing (ORX) project sets forth the approach for completing the project through the partnership between the Indiana Department of Transportation (INDOT), Kentucky Transportation Cabinet (KYTC), and the Federal Highway Administration (FHWA). The PMP describes the approaches and business procedures that will provide the highest value within the anticipated $1.27 billion project cost. It charts a path forward to manage, deliver and complete the project, while meeting project goals and objectives with minimal inconvenience to the public.

Managers and staff within the I-69 ORX project team are committed to deliver the project within its defined goals and expectations. INDOT and KYTC acknowledge that the initiatives set forth in this PMP are challenging, but achievable, and will yield meaningful public benefits. Implementing this plan will help manage and satisfactorily address the risks to the project Owners and partners (e.g., INDOT, KYTC, and FHWA), while strengthening the transportation network in the region and meeting public expectations.

The PMP describes the project and key team personnel roles and responsibilities. Policy and procedures for FHWA requirements are described. Coordination between the PMP and key stakeholders is outlined. This PMP will be updated as the project advances.

REVISION RECORD

Rev #	Type	Date	Description	Project Manager Endorsement	INDOT Approval	KYTC Approval	FHWA Approval

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CHAPTER 1 – PROJECT PURPOSE, GOALS AND METRICS

1.1 INTRODUCTION

The purpose of this document is to define roles and responsibilities of the agency leadership and management team. The Project Management Plan (PMP) is a living document, to be updated as opportunities are identified, as procedures are modified or added, or as significant changes on the project occur, such as changes in project organizational structure, project management procedures or processes.

1.2 PROJECT PURPOSE

Based on the project's needs, the project's purpose is to:

- Provide cross-river system linkage and connectivity between I-69 in Indiana and I-69 in Kentucky that is compatible with the National I-69 Corridor
- Develop a solution to address long-term cross-river mobility
- Provide a cross-river connection that reduces traffic congestion and delay
- Improve safety for cross-river traffic.

1.3 GOALS

The Selected Alternative for the Ohio River Crossing (ORX) project is the Central Alternative 1B Modified. Goals for the I-69 ORX project include the following:

- Provide a roadway facility for the Section of Independent Utility (SIU) #4 that can be designated as I-69: An alternative must meet interstate design standards.
- Provide a cost-effective, reliable, and affordable plan for long-term cross-river mobility between Evansville, Henderson, and the surrounding metropolitan area it serves.
- Provide a river crossing for I-69 operating at a minimum Level of Service (LOS) D at its most congested condition.
- Provide a river crossing that improves access for freight and vehicular uses, and that reduces incident (crash) risk.

1.4 METRICS

Project metrics determine the effectiveness of meeting the intent of the Goals identified for this project. FHWA guidance requires that project goals are to be measurable and specific. The "definition of success" used below will determine that each goal has been met. Immediately following are the Project Goals restated with the specific metric to be used to measure and determine the success of that Goal.

Table 1 Goals and Metrics

GOAL	DEFINITION OF SUCCESS
Provide a roadway facility for SIU #4 that can be designated I-69 that meets interstate design standards.	Completed roadway facilities designated I-69 meet or exceed current interstate design standards
Provide a cost-effective, reliable, and affordable plan for long-term cross-river mobility between Evansville, Henderson, and the surrounding metropolitan area it serves.	This Goal will be met when the new roadway has opened, the measures of the Final Environmental Impact Statement (FEIS) and Record of Decision (ROD) have been met and FHWA has assigned interstate status to the new roadway.
Provide a river crossing for I-69 operating at a minimum LOS D at its most congested condition.	This Goal will be met when this new section of I-69 is operational.
Provide a river crossing that improves access for freight and vehicular uses, and that reduces incident (crash) risk.	This Goal will be met when this new section of I-69 is operational.

CHAPTER 2 – PROJECT DESCRIPTION

2.1 DESCRIPTION

The I-69 ORX project will complete the connection between the northern terminus of I-69 (formerly the Edward T. Breathitt Parkway) in Kentucky near KY 425 (Henderson Bypass) and the southern terminus of I-69 (formerly I-164) in Indiana near US 41. The project was initiated in 2001 and a Draft Environmental Impact Statement (DEIS) was published in 2004, but the project was subsequently suspended in 2005 due to a lack of a funding solution. The project was reinitiated in 2017 and a new DEIS was published in December 2018. The 2018 DEIS evaluated three build alternatives, two that utilized the existing US 41 corridor (West Alternative 1 and West Alternative 2) and one based on a new alignment approximately 1.5 miles east of US 41 (Central Alternative 1). The DEIS identified two preferred alternatives: Central Alternatives 1A and 1B. Physically, these alternatives were identical; the only difference was in the proposed tolling scenarios. Following publication of the DEIS and the public hearings that followed, INDOT and KYTC reviewed the comments and further evaluated the project's design. Based on these considerations, the states made several refinements to the design of Central Alternatives 1A and 1B and subsequently identified Central Alternative 1B Modified as the single preferred alternative. A combined FEIS and ROD will be published in Fall 2021 and will identify the Selected Alternative.

In 2020, the Kentucky legislature adopted Kentucky's FY 2020 – FY 2026 Highway Plan that included funding for the first section of the I-69 ORX project. Section 1, which will be constructed first, includes all project work from KY 425 to US 60, including the upgrades to existing US 41 and the first 2.9 miles of new terrain highway. Section 2 of the project will include the remainder of the project from US 60, across the Ohio River, and connecting to I-69 in Indiana. Upon completion of Section 1, drivers will be able to utilize future I-69 as far north as US 60, but cross-river traffic will still utilize US 41 to cross the river.

The procurement process for Section 1 began in April 2021 with the release by KYTC of a Notice to Industry. That notice indicated that Section 1 would be procured as a design-build project

administered solely by KYTC with an estimated contract award of December 29, 2021. KYTC has begun the right-of-way acquisition process for parcels required for Section 1.

At this time, the method for procurement of Section 2 of the I-69 ORX project has not been determined. INDOT and KYTC continue on the path of procuring the completion of the design and construction jointly. All options for delivery remain viable. Timing and funding for Section 2 may play a role in determining the method ultimately selected by the joint team.

Figure 1: I-69 Ohio River Crossing, Section 1

Section 2 of the project will be a bi-state project. The procurement method for Section 2 has not yet been determined and right-of-way acquisition has not been initiated.

Figure 2: I-69 Ohio River Crossing, Section 2

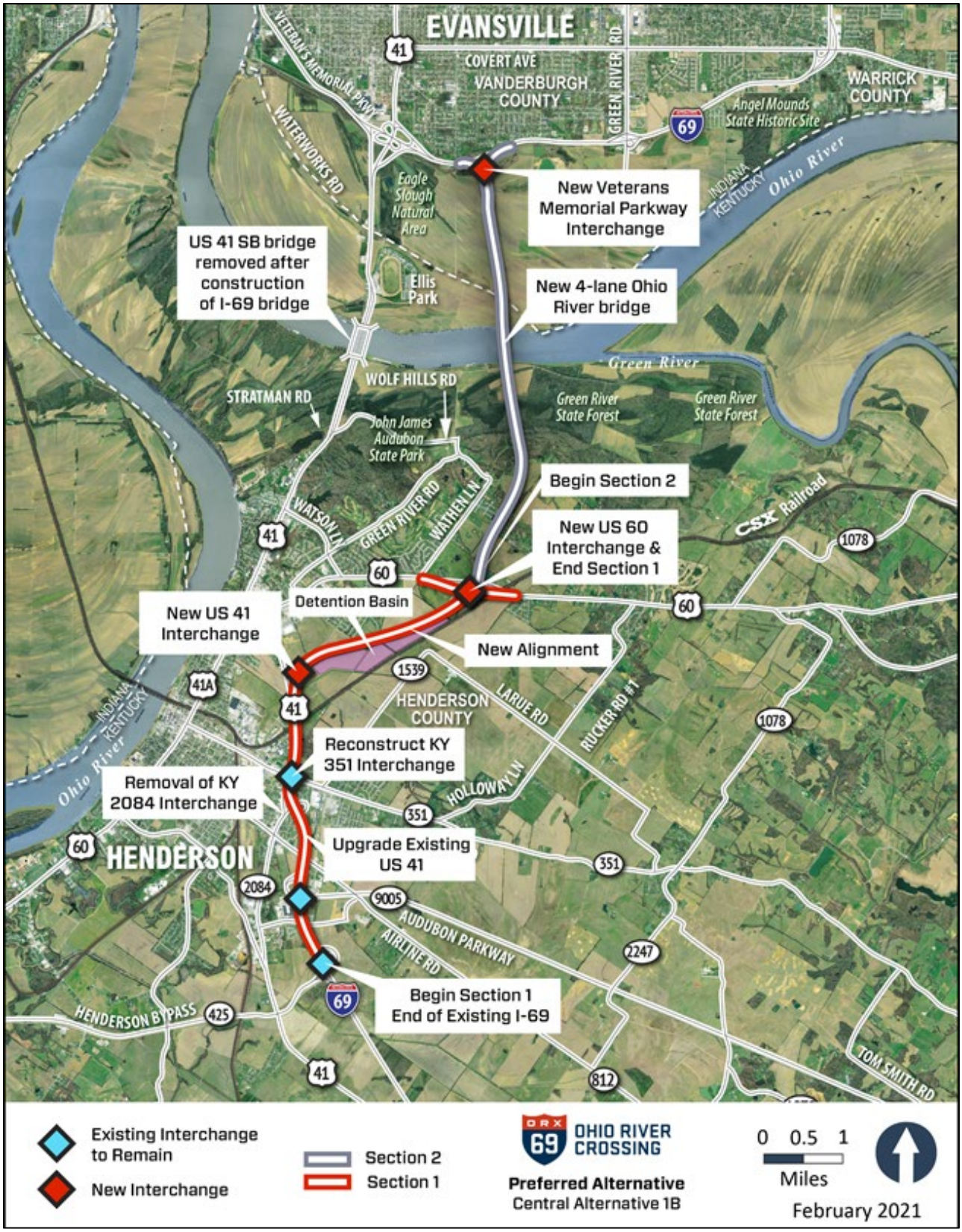


Figure 3: I-69 Ohio River Crossing, Sections 1 and 2

2.2 PROJECT HISTORY

As part of the National Highway System (NHS), the U.S. Congress specifically designated "high priority corridors." The NHS includes all interstates, principal arterial routes, connector highways, and the strategic highway network (STRAHNET) and its major connectors. These routes serve major population centers, international border crossings, ports, airports, public and other intermodal transportation facilities, major travel destinations, and interstate and inter-regional travel. In addition, these routes serve as a national defense transportation network. In the Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA), a route from Indianapolis to Memphis via Evansville, which includes the I-69 ORX project area, was designated as one of these high priority corridors. This route became known as Corridor 18.

As part of subsequent amendments to ISTEA and then the *Transportation Equity Act for the 21st Century* (TEA-21) of 1998, Corridor 18 was extended north to the border with Canada at Port Huron, MI and south to the Texas/Mexican border in the Lower Rio Grande Valley. TEA-21 also designated Corridor 18 as I-69. As a result, this legislation codified that Corridor 18 would be developed as a continuous interstate highway (i.e., the National I-69 Corridor) linking Canada to Mexico. In 1999, the *I-69 (Corridor 18) Special Environmental Study – Sections of Independent Utility* (I-69 Steering Committee 1999) identified the section of the National I-69 Corridor through the Evansville-Henderson area between I-64 and the Edward T. Breathitt Pennyrile Parkway as Section of Independent Utility (SIU) #4.

INDOT and KYTC have prepared several studies related to the development of SIU#4:

- **2004 – *Interstate 69 Henderson, Kentucky to Evansville, Indiana Draft Environmental Impact Statement*** – INDOT and KYTC completed a DEIS in 2004 that initially identified 10 highway alternatives, identifying Alternative 2 as the Preferred Alternative. Alternative 2 was 30.2 miles in length and used 18.6 miles of the existing I-164 (now I-69). Following the completion of the DEIS in 2004, the project was suspended in 2005 due to the lack of funding.
- **2008 – *Technical Memorandum, Conceptual Financing Plan for I-69 Henderson, Kentucky and Evansville, Indiana*** – KYTC conducted a study to determine the financial feasibility of the 2004 DEIS Preferred Alternative 2 and to identify a variety of funding mechanisms, including tolling, to fund the project.
- **2014 – *I-69 Feasibility Study, SIU #4, Final*** – KYTC conducted a feasibility study in 2014 that re-examined the possibility of providing a single, new Ohio River bridge at Henderson, replacing the existing US 41 bridges. Seven alternatives, some with variations, were developed and evaluated. The study also introduced a modified version of the 2004 DEIS Preferred Alternative, designated as Alternative 1, that used the same Ohio River crossing location; however, the modified alternative connected to the Breathitt Parkway just south of Henderson and farther north than the 2004 DEIS Preferred Alternative to take advantage of the improvements to, and the designation of, the Breathitt Parkway as I-69. The study recommended that the

build alternatives presented in the study be considered in any renewed NEPA studies for an I-69 Ohio River crossing.

2.3 SCOPE OF WORK

Central Alternative 1B Modified includes a new I-69 bridge approximately 7,600 feet long over the Ohio River and associated floodway and would be located approximately 1.5 miles east of the existing US 41 bridges. The new I-69 roadway and bridge would include four lanes. The northbound US 41 bridge would be retained, and the southbound US 41 bridge would be removed. The northbound US 41 bridge would be converted from a one-way bridge to a two-way bridge for local traffic. There would be no changes to US 41 through the commercial strip. Central Alternative 1B Modified would use rural design standards and include a depressed grass median outside of the bridge limits.

Central Alternative 1B Modified begins at existing I-69 in Indiana, approximately 1 mile east of the US 41 interchange. A new interchange with existing I-69 would be constructed and I-69 would become the through movement. The interchange would accommodate access to Veterans Memorial Parkway to the west. The alternative would continue south across the Ohio River just west of a gas transmission line. It would remain just west of the gas transmission line near Green River State Forest, then turn southwest where an overpass would be provided to carry the access road for the gas transmission line over the alternatives. The alternative would continue south to US 60 where an interchange would be provided. As part of the US 60 interchange, US 60 would be relocated approximately 400 feet south and require a new bridge over the CSX Railroad east of the interchange. The alternative would continue southwest and connect with US 41 via an interchange approximately 1 mile south of the US 60 interchange. From the alternative's interchange with US 41 to KY 425, the existing four-lane US 41 would be modernized to meet interstate standards through improvements to ramps and merge areas. The total length of Central Alternatives 1A and 1B is 11.2 miles, which includes 2.8 miles of existing US 41.

2.4 PROJECT PHASES

As described previously, the project will be delivered in two construction sections. The environmental review process for the two sections is combined, but the subsequent project phases will be independent. Table 1 provides an estimated schedule for implementation of the major project phases for each section.

Table 1: PROJECT PHASES

State Fiscal Year	2021 & Prior	2022	2023	2024	2025	2026	2027	2028	2029	2030	2031	2032	2033
Preliminary Engineering & Environmental													
Section 1													
Right of Way													
Utilities													
Final Design and Construction													
CEI, CM/Design Review, Admin													
Section 2													
Right of Way													
Utilities													
Final Design and Construction													
CEI, CM/Design Review, Admin													

Note: Preliminary Engineering & Environmental category includes Section 1 and Section 2. SFY 2023 and 2024 only have NEPA coordination and evaluation and mitigation costs.

Source: IFP

CHAPTER 3 – PROJECT PROCUREMENT

The DEIS for the project was published December of 2018. Development of the Final Environmental Impact Statement (FEIS) is currently in process and it scheduled to be delivered in Q3 or Q4 of 2021. Work continues on the FEIS and updates to the design of Section 1 with the goal of beginning construction of this piece of the project in 2022. Based on the states' current financial plan for the project, construction of Section 1 will begin in 2022 and construction of Section 2 will begin in 2027. The states will continue to review the financial plan and explore funding opportunities with the goal of accelerating the construction of Section 2.

3.1 SECTION 1

At this time, it is anticipated that Section 1 of the I-69 ORX project will be procured using a Design Build (DB) delivery method. Design and related environmental services are currently ongoing in preparation for the development of contract documents to procure a DB contractor for Section 1. Current design contracts were procured through the established KYTC Request for Proposal (RFP) processes which follow and adhere to federal requirements. The process of selection of a DB contractor will begin later in 2021. Construction oversight will be procured by KYTC as a separate contract from that of construction. All state and federal procurement requirements will be followed for selection of the DB contractor and construction oversight contract.

3.2 SECTION 2

At this time, the method for procurement of Section 2 of the I-69 ORX project has not been determined. INDOT and KYTC continue on the path of procuring the completion of the design and construction jointly. All options for delivery remain viable. Timing and funding for Section 2 may play a role in determining the method ultimately selected by the two states.

Further material of this chapter on Procurement and Contract Management address only the currently planned DB delivery of Section 1. Later updates will address Section 2 once its delivery method has been determined.

CHAPTER 4 – PROJECT ORGANIZATIONAL MANAGEMENT

4.1 ROLES AND RESPONSIBILITIES FOR SECTION 1

As noted above, construction of Section 1 of the project will be managed entirely by KYTC. While some roles have been defined, many will be defined later in the procurement process at this time, the following roles/responsibilities have been determined:

KYTC Project Manager

- Serves as KYTC's primary consultant contact. Provides direction for the daily oversight and management of the project's consultant staff and contractual scope of services.
- Develops, negotiates, and oversees all contract agreements and resolution of conflicts or performance issues.
- Oversees, manages, and reports to the KYTC Executive Office and, as requested, to other KYTC officials on all aspects of the project.
- Assesses staffing needs and determines strategy to meet staffing requirements in accordance with contract scope and schedule, and assignment of staff and project tasks to designated assignees.
- Provides status reporting of project activities, work accomplished, major upcoming work activities, and outstanding issues to KYTC.
- Provides technical support as needed.
- Tracks project systems, needs, and costs.
- Manages reporting and billings.

Design Build Oversight Manager

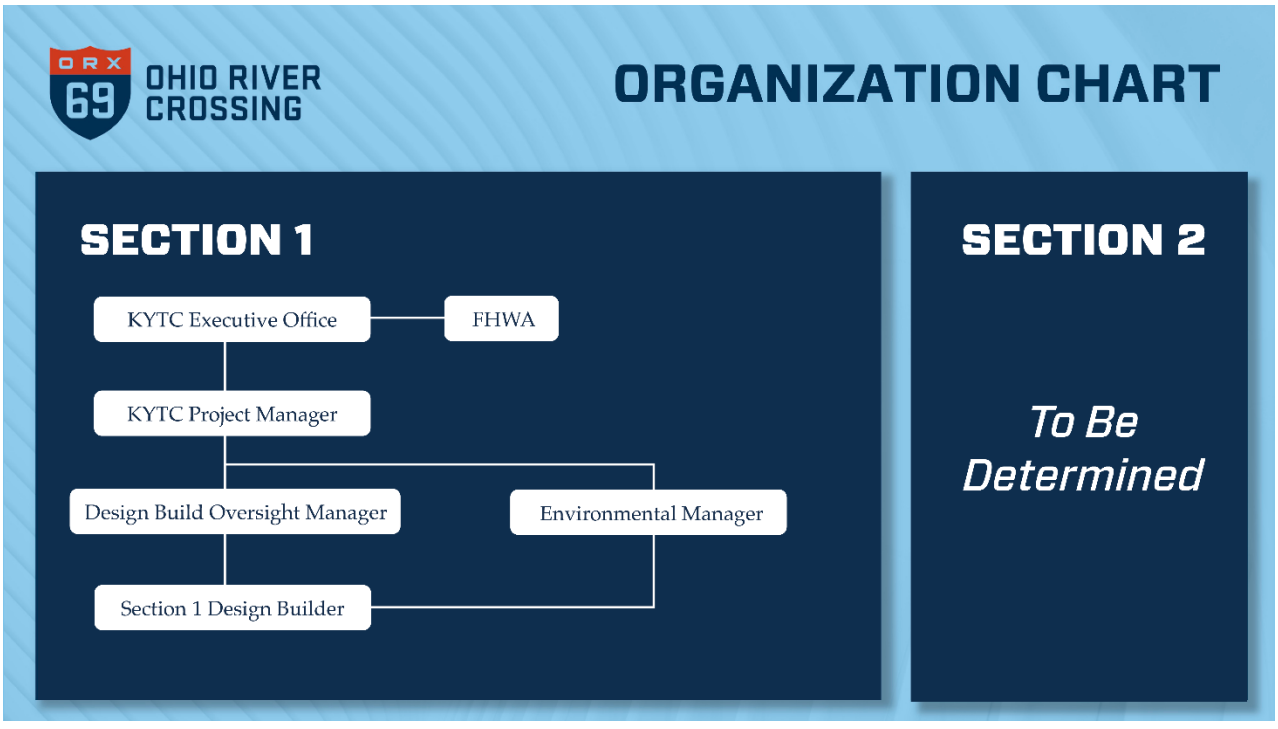
- Oversees and manages all aspects of the project including the following:
    - Oversight of design.
    - Coordination of various disciplines.
    - Review of design related change orders.
- Coordinates as needed with KYTC.
- Provides technical support as needed.
- Provides support and presents technical information to interested stakeholder groups as requested by KYTC.
- Plans for and oversees audits of design and design processes.
- Supports review of progress payments.
    - Utility development.
    - Third-party agreements.
    - Environmental commitment compliance.
- Conducts constructability reviews.
- Serves as the construction liaison between KYTC District and Executive Office.
- Coordinates construction field questions and issues, including construction change orders.
- Provides technical construction expertise and guidance.

- Coordinates with FHWA to ensure compliance.
- Directs the development and implementation of construction-related policies and procedures.
- Develops, maintains, and reports on project work schedules and cost estimates.

ENVIRONMENTAL MANAGER

- Assures all NEPA requirements are met.
- Manages contractor required Technical Provisions related to environmental requirements.
- Oversees environmental activities occurring during final design, including accommodation of environmental commitments.
- Manages coordination with KYTC for pre-review of permit applications.
- Coordinates and reviews environmental submittals.
- Attends all critical meetings including technical work group meetings.
- Provides quality control review of all environmental submittals required by other government agencies.
- Coordinates with project team and other government agencies regarding environmental compliance.
- Reviews and monitors environmental work schedules and submittals.

Figure 4-1: Organizational Chart



4.2 ROLES AND RESPONSIBILITIES FOR SECTION 2

As noted earlier, procurement and construction methods for Section 2 have not yet been determined. Roles will be defined later in the procurement process once the delivery mechanism has been decided.

CHAPTER 5 – PROJECT MANAGEMENT CONTROLS

5.1 CONTRACT ADMINISTRATION

The core contract management process used for the construction contracts will follow requirements stipulated in the RFP for the respective Section, and any applicable contracting processes utilized by the project Sponsor (KYTC for Section 1; INDOT and/or KYTC for Section 2). Each construction contract will be managed by a combination of state staff and consultants from their technical teams, with project level oversight by the Project Manager as described in Section 4 of this document.

For construction Section 1 these processes will be determined in greater detail in the RFP for design and construction. For construction of Section 2 these processes will be further defined once a final method of procurement has been determined and the RFP produced for same.

5.1.1 CHANGE MANAGEMENT

Construction Section 1 is anticipated to move forward utilizing the Design-Build (DB) project delivery method and to be administered by KYTC. As such, project and change management will follow the Kentucky Transportation Cabinet Construction Guidance Manual (latest edition) guidance on Change Orders & Supplemental Agreement (CST-303-1) as shown in Figure 5-1. During the RFP process, KYTC will confirm the processes to be used in the contract documents.

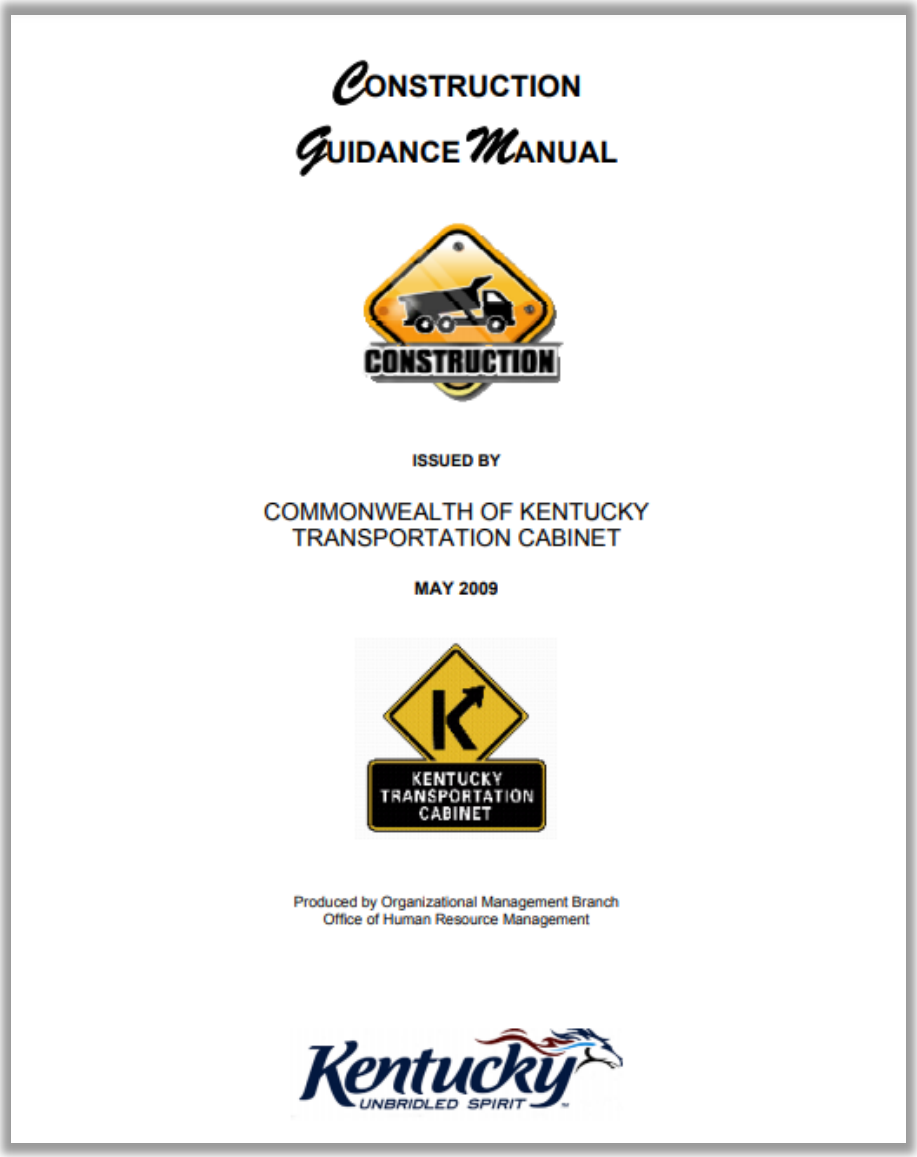


Figure 5-1: KYTC Construction Guidance Manual

Change management procedures for Section 2 will be determined after the procurement method is determined.

5.1.2 CLAIMS MANAGEMENT

For Section 1, disputes and claims for the DB contracts are managed according to KYTC standard specifications.

Disputes and claims for the Design-Build Best Value (DBBV) contract are handled per the procedures included in its RFP and contract documents. Partnering will be implemented to minimize the potential for escalation of a dispute to a claim.

Claims management procedures for Section 2 will be determined after the procurement method is determined.

5.2 SCOPE MANAGEMENT

For Section 1, the project will follow the project-specific RFP written for this project. If there is work needed beyond what is described in the RFP, the KYTC Construction Guidance Manual (latest edition) guidance on Extra Work (CST-310), as shown in Figure 5-1, will be followed.

The process for approving changes includes working with the KYTC Design Build Oversight Manager to develop a supplemental agreement which will define the additional scope and agreed upon prices. The KYTC Project Manager is responsible for verifying that the planned scope of work meets the project requirements, including the project permits and approvals. The Project Financial Plan is one tool used to document, monitor, and update project scope.

Scope management procedures for Section 2 will be determined after the procurement method is determined.

5.3 COST MANAGEMENT

Section 1 cost management will utilize the standard KYTC cost tracking processes for DB projects. The schedule will be cost loaded such that work can be billed to KYTC based on percent complete.

Budget and cost structure are monitored as described to determine that all participants in the process are operating within cost targets assigned for each piece of the work. The evaluation of risks and the assignment of contingency schedules and budgets are managed to minimize unforeseen obstacles.

The Project Financial Plan is updated, at a minimum, on an annual basis. The Initial Financial Plan (IFP) and Financial Plan Annual Update (FPAU) will be used to help monitor, document, and manage project costs.

Cost management procedures for Section 2 will be determined after the procurement method is determined.

5.4 SCHEDULE MANAGEMENT

The Section 1 project schedule will be prepared and maintained by the KYTC Design Build Oversight Manager and team. A draft master project schedule will serve as the initial guide in defining design and construction milestones. Contract design and construction schedules will be developed and maintained as Section 1 is completed.

The detailed design and construction schedule will identify critical path elements such as right-of-way acquisition, utilities coordination, and other schedule dependent activities.

The schedule will be updated on a monthly basis. When schedule deviations are identified, they will be addressed with the project team and the project completion date will be updated as necessary.

Schedule management procedures for Section 2 will be determined after the procurement method is determined.

5.5 RISK MANAGEMENT

Risk (threat) and opportunity management provides the project team with a method for analyzing activities to provide a specific response to the inherent risks and opportunities of a project of this magnitude. Risk and opportunity management seeks to identify potential problems and favorable opportunities before they occur and to develop strategies that increase the likelihood and/or impact of a favorable outcome.

Potential risks and opportunities to both the project budget and schedule have been identified and assessed by the project team for both Sections 1 and 2 during the NEPA phase of the project and further discussed during the Cost Estimate Review (CER). During the CER, the probability of occurrence and potential cost impact to the project is assigned to each risk and opportunity.

For Section 1, the Risk Register is reviewed at a minimum semi-annually by the KYTC Design Build Oversight Manager.

Risk reviews shall be made at completion of buildable units and/or when other milestone events occur. KYTC will partner with the contractor to create and maintain a compiled Risk Matrix, showing risks for both them and the contractor. A Compiled Risk Register allows all parties to see the risks they assume, and those assumed by the other party.

For Section 2, the Risk Register review process will be determined after the procurement method is determined.

All risks and opportunities identified can affect the project budget or schedule; however, the Risk Register affords project management a tool to identify strategies for managing the risk and assigning responsibility through contract provisions to the entity most able to manage the risk, thereby reducing contingencies and potential cost or schedule impacts. Considered together with the FPAU, it provides a tool for monitoring, updating, and documenting project risks.

The Risk Register will track who owns the risk for each item. Both risks to the Owner and the Contractor will be tracked in an effort to manage risks for the project as a whole.

The strategies and actions for managing risks and opportunities include:

- **Avoidance/Optimization –** The Design Build Oversight Manager for the respective construction contract, as applicable, may change the project plan to eliminate the risk or ensure the opportunity to positively maximize the project objectives with regard to an event's impact, as approved in the sole discretion of the Design Build Oversight Manager.
- **Risk/Opportunity Sharing –** If it is determined that a contracted party is more capable of taking steps to reduce risk or increase opportunity, the Design Build Oversight Manager may elect to optimize the impact of the risk or opportunity by contracting out some aspect of the work.

- **Mitigation –** The Design Build Oversight Manager seeks to reduce the probability or impact of a risk event and to increase the probability or impact of an opportunity event to an acceptable threshold. This may be accomplished through a variety of means that are specific to the project and each risk or opportunity. Although a compromise to a definitive solution, mitigation may still be preferable to going forward with an unmitigated risk or opportunity.
- **No Action (Risk Acceptance) –** The Design Build Oversight Manager may decide to accept certain risks. Some risks and opportunities may be accepted without changing the project plan or developing any response strategy other than agreeing to address the event if it occurs.

In semi-annual risk review meetings, risks and opportunities will be reviewed and, as required, placed in new ratings categories, removed from the list when resolved, and added to the list when new risks and opportunities are identified.

5.5.1 IDENTIFIED RISKS

The project risk register developed during the NEPA phase of the project includes over 150 risks. Where possible, these risks will be mitigated within the RFP of the Section 1 DB Contract. The complete risk register from the Cost Estimate Review (CER) can be found in Appendix A. The following are the highly rated risks which apply regardless of procurement method:

SECTION 1

- **Construction**
  - Owner-directed change in scope.
- **Design**
  - Capture design development risks (e.g., contractor-design evolution).
  - Alternative Technical Concepts (ATCs) and DB innovations.
- **Geotech & Structures**
  - Geotechnical uncertainty.
- **Utilities**
  - Big Rivers transmission line.

SECTION 2 (THESE WILL BE REVIEWED AND UPDATED ONCE THE PROCUREMENT METHOD IS DETERMINED)

- Construction
  - Owner-directed change in scope.
- **Design**
  - ATCs and DB innovations.
  - Bridge super design allowance.
  - Seismic design secondary structures.

- Final design cost higher than estimated (up to 3%).
- Non-bridge design development.
- Seismic design of river bridge.

- **Environmental**
  - Wildlife crossing issues.

5.6 QUALITY MANAGEMENT

Section 1 design quality will be monitored by the Design Build Oversight Manager. Each design submittal will be reviewed to confirm it is consistent with the RFP documents.

Construction quality will be monitored by the Design Build Oversight Manager. Standard KYTC procedures for monitoring construction as documented in the KYTC Construction Guidance manual (latest edition), as shown in Figure 5-1, will be utilized. The Site Manager tool will be used to track and document these services.

Section 2 quality management processes will be determined once the procurement method is determined.

CHAPTER 6 – PROJECT COMMUNICATION MANAGEMENT

Program management includes processes necessary to identify, define, integrate, and coordinate the various functional process interfaces described throughout the PMP. Communications is the method and flow of information requiring updates of status, progress, and issues. INDOT Project Manager and KYTC Project Manager will assure an efficient flow of information to the following internal stakeholders during design and construction:

- Project personnel
- INDOT
- KYTC
- Consultant personnel
- FHWA
- Public and stakeholders
- Other interested parties

6.1 PROJECT COMMUNICATIONS

A communications program has been developed to address the importance of public involvement in all phases of the project. The program established public and media communications processes and requires project team members to be as accurate and forthright as possible, and to respond in a professional and timely manner. These characteristics help to create the high level of communication needed to successfully maintain media and public trust, support, and confidence.

Informal communications, such as internal emails and internal coordination meetings, are documented where necessary to record decisions. Methods for conducting and documenting formal communication are described below.

6.2 PUBLIC INVOLVEMENT

INDOT and KYTC are committed to a robust public involvement process during the Design and Construction phase of the I-69 Ohio River Crossing project. To facilitate public involvement and outreach a Design and Construction Public Involvement Plan (PIP) will be created to guide public and stakeholder communications. The overarching goal of the PIP will be to proactively inform key stakeholders about the design decisions, construction sequencing, project highlights, and construction schedules. The Design and Construction PIP will build on the PIP that was utilized during the NEPA phase, including stakeholders, protocols, and goals.

Information will be shared via e-newsletters, focus groups with local officials and key stakeholders, social media, and media relations. Direct mail campaigns, several of which were conducted as part of the Environmental Justice outreach during the Draft Environmental Impact Statement development, may be considered when necessary to reach a particular group, neighborhood or community. Stakeholders will be able to provide feedback any time via the project website, email, phone (888-515-9756). INDOT and KYTC will conduct periodic information meetings to provide project updates.

6.3 PROJECT OFFICE

The I-69 Ohio River Crossing project offices, which at one time included an office in Evansville, IN and Henderson, KY, have consolidated in a single location in Henderson. Both offices were closed during the COVID-19 pandemic. The Henderson Office reopened in June 2021 with office hours Tuesdays and Wednesdays and by appointment.

Residents can also share comments and questions by phone, email, and mail. The email address is info@I69OhioRiverCrossing.com and the project phone number is (888) 515-9756. Mail can continue to be directed to the Henderson project office: 1970 Barrett Ct., Suite 100, Henderson, KY 42420.

6.4 PROJECT WEBSITE/SOCIAL MEDIA

A project website (https://i69ohiorivercrossing.com/) and Facebook and Twitter accounts have been established for outreach with the public. These tools are maintained by the Communications Team. These accounts are routinely updated with project information, presentations, and decision documents. The sites were designed to be user friendly to a variety of user connections accessing data on the site.

During design and construction, the website and social media will be maintained with current information such as construction schedules, upcoming milestones, announcements, graphics, and photos.

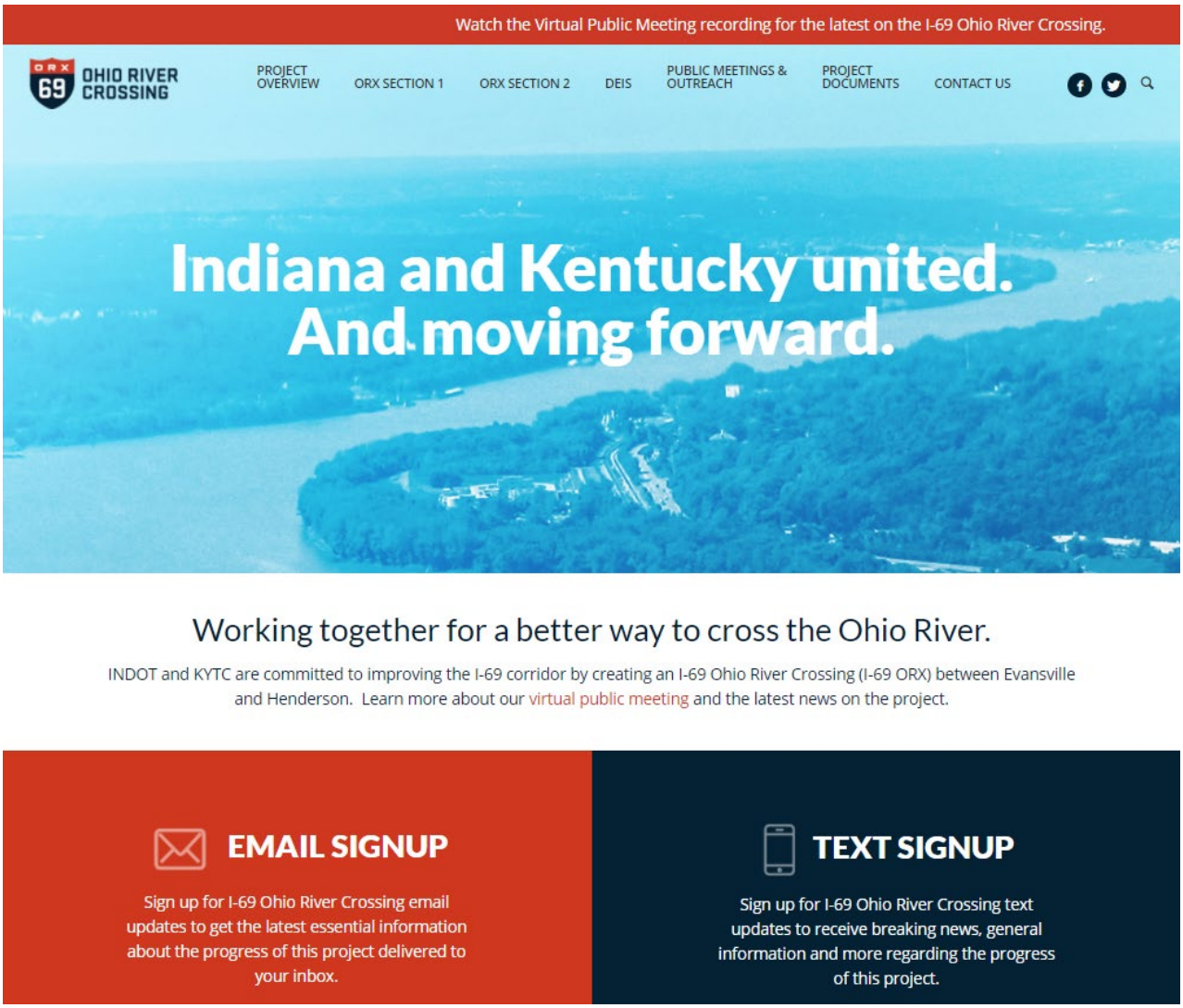


Figure 6-1: ORX Website

6.5 MEDIA RELATIONS

The Project Team works closely with reporters and media outlets in Southern Indiana and Western Kentucky to provide information to keep stakeholders informed and engaged. This strategy relies on building strong relationships in the local market and providing accurate details and regular updates to newspapers, television stations, radio stations and online publications throughout the bi-state region.

During design and construction, it is anticipated that both states will designate an official spokesperson for the project. This person or persons will work with the ORX Communication team to assure proper messaging and timeframes are achieved. News releases, project events, media availabilities, interviews and story pitches will be used to share project progress.

CHAPTER 7 – PROJECT DOCUMENTATION AND REPORTING

7.1 DOCUMENTS AND RECORDS MANAGEMENT

Project reporting procedures are established to define protocols for updates to schedules, cost reporting, communications, and overall project administration procedures. Project controls procedures will be integrated with the document control system.

Professional contracts, such as consultant contracts for the FEIS (a bi-state effort led by INDOT) and Section 1 design (led by KYTC), will be stored in the respective Professional Services Contracting

Systems. In each instance the Professional Services systems are utilized for contract negotiation, contract amendments, and contract documentation.

For construction Section 1 and Section 2 it is anticipated that a separate document control system such as ProjectWise, SiteManager, SharePoint or eBuilder (or multiples of the same) will be utilized. Each contract will include regular reporting requirements for the team. These requirements will be developed during the procurement process. Project documentation will ultimately be added as required by KYTC Division of Construction, for Section 1, and as determined for Section 2 once a delivery method has been finalized.

The following guidelines will be adhered to by the project teams for both Section 1 and Section 2:

- All documents and records shall be transferred to the client (as is specified in the contract) at the conclusion of the project.
- Changes to relevant documents and their current revision status shall be identified. Revision control shall be automatic and controlled by folders. Folders for revision control shall be identified by the project manager and other appropriate staff.
- Documents and records shall be maintained, protected, and appropriately controlled to allow easy retrieval and to prevent loss.
- Records and relevant versions of applicable documents shall be available at all points of use, based on user security.
- Documents and records shall remain legible and readily identifiable.
- Documents and records of external origin shall be identified, and their distribution controlled.
- Suitable identification shall be placed on obsolete documents to prevent unintended use.

The KYTC Design Build Oversight Manager will track lessons-learned throughout the life of the Section 1 project using a log that will be updated at major project milestones. Lessons learned from Section 1 will be incorporated into Section 2. The log will serve as final documentation of all lessons-learned at conclusion of both construction contracts. Section 2 will likewise maintain its own lessons learned log.

CHAPTER 8 – PROJECT CLOSEOUT PLAN

The purpose of the closeout procedure is to provide for an orderly and controlled close of each contract and to ensure the hand-over of all commitments that extend beyond the contract. The project closeout plan will be detailed in contract documents for all contracts. The following guidelines summarize the contract closeout plan policies:

- Receipt of all contractually required submittals shall be verified and documented.

- All contractually-required construction work shall be verified as complete prior to acceptance by the Owner.
- Handover of the project shall be facilitated by identification of all commitments, documentation, and information, including as-built drawings, to be transmitted to appropriate stakeholders for successful operation and maintenance of the project.

The Design Build Oversight Manager will be responsible for verifying the completeness of all required contract closeout submittals.

Transfer agreements may be needed with cities, towns, and counties. Such agreements will be executed prior to construction completion through coordination with KYTC's Office of Legal Services and/or INDOT's legal team.

For Section 1 Closeout, there will be intermediate sections of the project completed and closed out. "Buildable Units" that meet the criteria for completion may be closed and recorded at such time that the contractor submits all verifying information, and the Design Build Oversight Manager approves. Project closeout process and procedures shall be as directed in KYTC Division of Construction Guidance Manual (latest edition) as shown in Figure 5-1. At a minimum, there will be:

- Final Inspection.
- Formal acceptance of the project.
- Contractor performance review.
- Final estimate, and payment of same.
- Closing of the project in SiteManager and other necessary document control systems utilized by KYTC.

CHAPTER 9 – PROJECT OVERSIGHT

Following are the oversight roles and responsibilities during each stage of the project. KYTC, INDOT and FHWA will be responsible for assuring the following oversight activities occur.

INDOT and KYTC coordinates with FHWA through the implementation of the actions and/or reviews specified in the I-69 ORX FHWA Risk-Based Project Oversight Plan (under development), the KYTC-FHWA Kentucky Division Stewardship and Oversight Agreement dated October 12, 2017, the FHWA/KYTC Stewardship and Oversight Agreement dated May 18, 2015, and the FHWA/INDOT Stewardship and Oversight Agreement dated April 6, 2015.

9.1 DESIGN DEVELOPMENT OVERSIGHT

This section describes the approach, organization, processes, and responsibilities associated with design oversight activities on the I-69 ORX project. The following policies will serve as guidance to the final designers and contractors:

- For Section 1, the design-build contractor shall be responsible for final design of the contract.
- The Design Build Oversight Manager, KYTC and their consultants will review design submittals.
- KYTC, with assistance from its design oversight consultant, shall conduct audits of quality documentation for design packages to assess the final designers' and contractor's conformance to contractual design requirements.
- KYTC shall conduct audits of submittals which require approval.
- For Section 2, audits procedures will be determined after the procurement method has been determined.
- For Section 1, the Design Oversight Manager or his designee will develop an audit plan and schedule for process audits. This schedule will be updated and revised to address nonconformance trends.
- Audits will be conducted in accordance with auditing procedures outlined in this section.
- FHWA will conduct design reviews and at a minimum determine the acceptability of any proposed design exceptions to the engineering controlling criteria for all interstate mainline and associated interchanges, as well as reviews of bridges to be widened, hydraulic and geotechnical reports.

9.1.1 PRODUCT REVIEWS OF SECTION 1

Product reviews of design will be performed on all packages will be submitted at various design stages and Released for Construction (RFC), respectively. The product review plan will be developed based on the schedule provided by the DB contractor. The plan will be established and revised based on the following:

- Discipline-specific design requirements
- Maintenance of traffic or phased construction requirements
- Design products covering each design segment
- Conformance of specific design elements (e.g., bridges, walls, roadways, etc.)
- Noted trends in design
- Identified Opportunities for Improvement (OFIs)
- Revisions to design-build contractor design delivery schedule
- Modifications of design or approved deviations in the contract technical requirements

All submittals will be reviewed to confirm closeout and resolution of all KYTC and FHWA comments.

CONSTRUCTION QUALITY MANAGEMENT OVERSIGHT

Construction Quality Management will be handled per the procedures included in the contract documents.

ENVIRONMENTAL COMPLIANCE MONITORING

The Design Build Oversight Manager will assure that Section 1 construction conforms with the requirements of the KYTC Construction Guidance Manual (latest edition), as shown in Figure 5-1, for all for all environmental compliance monitoring.

CHAPTER 10 – MANAGEMENT OF THE PROJECT MANAGEMENT PLAN

This PMP will be updated as the project advances by INDOT and KYTC. The Project Manager of each section will be responsible for the PMP updates. The PMP will be updated when the Section PMs determine there is a substantial change in scope, schedule, or budget.

CHAPTER 11 – RIGHT OF WAY

The right-of-way (ROW) phase includes the acquisition, management, and disposal of real property in compliance with the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 as amended (Uniform Act); the Uniform Government-wide Regulations (49 CFR Part 24); and Right of Way and Real Estate (23 CFR Part 710).

Land acquisition for Section 1 is expected to be complete prior to the construction contract awards. If not complete, the construction contract will include a date certain for providing access to each remaining ROW parcel.

Needed ROW in Section 1 is being purchased by KYTC with intent to be clear by contract award. If not clear at the time of contract award, dates certain will be included in the RFP documents.

Needed ROW for Section 2 will be purchased by each state since land is needed in both Kentucky and Indiana.

CHAPTER 12 – UTILITY RELOCATION

A utility matrix for both sections was developed during the NEPA phase of the project and includes 15 utility companies. They are noted below:

- Big Rivers
- HCWD
- HWU
- HMG
- HMPL
- Kenergy
- Kentucky Utilities
- BW Pipeline
- Atmos
- WFIE-TV

- Crown Castle
- Windstream
- Spectrum
- AT&T
- KY Wired

For Section 1, the intent is that the RFP documents will share some of the utility relocation risks with the design-builder, who will be responsible for all the utility relocations. KYTC is providing the design plans for these efforts. One utility relocation, the Big Rivers transmission line, will have an allowance for that work.

The utility relocation process for Section 2 will be determined once the procurement method is determined.

CHAPTER 13 – CIVIL RIGHTS PROGRAM

13.1 DBE, WORKFORCE AND EEO OVERVIEW

The Disadvantaged Business Enterprise (DBE) program provides a vehicle for increasing the participation of minority-owned and women-owned small businesses in state DOT assisted procurements. Title 49 CFR part 26 requires states as recipients of DOT federal financial assistance to establish goals for the participation of DBE's. On this project the goal is to ensure the DBT and contractors comply with the stated goals and objectives in the respective contracts. The DBT and contractors are required to implement a proactive DBE program that is consistent with the Project DBE Program and which will achieve each state's project DBE expenditure goal. On an annual basis, KYTC and/or INDOT will verify that the DBT and contractors have met their cumulative DBE participation goal. To assist in reaching those goals, Kentucky and Indiana have a reciprocity agreement whereas certified DBEs from either state can be utilized on any project contract, provided they are pre-qualified for the work they will be doing in the state where the work will be performed.

The Mission Statement for the Project DBE program is to:

- Communicate all areas of information and opportunity to DBEs and respective community stakeholders.
- Address the need to develop, nurture and engage disadvantaged business enterprises for the project.
- Promote the opportunities presented by the project both for DBE firms, and for minority and female employees to master new skills, grow and prosper, resulting in a more skilled work force and a stronger economic base for years to come.
- Articulate the commitment of KYTC, INDOT and FHWA to provide meaningful participation by qualified DBEs, minority-owned and women-owned businesses.

Specific elements of the plan for Workforce/Equal Employment Opportunity (EEO) include:

- Training will be provided to develop full journeymen in the type of trade or classification involved.
- The DBT and contractors will insure the EEO goals are made applicable to each subcontractor utilized on the project
- The DBT and contractors must make every effort to enroll minority and women trainees to the extent they are available within a reasonable recruitment area.
- No employee may be employed as a trainee in any classification in which he or she has successfully completed a training course leading to journeyman status or in which he or she has been employed as a journeyman.
- Trainees must be paid at least 60 percent of the applicable minimum journeyman's rate specified in the Project's required wage rates for the first half of the training period, 75 percent for the third quarter of the training period, and 90 percent for the last quarter of the training period, unless apprentices or trainees in an approved existing program are enrolled as trainees on this project. In that case, the appropriate rates approved by the Departments of Labor or Transportation apply to all trainees being trained for the same classification.
- It is expected that a trainee will begin his training on the Project as soon as feasible after the start of work utilizing the skill involved and will remain on the Project as long as training opportunities exist in his or her work classification or until he or she has completed the training program.
- The hours of minority and female employment and training must be substantially uniform throughout the length of the contract, and in each trade, and the contractor must make a good faith effort to employ minorities and women evenly on each of its projects.

13.2 INDIANA DBE PROGRAM

The Indiana DBE program is managed by INDOT's Economic Opportunity Division. The Indiana DBE program for the project is part of INDOT's federally approved comprehensive DBE program for the State of Indiana. INDOT is committed to building on the successes of its existing DBE program and ensuring a quality DBE program is included as part of this project.

INDOT's DBE program for this Project will:

- Ensure INDOT certifies qualified DBEs in a timely manner. INDOT's DBE certification staff will make every effort to maintain the integrity of the DBE program by:
    - Reviewing certification applications carefully to ensure only qualified DBEs are certified into the DBE program.
    - Reviewing annual affidavits and certified firms to ensure only qualified firms remain certified.

- Ensure Project participants comply with DBE requirements, including ensuring DBEs perform commercially useful functions on the project and proper DBE credit is assigned to each DBE.
- Provide DBE capacity building through supportive services programs and outreach efforts, including:
    - INDOT's Entrepreneurial Development Institute (EDI), which provides intensive managerial and technical training for construction contractors and professional services providers.

13.3 KENTUCKY DBE PROGRAM

The Kentucky DBE program is managed by the KYTC Office for Civil Rights and Small Business Development (OCRSBD). The OCRSBD is committed to ensuring equal employment opportunities, a diverse workforce and promoting equitable business opportunities throughout the Commonwealth of Kentucky. OCRSBD is the responsible for oversight and monitoring of the DBT and subcontractors to ensure full compliance with all the goals and regulatory requirements of the project. OCRSBD also monitors the DBT to ensure that participating DBE's are performing a commercially useful function as described in 49 CFR 26.55.

KYTC and DBT representatives from the project will present updated information and will interact directly with business owners, stakeholder groups and the community at large. The Kentucky DBE Program helps qualifying firms:

- Secure DBE certification status - The project represents an unprecedented employment and workforce development resource for the community. Minority-owned, women-owned and small businesses must obtain DBE certification before pursuing many of the DBE opportunities presented by the project.
- Foster partnering and mentoring relationships with the DBT and other firms employed on the project and explore professional development opportunities for companies in engineering, construction and related disciplines.

APPENDIX A - COST ESTIMATE REVIEW RISK REGISTER