

**Planning/Engineering Directive: Project Permitting and Risk
Roles and Responsibilities Chart**

	Engineering Responsibilities			OEP Responsibilities		
	State Design	Consultant Design	Engineering Project Coordination (EPC)	Natural Resource Planning (NRP)	Environmental Permitting (EP)	Environmental Resource Compliance (ERC)
Project Initiation	<ul style="list-style-type: none"> Initiating unit (e.g., Highway Management, Bridge Management) sends PNDP Pre-Screening request with project description, location map and photos, if available, to NPR Review the potential permit needs identified by NRP in ESTP/Compass and incorporate into design schedule 	n/a		<ul style="list-style-type: none"> Initiate Pre-Screening early resource review and coordination¹ Complete PNDP Pre-Screening section Coordinate wetland delineations and other resource surveys for State Design projects (as needed and as project information allows) Update ESTP with resource coordination data and potential permit needs 	Provide support for NPR's wetland delineations and resource surveys	Provide support for NRP's wetland delineations and resource surveys
Preliminary Design	<ul style="list-style-type: none"> Notify NRP that the project has been initiated and funded Set up survey scope meeting and invite NRP and EPC Send PNDP Part 1 request per OEP/EPC Distribution List. Distribute Preliminary Design (PD) for review Incorporate, and update as needed, permit needs into design schedule 	<ul style="list-style-type: none"> Engineering provides draft consultant scopes of work and negotiations to OEP before PD. Consultant performs/submits preliminary hydraulic analysis/report for H&D to review and comment 	<ul style="list-style-type: none"> Review OEP's draft comments on PD Review prelim hydraulic reports for potential inconsistencies with permit needs (as identified in ESTP/Compass) Consult with H&D and EP as needed 	<ul style="list-style-type: none"> Complete PNDP Part 1 section Coordinate wetland and other resource delineations for State Design projects Complete resource coordination¹ started during Project Initiation Identify need for mitigation 	<ul style="list-style-type: none"> Review draft consultant scopes of work and proposed consultant hours for permit and mitigation related tasks prior to initiation of PD Limited review of PDs for: <ul style="list-style-type: none"> project's consistency with permit needs (as identified in ESTP) scope of required mitigation Update ESTP Required Permits section, if needed 	<ul style="list-style-type: none"> Review PDs Consult with NRP and EP for comments on natural resource impact avoidance/minimization, permit needs, and mitigation scope Prepare PD review comment memo Update ESTP Project Plan Submission & Review section
Final Design	<ul style="list-style-type: none"> Provide Preliminary Permit Plan Set (PPS) to EPC Distribute milestone design review requests Incorporate updated permit needs into design schedule as needed 	<ul style="list-style-type: none"> Prepare permit applications Obtain H&D approval for the final hydraulic report and supporting hydraulic data tables (no later than midway through Final Design phase) 	<ul style="list-style-type: none"> Perform initial review of Preliminary PPS and forward to OEP Coordinate PPS review meeting and, if needed, provide report of meeting and/or plan markups to designer Review final hydraulic reports for potential inconsistencies with permit needs Review OEP's draft comments on milestone designs Review Stormwater registrations, coordinate On-Call review/certification 	n/a	<ul style="list-style-type: none"> Review Preliminary PPS and discuss review comments at the PPS meeting Complete PNDP 2 Prepare permit applications for State-Design's projects Review permit applications for Consultant Design's projects 	<ul style="list-style-type: none"> Review Preliminary PPS Review all milestone designs and prepare comment memos Consult with NRP and EP for comments on natural resource impact avoidance/minimization, permit needs, and mitigation scope Review Stormwater registrations and Pollution Control Plans

¹ Pre-screening coordination includes internal reviews of project sites for potential effects on: NDDB mapped areas, areas designated as Essential Fish Habitat, areas designated as subject to the Endangered Species Act, areas potentially subject to Coast Guard jurisdictions, and channels potentially subject US Army Corps of Engineers Section 408. Pre-screening coordination includes initial consultations with DEEP Fisheries and may include consultations with other state and Federal agencies.

² Purpose & Need, alternatives analysis (e.g. RSR Report), preliminary design report, completed hydraulic table(s), milestone schedule, and proposed construction narrative

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PNDF	<ul style="list-style-type: none"> Request PNDF Pre-Screening during Project Initiation Request PNDF Part 1 at the start of Preliminary Design per OEP/EPC distribution list Provide necessary information, as requested by OEP, during project development 	n/a	n/a	<ul style="list-style-type: none"> Prepare Pre-Screening and Part 1 sections Enter resource coordination data into ESTP Enter potential permit needs into ESTP 	<ul style="list-style-type: none"> Complete Part 2's after Permit Plan Set review (or after Interagency if regulatory determination is needed) Update ESTP with any changes to permit needs 	n/a
Interagency Coordination Mtg.	<ul style="list-style-type: none"> Request project to be on Interagency meeting agenda per OEP/EPC distribution list Prepare project presentations 	<ul style="list-style-type: none"> Review draft agendas Review draft presentations Review draft meeting notes and coordinate H&D's review Coordinate municipal project (no state or federal funding) presentations 	n/a	<ul style="list-style-type: none"> Prepare meeting agendas Review draft presentations Prepare draft meeting notes and distribute Update ESTP and PNDF Part 2, if needed 	n/a	n/a
Design Changes	<ul style="list-style-type: none"> Notify EPC, H&D, & EPU during PE phase and ERC during CN phase of design changes that affect the amount of environmental resource impacts or that modify the means/methods of construction Inform appropriate Division Chief of design modifications that result in a change in permit needs causing significant delay to schedule or significant increase to budget 	n/a	n/a	<ul style="list-style-type: none"> Review changes in resource impacts to assess need for additional survey, regulation coordination, and/or revised permit needs; consult with NRP Inform senior management of design modifications that result in a change in permit needs causing significant delay to schedule or significant increase to budget 		
Milestone Submission Reviews	<ul style="list-style-type: none"> Distribute milestone design review requests Provide Preliminary Permit Plan Set (PPS) to EPC 	<ul style="list-style-type: none"> Perform initial review of Preliminary PPS and forward to OEP Review ERC's milestone design review comment memos Set up/conduct PPS meeting 	Provide support for ERC's plan set reviews	<ul style="list-style-type: none"> Limited review of PDs for: <ul style="list-style-type: none"> project's consistency with permit needs (as identified in ESTP) scope of required mitigation Provide support for ERC's plan set reviews 	<ul style="list-style-type: none"> Review milestone submissions and PPS for natural resource protection, constructability and permit needs Consult with NRP and EP for comments on natural resource protection, permit needs, and mitigation scope Prepare comment memos 	
Post-Permit Approval and Construction	Inspector inform ERC and Engineer of any proposed changes that affect the amount of environmental resource impacts or that modify the means/methods of construction	n/a	n/a	n/a	<ul style="list-style-type: none"> Review contract documents to confirm inclusion of permit requirements and resource protections Review changes in methods, impacts Respond to RFIs Coordinate permit modifications with regulators Notify NRP for effects on species 	