



# Illinois Department of Transportation

2300 South Dirksen Parkway / Springfield, Illinois / 62764

## BDE PROCEDURE MEMORANDUM

**NUMBER:** 19-09

**SUBJECT:** BDE Manual Revision – Chapter 11

**DATE:** November 19, 2019

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Chapter 11 of the BDE Manual has been revised to identify the requirement that each Phase I study establish and maintain a project file that satisfies specific requirements. Please see Chapter 11 of the BDE Manual on-line to view the revisions.

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### Background

An internal audit process was recently completed in which several findings were identified for a representative statewide sample of Phase I studies and reports. Among the findings were:

- Missing or incomplete Phase I engineering report forms;
- Missing or incomplete coordination meeting minutes;
- Missing, inaccurate or incomplete cost estimates; and
- Missing, incomplete or incorrectly-completed design exception documentation

The audit noted that missing or incomplete project files increases the risk that State resources are not adequately protected against waste, loss, unauthorized use, and misappropriation since documentation of work performed is not available.

For several of the findings, the conditions were noted to involve insufficient Bureau of Design and Environment management oversight, in part because Bureau management considered District management to be solely responsible for ensuring Phase 1 engineering documentation was complete and on file.

This chapter update adds a new Section 11-1.03, Project File, which briefly describes the requirements for Phase I project files. In addition, Form BDE 1101 Phase I Project File Checklist is noted as a necessary element of the project file that shall include supervisory review and staff approval. Annual reviews by BDE will ensure compliance with the requirements described in the manual and on the form.

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Form BDE 1101 Phase I Project File Checklist is being issued concurrently with this update to Chapter 11. It shall be utilized to document Phase I study details and be made part of the project file. BDE will perform annual reviews on a sample of the project files.

A handwritten signature in blue ink, appearing to read "J.A. Elston", is written over a horizontal line.

Jack A. Elston, P.E.  
Bureau Chief  
Bureau of Design and Environment