

## ODOT Certification of Design Acceptance and Checklist

The ODOT Certification of Design Acceptance with attached checklist documents is a required deliverable at the DAP Phase Gate. The Project Lead is responsible for completing the Certification of Design Acceptance with attached checklist in collaboration with the Technical Center Manager, Area Manager and Funding Program Manager(s). Working with the Project Development Team (PDT) a review of the scope, schedule and budget programmed in the STIP is conducted to determine if changes are needed. Changes will require a change management request (CMR).

The attached ODOT Design Acceptance Package Checklist is completed by the Project Lead and responsible Technical Disciplines. A "no" answer requires comments regarding what is not complete, and why the PDT is recommending moving forward with project design. Required deliverables indicated as not complete on the checklist will require a DAP Exception Request signed by the Region Manager and forwarded for concurrence to the Statewide Project Delivery Manager.

### Storage - ProjectWise

Final DAP documents will be housed in Project Wise within the DAP Folder. When the DAP Phase is complete the Project Lead will create a "set" containing the Certification of Design Acceptance with accompanying checklist, Design Acceptance Narrative, Exception Request (if required) and supporting documents from checklist and place it in the DAP Folder. Project Lead will then change the state of the files in the "set" to final to trigger review of the package. See [ProjectWise Project Initiation to PS&E Workflow](#) and [Narrative](#) for more information on the review process.

The templates for the Certification of Design Acceptance with accompanying checklist, Narrative and Exception Request are posted on the [Project Delivery Guide site](#) and also in the [ProjectWise template folder](#).

Section	Description
Project Description <ul style="list-style-type: none"> <li>• Current State</li> </ul>	Completion of the Project Description includes: <ul style="list-style-type: none"> <li>• Project Location</li> <li>• Project Outcome</li> </ul>
Project Schedule (Milestones)	Identify baselined major milestone dates (month, day, and year) and MS Project major milestone dates. <ul style="list-style-type: none"> <li>• Project Initiation PDT Kickoff – MS Project activity code 018. This is the date for the first PDT meeting to review and validate the draft Project Charter. This date is included for information only and will not be used for performance measurement.</li> <li>• Project Initiation Phase &amp; Charter complete – MS Project activity code 050. This is the date that all Project Initiation deliverables are completed, signifying passage through the Region Project</li> </ul>

Initiation phase gate. This is when the schedule is baselined in MS Project signifying that the Project Charter and CMR 0 (zero) are complete, and the project scope, and budget are certified and baselined. Bid Let date is scheduled with the Project Controls Office.

- Design Acceptance Phase Complete – MS Project activity code 325. This is the date when the Design Acceptance Certificate Memo, checklist, and narrative are complete, signed, and posted in the ProjectWise DAP folder. This signifies that all DAP deliverables are complete and the DAP phase gate has been reached. DAP set is complete in ProjectWise and notification is sent to the Project Controls Office for Quality Assurance review.
- ROW Authorization (ROW EA Open) – MS Project activity code 454. This is the date when the funding for purchasing the ROW is authorized and the ROW EA is opened. The ROW EA needs to be established before ROW Acquisition can be started.
- PS&E Submittal – MS Project activity code 551. The date the PS&E checklist, final project plans, specifications, estimate, and all supporting documentation are complete in ProjectWise and notification is sent to the Project Controls Office for Quality Assurance review and processing through the PS&E phase gate.
- Bid Opening – MS Project activity code 560. This is the Bid Let Date. This is the concluding activity in the project design process.

Note that Bid Opening dates must be scheduled with OPL independent of setting them in MS Project. It is important to update the MS Project schedule before completing the milestone dates, as scheduling the bid opening date will trigger baselining of the project schedule.

- Forecasted 1st Note – MS Project activity code 735. First Notification is the date when the Contractor or a Subcontractor begins contract work. The project lead is expected to work with the Construction representative on the Project Development Team to forecast this construction 1st note date. First note is generally 100 days after Bid Opening. This date is included for information only and will not be used for performance measurement.
- Forecasted 2<sup>nd</sup> Note – MS Project activity code 790. Second Notification is the actual date on which the Agency determines that all On-Site Work has been completed (all bid-item work is done and the facility is open to the public). The project lead is expected to work with the Construction representative on the Project Development Team to forecast this construction 2nd note date. This date is included for information only and will not be used for performance measurement.
- Forecasted 3<sup>rd</sup> Note – MS Project activity code 796. Third Notification is the date the Agency determines that all work is complete, including corrective work, site clean-up, and

	<p>submittal of all required documentation. The project lead is expected to work with the Construction representative on the Project Development Team to forecast this construction 3rd note date. Third note is generally 120 days after 2nd Note. This date may extend if plant establishment is required. This date is included for information only and will not be used for performance measurement.</p>
Budget	<p>Not all project phases identified will be used on all projects. For those with no obligation enter N/A under Current STIP Obligation FFY and leave additional columns blank.</p> <ul style="list-style-type: none"> <li>• Current STIP Obligation FFY: The obligation year for funding identified in STIP-FP.</li> <li>• MS Project FFY: PL – Planning, and OT - Other project phases do not have MS Project activity codes that link to them. For these two leave this cell blank. MS Project identifies activities in calendar dates. For the purpose of this entry calendar dates will need to be converted to Federal Fiscal Year (FFY) dates. The FFY roles on October 1<sup>st</sup>. For example if MS Project activity code 008 Start PE EA Open falls on October 1, 2019 it is actually in FFY 2020. If it fell on September 30, 2019 it is in FFY 2019. Use the MS Project activity code dates listed above under MS Project Dates for calculating MS Project FFY as follows: PL-Planning – Activity Code 008, RW-Right of Way – Activity Code 454, UR-Utility Relocation – Activity Code 118, CN-Construction – Activity Code 735.</li> <li>• Phase Total Estimated Cost: This is the current budget amount shown in STIP-FP for each of the project phases.</li> <li>• DAP Estimate: This is the Project Delivery Teams estimate for each of the project phases at DAP.</li> <li>• Expended to Date: This is the amount spent as shown in TEAMS at DAP.</li> <li>• Total Project Funding/Estimate: If DAP estimates exceed current STIP amount (STIP-FP) then a CMR and STIP amendment need to be submitted.</li> </ul>
Statement of Project Readiness	Check appropriate block.
Signatures	<p>Minimum signatures required are: Tech Center Manager, Area Manager, Funding Program Manager(s) and Project Lead. Optional is the Project Sponsor and Region Manager. Additional signature blocks can be added as needed.</p>
ODOT DAP Checklist	<p>The checklist identifies 20 submittal requirements at DAP. Depending on the scope of the project some of the requirements may be none applicable. If any one of the items is identified as a “no” it will require comments on when it will be completed and what level of risk the agency is assuming by not delivering the item at DAP. All items listed as “no” must be covered in the DAP Exception Request.</p>

- Definitions of check list deliverables:

**DAP Narrative:** Design Narratives provide a summary of the planned work, the current state of the project and information about why the project is being undertaken. The summary helps inform project team members and interested stakeholders, including consultants, become aware of expectations that may need to be incorporated into the project design. It is also a way to manage scope and keep the project team focused on the desired solution. A "Yes" indicates narrative is complete. A "No" indicates narrative is not complete. "N/A" can't be used.

**DAP Plan Sheets:** Plan sheets with sufficient development showing existing topography, resolved R/W alignment, existing R/W lines, construction alignments (showing stationing and curve data), staging alignments, proposed lane layout with widths labeled, profiles (showing existing ground and proposed vertical alignment), bridge (plan and elevation), other structures identified, roadwork (sidewalks, barriers, drainage, accesses, detours diversions etc...), drainage facilities including retention, detention, and treatment, footprint (impact areas, cut/fill lines for all proposed work as detailed on footprint checklist), Proposed R/W lines including temporary and permanent easements and access control lines, sign plans, and signal plans. A "Yes" indicates DAP plan sheets are complete. A "No" indicates DAP plan sheets are not complete. "N/A" can't be used.

**DAP Estimate:** A document produced by technical disciplines that provides estimated Preliminary Engineering (PE), Right of Way (RW), Utilities (UR), Construction (CN) - eg; Estimator file or other cost breakdown, and Other (OT) costs as it applies to the project. A "Yes" indicates DAP Estimate is submitted. A "No" indicates DAP Estimate is not complete. "N/A" can't be used.

**Design Exceptions and Deviations:** A design exception (Roadway-Traffic), or deviation (Bridge, Geology/Hydro) is an engineering report documenting specifically how a design has deviated from the ODOT Standards or design guidance. Design Exceptions and deviations require approval by the respective technical discipline and concurrence from Region. A "Yes" indicates that all design exceptions/deviations have been approved. A "No" indicates that that not all design exceptions have been approved. "N/A" indicates that no design exceptions or deviations are required.

**Traffic/Roadway Operational Approvals:** References different investigations that need to be performed in order to get approval to install, modify or remove traffic controls on state highways. These include traffic signals, marked crosswalks, roundabouts, RRFB's as well as other devices. For a complete list of devices see the ODOT Traffic Manual or contact your region traffic office. A "Yes" indicates approval from the State Traffic Engineer. A "No" indicates device(s) have not received approval from the State Traffic Engineer. N/A indicates there are no Traffic/Roadway operational approvals required.

**Bridge TS&L Report:** Report provides specific bridge information required by FHWA for their review and approval of projects using Federal funding (and recommended for projects without Federal funds). It is the concluding documentation of the Alternatives Study. The name was coined by FHWA circa 1990. The acronym TS&L stands for Type, Size & Location. The FHWA/ODOT Stewardship Agreement of the Federal Aid Program has delegated the TS&L review and approval process to ODOT for federal-aid projects. A "Yes" indicates it is complete. A "No" indicates the report is not complete. "N/A" indicates a

bridge TS&L report is not required.

**Other Structures TS&L Report:** Report identifies the non-bridge structures on the project and the type, size and location of each. Other structures include: retaining walls, sound walls, culverts > 6', traffic structures (eg, overhead sign supports), subsurface structures (eg, vaults), trenchless pipe replacements and shoring (temporary). A "Yes" indicates the report is complete. A "No" indicates the report is not complete. "N/A" indicates an Other Structures TS&L report is not required.

**Areas of Potential Effects (APE):** The Area of Potential Effect (APE) is the maximum geographic area where your project could potentially have an effect on historic properties (Includes both built environment and archaeology), if any are present. The APE is defined in the regulations implementing the Section 106 review process as "The geographic area or areas within which an undertaking may directly or indirectly cause changes in the character or use of historic properties, if any such properties exist. The area of potential effects is influenced by the scale and nature of an undertaking and may be different for different kinds of effects caused by the undertaking. A "Yes" indicates APE has been documented. A "No" indicates APE has not been documented. N/A can't be used.

**Programmatic Categorical Exclusion (PCE) Determination:** The PCE Determination Form verifies that ODOT has reviewed the project's potential impacts relative to the threshold criteria in the 2015 FHWA / ODOT Programmatic Categorical Exclusion (PCE) Agreement and confirms that neither significant environmental effects nor unusual circumstances will result. The PCE Determination Form is completed during the project DAP phase by a Qualified Preparer (i.e. a preparer meeting the minimum qualifications detailed in Section IV.A.8.a-c of the PCE Agreement). Most often, a Qualified Preparer will be a Region Environmental Coordinator (REC). A "Yes" indicates PCE is complete. A "No" indicates PCE is not complete. "N/A" indicates project is not a candidate for a PCE.

**Categorical Exclusion (with R/W):** A Categorical Exclusion (CE) Closeout Document is used to record the closeout of a CE when the project does not meet the provisions of the 2015 FHWA / ODOT Programmatic Categorical Exclusion (PCE) Agreement. The CE Closeout Document and its required attachments verifies that a project qualifies for a Categorical Exclusion (CE) under 23 CFR 771.117, summarizes how environmental concerns identified during scoping were evaluated, avoided, or resolved during design, and confirms that neither significant environmental effects nor unusual circumstances will result. This document is completed by a Qualified Preparer (i.e. a preparer meeting the minimum qualifications detailed in Section IV.A.8.a-c of the PCE Agreement) during the DAP project phase for a project **with** required purchase of right of way. A "Yes" indicates a CE (with R/W) is complete. A "No" indicates a CE (with R/W) is not complete. "N/A" indicates project is not a candidate for a CE (without R/W).

**Access Management Strategy (AMStrat):** A project delivery strategy developed by the Department in collaboration with cities, counties and owners of real property abutting a state highway within the project limits, that identifies the location and type of public and private approaches and other necessary improvements that are planned. A "Yes" indicates AMStrat is complete including Official Project Access List (OPAL), and finalized methodology. A "No" indicates any one of the aforementioned deliverables are not complete. A "N/A" indicates an exemption memo was completed, or there are no accesses within the project limits.

**Legal Descriptions:** The geographical description of property for the purpose of identifying the precise location of the privately owned property to be acquired for a project. The legal description must be capable of being made certain by unambiguously identifying the acquisition property's location, and any boundaries, easements or other encumbrances that legally define the property to be acquired. Legal descriptions provide FHWA with the information they need to authorize right of way funds to the project. A "Yes" indicates legal descriptions are complete. A "No" indicates legal descriptions are not complete. "N/A" indicates there is no right of way required.

**Technical Disciplines QA/QC:** QA/QC review of DAP plans, specifications and biddable items completed by technical disciplines. A "Yes" indicates all technical disciplines have completed their QA/QC review. A "No" indicates that not all technical disciplines have completed their technical review. "N/A" can't be used.

**Draft Mobility Considerations Checklist:** Draft Project Mobility Considerations Checklist, Traffic Management Plan (TMP) and Traffic Control Plan (TCP) submitted to MTCD. A "Yes" indicates all required documents have been submitted. A "No" indicates not all required documents have been submitted. "N/A" can't be used.

**Public Involvement Plan:** A public involvement plan is required by Project Delivery Operational Notice 12 (PD-12) for every project.. The plan provides a summary of any public involvement work done prior to project development and strategies and approaches to be used for the project. A public involvement plan is always evolving from project development through construction. A "Yes" indicates PIP is complete. A "No" indicates a PIP is not complete. "N/A" can't be used.

**Change Management Request (CMR):** A CMR serves as the vehicle to modify the baselined scope, schedule, budget, and delivery method for STIP projects. A "Yes" indicates all CMRs are complete and approved. A "No" indicates that a CMR is pending. "N/A" indicates CMR is not needed.

**STIP Amendment(s):** A STIP amendment with supporting CMR is required for changes to scope, schedule and budget as programmed in the Statewide Transportation Improvement Program (STIP). A "Yes" indicates all amendments are approved. A "No" indicates there is a STIP amendment pending, but not approved. "N/A" indicates there have been no changes to programed STIP.

**Intergovernmental Agreements:** All legally binding agreements between ODOT and another governmental agency are drafted and out for review. A "Yes" indicates all required IGAs are drafted and out for review. A "No" indicates there are required IGAs that are not yet drafted and out for review. "N/A" indicates there are no IGAs required.

**A&E Contract Amendments:** Amendments to the existing full service or discipline specific contracts have been executed. The amendments may be due to changes to the project scope, schedule or budget. A "Yes" indicates all required A&E contract amendments are executed. A "No" indicates there are A&E contract amendments that are not yet executed. "N/A" indicates there are no A&E contract amendments required.

**DAP Exception Request:** A memo is required whenever there is a "No" is checked on the DAP Checklist. The request captures explanations and risks associated with not completing required DAP phase gate deliverables, and requires concurrence from Statewide Project Delivery Manager. Request will list



outstanding risk item(s) from the DAP checklist and a plan for mitigation. The mitigation plan will include the anticipated completion date and the person responsible for completing the outstanding item. A "Yes" indicates an Exception Request has been forwarded for concurrence. A "No" indicates an Exception Request has not been forwarded for concurrence. N/A indicates all DAP Phase Gate requirements have been met and a DAP Exception Request is not required.

Signatures	<p>The final Project Charter is signed by the following:</p> <p><b>Funding Program Manager(s)</b> - should sign the final Project Charter, in the funding section. The Funding Program Manager is responsible to ensure the project scope conforms to the program requirements, the project schedule meets their needs for funding obligation and construction years, and the project budget is adequate and within the programmed budget. The Funding Program Manager has the <b>authority</b> to approve or reject the Project Charter and subsequent project changes.</p> <p><b>Project Lead</b> - responsible for effective planning, collaboration, execution, monitoring, and delivery of assigned projects in accordance with objectives and specifications outlined in the Business Case, Project Charter, and Funding IGA (if needed). Applies Change Management process, and makes recommendations/ decisions with or on behalf of the Project Development Team. Responsible for originating the CMR and ensuring all appropriate signatures are obtained. The Project Lead works with resource providers to identify and secure project team members to support delivery of the project. e.g., Transportation Project Manager and Resident Engineer - Consultant Project.</p> <p><b>Area Manager-</b> responsible for ensuring projects are delivered on scope, schedule, and budget as programmed. The Area Manager has <b>authority</b> to approve or reject the Project Charter and subsequent CMRs.</p> <p><b>Project Sponsor (optional)</b> - works with the Project Lead to gain endorsement of Project Charter in accordance with the project's purpose and need. . The Sponsor is a project advocate/champion who is primarily invested in seeing the project's intent is met. They have <b>input and influence</b> throughout the project lifecycle. (e.g., Area Manager, Region Local Program Manager, District Manager, Region Project Delivery Manager, Local Agency partner)</p> <p><b>Tech Center Manager-</b> reviews Charter and provides <b>input</b>. The Tech Center Manager is responsible for providing and overseeing the technical resources assigned to complete quality project designs, plans, and specifications according to the approved scope, schedule and budget.</p> <p><b>Maintenance Manager-</b> reviews the Charter and provides <b>input</b>. The local Maintenance Manager is consistently a key stakeholder of STIP projects. They are responsible to ensure the project meets maintenance</p>
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	<p>and operational needs, both for the project intent and for their ability to maintain the improvements.</p> <p><b>Additional Signatures:</b></p> <p>Add additional signature lines as needed using the + button. It is recommended that signatures be completed digitally for efficiency. See separate guidelines for completing digital signatures. Note that all content changes, including addition of signature lines, must be made prior to initiating signature collection when using digital signatures.</p>
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