

- 300.01 General
- 300.02 WSDOT Project Delivery
- 300.03 Design Documentation and Records Retention Policy
- 300.04 Project Design Approvals
- 300.05 FHWA Oversight and Approvals
- 300.06 Project Documents and Approvals
- 300.07 Process Review
- 300.08 References

### 300.01 General

This chapter provides the WSDOT design procedures, documentation and approvals necessary to deliver successful projects on the transportation network in Washington, including projects involving the Federal Highways Administration.

This chapter presents critical information for design teams, including:

- WSDOT’s Project Development process.
- Design documentation tools, procedures, and records retention policy.
- Major Project approvals including Design Approval, Project Development Approval, Basis of Design, Design Analysis, and other specific project documents for design-bid-build and for design-build delivery methods.
- FHWA oversight and approvals on Projects of Division Interest (PoDI).
- WSDOT and FHWA approvals for non-PoDI projects including Interstate new and reconstruction and other specific documents as shown in the approvals exhibits.
- Information about conducting project process reviews.
- Additional references and resources.

For local agency and developer projects on state highways, design documentation is also needed. It is retained by the region office responsible for the project oversight, in accordance with the WSDOT records retention policy. All participants in the design process are to provide the appropriate documentation for their decisions. See [300-04\(3\)](#) for information about the approval process and authority. For more information about these types of projects, see the *Local Agency Guidelines* and *Development Services Manual* available at the Publications Services Index website:

 [www.wsdot.wa.gov/Publications/Manuals/index.htm](http://www.wsdot.wa.gov/Publications/Manuals/index.htm)

**For operational changes** identified by the Traffic Office Low Cost Enhancement or Field Assessment Program that are included in a project, design documentation is also needed. It is retained by the region office responsible for the project oversight, in accordance with the WSDOT records retention policy. This documentation will be developed by the region Traffic

Office in accordance with HQ Traffic Office direction and included in the design documentation for the project.

For emergency projects, also refer to the [Emergency Relief Procedures Manual](#). It provides the legal and procedural guidelines for WSDOT employees to prepare all necessary documentation to respond to, and recover from, emergencies and disasters that affect the operations of the department.

## 300.02 WSDOT Project Delivery

A project, and its delivery method, is developed in accordance with all applicable procedures, Executive Orders, Directives, Instructional Letters, Supplements, and manuals; the Washington State Highway System Plan; approved corridor sketches and planning studies; the FHWA/WSDOT Stewardship and Oversight Agreement; scoping phase documentation, and the Basis of Design.

The delivery method is determined using the WSDOT Project Delivery Method Selection Guidance Memorandum found here:

[www.wsdot.wa.gov/Projects/delivery/designbuild/PDMSG.htm](http://www.wsdot.wa.gov/Projects/delivery/designbuild/PDMSG.htm)

See the implementation memorandum for procedural policy and guidance in the selection of probable and final project delivery method, timing for these determinations, and approval and endorsement levels.

The region develops and maintains documentation for each project using this chapter and the Project File / Design Documentation Package checklists (see [300.03\(3\)](#))

Refer to the [Plans Preparation Manual](#) for PS&E documentation. Exhibit 300-4 is an example checklist of recommended items to be turned over to the construction office at the time of project transition. An expanded version is available here:

[www.wsdot.wa.gov/design/projectdev/](http://www.wsdot.wa.gov/design/projectdev/)

### 300.02(1) Environmental Requirements

All projects involving a federal action require National Environmental Policy Act (NEPA) documentation. WSDOT uses the Environmental Review Summary (ERS) portion of Project Summary for FHWA concurrence on the environmental class of action (EIS/EA/CE). The environmental approval levels are shown in [Exhibit 300-2](#).

Upon receipt of the ERS approval for projects requiring an EA or EIS under NEPA, the region proceeds with environmental documentation, including public involvement, appropriate for the magnitude and type of the project (see [Chapter 210](#) and [WSDOT Community Engagement Plan](#)).

### 300.02(2) Real Estate Acquisition

Design Approval and approval of right of way plans are required prior to acquiring property. A temporary construction easement may be acquired prior to Design Approval for State funded projects and with completion of NEPA for Federally funded projects. For early acquisition of right of way, consult the Real Estate Services Office, the April 2, 2013 memorandum on early acquisition policy, and [Right of Way Manual](#) Chapter 6-3.

## 300.03 Design Documentation and Records Retention Policy

### 300.03(1) Purpose

Design documentation records the evaluations and decisions by the various disciplines that result in design recommendations. Design assumptions and decisions made prior to and during the scoping phase are included. Changes that occur throughout project development are documented. Required justifications and approvals are also included.

### 300.03(2) Certification of Documents by Licensed Professionals

All original technical documents must bear the certification of the responsible licensee as listed in [Executive Order E 1010](#).

### 300.03(3) Project File and Design Documentation Package

The Project File and Design Documentation Package include documentation of project work, including planning; scoping; community engagement; environmental action; the Basis of Design; right of way acquisition; Plans, Specifications, and Estimates (PS&E) development; project advertisement; and construction.

The **Project File (PF)** contains the documentation for planning, scoping, programming, design, approvals, contract assembly, utility relocation, needed right of way, advertisement, award, construction, and maintenance review comments for a project. A Project File is completed for all projects and is retained by the region office responsible for the project. Responsibility for the project may pass from one office to another during the life of a project, and the Project File follows the project as it moves from office to office. With the exception of the DDP, the Project File may be purged when retention of the construction records is no longer necessary.

See the Project File checklist for documents to be preserved in the Project File:

[www.wsdot.wa.gov/Design/Support.htm](http://www.wsdot.wa.gov/Design/Support.htm)

The **Design Documentation Package (DDP)** is a part of the Project File and preserves the decision documents generated during the design process. In each package, a summary (list) of the documents included is recommended. The DDP documents and explains design decisions, design criteria, and the design process that was followed. The DDP is retained in a permanent retrievable file for a period of 75 years, in accordance with WSDOT records retention policy.

The Basis of Design, Design Parameters, Alternatives Comparison Table, and Design Analyses are tools developed to document WSDOT practical design and decisions. Retain these in the DDP.

Refer to the remainder of this chapter and DDP checklist for documents to be preserved in the DDP. See Design Documentation Package Checklist here:

[www.wsdot.wa.gov/Design/Support.htm](http://www.wsdot.wa.gov/Design/Support.htm)

## 300.04 Project Design Approvals

This section describes WSDOT's project design milestones known as Design Approval and Project Development Approval. They are required approvals regardless of delivery method chosen by WSDOT. Many of the documents listed under these milestones are described further in [300.06](#).

Information pertaining to FHWA approvals and oversight is provided in [300.05](#) which describes Projects of Division Interest (PoDI) which are governed by a separate plan that specifies FHWA and State responsibilities for the project. Documents for projects requiring FHWA review, Design Approval, and Project Development Approval are submitted through the HQ Design Office.

### 300.04(1) Design Approval

When the Project Summary (see [300.06](#)) documents are approved, and the region is confident that the proposed design adequately addresses the purpose and need for the project, a Design Approval should be pursued and granted at this early stage. Early approval is beneficial at this point in the design phase and is most relevant to larger projects with longer PE phases. Design Approval establishes the policy for three years. This is a benefit for longer PE phases in that it avoids design changes due to policy updates during that time and provides consistency when purchasing right of way or producing environmental documentation.

The items below are included in the combined Design Approval/Project Development Approval Package. Design Approval may occur prior to NEPA approval. Generally, Design Approval will not be provided prior to an Access Revision Report being approved on an Interstate project. Approval levels for design and PS&E documents are presented in [Exhibits 300-1](#) through [300-3](#).

The following items are to be provided for Design Approval. See [300.06](#) for additional information.

- Stamped cover sheet \*
- A reader-friendly Design Approval memorandum that describes the project
- Project Vicinity Map
- Project Summary documents
- Basis of Design (BOD) \*
- Alternatives Comparison Table
- Design Parameter Sheets
- Safety Analysis or Crash Analysis Report (CAR) \*
- Current Project Design Analysis(s) \*
- List of known Design Analysis documents (contact your ASDE)
- List of known Maximum Extent Feasible (MEF) documents (contact your ASDE)
- Channelization plans, intersection plans, or interchange plans (if applicable)
- Alignment plans and profiles (if project significantly modifies either the existing vertical or horizontal alignment)
- Current cost estimate

\* Include the original approved documents

Design Approval is entered into the Design Documentation Package and remains valid for three years or as approved by the HQ Design Office.

- If the project is over this three-year period and has not advanced to Project Development Approval, evaluate policy changes or revised design criteria that are adopted by the department during this time to determine whether these changes would have a significant impact on the scope or schedule of the project.
- If it is determined that these changes will not be incorporated into the project, document this decision with a memo from the region Project Development Engineer that is included in the DDP.
- For an overview of design policy changes, consult the Detailed Chronology of Design Manual revisions: [www.wsdot.wa.gov/design/policy/default.htm](http://www.wsdot.wa.gov/design/policy/default.htm)

### **300.04(1)(a) Design-Build Projects**

Design Approval applies to design-build projects and is required prior to issuing a design-build request for proposal (RFP).

Environmental documentation completion is recommended prior to issuing RFP, but is required prior to contract execution.

### **300.04(2) Project Development Approval**

When all project development documents are completed and approved, Project Development Approval is granted by the approval authority designated in [Exhibit 300-1](#). The Project Development Approval becomes part of the DDP.

Refer to this chapter and the DDP checklist for design documents that may lead to Project Development Approval. Exhibits [300-1](#) through [300-3](#) provide approval levels for project design and PS&E documents.

The following items must be approved prior to Project Development Approval:

- Stamped cover sheet
- A reader friendly Project Development Approval (PDA) Memorandum that describes the project
- Project Vicinity Map
- Design Approval documents (and any supplements)
  - Updated Basis of Design (BOD) \*
  - Updated list of Project Design analysis(s) \*
  - Updated cost estimate
- NEPA Approvals
- SEPA Approvals

\* Include the original approved documents

Project Development Approval remains valid for three years.

- Evaluate policy changes or revised design criteria that are adopted by the department during this time to determine whether these changes would have a significant impact on the scope or schedule of the project.
- If it is determined that these changes will not be incorporated into the project, document this decision with a memo from the region Project Development Engineer that is included in the DDP.

- For an overview of design policy changes, consult the Detailed Chronology of Design Manual revisions: [www.wsdot.wa.gov/design/policy/default.htm](http://www.wsdot.wa.gov/design/policy/default.htm)

### **300.04(2)(a) Design-Build Projects**

For design-build projects, the design-builder shall refer to the project Request for Proposal (RFP) for specification on final and intermediate deliverables and final records for the project. Project Development Approval is required prior to project completion.

It is a prudent practice to start the compilation of design documentation early in a project and to acquire Project Development Approval before the completion of the project. At the start of a project, it is critical that WSDOT project administration staff recognize the importance of all required documentation and how it will be used in the design-build project delivery process.

### **300.04(3) Local Agency and Developer Services Approvals**

Local agencies or developers proposing projects for construction on state highways, or within WSDOT jurisdiction on city streets that serve as part of state highways per RCW 47.24, are required to document design decisions using the WSDOT design documentation policy (see 300.03) and as follows. The local agency or developer is required to document all decisions that change one or more design elements (see 1105.02) using the Basis of Design. Documentation is submitted to WSDOT for review and approval according to Exhibit 300-5. Where FHWA approval is indicated, WSDOT will forward submitted information to FHWA for their approval and transmit FHWA's approval, comments, and/or questions back to the submitter.

In cases where design decisions are imposed on the local agency or developer by WSDOT or FHWA, in order to secure their approval, those specific decisions are to be documented by WSDOT. Note that the requirement to submit a Basis of Design for approval may be waived by the approving authority designated in Exhibit 300-5, based on the criterion in 1100.10(1)(a). When a Region is the approval authority for the BOD and is considering an exemption, the Region approving authority can assume the role of the Assistant State Design Engineer to determine if an exemption is appropriate. For more information about the Basis of Design, see Chapters 1100 through 1106.

### **300.05 FHWA Oversight and Approvals**

The March 2015 Stewardship & Oversight (S&O) [Agreement](#) between WSDOT and FHWA Washington Division created new procedures and terminology associated with FHWA oversight and approvals. One such term, and new relevant procedure, is "Projects of Division Interest" (PoDI) described below.

For all projects, on the National Highway System (NHS), the level of FHWA oversight and approvals can vary for numerous reasons such as type of project, the agency doing the work, PoDI/non-PoDI designation, and funding sources. Oversight and funding do not affect the level of design documentation required for a project.

Documents for projects requiring FHWA review, Design Approval, and Project Development Approval are submitted through the HQ Design Office.

### 300.05(1) FHWA Projects of Division Interest (PoDI)

Projects of Division Interest (PoDI) are a primary set of projects for which FHWA determines the need to exercise oversight and approval authority. These are projects that have an elevated risk, contain elements of higher risk, or present a meaningful opportunity for FHWA involvement to enhance meeting program or project objectives. Collaborative identification of these projects allows FHWA Washington Division to concentrate resources on project stages or areas of interest. It also allows WSDOT to identify which projects are PoDIs and plan for the expected level of engagement with FHWA.

The Stewardship & Oversight Agreement generally defines Projects of Division Interest as:

- Major Projects (A federal aid project with total cost >\$500M)
- TIGER Discretionary Grant Projects
- NHS Projects that may require FHWA Project or Program Approvals
- Projects Selected by FHWA based on Risk or Opportunity

The S&O Agreement also states: Regardless of retained project approval actions, any Federal-aid Highway Project either on or off the NHS that the Division identifies as having an elevated level of risk can be selected for risk-based stewardship and oversight and would then be identified as a PoDI.

**For each project designated as a PoDI, FHWA and WSDOT prepare a Project-Specific PoDI Stewardship & Oversight Agreement** which identifies project approvals and related responsibilities specific to the project.

### 300.05(2) FHWA Approvals on Non-PoDI Projects

On projects that are not identified as PoDI, FHWA approvals are still required for various items as shown in [Exhibit 300-1](#). For example, FHWA approval is still required for any new or revised access point (including interchanges, temporary access breaks, and locked gate access points) on the Interstate System, regardless of funding source or PoDI designation (see [Chapter 550](#)).

The [Exhibit 300-1](#) approval table refers to New/Reconstruction projects on the Interstate. New/Reconstruction projects include the following types of work:

- Capacity changes: add a through lane, convert a general-purpose (GP) lane to a special-purpose lane (such as an HOV or HOT lane), or convert a high-occupancy vehicle (HOV) lane to GP.
- Other lane changes: add or eliminate a collector-distributor or auxiliary lane. (A rural truck climbing lane that, for its entire length, meets the warrants in Chapter 1270 is not considered new/reconstruction.)
- New interchange.
- Changes in interchange type such as diamond to directional or adding a ramp.
- New or replacement bridge (on or over, main line, or interchange ramp).
- New Safety Rest Areas Interstate.

Documents for projects requiring FHWA review, Design Approval, and Project Development Approval are submitted through the HQ Design Office.

## 300.06 Project Documents and Approvals

This section lists several major design documents generated for a project and they all are retained in the Design Documentation Package. The Basis of Design, Alternatives Comparison Table, Design Parameters, and Design Analyses are tools used to document practical design decisions.

See the Project File and Design Documentation Package checklists described in [300.03\(3\)](#) for complete list of documents.

For approval levels see Exhibits [300-1](#) through [300-3](#) or a project-specific S&O Agreement for PoDI projects.

### 300.06(1) Project Summary

The Project Summary provides information on the results of the scoping phase; links the project to the Washington State Highway System Plan and the Capital Improvement and Preservation Program (CIPP); and documents the design decisions, the environmental classification, and agency coordination. The Project Summary is developed and approved before the project is funded for design and construction, and it consists of the ERS, and PD documents. The Project Summary database contains specific online instructions for completing the documents.

#### 300.06(1)(a) Project Definition (PD)

The PD identifies the various disciplines and design elements that are anticipated to be encountered in project development. It also states the purpose and need for the project, the program categories, and the recommendations for project phasing. The PD is initiated early in the scoping phase to provide a basis for full development of the ERS, schedule, estimate, Basis of Estimate, and Basis of Design (where indicated in scoping instructions). If circumstances necessitate a change to an approved PD, the project manager and the regional program manager will document the change according to the CPDM Change Management process. For more information, see the [Program Management Manual](#), Chapter 9 Managing Change.

#### 300.06(1)(b) Environmental Review Summary (ERS)

The ERS lists the potentially required environmental permits and approvals, environmental classifications, and environmental considerations. The ERS is prepared during the scoping phase and is approved by the region. If there is a change in the PD, the information in the ERS must be reviewed and revised to match the rest of the Project Summary. For actions classified as a CE under NEPA, the approved ERS becomes the ECS when the project is funded and moves to design. The region may revise the ECS as appropriate (usually during final design) as the project advances. The ECS serves as the NEPA environmental documentation for CE projects. The region Environmental Manager approves the ECS and may send it to FHWA for their approval. The ERS/ECS database includes fully integrated help screens that provide detailed guidance. Contact your region Environmental Office for access.



### 300.06(2) **Basis of Design (BOD)**

The BOD captures important decisions that control the outcome of a project, including identified performance needs, context, design controls and design elements necessary to design the practical alternative. When applicable attach supporting documents, such as the Alternatives Comparison Table and Design Parameters to the BOD. (See [Chapter 1100](#) for further discussion on these documents). The Basis of Design (BOD) is part of the DDP.

### 300.06(3) **Basis of Estimate (BOE)**

The BOE contains the assumptions, risks, and information used to develop an estimate. The BOE is reviewed and updated during each phase of a project. The confidence of the estimate, either overall or for particular items, is also identified within the BOE. Generally, the BOE is started during the scoping phase because it is required for Project Summary approval; however, in more complex situations the BOE may have begun during the planning phase. For more information, see the [Cost Estimating Manual for WSDOT Projects](#).

### 300.06(4) **Design Analysis**

A Design Analysis is a process and tool used to document important design decisions, summarizing information needed for an approving authority to understand and support the decision.

A Design Analysis is required where a dimension chosen for a design element that will be changed by the project is outside the range of values provided for that element in the *Design Manual*. A Design Analysis is also required where the need for one is specifically referenced in the *Design Manual*.

A region approved Design Analysis is required if a dimension or design element meets current AASHTO guidance adopted by the Federal Highway Administration (FHWA), such as A Policy on Geometric Design of Highways and Streets, but is outside the corresponding *Design Manual* criteria. See [Exhibit 300-1](#) for Design Analysis approval authorities.

In the case of a shoulder width reduction at an existing bridge pier or abutment, sign structure or luminaire base in a run of median barrier, the Design Parameter Sheet may be used instead of a Design Analysis to document the dimensioning decision for the shoulder at that location.

A template is available to guide the development of the Design Analysis document here:

[www.wsdot.wa.gov/design/support.htm](http://www.wsdot.wa.gov/design/support.htm).

Email a PDF copy of all Region approved Design Analyses to the ASDE supporting your region.

## 300.07 **Process Review**

The Assistant State Design Engineers work with the regions on project development and conduct process reviews on projects. The process review is done to provide reasonable assurance that projects are prepared in compliance with established policies and procedures and that adequate records exist to show compliance with state and federal requirements. Process reviews are conducted by WSDOT, FHWA, or a combination of both.

The design and PS&E process review is performed at least once each year by the HQ Design Office. The documents used in the review process are the Design Documentation Package

Checklist(s), Basis of Design, Basis of Estimate, the PS&E Review Checklist, and the PS&E Review Summary. These are generic forms used for all project reviews. Copies of these working documents are available for reference when assembling project documentation. The HQ Design Office maintains current copies at: [www.wsdot.wa.gov/design/support.htm](http://www.wsdot.wa.gov/design/support.htm).

Each project selected for review is examined completely and systematically beginning with the scoping phase (including planning documents) and continuing through contract plans and, when available, construction records and change orders. Projects are normally selected after contract award. For projects having major traffic design elements, the HQ Traffic Operations Office is involved in the review. The WSDOT process reviews may be held in conjunction with FHWA process reviews.

The HQ Design Office schedules the process review and coordinates it with the region and FHWA.

### **300.07(1) Process Review Agenda**

When conducting joint process review with FHWA, the Process Review Report will outline specific agenda items.

A WSDOT process review follows this general agenda:

1. Review team meets with region personnel to discuss the objective of the review.
2. Review team reviews the design and PS&E documents, construction documents, and change orders (if available) using the checklists.
3. Review team meets with region personnel to ask questions and clarify issues of concern.
4. Review team meets with region personnel to discuss findings.
5. Review team submits a draft report to the region for comments and input.
6. If the review of a project shows a serious discrepancy, the region design authority is asked to report the steps that will be taken to correct the deficiency.
7. Process review summary forms are completed.
8. Summary forms and checklists are evaluated by the Director & State Design Engineer, Development Division.
9. Findings and recommendations of the Director & State Design Engineer, Development Division, are forwarded to the region design authority for action and/or information within 30 days of the review.

## **300.08 References**

### **300.08(1) Federal/State Laws and Codes**

[23 Code of Federal Regulations \(CFR\) 635.111](#), Tied bids

[23 CFR 635.411](#), Material or product selection

[Revised Code of Washington \(RCW\) 47.28.030](#), Contracts – State forces – Monetary limits – Small businesses, minority, and women contractors – Rules

[RCW 47.28.035](#), Cost of project, defined

“Washington Federal-Aid Stewardship Agreement,”

[www.wsdot.wa.gov/publications/fulltext/design/ASDE/2015\\_Stewardship.pdf](http://www.wsdot.wa.gov/publications/fulltext/design/ASDE/2015_Stewardship.pdf)

### 300.08(2) Design Guidance

WSDOT Directional Documents Index, including the one listed below:

<http://wwwi.wsdot.wa.gov/publications/policies>

[Executive Order E 1010](#), “Certification of Documents by Licensed Professionals,” WSDOT

WSDOT technical manuals, including those listed below:

[www.wsdot.wa.gov/publications/manuals/index.htm](http://www.wsdot.wa.gov/publications/manuals/index.htm)

- *Advertisement and Award Manual*, M 27-02, WSDOT
- *Cost Estimating Manual for WSDOT Projects*, M 3034, WSDOT
- *Design Manual*, M 22-01, WSDOT
- *Emergency Relief Procedures Manual*, M 3014, WSDOT
- *Environmental Manual*, M 31-11, WSDOT
- *Hydraulics Manual*, M 23-03, WSDOT
- *Highway Runoff Manual*, M 31-16, WSDOT
- *Plans Preparation Manual*, M 22-31, WSDOT
- *Roadside Manual*, M 25-30, WSDOT
- *Roadside Policy Manual*, M 3110, WSDOT
- *Temporary Erosion and Sediment Control Manual*, M 3109, WSDOT

Limited Access and Managed Access Master Plan, WSDOT

[www.wsdot.wa.gov/design/accessandhearings/](http://www.wsdot.wa.gov/design/accessandhearings/)

*Program Management Manual*, M 3005, WSDOT

<http://wwwi.wsdot.wa.gov/publications/manuals/fulltext/M3005/PMM.pdf>

Washington State Highway System Plan, WSDOT

[www.wsdot.wa.gov/planning/](http://www.wsdot.wa.gov/planning/)

### 300.08(3) Supporting Information

[A Policy on Geometric Design of Highways and Streets](#) (Green Book), AASHTO, 2011

[Mitigation Strategies for Design Exceptions](#), FHWA, July 2007. This publication provides detailed information on design exceptions and mitigating the potential adverse impacts to highway safety and traffic operations.

[Highway Capacity Manual](#) (HCM), latest edition, Transportation Research Board, National Research Council

[Highway Safety Manual](#) (HSM), AASHTO

## Exhibit 300-1 Approval Authorities

Project Type	Basis of Design (BOD) Approval	Design Analysis Approval [1] [2] [11]	Design Approval and Project Development Approval
Project of Division Interest (PoDI)	[10]	[10]	[10]
<b>Interstate</b>			
New/Reconstruction Regardless of funding source [3]	FHWA	FHWA	FHWA [4]
Intelligent Transportation Systems (ITS) Improvement Project over \$1 million Preservation project	HQ Design HQ Design	HQ Design HQ Design	HQ Design Region
All Other Regardless of funding source [12]	HQ Design	HQ Design	Region
<b>National Highway System (NHS)</b>			
Projects on all limited access highways, or on managed access highways outside of incorporated cities and towns	HQ Design	HQ Design [5]	Region
Projects on managed access highways within incorporated cities and towns Inside curb or EPS [6][7] Outside curb or EPS	HQ Design City/Town	HQ Design HQ LP	Region City/Town
<b>Non-National Highway System (Non-NHS)</b>			
Improvement projects on all limited access highways, or on managed access highways outside of incorporated cities and towns	HQ Design	HQ Design	Region
Improvement projects on managed access highways within incorporated cities and towns [9] Inside curb or EPS [6][7] Outside curb or EPS	HQ Design City/Town	HQ Design HQ LP	Region City/Town
Preservation projects on limited access highway, or on managed access highways outside of incorporated cities and towns, or within unincorporated cities and towns [8]	Region	Region	Region
Preservation projects on managed access highways within incorporated cities and towns [8] Inside curb or EPS [6][7] Outside curb or EPS	Region City/Town	Region HQ LP	Region City/Town

FHWA = Federal Highway Administration

HQ = WSDOT Headquarters

HQ LP = WSDOT Headquarters Local Programs Office

EPS = Edge of paved shoulder where curbs do not exist

NHS = National Highway System

[www.wsdot.wa.gov/mapsdata/travel/hpms/NHSRoutes.htm](http://www.wsdot.wa.gov/mapsdata/travel/hpms/NHSRoutes.htm)

For table notes, see the following page.

**Exhibit 300-1 Approval Authorities (continued)****Notes:**

- [1] These approval levels also apply to Design Analysis processing for local agency and developer work on a state highway.
- [2] See [300.06\(4\)](#). Where still encountered in the *Design Manual* replace the term *deviation* with *Design Analysis*.
- [3] For definition of New/Reconstruction, see [300.05\(2\)](#).
- [4] FHWA will provide Design Approval prior to NEPA Approval, but will not provide Project Development Approval until NEPA is complete.  
[http://www.wsdot.wa.gov/publications/fulltext/design/ASDE/2015\\_Stewardship.pdf](http://www.wsdot.wa.gov/publications/fulltext/design/ASDE/2015_Stewardship.pdf)
- [5] For guidance on the need for Design Analyses related to access management, see Chapters [530](#) and [540](#).
- [6] Includes raised medians (see [Chapter 1600](#)).
- [7] Curb ramps are still included (see [Chapter 1510](#)).
- [8] For Bridge Replacement projects in the Preservation program, follow the approval level specified for Improvement projects.
- [9] Refer to [RCW 47.24.020](#) for more specific information about jurisdiction and responsibilities that can affect approvals.
- [10] Projects of Division Interest (PoDI) must receive FHWA approvals per the PoDI Agreement regardless of funding source or project type.
- [11] A region approved Design Analysis is required if a dimension or design element meets current AASHTO guidance adopted by the Federal Highway Administration (FHWA), such as *A Policy on Geometric Design of Highways and Streets*, but is outside the range of corresponding *Design Manual* criteria. Email a PDF copy of all Region approved Design Analyses to the ASDE supporting your region.
- [12] Reduction of through lane or shoulder widths (regardless of project type) requires FHWA review and approval, except shoulder reductions for existing bridge pier or abutment, sign structure or luminaire base in a run of median barrier as allowed by [300.06\(4\)](#).

## Exhibit 300-2 Approvals

Item	Approval Authority		
	Region	HQ	FHWA
<b>Program Development</b>			
Work Order Authorization		X	X [1]
<b>Public Hearings</b>			
Corridor Hearing Summary		X [2]	
Design Hearing Summary		X [3]	X [8]
Limited Access Hearing Plan		X [4]	
Limited Access Findings and Order		X [5]	
<b>Environmental Document</b>			
Class I NEPA (EIS)		[7]	X
SEPA (EIS)		X	
Class II NEPA – Categorical Exclusion (CE) Documented in ECS form	X		
SEPA – Categorical Exemption (CE)	X		
Class III NEPA – Environmental Assessment (EA)		[7]	X
SEPA Environmental Checklist & Determination of Non-Significance (DNS)	X		
<b>Design</b>			
Basis of Design (BOD)	[9]	[9]	[9]
Intersection Control Type	X [20]	X [22]	
Experimental Features		X	X
Environmental Review Summary	X		
Final Project Definition		X [10]	
Interstate Access Revision Report		[7]	X
Any Break in Interstate Limited Access		[7]	X
Non-Interstate Access Revision Report		X	
Break in Partial or Modified Limited Access		X	
Intersection or Channelization Plans	X		
Right of Way Plans	[11]	X	
Monumentation Map	X		
Materials Source Report		X [12]	
Pavement Determination Report		X [12]	
Roundabout Geometric Design (see <a href="#">Chapter 1320</a> for guidance)	X		
Resurfacing Report		X [12]	
Signal Permits	X [13]		
Geotechnical Report		X [12]	
Tied Bids	X [14]		
<b>Table continued on the following page, which also contains the notes.</b>	<b>Approval Authority</b>		
	<b>Region</b>	<b>HQ</b>	<b>FHWA</b>

<b>Exhibit 300-2 Approvals (continued)</b>			
<b>Item</b>			
Bridge Design Plans (Bridge Layout)	X	X	
Preliminary Bridge Plans for Unusual/Complex Bridges on the Interstate		[7]	X
Structures Requiring TS&Ls		X	
Hydraulic Report	X [15]	[15]	
Preliminary Signalization Plans		X [6][18]	
Signalization Plans	X [20]		
Illumination Plans	X [20]		
Intelligent Transportation System (ITS) Plans	X [20]		
ITS Systems Engineering Analysis Worksheet (Exhibit 1050-2)	X [20]		
Rest Area Plans		X	
Roadside Restoration Plans	X [16]	X [17]	
Planting Plans	X [16]	X [17]	
Grading Plans	X		
Continuous Illumination – Main Line		X [18]	
Tunnel Illumination		X [18]	
High Mast Illumination		X [18]	
Work Zone Transportation Management Plan/Traffic Control Plan	X [20]		
Public Art Plan – Interstate (see <a href="#">Chapter 950</a> )	X [16]	X [17][21]	X
Public Art Plan – Non-Interstate (see <a href="#">Chapter 950</a> )	X [16]	X [17][21]	
Crash Analysis Report	X [20]	X	
ADA Maximum Extent Feasible Document (see <a href="#">Chapter 1510</a> )	X	X	
<p><b>Notes:</b></p> <p>[1] Federal-aid projects only.</p> <p>[2] Approved by Assistant Secretary, Engineering &amp; Regional Operations.</p> <p>[3] Approved by Director &amp; State Design Engineer, Development Division.</p> <p>[4] Approved by Right of Way Plans Manager.</p> <p>[5] Refer to <a href="#">Chapter 210</a> for approval requirements.</p> <p>[6] Final review &amp; concurrence required at the region level prior to submittal to approving authority.</p> <p>[7] Final review &amp; concurrence required at HQ prior to submittal to approving authority.</p> <p>[8] On Interstate projects, the Director &amp; State Design Engineer, Development Division, (or designee) submits the approved design hearing summary to the FHWA for federal approval. (See <a href="#">Chapter 210</a>.)</p> <p>[9] See <a href="#">Exhibit 300-1</a> for BOD Approvals.</p> <p>[10] Approved by HQ Capital Program Development and Management (CPDM).</p> <p>[11] Certified by the responsible professional licensee.</p> <p>[12] Submit to HQ Mats Lab for review and approval.</p> <p>[13] Approved by Regional Administrator or designee.</p> <p>[14] Per <a href="#">23 CFR 635.111</a>.</p> <p>[15] See the <a href="#">Hydraulics Manual</a> for approvals levels.</p> <p>[16] Applies to regions with a Landscape Architect.</p> <p>[17] Applies to regions without a Landscape Architect.</p> <p>[18] Approved by State Traffic Engineer.</p> <p>[19] Vacant.</p> <p>[20] Region Traffic Engineer or designee.</p> <p>[21] The State Bridge and Structures Architect reviews and approves the public art plan (see <a href="#">Chapter 950</a> for further details on approvals).</p> <p>[22] State Traffic Engineer or designee.</p>			

## Exhibit 300-3 PS&amp;E Process Approvals NHS (including Interstate) and Non-NHS

Item	Headquarters or Region Approval Authority
DBE/training goals * **	Office of Equal Opportunity
Right of way certification for federal-aid projects***	Region; HQ Real Estate Services Office or HQ Local Programs Right of Way Manager [7]
Right of way certification for state or local funded projects***	Region; HQ Real Estate Services Office or HQ Local Programs Right of Way Manager
Railroad agreements	HQ Design Office
Work performed for public or private entities *	Region [1][2]
State force work *	Region [3][4]
Use of state-furnished materials *	Region [3][4]
Work order authorization	Capital Program Development and Management [5]
Ultimate reclamation plan approval through DNR	Region
Proprietary item use *	[4][6] HQ Design Office
Mandatory material sources and/or waste sites *	Region [4]
Nonstandard bid item use *	Region
Incentive provisions	HQ Construction Office
Nonstandard time for completion liquidated damages *	HQ Construction Office
Interim liquidated damages *	Transportation Data, GIS & Modeling Office
<p><b>Notes:</b>  <b>FHWA PS&amp;E Approval has been delegated to WSDOT unless otherwise stated differently in a Project Specific PoDI S&amp;O Agreement.</b></p> <p>[1] This work requires a written agreement.  [2] Region approval subject to \$250,000 limitation.  [3] Use of state forces is subject to \$60,000 limitation and \$100,000 in an emergency situation, as stipulated in RCWs 47.28.030 and 47.28.035. Region justifies use of state force work and state-furnished materials and determines if the work is maintenance or not. HQ CPDM reviews to ensure process has been followed.  [4] Applies only to federal-aid projects; however, document for all projects.  [5] Prior FHWA funding approval required for federal-aid projects.  [6] The HQ Design Office is required to certify that the proprietary product is either: (a) necessary for synchronization with existing facilities, or (b) a unique product for which there is no equally suitable alternative.  [7] For any federal aid project FHWA only approves Right of Way Certification 3s (All R/W Not Acquired), WSDOT approves Right of Way Certification 1s and 2s for all other federal aid projects.</p> <p><b>References:</b>  * <a href="#">Plans Preparation Manual</a>  ** <a href="#">Advertisement and Award Manual</a>  *** <a href="#">Right of Way Manual</a></p>	



**Exhibit 300-4 Design to Construction Transition Project Turnover Checklist Example**

This checklist is recommended for use when coordinating project transition from design to construction.

**1. Survey**

- End areas (cut & fill)
- Staking data
- Horizontal/Vertical control
- Monumentation/Control information

**2. Design Backup**

- Index for all backup material
- Backup calculations for quantities
- Geotech shrink/swell assumptions
- Basis of Design, Design decisions and constraints
- Approved Design Analyses
- Hydraulics/Drainage information
- Clarify work zone traffic control/workforce estimates
- Geotechnical information (report)
- Package of as-builts used (which were verified) and right of way files
- Detailed assumptions for construction CPM schedule (working days)
- Graphics and design visualization information (aerials)
- Specific work item information for inspectors (details not covered in plans)
- Traffic counts
- Management of utility relocation

**3. Concise Electronic Information With Indices**

- Detailed survey information (see Survey above)
- Archived InRoads data
- Only one set of electronic information
- "Storybook" on electronic files (what's what)
- CADD files

**4. Agreements, Commitments, and Issues**

- Agreements and commitments by WSDOT
- RES commitments
- Summary of environmental permit conditions/commitments
- Other permit conditions/commitments
- Internal contact list
- Construction permits
- Utility status/contact
- Identification of the work elements included in the Turnback Agreement (recommend highlighted plan sheets)

**5. Construction Support**

- Assign a Design Technical Advisor (Design Lead) for construction support

An expanded version of this checklist is available at: [www.wsdot.wa.gov/design/projectdev](http://www.wsdot.wa.gov/design/projectdev)

**Exhibit 300-5 Local Agency and Developer Approvals**

<u>Project Type</u>	<u>Basis of Design (BOD) Approval</u>	<u>Design Analysis Approval</u>	<u>Design Approval and Project Development Approval</u>
<b><u>Interstate</u></b>			
All projects	<u>FHWA</u>	<u>FHWA</u>	<u>FHWA</u>
<b><u>Highways (NHS) &amp; (Non-NHS)</u></b>			
<u>Projects on limited access highways</u>	<u>HQ Design</u>	<u>HQ Design</u>	<u>Region</u>
<u>Projects on managed access highways</u>	<u>Region</u>	<u>HQ Design</u>	<u>Region</u>