

Central Region- Districts 5, 6, 9 and 10

DESIGN DELEGATION AGREEMENT

March 2015



Prepared by:

Central Region Project Development

Central Region Design Delegation Agreement

Approvals

Caltrans, as owner/operator of the State Highway System, has the statutory and inherent obligation to ensure that all modifications or additions to the State Highway System provide a safe, sustainable, integrated, and efficient transportation system. This stewardship agreement establishes a framework for Headquarters Division of Design and the Districts to uphold these expectations and maintains the accountability of the department's agents, leaders, and staff, for carrying out these responsibilities.

The Director has delegated authority to the District 5 Director dated July 2, 2012

The Director has delegated authority to the District 6 Director dated January 1, 2012

The Director has delegated authority to the District 9 Director dated October 21, 2014

The Director has delegated authority to the District 10 Director dated June 16, 2014

The Director has delegated authority to the Chief Engineer dated December 10, 2012.

The Chief Engineer has delegated authority to the Chief, Division of Design dated June 18, 2013.

The Chief, Division of Design has delegated to District Director certain approvals as prescribed in the June 7, 2013 Memorandum.

This Stewardship agreement, made and entered into this 23rd day of March, 2015, by and between the Chief, Division of Design and the District Directors of the Central Region (Districts 5, 6, 9, and 10). The Chief, Division of Design and the Central Region Directors mutually agree in carrying out the delegated authority as prescribed in this Design Delegation Agreement.

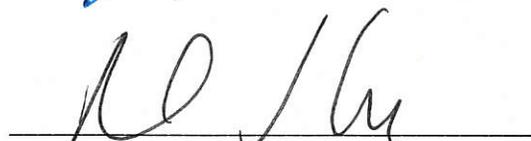
The Central Region District Directors request design delegation authority for the baseline delegations described in the attached Stewardship Quality Management Plan. The Districts are not seeking any additional delegation authority at this time.



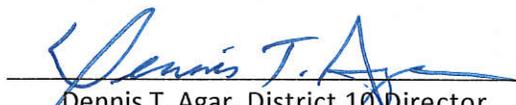
Timothy M. Gubbins, District 5 Director



Sharri Bender Ehlert, District 6 Director



Brent Green, District 9 Director



Dennis T. Agar, District 10 Director

I, Timothy Craggs, Chief, Division of Design, approve this request as described above and in the attached Stewardship Management plan.



Timothy Craggs, Chief, Division of Design

Introduction

The Central Region (District 5, 6, 9 & 10) Stewardship Quality Management Plan (SQMP) is the basis for establishing and maintaining a broad level of delegation from HQ to the districts as documented in the Stewardship Agreement. The SQMP also outlines the Division of Design's (DOD) commitment to provide the support needed for the districts to be successful.

The Stewardship Agreement is a contractual document which responsibly transfers decision making authority from Caltrans Division of Design (DOD) to individual districts. In accordance with the Design Stewardship Management Plan (Appendix B), the SQMP provides the framework and direction to ensure successful delegation with consistency and assurance that delegated approvals are good decisions, substantiated in quality documents and risk assessments, developed, reviewed and approved by appropriate technical and management authorities with appropriate justification and defensible rationale for District accountability. The SQMP uses the principals of leadership, strategic planning, workforce, detection, and results to define the systems and processes that will be utilized to meet the delegation responsibilities. Appendix A lists the Central Region delegations that are applicable to the baseline Design Stewardship Agreement and additional Design Stewardship Delegations of Authority that are anticipated to be negotiated. Improvements to the management plan will be made as experience is gained, issues elevated and resolution obtained.

Documenting these processes with the SQMP allows for (current and future) staff, management, and organizational leadership to provide direction and guidance to all involved.

Leadership

The Central Region (CR) encompasses Districts 5, 6, 9 & 10 with independent District Directors who operate their respective districts within the Central Region Capital Outlay Support (COS) organizational and management structure. Upon delegated authority approval, each District Director will sub delegate to the CR Project Development (PJD) Division Chief who will then further sub delegate all delegated responsibilities as defined in this agreement and Appendix A to the CR PJD Office Chiefs as follows:

All counties in District 5 will be delegated to the Design II Office Chief.

Kern County in District 6 will be delegated to the Design I or IV Office Chief based on project assignment.

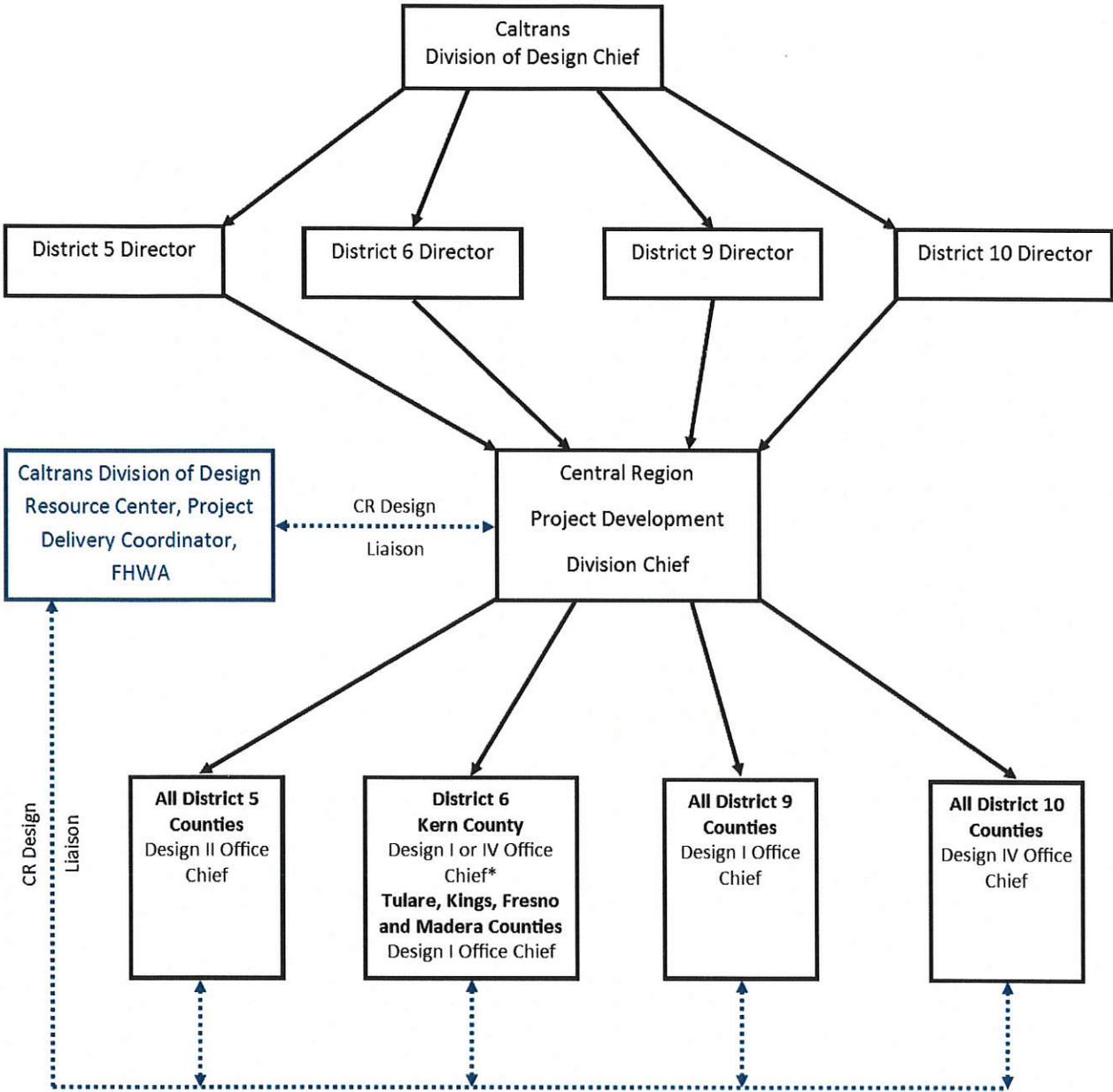
Tulare, Kings, Fresno and Madera Counties in District 6 will be delegated to the Design I Office Chief.

All counties in District 9 will be delegated to the Design I Office Chief.

All counties in District 10 will be delegated to the Design IV Office Chief.

These delegations will be formally documented with signed delegation agreements.

The District Directors, as part of their Joint Executive Staff meetings or Project Status Meetings will include risk management as a regular agenda item where delegations and associated project issues and risks will be discussed and managed. The District Directors expect that the DOD Resource Center will develop strategies, tools and training for sharing knowledge and to foster the statewide consistent application of design standards and policies. In addition, the Directors, the CR PJD Division Chief, CR PJD Office Chiefs, and the CR Design Liaison will rely on the DOD Resource Center to provide guidance on difficult issues, delegation processes and experiences in order to make improvements and also to formulate and negotiate future delegations. The following diagram (Figure 1) outlines the Central Region delegation organization leadership, delegation flow and relationship with the DOD Resource Center, Project Delivery Coordinator, and Federal Highways Administration.



*Based on assignment of the project

Figure 1 – Central Region Delegation Organization Leadership

The District Directors, CR PJD Division Chief, CR PJD Office Chiefs, and the CR Design Liaison will communicate and engage with the District functions affected by the stewardship agreement to ensure understanding and commitment to the delegated responsibility. In order to ensure delegations are properly communicated, all project history files will be required to contain a delegation agreement copy.

The CR is comprised of the following District and Region functions:

District Functions		Region Functions	
Program/Project Management	Traffic Operations	Environmental	Design
Maintenance	Planning	Surveys	R/W Engineering
Local Assistance	Administration	Engineering Services	R/W
		Construction	

In the event of changing leadership, a set of protocols will be developed to ensure transitions are in place.

Strategic Planning

The Design Delegation Agreement authority is consistent with the direction of Caltrans most current Strategic Planning effort; to be more efficient, transparent and empowered at the District level. Upon approval of the delegation authority the CR Districts will integrate the SQMP into the district strategic planning process with subsequent outreach and communication to all staff as deployment commences. The SQMP will be implemented in collaboration with the organizational leadership, customers, stakeholders and workforce to establish the action plans and objectives for measuring and monitoring the outcomes and results of the delegation process. Goals, desired outcomes, strategies, measures and results will be considered. Performance measure results will be reported periodically by the CR PJD Division Chief. Positive results and/or improvement actions will be the basis for sustaining approval authority in collaboration with the DOD.

Customer Focus

Key stakeholders potentially impacted by the delegations include external local partners who develop transportation projects on the State Highway System, i.e., cities, counties, transit agencies, local and regional transportation authorities and consultants. Internal stakeholders would include all functional units who participate in the project development decision making process. For local partners who sponsor projects on the State Highway system, elements of the Stewardship Agreement and modified procedures will be presented through regular meetings with each of the authorities or agencies involved. On a project by project basis, the modified procedures will be presented in regular PDT meetings when the need arises. It is anticipated the local partners will welcome the modified procedures as it will facilitate early collaboration on potential design exceptions. For internal customers that may be affected by the delegation authorities, such as Transportation Planning, Environmental Analysis, Traffic Operations, and Maintenance, an overview of the Stewardship Agreement and modified procedures will be presented in the same manner outlined above. FHWA involvement in project delivery will not change with the delegation of responsibilities.

Workforce

The CR has a large workforce of professional and committed engineering staff representing many functions who work on projects in a large and diverse geographic area. Consequently, wide ranging conditions and situations are involved with project development and the application of standards. Those involved with decision making also involve a wide range of staff within the structure of the organization.

The primary focus for approval of delegated design decisions will be on the Design I, II and IV Office Chiefs in CR PJD. However, design seniors, project engineers, project managers, division chiefs and functional subject matter experts all contribute and must be engaged and educated on the delegation process and responsibilities. To accomplish this a CR Design Liaison will be needed to coordinate interoffice and interdivision design delegation approvals.

The CR PJD Division Chief will hire a qualified CR Design Liaison in Fresno. The role of the CR Design Liaison, a Senior Transportation Engineer (Specialist), will be similar to the current role of the DOD Design Reviewer. The resources necessary to maintain the liaison position will come from project workplans. The CR Design Liaison will ensure design exceptions meet expected quality requirements and that approvals are supported with adequate justification. The CR Design Liaison will be responsible for coordinating decisions among the projects to ensure reasonable consistency, serve as liaison between the DOD and the Region, including the non-capital functions (typically at the Office Chief and Senior level), and provide guidance in the application of flexible design concepts. Additional duties include providing guidance to staff in preparing and modifying documents such as, but not limited to, geometric approval drawings, design exception fact sheets, freeway agreements, structures general plans, and other delegated design decision documents. During the hiring process the existing DOD Design Reviewer will continue to assist the CR. The CR PJD Division Chief will periodically review the effectiveness of a single CR Design Liaison. Consideration will be made in the future for additional liaisons in locations other than Fresno if necessary.

The CR Design Liaison will also participate in appropriate meetings with the DOD and Project Delivery Coordinators to assure statewide consistency of delegated authority. The DOD will budget travel allowance for DOD Resource Center meetings with other District Design liaisons thus maintaining statewide consistency and providing input on design policies, standards and practices. It is anticipated there will be roughly 12 to 16 meetings per year. The DOD Resource Center will support the district workforce by providing the expertise of the Project Delivery Coordinators and subject matter experts. Their guidance and support will be available when called upon for technical support and for coordinating with other functional areas outside of the DOD Resource Center, as well as to clarify policies and ensure training consistency on policies.

Implementation of the baseline delegation will have minimal impact on current CR operations. Staff will be made aware of the new procedures through routine communication means such as email, project engineer meetings, and various staff and management meetings. In addition, the CR Design Liaison and the Project Delivery Coordinator will be available to provide guidance on implementation of the Stewardship Delegation Agreement at meetings and on an individual basis.

Guidance for design exception approval and other delegated design documents will also be posted on the CR PJD website. See Figure 2 below for a typical flow chart for delegated decisions as a result of this SQMP. The Division of Design Chief in conjunction with the DOD Resource Center will devise criteria or requirements for the involvement of the DOD Resource Center to clarify policies, ensure training consistency on policies, and help resolve issues brought forward by Region or District staff.

The Project Delivery Coordinator in collaboration with the DOD Resource Center and the CR Design Liaison will identify specific training needs for CR Office Chiefs in design that execute design exception approvals, and assure such training is made available as soon as possible upon implementation of the Stewardship Agreement. More informally, the Project Delivery Coordinator, in conjunction with the DOD Resource Center, will provide hands on guidance and on-the-job training, as needed, to clarify elements of the Stewardship Agreement to staff at all levels.

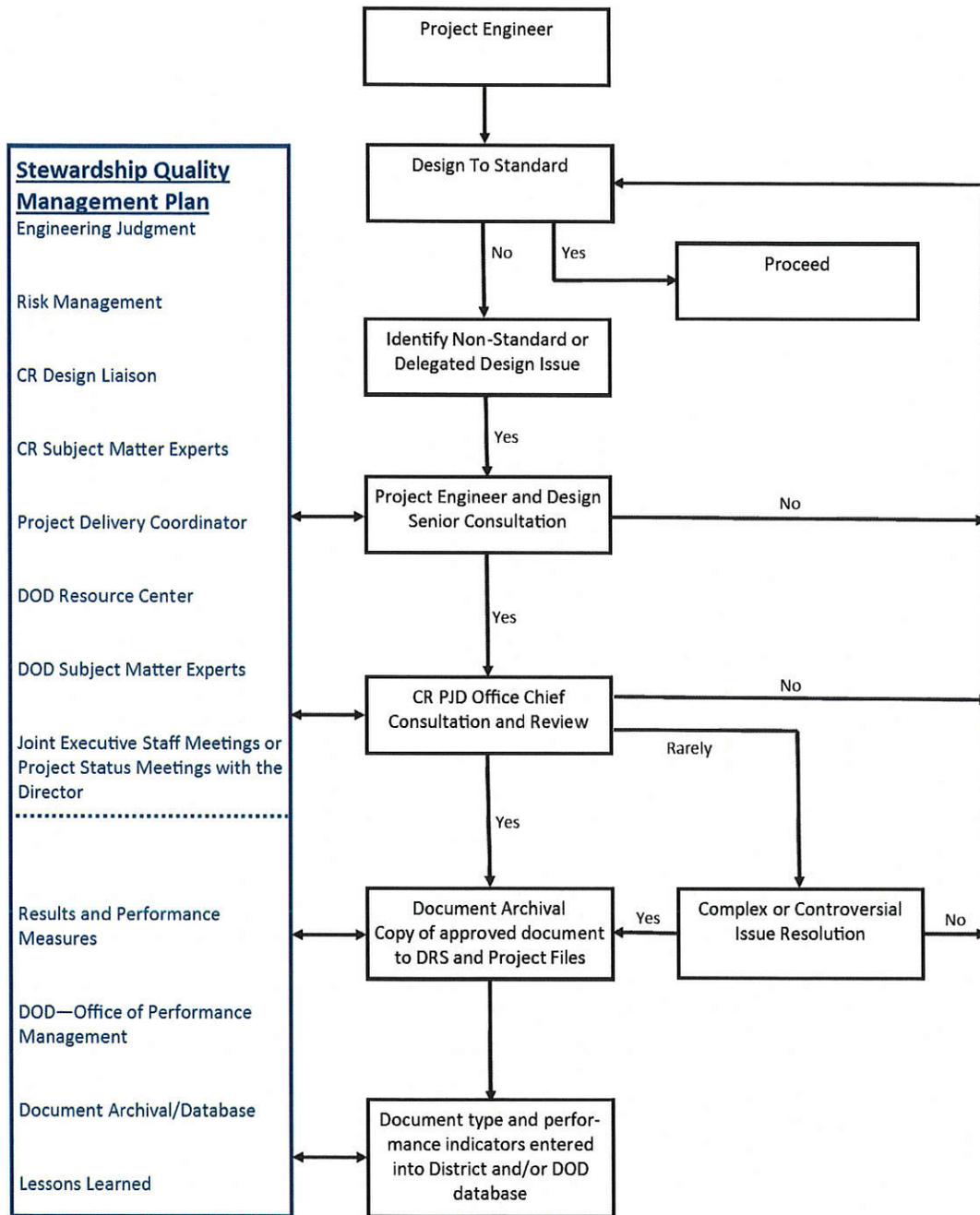


Figure 2 - Typical Delegated Decision Process with SQMP

Detection

The CR will develop written and published district guidance and procedural requirements for implementing the delegation responsibility. The CR Design Liaison and CR PJD Office Chiefs will ensure the consistent and uniform application of design delegation responsibilities across the CR. Delegated authorities will also be responsible for monitoring quality and process requirements. Approved documents will be reviewed and audited periodically for key indicators and performance measures as

indicated in the Results section. Details on who will perform the reviews and audits, how often and on what documents will be developed in collaboration with the DOD Office of Performance Management who will also conduct periodic reviews, measure compliance with the SQMP and assess performance measures.

Issue Resolution

The CR is prepared to deal with issues that create conflict among the stakeholders. The Design Senior will take the lead in the process to resolve those issues with the help of their Project Team. Design exception considerations that are developed outside of CR PJD (Planning, Local Assistance, Maintenance and Traffic Operations) shall be discussed with the CR PJD Office Chief that is responsible for the county in which the exception lies. Kern County exceptions of this nature will be resolved by the Design I Office Chief. Such matters may include delegation responsibilities which conflict with customer and stakeholder interests. If conflicts arise, a conflict resolution process will be utilized using the SQMP principles of leadership, strategic planning, workforce, detection, and results. Assistance from the DOD Resource Center as discussed under the Leadership section will be called upon as needed. Establishing a risk management process for elevating issues to the organizational leadership will occur during the SQMP implementation. Included will be the requirement for proper documentation to formally acknowledge the involvement of the appropriate stakeholders and decision makers of the issue and its resolution. Systematic and recurring conflict will be identified and elevated in a timely manner to the DOD Resource Center and/or Office of Performance Management. Lessons learned will be implemented as a collaborative improvement effort across the districts involving the DOD and stakeholders.

For complex or controversial project issues, CR PJD Office Chiefs will consult with subject matter experts, the DOD Resource Center and, when appropriate, elevate the issue to the CR PJD Division Chief. If the conflict remains unresolved, the CR PJD Division Chief will consult with the DOD Chief for input and resolution as necessary.

Results

The DOD will develop Results criteria at a future date, and will collaborate with all district and regions establishing performance indicators. The District's proposed Results criteria, as outlined in this Stewardship Quality Management Plan, are appropriate metrics in the interim.

Results will be assessed and categorized by evaluating the **quantity, quality** and **access** to the documentation as summarized with key indicators and performance measures. Reporting of the results and developing metrics for evaluation and auditing will be developed in coordination with the DOD.

The **quantity** is the amount and type of post-stewardship approvals:

- Number of Post-Stewardship delegated approvals

- Category of decisions: Federal, DIB or Design Memorandum, HDM policy

- Type of document/deliverable: Fact Sheet, Memorandum, Memo-to-File, Utility Exception, etc

- Identity of project level delegation: PID, PR, RTL, etc

The **quality** is the quality of the decisions, approval process and documentation.

Decisions:

- Consistency with other statewide documentation/analysis for approvals

- Understanding and documentation of risk level

- Integrity of decision factors: technical, cost, delay, impacts to resources, political, etc.

- Other legal, policy, procedural and quality audit aspects

Central Region Design Delegation Agreement

Stewardship Quality Management Plan

Approval process:

- Document review followed established process
- PE, Senior, and/or Office Chief peer and IQA reviews
- District resourced geometrician "subject matter expert" review
- DOD subject matter expert input/concurrence (as appropriate)
- Utility engineering, Traffic specialty unit review
- Levels of recommendation and final approval authority involved

Documentation:

- Prepared by trained staff in proper, consistent format
- All required documentation and attachments included
- Completeness of the engineering analysis/documentation
- Proper policy references and rationale
- Audit rating

The **access** to properly filed and retrievable documents available for legal review, quality audits, reporting and reference will be by using the Document Retrieval System (DRS) and a future database developed in coordination with the DOD. It is anticipated that the new searchable database will store documents and information using a filing system and categories to access copies, sort and report including the key indicators and performance measure data.

Access to Documentation:

- HQ access or link to database or depository
- Legal access
- District Design Stewardship point of contact
- Staff access and utilization for assisting with preparation of consistent documents
- Follows Uniform Filing System in Project History File

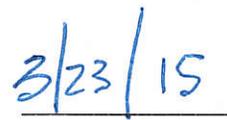
Results will be assessed periodically in a performance measures report summarizing the quantity, category and type of documents, key indicators, lessons learned of district performance and improvement action plan. The key indicators to be reported are:

- Ratings of quality audit on consistency, risk, integrity and legal
- Number of documents requiring formal conflict resolution process
- Number of approvals beyond district delegation authority (outliers)
- Number of Stewardship delegations addressed vs not addressed in PID's/PR's/RTL (omissions).
- Documentation of FHWA approval for Design Exceptions on Interstate for 13 Controlling Criteria (additional Delegations)

Recommended for Approval:



Brian Everson
Chief, CR Project Development



Date

Baseline Stewardship Agreement Delegation Authority to the Districts

Highway Design Manual (HDM)

HDM Chapter/ Topic	Description	Conventional Highway	Expressway	Freeway ¹	Interstate Freeway ¹	Delegated Authority ²
Advisory Design Standards	Advisory standards use the word "should" and are indicated by Underlining	DELEGATED	DELEGATED	DELEGATED	DELEGATED	Design Office Chief
2013 Delegated Mandatory Design Standards ²	Authority to approve deviations from this Mandatory Standard is delegated to the District Director as noted in the HDM	DELEGATED	DELEGATED	DELEGATED	DELEGATED	Design Office Chief
All Mandatory Design Standards (Except for Chapter 600) and 2013 Delegated Standards ²	Mandatory standards use the word "shall" and are printed in Boldface	DELEGATED	DELEGATED	NO	NO	Design Office Chief

Design Information Bulletins(DIB), Design Memorandum and Executive Orders

DIB Number	Description	Conventional Highway	Expressway	Freeway ¹	Interstate Freeway ¹	Delegated Authority ²
DIB 77	Interchange Spacing	N/A	DELEGATED	NO	NO	Design Office Chief

¹ If not delegated , See the Article "Negotiated Design Stewardship Agreement Delegations of Authority"

² All mandatory Design Standards must be within the Deputy District Director chain of command.

Design Information Bulletins(DIB), Design Memorandum and Executive Orders (Continued)						
DIB Number	Description	Conventional Highway	Expressway	Freeway¹	Interstate Freeway¹	Delegated Authority²
DIB 79	2R Project certification Design guidance and Standards for Roadway Rehabilitation Projects and Certain Other Projects	DELEGATED	DELEGATED	NO	NO	Design Office Chief
DIB 82	Pedestrian Accessibility Guidelines for Highway Projects and ADA	DELEGATED	DELEGATED	DELEGATED ³	DELEGATED ³	Design Office Chief
DIB 83	Caltrans Supplement to FHWA Culvert Repair Practices Manual	DELEGATED	DELEGATED	NO	NO	Design Office Chief
Project Development Procedures Manual (PDPM)						
PDPM Chapter /Article	Description	Conventional Highway	Expressway	Freeway¹	Interstate Freeway¹	Delegated Authority²
PDPM 9	Modifications to existing access points or new access points to the Interstate System – Review & Approval required.	DELEGATED	DELEGATED	NO	NO	Design Office Chief
PDPM 9- Article 7	Traffic signal projects that introduce or perpetuate nonstandard conditions - Exceptions to Mandatory Design Standards	DELEGATED	DELEGATED	NO	NO	Design Office Chief

³ These are part of the delegation implementation plan for ADA standards.

**Central Region
Design Delegation Agreement**

**Appendix A – HDM, DIB, and
PDPM Delegation Matrices**

Project Development Procedures Manual (PDPM) (Continued)						
PDPM Chapter /Article	Description	Conventional Highway	Expressway	Freeway¹	Interstate Freeway¹	Delegated Authority²
HDM-PDPM 82.2(1) -15-7	Contract Design Changes (CCOs) - Exceptions to mandatory design standards.	DELEGATED	DELEGATED	NO	NO	Design Office Chief
PDPM 17	Existing Utility Longitudinal Encroachments - Exceptions may be granted, but must be approved.	DELEGATED	DELEGATED	NO	NO	Design Office Chief
PDPM 17	Utility Encroachments on Toll Bridges – All installations must have approval.	DELEGATED	DELEGATED	NO	NO	Design Office Chief
PDPM 17	Reclaimed Water Systems & Encroachments - All installations must have approval	DELEGATED	DELEGATED	NO	NO	Design Office Chief
PDPM 23	Approval Authority for Denominations, or Withdrawal of Denominations.	N/A	DELEGATED	DELEGATED	DELEGATED	Design Office Chief
PDPM 23	Reopen Route Studies – requires written approval.	DELEGATED	DELEGATED	NO	NO	Design Office Chief
PDPM 2,24	Conformance to Adopted Route - All deviations from the adopted route must be approved.	DELEGATED	DELEGATED	NO	NO	Design Office Chief
PDPM 2	Route adoption maps – Approval authority and exceptions to policy	DELEGATED	DELEGATED	DELEGATED	DELEGATED	Design Office Chief
PDPM 2, 24	Freeway Agreements and Controlled Access Highway– Execution authority.	N/A	DELEGATED	DELEGATED	DELEGATED	Design Office Chief

Project Development Procedures Manual (PDPM) (Continued)						
PDPM Chapter /Article	Description	Conventional Highway	Expressway	Freeway¹	Interstate Freeway¹	Delegated Authority²
PDPM 24	"Project" or "Performance" Agreement – draft document requires review and approval.	DELEGATED	DELEGATED	NO	NO	Design Office Chief
PDPM 29	Highway planting policy – Exceptions require approvals.	N/A	N/A	NO	NO	
PDPM 29	Separate landscape & roadway contract requirement – Exceptions to policy must be approved.	N/A	N/A	NO	NO	
PDPM 29	Landscape Funding - Exceptions to policy must be approved.	N/A	N/A	NO	NO	
PDPM 29	Plant establishment periods - Exceptions to policy must be approved.	N/A	N/A	NO	NO	
PDPM 29	Landscape Maintenance Costs - Exceptions to this policy must be approved	N/A	N/A	NO	NO	

Introduction

The purpose of the Design Stewardship Agreement⁴ is to provide a contractual document which transfers the decision making authority from Caltrans Headquarters Division of Design (DOD) to individual districts and defines how the district and DOD will operate together with Stewardship delegation.

As related to the Design Stewardship Agreement the DOD has defined stewardship as follows:

Design Stewardship is about the co-management, co-administration, and co-responsibility of the design standards, policies and procedures the department uses to manage the state transportation system. Stewardship consists of a delegation of responsibilities and a mutual accountability of assuring that those responsibilities are executed. Stewardship is a joint responsibility for the development and implementation of the state transportation system. Delegation of responsibilities and mutual accountability are defined as follows:

The **delegation of authority** means the transfer of approval authority from DOD to the district for specific project level decisions as defined in this agreement.

DOD will retain some project level decisions and all program level corporate activities related to delivering the state transportation program, such as leadership, technology deployment, technical assistance, training, problem solving, performance management and process improvement.

Mutual accountability refers to accountability shared by both parties and is managed by the performance measurement, risk management, technical consultation, dispute resolution, and the sharing of best practices between DOD and districts.

Stewardship, as outlined in this document, is exercised through program management and project level activities.

The baseline Design Stewardship Agreement, as well as the Negotiated Design Stewardship Agreement Delegations of Authority, delegates only DOD approvals but does not include approvals needed from other department divisions. The delegations presented in this document are consistent with but do not affect the delegations between FHWA and Caltrans.

Design Stewardship Agreement Plan Overview

The Design Stewardship Agreement plan is based on the following criteria:

- A uniform baseline approval authority for all districts
- The allowance for additional approval authorities to individual districts when warranted and mutually agreed upon
- A consistent format for stewardship and performance measurement
- Clarity approval authority responsibility

The Design Stewardship Agreement is intended to be periodically amended and updated as the needs and goals of each individual district change over time.

⁴ This document is known as the Design Delegation Agreement

Roles and Responsibilities

The following roles and responsibilities with regards to the Design Stewardship Agreement pertain to the Caltrans DOD, except where otherwise noted. The Project Delivery Coordinators and other DOD managers will continue to provide approvals for non-delegated authorities as needed. The three main bodies to implement the Design Stewardship Agreement are the individual Districts, the Resource Center (see Figure 1), and the Office of Performance Management.

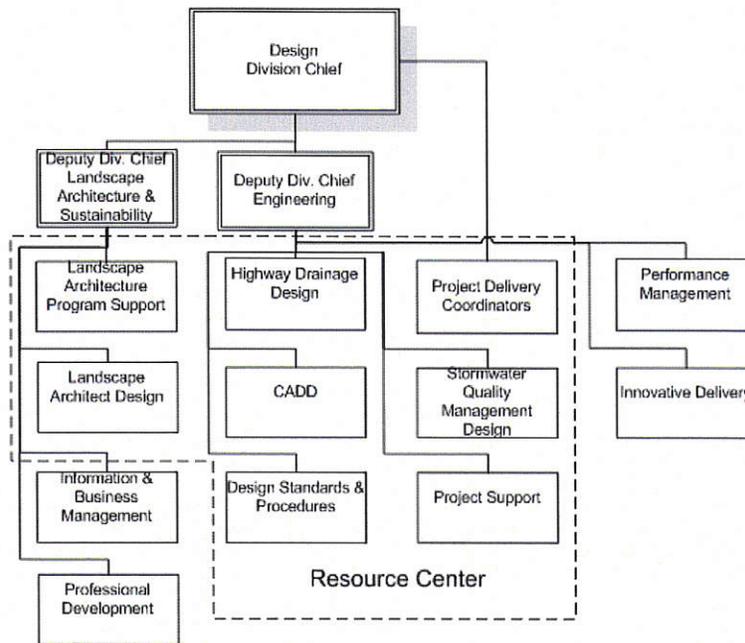


Figure 1 DOD Organization Chart

Districts

Each district is expected to accept the baseline Design Stewardship Agreement Delegation Authority as presented below and will have the option to negotiate an increased level of authority beyond the baseline, reflecting their district needs. Each district will also be expected to provide an organizational structure to implement a Stewardship Quality Management Plan (SQMP) as part of the Design Stewardship Agreement. This SQMP will outline and define how the district will ensure adherence to the Design Stewardship Agreement.

Delegation of the Authorities through this Design Stewardship Agreement will transfer to the District Director. These delegations affect civil engineer works and are therefore subject to the Business and Professional code as defined in sections 6730-6731.1. If a District Director is not a registered Professional Engineer, further delegation is required in writing to the District/Regional manager responsible for the Design function. These delegations may further be delegated in writing within the design function, but not below the Supervising Transportation Engineer Level.

As noted before, the individual districts will have the opportunity to periodically amend the Design Stewardship Agreement, including the negotiated level of delegated authorities and the SQMP as needed in the future.

DOD Resource Center

The DOD Resource Center is a term applied to the expertise provided by the Project Delivery Coordinators, and subject matter experts in the DOD offices. These individuals will provide guidance and support for the districts with regard to delegated authorities of the Design Stewardship Agreement when called upon. It should be noted that the DOD Resource Center will provide subject matter expertise on topics such as geometrics, ADA standards, utility encroachments, encroachments, route matters, CADD/GIS, hydraulics, stormwater, roadside management, and landscape design, among others. The Resource Center may call upon and coordinate other functional areas outside of the DOD to assist in providing input and guidance.

The DOD Resource Center will develop strategies, tools and events that will share knowledge and foster the statewide consistent application of design standards and policies.

Office of Performance Management

The Office of Performance Management (OPM) will act to ensure that the individual Design Stewardship Agreements for each district are implemented. The OPM will conduct periodic reviews, measures compliance with each district SQMP, and specific performance measures. The OPM acts as the custodian of the Design Stewardship Agreements and will coordinate future modifications of the agreements and/or SQMPs. These reviews will serve to identify areas of improvement or best practices of either DOD or districts. The OPM will coordinate with the Project Development Coordinators to help facilitate change to the Stewardship Agreement.

Joint Roles and Responsibilities

It will be the joint role and responsibility of the above entities to abide by the agreed upon delegated authorities and SQMPs. It is the joint responsibility of the districts and Project Delivery Coordinators to determine any necessary further definition of delegated authorities not covered by the initial Design Stewardship Agreement and to document the decisions made (e.g. this would apply to projects with scopes that cross multiple facility types). There is an expectation that joint roles and responsibilities are determined by consensus; however when disagreements cannot be resolved, the dispute resolution process as prescribed in the Project Development Procedures Manual Chapter 21 will be followed.

Baseline Design Stewardship Agreement Delegation of Authority

Refer to Appendix C, the baseline Design Stewardship Agreement applies to all DOD approvals on conventional highways and expressways for all districts. In addition, the following approval authorities apply to freeways and will be delegated to the districts:

- Approval of Freeway Agreements, Controlled Access Highway Agreements, and Route Adoption maps.
- Encroachments due to recycled water systems
- Denomination of freeway declaration for facilities operating as conventional highways and expressways or unconstructed routes
- Approval of exception to accessibility design standards for all highway types that is conventional, expressway, and freeway.⁵
- Previously district delegated mandatory design exception approval authorities as shown in the Highway Design Manual (HDM) will remain unchanged (enacted in 2013).

⁵ This sentence is different from the implementation plan to clarify the span of delegation for ADA standards.

The following approval authorities are excluded from the baseline Design Stewardship Agreement and retained by the DOD:

- Project of Statewide Interest (POSI) as defined in Appendix A
- High-low underground utility risk policy approvals
- Longitudinal utility encroachments on freeways or expressways
- Non-utility encroachments
- Safety Roadside Rest Areas Master Plan
- Non-Standard Special Provision (NSSP) approvals within DOD.

Negotiated Design Stewardship Agreement Delegations of Authority

Each District has the ability to request additional delegation authorities beyond the baseline Design Stewardship Agreement outlined above. Additional Authorities as Negotiated by Districts may include, but are not limited to:

- All design approvals on freeways
- Longitudinal utility encroachments
- Hi-low underground utility risk policy approvals
- 2R Project Certification concurrence for freeway projects.
- Conditions will be included in an appropriate SQMP which demonstrates a proven ability to responsibly manage the requested additional delegations