# Design Delegation Agreement

## District 8
## Design & Engineering Services

Prepared by:

District 8 – Design Division

# DESIGN DELEGATION AGREEMENT APPROVALS

Caltrans, as the 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 maintain the accountability of the department's agents, leaders and staff for carrying out these responsibilities.

This Stewardship Agreement made and entered into this 28th day of August, 2015, by and between the Chief, Division of Design and the District Director:

- The Director has delegated authority to the District Director, dated July 1, 2012.
- The Director has delegated authority to the Chief Engineer, dated December 10, 2012.
- The Chief, Division of Design delegated to the District Director certain approvals, as prescribed in the June 7, 2013 memorandum.
- The Chief Engineer has delegated authority to the Chief, Division of Design, dated June 18, 2013.

The District Director of District 8 hereby requests design delegation authority for the baseline delegations listed in the Baseline Stewardship Agreement Delegation Authority to the Districts matrix (Appendix A). This Stewardship Quality Management Plan describes how the delegated authority will be managed.

Upon approval, certain baseline delegations will be sub-delegated by the District Director to the Deputy District Director of Design.

JOHN BULINSKI
District Director

Approved By:

TIMOTHY CRAGGS
Chief, Division of Design

# DISTRCT 8
# STEWARDSHIP QUALITY MANAGEMENT PLAN

## Introduction

This Stewardship Quality Management Plan (SQMP) is the basis for managing the baseline delegations of authority granted from Caltrans Headquarters, Division of Design (DOD) to the District Director, as documented in the Design Stewardship Agreement Plan[1] (Appendix B). Upon DOD approval of authority for the baseline delegations, the District may revise this agreement and request for authority of additional delegations. This SQMP includes District's expectation of DOD's commitment to provide the support needed for the District to be successful. With the approval for authority of the baseline delegations, it is the District's intent to maintain close coordination with DOD while developing safe and quality projects.

This agreement provides the framework and direction to ensure successful delegation with consistency and assurance that approvals of delegated authorities are based on good decisions These good decisions will be substantiated with quality documents which will be reviewed by technical and management authorities who will utilize appropriate justification and engineering judgment. The District will use the principles of Leadership, Strategic Planning, Workforce, Detection and Results that are described in this SQMP. The systems and processes of this SQMP will be utilized to meet the delegation responsibilities that are applicable to the baseline delegations of authority and any additional future delegations of authority. Improvements to this SQMP will be made as experience is gained and resolutions are developed.

Documentation these processes in the SQMP allows for staff, management and organizational leadership to provide direction and guidance to all involved.

## Leadership

See Figure 1 for Delegation Organizational Chart.

Upon delegated authority approval, the District Director will maintain approval authority of Highway Route Matters delegations. In addition to the Mandatory Design standards and the July 2013 delegated standards, the District Director will sub-delegate all Geometric Decisions & Approval delegations to the Deputy District Director (DDD) of Design, as indicated in the Baseline Stewardship Agreement Delegation Authority to the Districts matrix. This sub-delegation will be formally documented by a signed Sub-Delegation Agreement between the District Director and DDD of Design. A copy will be kept in every project history file along, with the copy of the Design Delegation Agreement Approvals page. In the absence of the District Director, protocols will be established to temporarily designate the DDD of Design with approval authority on the District Director's behalf. In the absence of the DDD of Design, the DDD of Design will temporarily designate a Supervising Design Manager with the authorization to approve documents on his/her behalf.

[1] This document is known as the Design Delegation Agreement

When a permanent change of District Director occurs, the new District Director will issue a written request to the Chief, Division of Design, requesting approval for change of delegation appointee. When a permanent change in DDD of Design occurs, a new Sub-Delegation Agreement will be signed by the District Director and the new DDD of Design. A copy of both documents will be added to all current project history files, as well as on the Design website.

The following are additional leadership roles and responsibilities that will help ensure successful implementation of delegated authorities:

- DDD of Design will take the lead on outreach efforts to inform and update District staff of these delegations, including Highway Route Matters. The District Director will support all outreach efforts by disseminating information to Executive Management for implementation.
- The DDD of Design will distribute a copy of this SQMP along with the signed Sub-Delegation Agreement to all District staff involved in project development.
- Supervising Design Managers will spearhead Project Engineering (PE) and Project Management forums to inform staff of the delegated authority and to answer any questions on implementation.
- The DDD of Design will designate a Design Liaison (DL) who will be responsible for facilitating the review and approval of all delegated authorities. The responsibilities of the DL will also include acting as liaison between the District, DOD and Federal Highway Administration (FHWA) on technical issues that require DOD and FHWA involvement, clarification and/or resolutions. The DL shall update the Project Delivery (PD) Coordinator with the status of the District's delegation process and issues. In order to maintain consistency with design issues and interpretation of design standards/guidelines, concurrence by the DL is required before any issues are brought to DOD and FHWA for review.
- The DL will be the first point of contact for Divisions outside of Design.
- Through direction of the DDD of Design, in coordination with the DL and the PD Coordinator, Supervising Design Managers will conduct Lessons Learned meetings on a quarterly basis up to one year after the date of the signed initial Design Delegation Agreement to discuss necessary adjustments to the SQMP and the potential for additional design approval delegations. Meeting minutes will be provided to the District Director and all District Deputy Directors, who will be responsible for sharing with their staff. The DDD of Design may continue these meetings beyond the first year, if determined necessary.
- Project Management will coordinate with the DL to identify the need for approval of Highway Route Matters. The DL will facilitate discussions for obtaining District Director approval.
- The District will maintain a Quality Control/Quality Assurance (QC/QA) Coordinator who will be responsible for performing quality audits to verify compliance with the SQMP, as well as the District's QC/QA Plan.
- Any proposed modifications to the SQMP must be approved by the District Director before submital to DOD.

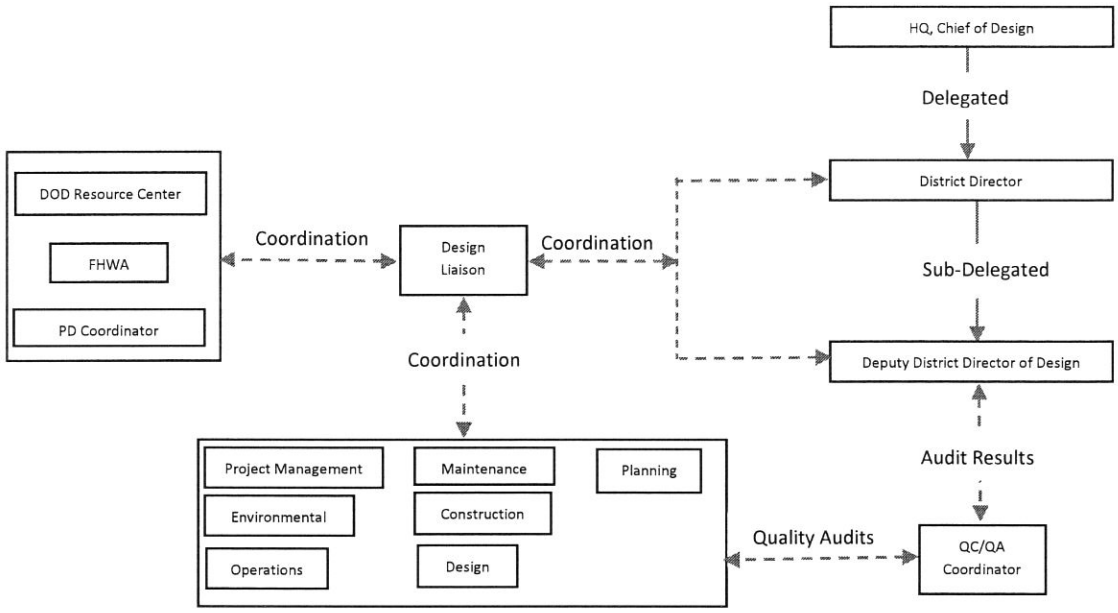



**Figure 1 – Delegation Organizational Chart**

- DOD will budget travel allowances for DOD Resource Center meetings with the DL as part of maintaining Statewide consistency and providing input on design policies, standards and practices.

## Strategic Planning

The Stewardship Agreement delegation 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 delegation authority, 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.

The strategic plan for monitoring the District's implementation of delegated authorities is as follows:

- District Design Division will integrate the SQMP into its current project development process with subsequent outreach and communication to all staff, as deployment commences.
- As part of the goal to educate staff, the Design Stewardship Agreement and SQMP will be posted on the District's Design Division website: (http://sv08web/design/D8Policies.shtml).
- The SQMP, and any updates, will be shared at the Executive Staff, Senior Staff and Functional Unit team meetings.
- New policies/memos will be announced via email to all staff and will be posted on the Design Website.
- A PE and Project Management forum will be scheduled to inform staff of the delegated authority and to answer any questions on implementation.

- Lessons Learned meetings will be conducted to improve the approval process of delegated items. Positive results and/or improvement actions developed from the Lessons Learned meetings will be the basis for sustaining approval authority.
- A Project Design Resolutions form, created by District Design Division, will be used to document/track resolutions to issues (e.g., interpretation of policies, standards and guidelines of delegated authorities) that would require concurrence from DOD or management from at least the Senior level.
- The DL will be resourced by the District Design Division to perform the duties as described in the SQMP.
- The DL will also maintain coordination with other District Divisions outside of District Design Division to ensure the interpretation of delegated authorities are consistent throughout the District.
- The DDD of Design, DDD of Program/Project Management and DL will meet with the PD Coordinator during visits to the District to discuss project issues, risk assessments and lessons learned.
- DOD will cover travel expenses for the DL to travel to Sacramento periodically (12-16 trips), as well as other travel that may be warranted to maintain and enhance communication between DOD and the District Design Division, for one year beginning in the 2015/2016 Fiscal Year.
- DOD will include the DL in reviews and comments of policy, procedural, standards and guideline changes that affect the project development process.
- DOD will continue to invite the DL to meetings with PD Coordinators and other District DLs.
- The DDD of Design and DL, with the support from the PD Coordinator, will coordinate with DOD Resource Center regarding SQMP implementation, policy interpretation and discuss lessons learned for improvements to the SQMP and other required documents.
- The DDD of Design will monitor and report the progress of the District's implementation plan to the District Director and the Chief, Division of Design. The number and type of exceptions for delegated authorities will be used as key indicators for measuring how well the implementation plan is performing.
- The DDD of Design will work with DOD to identify training needs and improvements to the SQMP to address other Divisions affected by the delegation.
- The DDD of Design will consult with DL and PD Coordinator in developing goals for future delegations.

## Customer Focus

The District Design Division understands that this delegation of authority will affect the following District Divisions and stakeholders:

1. Project Management
2. Planning
3. Environmental
4. Traffic Operations
5. Maintenance

6. FHWA
7. Local Agencies, Consultants and A&E Contracts

Information regarding delegations that affect stakeholder's interests and concerns will be shared via Project Development Team (PDT) meetings. Through PDT meetings, stakeholder's interests will be documented by meeting minutes and incorporated into the design, if determined feasible and safe by the Responsible Engineer. The Project Manager will take the lead on handling issues related to Highway Route Matters delegations and the Design Senior will take the lead on all other delegations. The Project Manager and Design Senior will coordinate with the DL to identify delegated authorities that may affect stakeholder requirements and interests. With support of the DL, the Project Manager and Design Senior will engage all applicable functional units and stakeholders to inform them of delegated authorities that may impact their requirements and interests. Discussions for proposed resolutions will be facilitated by the DL and in coordination with the PD Coordinator. With support of the Design Senior, Project Manager and Task Managers, the DL will facilitate discussions for obtaining District Director or DDD of Design resolution/approval. When a resolution cannot be determined at the District level, DOD will be asked to intervene and provide a resolution. The Design Senior and The Project Manager will be responsible for ensuring all resolutions to issues that require concurrence from DOD or management from at least the Senior level are tracked and recorded in the Project Design Resolutions form. This form will be shared and kept in the project history file. All approvals to delegated authorities (e.g., design exception fact sheets, approval letters, Freeway Agreements, etc.) will be distributed, as required, and copies will be kept in the project history file.

## Workforce

The following is a breakdown of the District's plan for successful deployment of the delegated authorities:

- District Director will notify all project delivery staff (i.e., Planning, Traffic Operations and Maintenance) of the Design Delegation Agreement, Sub-Delegation Agreement, SQMP and staff roles and responsibilities.
- Deputy District Directors will be responsible for ensuring their division is aware of the delegation of authorities, sub-delegation of authorities and roles and responsibilities.
- District Design Division will maintain a DL, who will be responsible for coordination between District Design Division, DOD, FHWA and Divisions outside of Design. The DL will be the first point of contact under the Design Delegation Agreement.
- At a minimum, the DL will be resourced in project work plans to perform all necessary duties as described in the SQMP.
- Ongoing training between DOD, District, DL and District staff regarding design flexibility, documentation of delegations will be needed to ensure the State's design immunity.
- District Design Division and Program/Project Management will initially be educated of the SQMP during the regularly scheduled staff meetings. For District Design Division, the Design

Senior will be responsible for training and updating his/her team. Focused training sessions will be available to each team upon request of the Design Senior.

- The DL will update other District Divisions outside District Design Division (e.g., Traffic Operations, Program/Project Management, Maintenance, etc.) of requirements and changes to the delegated authorities.
- The primary focus for the DDD of Design will be the approval of exceptions to sub-delegated authorities. The primary focus for the District Director will be approval of all other delegated authorities.
- The Design Project Database will to be used to document and track project reviews during the PID, PA&ED and PS&E phases.
- Training other District Divisions (i.e., Planning, Traffic Operations, Environmental, Construction and Maintenance) of these delegations will be available by the District Design Division and facilitated by the DL.
- It is the District's expectation that the DOD Resource Center will provide support with subject matter experts. Their guidance and support will be available when called upon for technical support and coordination with other functions, as well as to clarify policies and ensure training consistency on policies.
- The District will utilize Reporting Codes in order to capture and identify the actual workload in accordance to the Design Delegation Agreement. The District will coordinate with DOD to develop appropriate reporting codes that can best help in identifying critical effort needed in order for the District to adhere to the delegation authority agreement.

## Detection

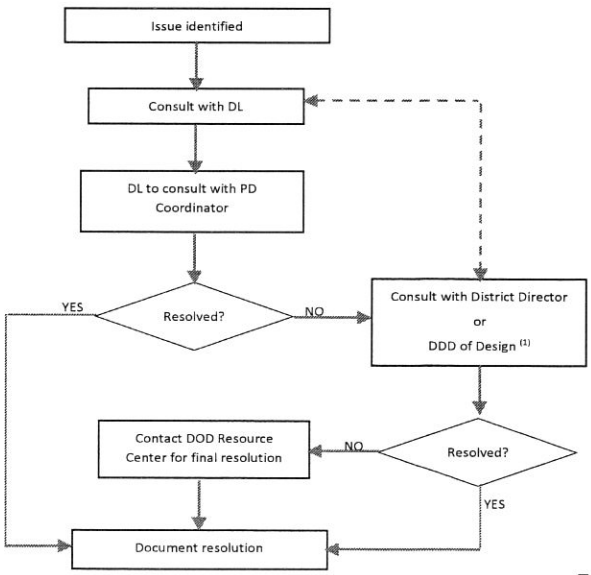
The following is the process that the District will follow to help assess the level of acceptability regarding services and project documents that are developed as a result of the delegated authorities:

- Policies, Department procedures, Design Delegation Agreement/SQMP, Design Stewardship Agreement Plan, Sub-Delegation Agreement and District's QC/QA Plan will be located on the District's Design website. A repository for design exception fact sheets, FHWA approvals, District Director approvals and Project Design Resolutions form will be located on the District shared drive.
- The District Design Division will use checklists during the development of project documents to ensure consistency and adherence to design standards and procedures. These checklists will be updated to reflect changes to policies, guidelines and standards.
- The District Design Division will utilize Independent Quality Assurance (IQA) reviews throughout the development of a project (e.g., Project Initiation Documents, Project Reports, Fact Sheets, Design Plans, etc.). This includes 30%, 60% and 95% Design & Constructability reviews. Documents will be circulated to an established set of independent subject matter expert reviewers. Through coordination with the DL, reviews by subject matter experts from the DOD Resource Center may also be requested. Comments and resolutions will be tracked using the Design Project Database.

- District Design Division will utilize a Geometric Approval Drawing (GAD) process that will occur during the Project Approval & Environmental Document (PA&ED) phase. The GAD process is performed to identify major design elements in order to determine if the proposed design meets the requirements of the Highway Design Manual and any other pertinent polices standards, guides and regulations (e.g., High-Occupancy Vehicles, Americans with Disabilities Act, etc.). The District Traffic Operations Engineer and the DL, with coordination of the PD Coordinator, will be key reviewers during the GAD process. The review comments and resolutions will be documented and tracked utilizing the Design Project Database. It is required that the GAD be reviewed by the DL, concurred by the District Traffic Operations Engineer and approved by the Design Senior.
- In addition to the design exceptions, the DL will also provide independent checks for all delegated authorities including Highway Route Matters (i.e., Freeway Agreements, reopening of Route Adoptions, deviations from Route Adoptions, Route Adoption Maps, Performance Agreements and Denominations) to ensure consistency throughout the District under the Design Delegation Agreement. Comments and responses to comments will be recorded and tracked in the Design Project Database. Resolutions requiring concurrence from DOD or management from at least the Senior level will be documented on the Project Design Resolutions form.
- Through coordination from the DL, the Project Manager will be responsible for identifying the need for approval of Highway Route Matters delegated authorities. Upon identification for the need of approval, the Project Manager will consult with the DL and coordinate with the appropriate functions to ensure all necessary information is provided. The DL will facilitate discussions for obtaining District Director approval. Documentation of resolutions will be shared with the PDT, project staff and DDD of Design and kept in the project history file.
- Quality audits will be randomly performed to check for adherence to the SQMP, as well as the District's QC/QA plan. Results will be saved in the project history file.
- DOD Office of Performance Management will provide direction and guidance to help improve the IQA and audit process (e.g., determine performance measures, identify key items, how often audits should be performed, accountability, etc.). It is expected that the DOD Office of Performance Management will also conduct periodic reviews, measure compliance with the SQMP and assess performance measures.

## Issue Resolution

It is District's intent to resolve issues at the lowest level, when possible. If a conflict occurs, a conflict resolution process (Figure 2 - Issue Resolution Ladder) will be utilized using the SQMP principles of Leadership, Strategic Planning, Workforce, Detection and Results. Through guidance from the DL, District Design




[1] For Sub- Delegated authorities

**Figure 2 – Issue Resolution Ladder**

Division will take the lead on resolving conflicts regarding sub-delegated authorities and District Program/Project Management Division will take the lead on resolving Highway Route Matters delegated authorities. All conflict resolutions will be reviewed and facilitated by the DL until resolved. Resolution by DOD Resource Center will be requested if no resolution is found after consultation with District Director or DDD of Design.

When an issue arises as a result of differing interpretation of standards/requirements between District Functions, the DOD Resource Center shall be called upon to provide resolution. The District expects that the PD Coordinator and/or the DOD Resource Center will provide response within a timely manner, so as not to delay project delivery milestones. The Design Senior and Project Manager will track and record project issues and resolutions on a Project Design Resolutions form and kept in the project history file. The DDD of Design and DL will prepare an annual report summarizing any issues that may arise which may include documentation of conflicting delegation authorities and conflicts with customer and stakeholder interests, as well as Statewide and District consistency in the application of standards and policies. This report will be shared with DOD. This report may be referenced by the District Director and DDD of Design as a way to resolve systemic issues without requiring involvement from DOD. Lessons will be shared at the periodic meetings between all Districts and DOD.

## Results

DOD will be developing Results criteria at a future date and will be collaborating with all districts and regions establishing performance indicators.
The District will measure its organizational performance and improvements in achieving its strategic objective by:

- A report which will be prepared semi-annually to track approval of authorized delegations for timely completion and proper documentation.
- Tracking document review comments of authorized delegations by various subject matter experts and stakeholders (e.g., DL, Traffic Operations, Construction, Local Agencies, Maintenance, etc.).
- Documenting all training efforts, improvements, inefficiencies and discussions related to authorized delegations.
- Assessing results periodically in a performance measure report summarizing the quantity, category and type of documents, lessons learned. Key indicators to be reported will be:

  - ✓ Quantity: Number of post stewardship delegated approvals, number of FHWA approvals, etc.
  - ✓ Category: DIB, HDM, PDPM
  - ✓ Type: Fact Sheets, deviations from adopted routes, ADA guidelines, etc.
  - ✓ Lessons learned: Feedback from stakeholders, "Project Design Resolutions" form, meeting minutes, quality audits, etc.

Quality audits, which will be performed randomly throughout the project development phases, will be based on the SQMP, as well as the District's QC/QA Plan. Audits will be performed on randomly chosen elements such as, but not limited to:

- Use of Design Project Database
- Maintenance of project documentation
- Tracking of project design resolutions
- Utilization of DL
- Identification of impacted delegated authorities
- Turnaround time for Responding to comments

| Baseline Stewardship Agreement Delegation Authority to the Districts | | | | | | |
|---|---|---|---|---|---|---|
| **Highway Design Manual (HDM)** | | | | | | |
| **Manual/Topic** | **Description** | **Conventional Highway** | **Expressway** | **Freeway** | **Interstate Freeway** | **Sub-Delegation** |
| Advisory Design Standards | Advisory standards use the word "should" and are indicated by Underlining | DELEGATED | DELEGATED | DELEGATED | DELEGATED | DDD of Design |
| 2013 Delegated Mandatory Design Standards[2] | Authority to approve deviations from this Mandatory Standard is delegated to the District Director as noted by (2) in the HDM | DELEGATED | DELEGATED | DELEGATED | DELEGATED | DDD of Design |
| 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 | DDD of Design |
| **Design Information Bulletins( DIB), Design Memorandum and Executive Orders** | | | | | | |
| DIB 77 | Interchange Spacing | N/A | DELEGATED | NO | NO | DDD of Design |
| DIB 79 | 2R Project certification Design guidance and Standards for Roadway Rehabilitation Projects and Certain Other Projects | DELEGATED | DELEGATED | NO | NO | DDD of Design |
| DIB 82 | Pedestrian Accessibility Guidelines for Highway Projects and ADA | DELEGATED | DELEGATED [3] | DELEGATED [3] | DELEGATED [3] | DDD of Design |
| DIB 83 | Caltrans Supplement to FHWA Culvert Repair Practices Manual | DELEGATED | DELEGATED | NO | NO | DDD of Design |
| **Project Development Procedures Manual (PDPM)** | | | | | | |
| PDPM 9 | Modifications to existing access points or new access points to the Interstate System – Review & Approval required. | DELEGATED | DELEGATED | NO | NO | DDD of Design |
| PDPM 9-Article 7 | Traffic signal projects that introduce or perpetuate nonstandard conditions - Exceptions to Mandatory Design Standards | DELEGATED | DELEGATED | NO | NO | DDD of Design |
| HDM-PDPM 82.2(1) - 15-7 | Contract Design Changes (CCOs) - Exceptions to mandatory design standards. | DELEGATED | DELEGATED | NO | NO | DDD of Design |
| PDPM 17 | Existing Utility Longitudinal Encroachments - Exceptions may be granted, but must be approved. | DELEGATED | DELEGATED | NO | NO | DDD of Design |
| PDPM 17 | Utility Encroachments on Toll Bridges – All installations must have approval. | DELEGATED | DELEGATED | NO | NO | DDD of Design |
| PDPM 17 | Reclaimed Water Systems & Encroachments - All installations must have approval | DELEGATED | DELEGATED | NO | NO | DDD of Design |
| PDPM 23 | Approval Authority for Denominations, or Withdrawal of Denominations. | N/A | DELEGATED | DELEGATED | DELEGATED | Not Sub-Delegated |
| PDPM 23 | Reopen Route Studies – requires written approval. | DELEGATED | DELEGATED | NO | NO | Not Sub-Delegated |

[2] All delegated Mandatory Design Standards must be within the Deputy District Director chain of command
[3] Part of delegation implementation plan for ADA standards

| Project Development Procedures Manual (PDPM) | | | | | | |
|---|---|---|---|---|---|---|
| **Manual/Topic** | **Description** | **Conventional Highway** | **Expressway** | **Freeway** | **Interstate Freeway** | **Sub-Delegation** |
| PDPM 2,24 | Conformance to Adopted Route - All deviations from the adopted route must be approved. | DELEGATED | DELEGATED | NO | NO | Not Sub-Delegated |
| PDPM 2 | Route adoption maps – Approval authority and exceptions to policy | DELEGATED | DELEGATED | DELEGATED | DELEGATED | Not Sub-Delegated |
| PDPM 2, 24 | Freeway Agreements and Controlled Access Highway– Execution authority. | N/A | DELEGATED | DELEGATED | DELEGATED | Not Sub-Delegated |
| PDPM 24 | "Project" or "Performance" Agreement – draft document requires review and approval. | DELEGATED | DELEGATED | NO | NO | Not Sub-Delegated |
| PDPM 29 | Highway planting policy – Exceptions require approvals. | N/A | N/A | NO | NO | N/A |
| PDPM 29 | Separate landscape & roadway contract requirement – Exceptions to policy must be approved. | N/A | N/A | NO | NO | N/A |
| PDPM 29 | Landscape Funding - Exceptions to policy must be approved. | N/A | N/A | NO | NO | N/A |
| PDPM 29 | Plant establishment periods - Exceptions to policy must be approved. | N/A | N/A | NO | NO | N/A |
| PDPM 29 | Landscape Maintenance Costs - Exceptions to this policy must be approved | N/A | N/A | NO | NO | N/A |

INTRODUCTION

**Overview**

The purpose of the Design Stewardship Agreement 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 design of 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 accountabilities 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 and 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 changes over time.

**Roles and Responsibilities**

The following roles and responsibilities with regards to the Design Stewardship Agreement pertain to the 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 DOD Resource Center (see Figure 1) and the DOD Office of Performance Management.

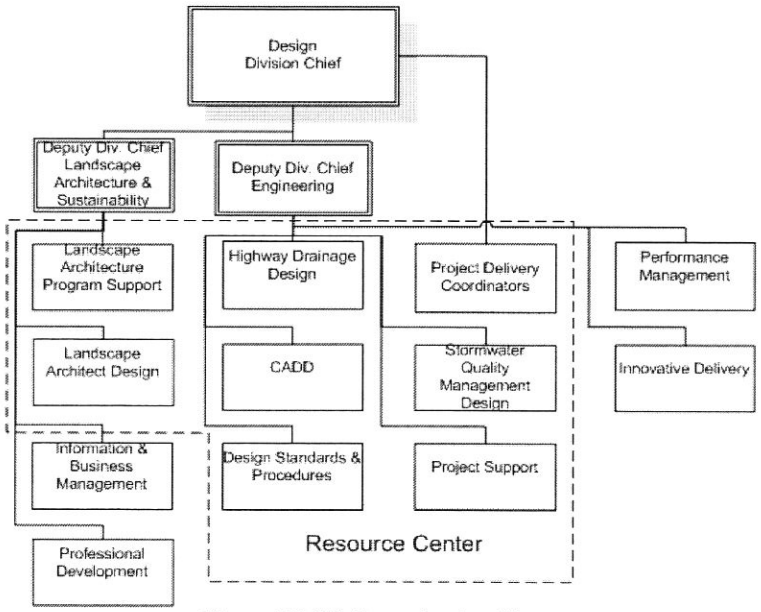



Figure 1 DOD Organization Chart

## 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 Civil 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 (route adoptions, freeway agreements, etc.), 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 Resource Center 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 Delivery Coordinators to facilitate change to the Stewardship Agreement.

**Joint Roles and Responsibilities**

It will be the joint role and responsibility of all 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 further necessary 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**

The baseline Design Stewardship Agreement applies to all DOD approvals on conventional highways and expressways for all districts. (Refer to Appendix C.) 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 in addition to local road connections at freeways
- Previously district delegated mandatory design exception approval authorities (enacted in 2013), as shown in the Highway Design Manual (HDM)

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, as outlined above. Additional Authorities as Negotiated by Districts may include, but are not limited to the following:

- 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.