

District 9
Design Delegation Agreement

December 2015

Prepared by:
District 9
Division of Project Delivery

District 9
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 Design Delegation 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 Design Delegation Agreement between HQ Division of Design and District 9, as outlined herein, further delegates responsibilities established by the following:

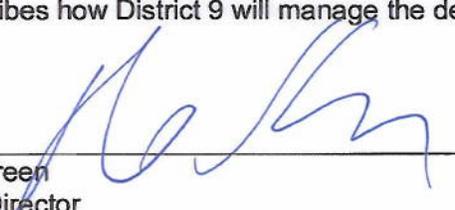
Delegation of Authority from the Director to the Chief Engineer effective December 10, 2012.

Delegation of Authority from the Chief Engineer to the Chief, Division of Design effective June 18, 2013.

Delegation of certain approvals from the Chief, Division of Design to the District Director as described in the Memorandum date June 7, 2013 on Division of Design Policy Updates.

This Delegation Agreement, made and entered into this 7th day of December, 2015, by and between the Chief, Division of Design and the District Director further delegates authorities. The Chief, Division of Design and the District Director mutually agree in carrying out the delegated authority as prescribed in this Design Delegation Agreement.

District 9 requests design delegation authority for the baseline delegations described in the attached Stewardship Quality Management Plan. The District is not seeking any additional delegation authority beyond the baseline agreement at this time. Upon approval of this agreement, the delegated authority will be sub-delegated by the District 9 Director to the Deputy District Director of Project Delivery. The attached District 9 Stewardship Quality Management Plan describes how District 9 will manage the delegated authority.



Brent L. Green
District 9 Director

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



Timothy Craggs, Chief
HQ Division of Design

Introduction

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

The Design Delegation Agreement is a contractual document which responsibly transfers decision making authority from Caltrans Division of Design (DOD) to District 9. In accordance with the Design Stewardship Agreement 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 delegations that are applicable to the baseline Design Stewardship Agreement.

Additional Design Stewardship Delegations of Authority may be requested in the future as outlined in Design Stewardship Agreement Plan. In addition, improvements to this agreement and 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

Upon delegated authority approval, the District 9 Director will sub-delegate to the Deputy District Director (DDD) of Project Delivery all delegated responsibilities as set forth in this agreement. These delegations will be formally documented with signed delegation agreements.

The District 9 Director, as part of their executive staff 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 Director expects 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 District 9 Director, the DDD for Project Delivery, and the District 9 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 flow diagram (Figure 1) outlines the District 9 delegation organization leadership, delegation flow and relationship with the DOD Resource Center and Project Delivery Coordinator.

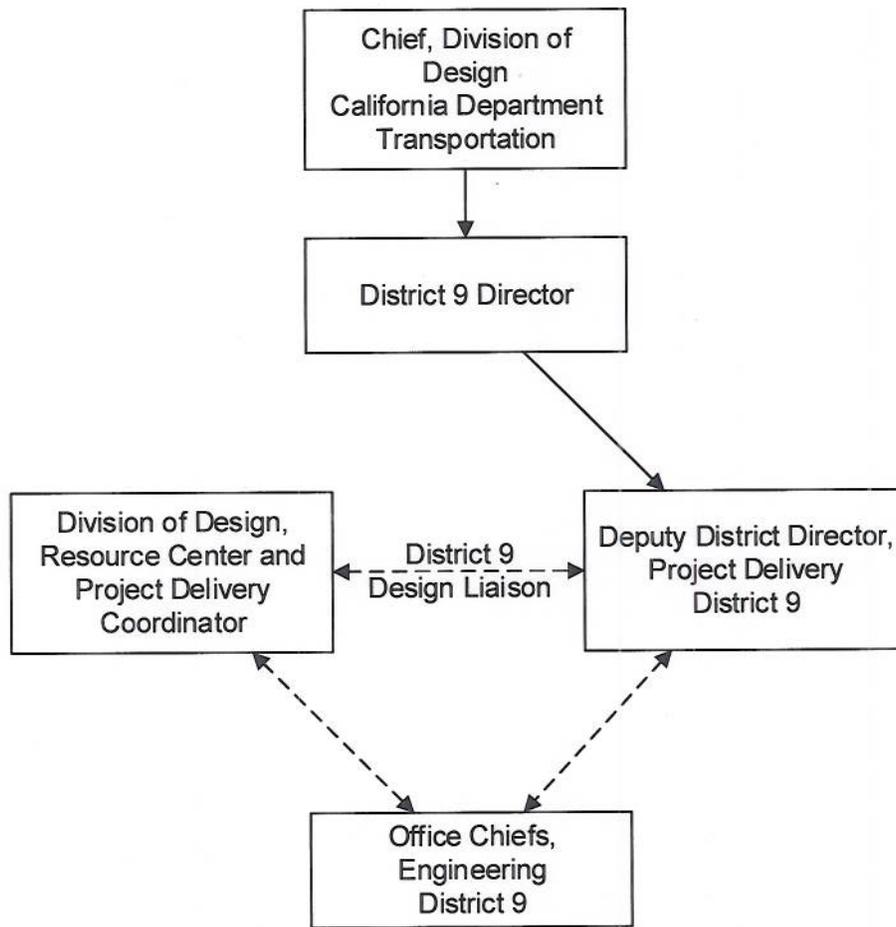


Figure 1- District 9 Delegation Organization Leadership

The District 9 Director, DDD of Project Delivery, Office Chiefs, and the District 9 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. 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 District 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 DDD, Project Delivery. Positive

results and/or improvement actions will be the basis for sustaining approval authority in collaboration with the DOD.

Customer Focus

This agreement gives the district a broad level of authority potentially affecting many inside and outside the organization in different ways. These affected customers and stakeholders of this effort must be considered and their concerns addressed.

Internally, all functions participating in the project development decision making process may be affected by the responsibilities of delegation. Engineering staff have an expectation of good guidance and direction from management on decisions, and district directors must have confidence that the delegated authority is wisely implemented and applied with appropriate documentation. Procedures of the delegation agreement will be discussed in regular meetings, project meetings, and on a project by project basis.

Externally, local partners involved in the planning and designing of improvement projects on the state highway system are affected by this effort. In addition, on system developers will be affected by the delegation agreement. It is anticipated that local partners and developers will welcome the modified procedures as it will facilitate early collaboration. Elements of this agreement and procedures will be presented through regular meetings with these external customers. Their interests and concerns will be captured through meetings, and on a project by project basis. They will be considered for evaluating lessons learned and making future improvements.

Workforce

The primary focus for approval of delegated design decisions will be on the DDD for Project Delivery. However, Office Chiefs (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.

A District 9 Design Liaison will be identified to coordinate interoffice and interdivision design delegation approvals. They will provide guidance in the application of flexible design concepts and will ensure design exceptions meet expected quality requirements, reasonable consistency, and are supported with adequate justification.

The District 9 Design Liaison will serve as the point of contact between DOD and the district. They will also participate in meetings with the DOD to assure statewide consistency of delegated authority. In collaboration with the DOD Resource Center, they will identify training needs for engineers that execute design exception approvals. In addition, the liaison will provide hands on guidance and on-the-job training, as needed, to clarify elements of the Stewardship Agreement to staff at all levels.

The DOD Resource Center will also 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 and ensure training consistency on policies. The following flow diagram (Figure 2) shows the typical delegated decision process with the SQMP.

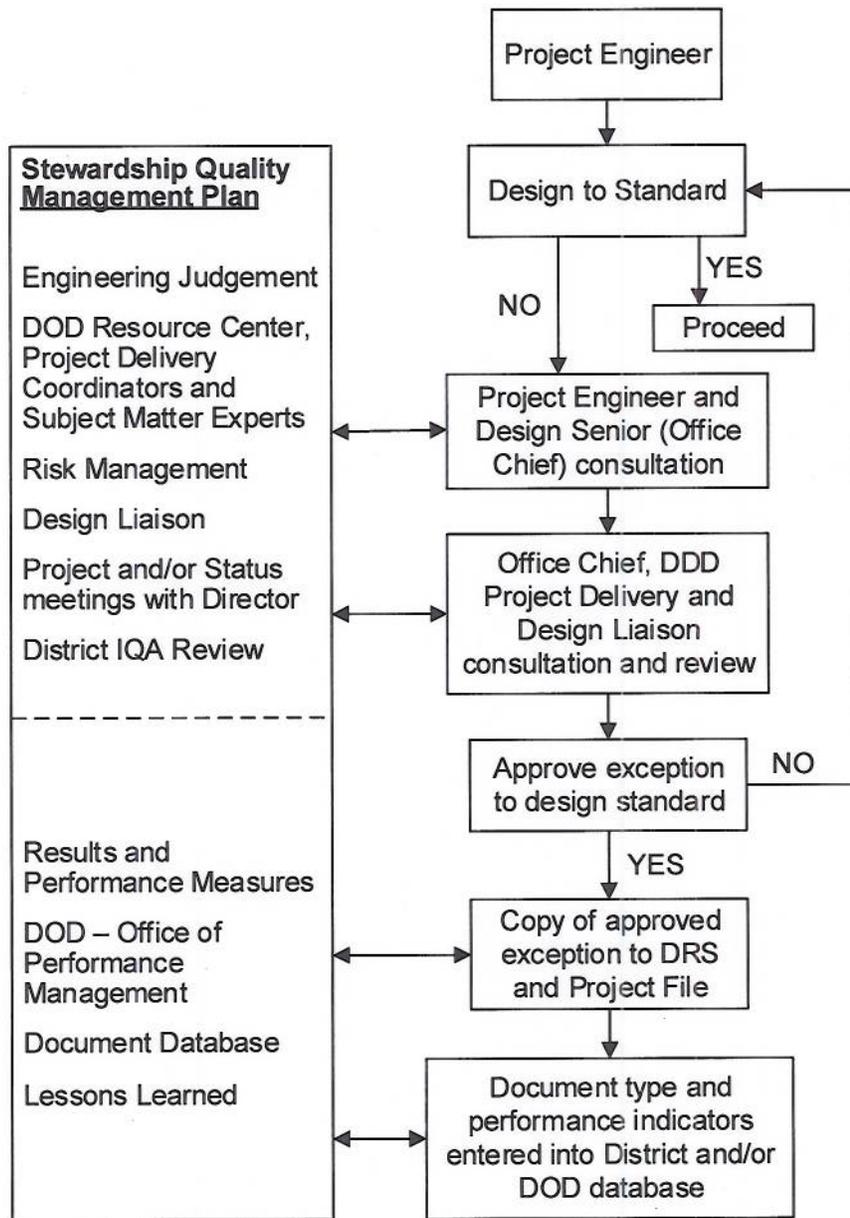


Figure 2- Typical Delegated Decision Process with SQMP

Detection

District 9 will develop written and published district guidance and procedural requirements for implementing the delegation responsibility. The repository for Design Exception Fact Sheets, FHWA approvals, policy procedure decisions, and appropriate Design Decision Documents after approval of the Design Delegation Agreement will be located on a District shared drive. Design Exception fact sheets will be available to Document Retrieval System (DRS). The District 9 Design Liaison and Office Chiefs will ensure the consistent and uniform application of design delegation responsibilities. 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 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

District 9 is prepared to deal with issues that create conflict among the stakeholders. With the Project Engineer, the Office Chief will take the lead in the process to resolve those issues with the help of the project team. Design exception considerations that are developed outside of project delivery (Local Assistance, Encroachment Permit, etc.) shall be discussed with the District 9 Design Liaison. 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, the Office Chief will consult with District 9 Design Liaison, subject matter experts, the DOD Resource Center, Project Delivery Coordinator and, when appropriate, elevate the issue to the DDD for Project Delivery. If the conflict remains unresolved, the DDD for Project Delivery 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 SQMP, are appropriate metrics in the interim.

The District's Results criteria include an annual report on authorized delegations that:

- Tracks number of delegations by County, Route, Post Mile, Expenditure Authority (EA), EFIS Project ID, type of approval for nonstandard design (Advisory, Mandatory, etc.), and feature for which exception approved
- Includes number of approvals beyond district delegation authority
- Documents review opportunities provided to various subject matter experts and stakeholders that may include Traffic Operations, Construction, Maintenance, Local Agencies, and consultants and lists comments received
- Reports on the authorized delegations for timely completion, from time of identification to approval
- Identifies project phase (PID, PAED, PSE, and Construction) that authorized delegation was approved
- Records number of documents requiring formal conflict resolution process

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- Documents all training efforts provided, number of staff trained, and meetings with DOD and Project Delivery Coordinators

The District's Results will be used to periodically assess performance. In addition, informally the District will seek feedback from the DOD Project Delivery Coordinator on performance relative to expected statewide norms. The annual report, DOD Project Delivery Coordinator feedback, District IQA reviews, and comments received by subject matter experts and stakeholders will be used for lessons learned, continued staff training efforts, and improvements to the District's SQMP.

Recommended for Approval:



Bryan Winzenread
Deputy District Director
Project Delivery

12/3/2015
Date

Approved by:



Brent L. Green
District 9 Director

12/3/2015
Date

Baseline Stewardship Agreement Delegation Authority to the District					
Highway Design Manual (HDM)					
HDM Chapter/ Topic	Description	Conventional	Expressway	Freeway¹	Delegated Authority²
Advisory Design Standards	Advisory standards use the word "should" and are indicated by Underlining	Delegated	Delegated	Delegated	Delegation to District 9 DDD Project Delivery
2013 Delegated Mandatory Design Standards	Authority to approve deviations from this Mandatory Standard is delegated to the District Director as noted in the HDM	Delegated	Delegated	Delegated	Delegation to District 9 DDD Project Delivery
All Mandatory Design Standards (Except for Chapter 600) and 2013 Delegated Standards)	Mandatory standards us the word "shall" and are printed in Boldface	Delegated	Delegated	No	Delegation to District 9 DDD Project Delivery
Design Information Bulletins (DIB), Design Memorandum and Executive Orders					
DIB Number	Description	Conventional	Expressway	Freeway¹	Delegated Authority²
DIB 77	Interchange Spacing	N/A	Delegated	No	Delegation to District 9 DDD Project Delivery

¹ If not delegated, see the article "Negotiated Design Stewardship Agreement Delegations of Authority."

² All mandatory design standards must be within the DDD of design chain of command.

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

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

¹ If not delegated, see the article "Negotiated Design Stewardship Agreement Delegations of Authority."

² All mandatory design standards must be within the DDD of design chain of command.

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

Project Development Procedures Manual (PDPM) (Continued)					
PDPM Chapter/ Article	Description	Conventional	Expressway	Freeway¹	Delegated Authority²
HDM-PDPM 82.2(1)-15-7	Contract Design Changes (CCOs) - Exceptions to mandatory design standards.	Delegated	Delegated	No	Delegation to District 9 DDD Project Delivery
PDPM17	Existing Utility Longitudinal Encroachments - Exceptions may be granted, but must be approved.	Delegated	Delegated	No	Delegation to District 9 DDD Project Delivery
PDPM17	Utility Encroachments on Toll Bridges - all installations must have approval.	Delegated	Delegated	No	Delegation to District 9 DDD Project Delivery
PDPM17	Reclaimed Water Systems & Encroachments - All installation must have approval.	Delegated	Delegated	No	Delegation to District 9 DDD Project Delivery
PDPM 23	Approval Authority for Denominations, or Withdrawals of Denominations.	N/A	Delegated	Delegated	Delegation to District 9 DDD Project Delivery
PDPM 23	Reopen Route Studies - requires written approval.	Delegated	Delegated	No	Delegation to District 9 DDD Project Delivery
PDPM 2, 24	Conformance to Adopted Route - All deviations from the adopted route must be approved.	Delegated	Delegated	No	Delegation to District 9 DDD Project Delivery

¹ If not delegated, see the article "Negotiated Design Stewardship Agreement Delegations of Authority."

² All mandatory design standards must be within the DDD of design chain of command.

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

Project Development Procedures Manual (PDPM) (Continued)					
PDPM Chapter/ Article	Description	Conventional	Expressway	Freeway¹	Delegated Authority²
PDPM 2	Route adoption maps - Approval authority and exceptions to policy.	Delegated	Delegated	Delegated	Delegation to District 9 DDD Project Delivery
PDPM 2, 24	Freeway Agreements and Controlled Access Highway - Execution authority.	N/A	Delegated	Delegated	Delegation to District 9 DDD Project Delivery
PDPM 24	"Project" or "Performance" Agreement - draft document requires review and approval	Delegated	Delegated	No	Delegation to District 9 DDD Project Delivery
PDPM 29	Highway planting policy- Exceptions require approvals.	N/A	N/A	No	
PDPM 29	Separate landscape & roadway contract requirement - Exceptions to policy must be approved.	N/A	N/A	No	
PDPM 29	Landscape Funding- Exceptions to policy must be approved.	N/A	N/A	No	
PDPM 29	Plant establishment periods - Exceptions to policy must be approved.	N/A	N/A	No	

¹ If not delegated, see the article "Negotiated Design Stewardship Agreement Delegations of Authority."

² All mandatory design standards must be within the DDD of design chain of command.

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

Project Development Procedures Manual (PDPM) (Continued)					
PDPM Chapter/ Article	Description	Conventional	Expressway	Freeway¹	Delegated Authority²
PDPM 29	Landscape Maintenance Costs- Exceptions to this policy must be approved	N/A	N/A	No	

¹ If not delegated, see the article "Negotiated Design Stewardship Agreement Delegations of Authority."

² All mandatory design standards must be within the DDD of design chain of command.

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

Introduction

The purpose of the Design Delegation 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 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 Delegation 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.

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.

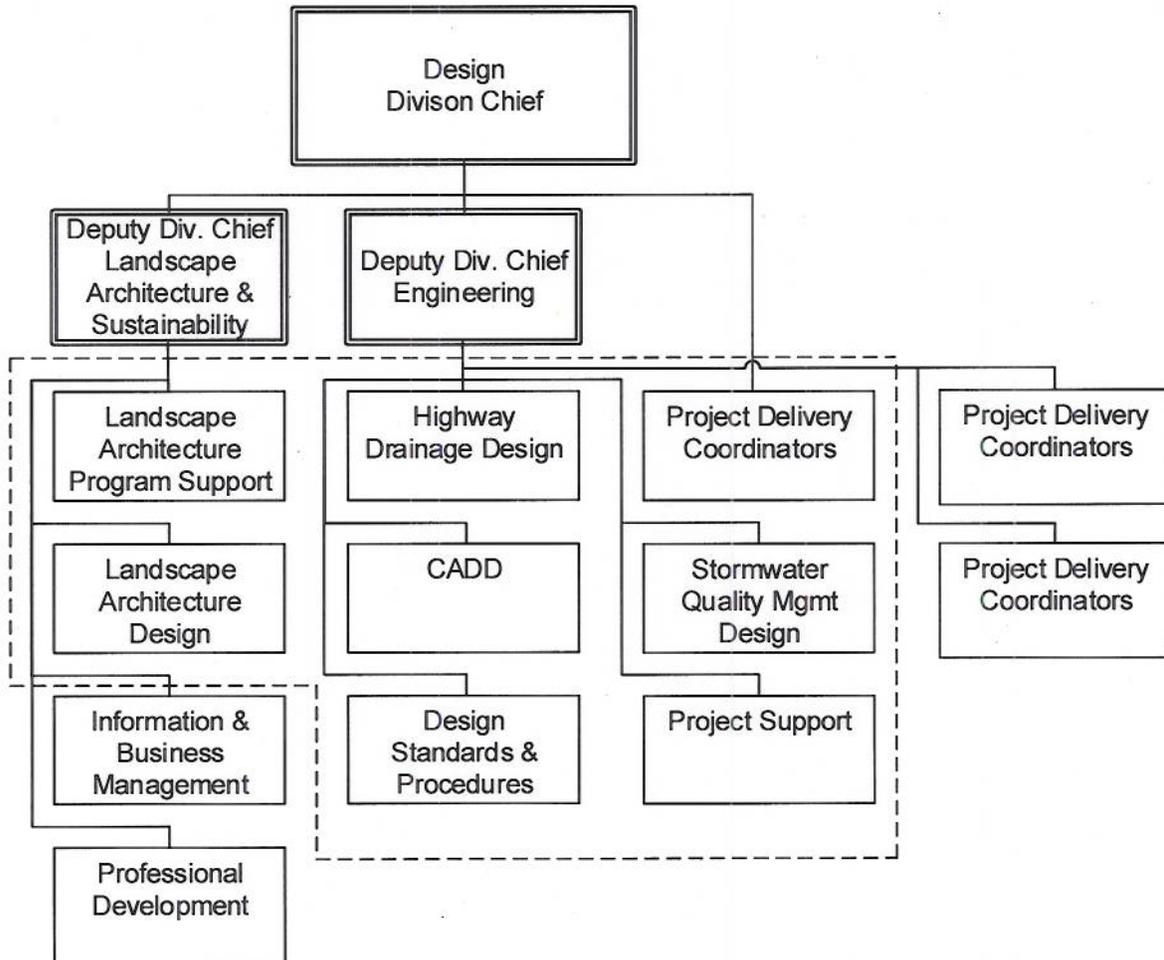


Figure 1 - DOD Organization Chart

Districts

Each district is expected to accept the baseline Design Delegation 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 Delegation Agreement. This SQMP will outline and define how the district will ensure adherence to the Design Delegation Agreement.

Delegation of the Authorities through this Design Delegation 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 Delegation 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 geometries, 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.¹
- Previously district delegated mandatory design exception approval authorities as shown in the Highway Design Manual (HDM) will remain unchanged (enacted in 2013).

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 and new longitudinal utility encroachments on 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

¹ This sentence is different from the implementation plan to clarify the span of delegation for ADA standards.