

Design Delegation Agreement

Caltrans District 11
Design Delegation Agreement
January 2015

Prepared by:

District 11 Division of Design

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

The District 11 Director has been delegated authority dated November 16, 2009.

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

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

This Design Delegation Agreement made and entered into this day of January 30, 2015, by and between the Chief, Division of Design and the District Director. The Chief, Division of Design and the District Director mutually agree in carrying out the delegated authority as prescribed in the attached District 11 Stewardship Quality Management Plan.

I, Laurie Berman, Director of District 11, request design delegation authority for the baseline described in the Design Stewardship Implementation Plan (2014 Delegation) and for the additional design responsibilities as described below.

- Highway Design Manual (HDM) Standards (Except for Chapter 600) on all non-interstate freeways.
- Longitudinal Utility Encroachments on all facilities (Chapter 17, Article 2, Project Development Procedures Manual (PDPM)).
- Exceptions to High-Low Risk Underground Facilities Policy including alternatives to Relocation of utilities (Appendix LL, Section 5, PDPM) on all facilities (Appendix LL, Section 1, PDPM).

The attached Stewardship Quality Management Plan describes how I will manage the delegated authority.



Laurie Berman, District Director, District 11

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



Timothy Craggs, Chief, Division of Design

District 11

Stewardship Quality Management Plan

Introduction:

The District 11 Stewardship Quality Management Plan (SQMP) is the basis for establishing and maintaining a broad level of design approvals from Headquarters Division of Design (HQ DOD) to the district as documented in this District Delegation Agreement and the Design Stewardship Agreement Plan (See Appendix B). In addition to the baseline delegations outlined in the Design Stewardship Implementation Plan the District is requesting the following delegations;

- Highway Design Manual (HDM) Standards (Except for Chapter 600) on all non-interstate freeways.
- Longitudinal Utility Encroachments on all facilities (Chapter 17, Article 2, Project Development Procedures Manual (PDPM)).
- Exceptions to High-Low Risk Underground Facilities Policy including alternatives to Relocation of utilities (Appendix LL, Section 5, PDPM) on all facilities (Appendix LL, Section 1, PDPM).

The SQMP also outlines HQ DOD's commitment to provide the support needed for the district to be successful.

The District Delegation Agreement is a contractual document which transfers the decision making authority from HQ DOD to District 11. The SQMP provides the framework and direction to ensure successful delegation to the District for specific project level decisions. With the understanding that Design Stewardship is a joint responsibility between the HQ DOD and District 11, the SQMP will provide details for the development and implementation of the district lead management and administration of the design standards, policies and procedures the department uses to manage the design of the state transportation system. HQ DOD will provide the necessary support in policy and procedure updates, training, dispute resolution, and quality management.

The SQMP uses the principles of Leadership, Strategic Planning, Customer Focus, Workforce, Detection, Issue Resolution, and Results to define the methodology that will be utilized to manage the delegation authority and responsibilities applicable to the delegations outlined in Appendix A. Appendix A of this document summarizes the delegations. It is anticipated that the SQMP will be periodically amended and updated as the needs and goals of the District change over time.

Leadership:

- Upon delegation of authority the District Director will sub-delegate authority to the District Division Chief of Design. This delegation will be formally documented with a signed delegation agreement.

- District Division Chief of Design will take the lead on outreach effort. District Director will champion the effort with the Executive Team for dissemination out to all District Divisions to discuss at their senior staff meetings for implementation.
- District will create and distribute a “Business Practice” memo on the Design Delegation Agreement to all District staff involved in project development. The “Business Practice” memo will outline how the District is going to implement the provisions in the agreement and this SQMP.
- District to schedule a Project Engineer (PE) Forum to inform all PEs of the delegation authority and to answer any questions on implementation.
- The District will maintain a District Design Liaison whose job responsibility will be to facilitate the review and approval of delegated and non-delegated authorities listed in Appendix A. Responsibilities will also include acting as liaison between the District and HQ DOD on technical issues that require HQ DOD involvement and clarification. The District Design Liaison will represent the District in HQ DOD meetings to assist in maintaining statewide consistency of design policies and standards.
- District Division Chief of Design will conduct a “lessons learned” on a quarterly basis during the first year of implementation, in coordination with the HQ Project Delivery Coordinator, to make necessary adjustments to the District Business Practice and SQMP documentation.
- As the District’s organizational structure or executive staff changes, the District will review the provisions of the District’s Design Delegation Agreement and SQMP to ensure that they remain in place; or modifications will be made with HQ DOD as necessary.

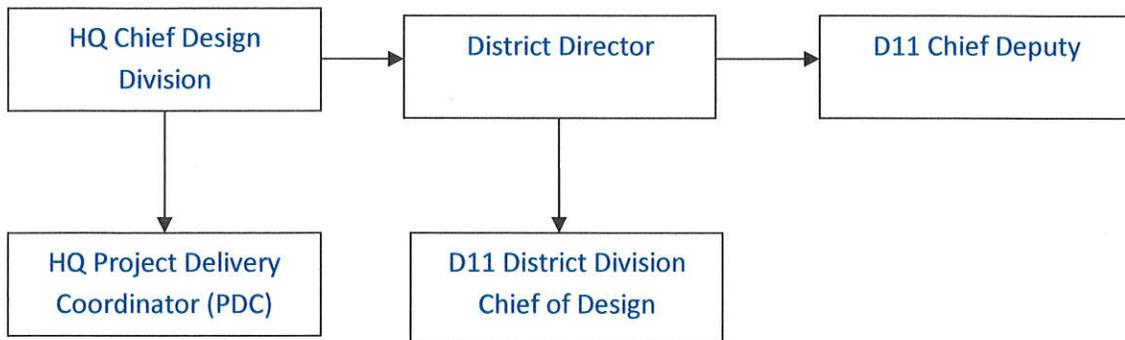


Figure 1: District 11 Delegation Organization Leadership

Strategic Planning:

- The District Delegation Agreement, Business Practice, and approved SQMP will be included on the District's Intranet Design website, with updates as necessary, as part of the District Strategic Plan for the District Design Division and other Divisions to which the agreement applies, such as Traffic, Maintenance, etc.
- The District currently has project resources identified for 0.5 of the District Design Liaison time covering Fiscal Year (FY) 14/15. The District will continue to utilize 0.5 Person Year (PY) from HQ DOD for the 14/15 FY. Beginning FY 15/16 the District Design Liaison will be resourced entirely in the District, predominately to capital projects.
- Effective July 1, 2015, the District Design Liaison will no longer use resources from HQ DOD however, the HQ DOD will continue to cover travel expenses for the District Design Liaison to travel to Sacramento periodically (12-16 trips per year) as well as other travel that may be warranted to maintain and enhance communications between the HQ DOD and the District Design Division.
- The District Division Chief of Design and District Design Liaison will meet with the HQ Project Delivery Coordinator during the regular visits to the District to go over project issues, risk assessments, SQMP implementation, policy interpretation, and discuss "lessons learned" improvements as necessary to SQMP and required documentation.
- The District will coordinate with the HQ DOD Resource Center regarding SQMP implementation, policy interpretation, and discuss "lessons learned" improvements as necessary to SQMP and required documentation.
- The HQ DOD will continue to invite and host the District Design Liaison at the monthly meetings scheduled and hosted by HQ DOD between HQ DOD, HQ Project Delivery Coordinators and other District Design Liaisons.
- The HQ DOD will continue to invite and host the District Design Liaison to attend the quarterly meetings between HQ DOD and Division of Traffic Operations.
- The HQ DOD will include the District Design Liaison in reviews and comments of policy and procedure change proposals, standards and guideline changes that affect the District's project design.
- The District Division Chief of Design will be responsible for monitoring and reporting on the deployment plan with the District Director and HQ DOD chief. Key indicators reported will be number and type of exceptions approved.

Customer Focus:

- The District will be proactive in customer outreach efforts on Design Delegation Agreement with other District Divisions (i.e. Traffic Operations, Construction, Maintenance, etc.), San Diego Associations of Governments (SANDAG), Southern California Association of Governments (SCAG), Local Agencies, Consultant Sector that works on State Highway Projects, and HQ DOD.

Information regarding delegations that affect various projects will be shared via Project Development Team (PDT) meetings and other standard communications with our partners.

- The District stakeholders include Federal Highway Administration (FHWA), Headquarters Division & Program Managers, SANDAG, SCAG, Transit Agencies, and Local Agencies that fund project work on the State Highways; and Legal Division, who defends Caltrans design immunity for State Highway facilities.
- The engineering analysis and basis for design decisions under Design Delegation Agreement will be documented in appropriate project development documents (i.e. - Project Initiation Documents, Project Reports), Design Decision Documents and Design Exception Fact Sheets. These will be filed in the Project History Files as appropriate. The District will also keep a separate database documenting those approvals post Design Delegation Agreement deployment and provide copies to HQ DOD as requested.
- Post Design Delegation Agreement design decisions will also be documented in project risk registers when warranted, that will take into consideration customer concerns/issues as a basis for design approval decisions without affecting the safety, maintainability, constructability, environmental regulations, public use, etc of the state facility.

Workforce:

- The District currently has and will maintain a District Design Liaison, previously referred to as the District Design Reviewer. The District Design Liaison has been in this position for the last 5 years and will continue in the role as the first point of contact under Design Delegation Agreement.
- A duty statement and permanent position will be created for the District Design Liaison. Future District Design Liaison will be chosen through the appropriate selection process and hold the needed experience and subject matter expertise. The District will seek input from the HQ Project Delivery Coordinator when selecting a future District Design Liaison.
- Under the Design Delegation Agreement, the District Design Liaison position will be in the District Design Branch and be resourced predominately to projects. District Design Liaison will prepare work agreements and District Project Managers and Task Managers will be required to include hours in the project workplans.
- District Director to send out a “business practice” memo to all project delivery staff involved in design decisions to get the word out on the Design Delegation Agreement/SQMP provisions, roles, and responsibilities.
- Ongoing training between HQ and the District and between the District Design Liaison and district staff regarding background, design context flexibility, and documentation of applicable design delegations will be needed to ensure the State’s design immunity and other Department responsibilities.
- The District business practice will document the process requirements and documentation of delegation decisions including capturing all delegation decisions post Design Delegation Agreement in Project Initiation Documents (PID), Project Reports(PR), Ready To List (RTL) checklist and Project History File; and the District will maintain a database documenting those

delegated approvals. Quality process reviews in the District will include District Design Liaison reviews at the project inception, attendance at PDT meetings and 30/60/90 percent constructability reviews, Plan Engineering reviews for project log-in, and end with District Circulation reviews prior to project Plans Specification and Estimate (PS&E) to ensure the District's SQMP and documentation of approvals are met under Design Delegation Agreement.

- The District holds Executive Constructability meetings on complex projects with significant utility issues.
- The existing Project Reviews Organization System database (PROS) will continue to be used to document project reviews (PID, PR, 30/60/90 percent plans and PS&E).
- The District Design Liaison will meet with the HQ Project Delivery Coordinator as needed during District visits to go over project issues, risk assessments, SQMP implementation, policy interpretation, Design Exception Fact Sheet input, utilization of the HQ Resource Center as needed, and to obtain concurrence on Projects of Statewide Interest (POSI) determination and delegation under the District's Design Delegation Agreement for documentation in project PID's and PR's.

Additional District Staff Subject Matter Experts:

- District 11 has had District Staff acting in the role of District Design Liaison for the past 6 years. The District Design Liaison is responsible for providing knowledge of best practices, technical expertise, and recommendations on the solution of design problems related to geometrics, roadside, pedestrian, and bicycle design. Liaise and consult with Headquarters Division of Design, District Management, District Design Managers and Functional Managers. Reviews and assists staff, local agencies and consultants in the preparation of documents including, but not limited to Project Initiation Documents, Project Reports, Modified Access Reports/New Connection Reports, PS&E packages, Mandatory and Advisory Design Exceptions, Encroachment Permit Plans, and Geometric Approval Drawings. Provides technical expertise and guidance to staff, local agencies and consultants in the development of pedestrian facilities. Coordinates with Headquarters Americans with Disabilities Act (ADA) Infrastructure Program and HQ DOD on proposed solutions, policies, guidelines with respect to pedestrian facilities. The District Design Liaison will continue to attend the monthly meetings scheduled and sponsored by HQ DOD between HQ Project Delivery Coordinators, HQ DOD and other District Design Liaisons that include discussions on statewide issues regarding design standards, manual changes, and policy changes. The District Design Liaison will also continue to attend the quarterly meetings between HQ DOD and Division of Traffic Operations as well as other pertinent meetings that will affect the Design Process.
- District 11 has a well established Utility Branch that is knowledgeable in the High/Low underground utility risk policy and transverse and longitudinal utility encroachments; The D11 Utility Branch participates in all PDTs. They coordinate with utility companies, Right of Way Branch, and engineering staff to establish best solutions to utility conflicts. The Utility Branch will follow the PDPM and only recommend exceptions when it is in the best interest of the State and public. District engineers will comply with Title 16, California Code of Regulations Code of Professional Conduct as well as follow State and

Federal laws and Caltrans policies with consideration to safety, maintenance of utility, traffic operations and cost within the State right of way. District Utility Branch will continue to consult with HQ DOD on complex issues.

District 11 has a number of quality checks within our Project Development Process that includes an independent group for 30/60/90 percent constructability reviews, Plans Engineering Branch for Quality Assurance/Independent Quality Assurance reviews prior to project PS&E, and the PROS database to track quality reviews to ensure closure on project comments associated with the District reviews. The District plans to include additional checks as part of our project development process reviews for design delegation under our Design Delegation Agreement.

Detection:

- The District SQMP and Delegation Business Practice will be located on the District's Design website. The repository for Design Exception Fact Sheets, FHWA approvals, Policy/Procedure decisions, and appropriate Design Decision Documents post Design Delegation Agreement will be located on a District shared drive and accessible on the intranet.
- The District Design Liaison will provide "independent checks" for all delegated design decisions, and documentation of design exceptions to ensure consistency and uniformity throughout the District as applicable for the type and context of the highway facility under the District's Design Delegation Agreement; as well as assessing the safety risk of the design decision. Consistency and uniformity decisions are applicable to PDPM, Highway Design Manual, and Design Directive/Bulletin standards, policies and procedures. These post Design Delegation Agreement decisions will also be compiled into a shared database that can be easily accessed by others in the District and HQ DOD for reference.
- Besides regular PDT meetings and project meetings with the Project Delivery Coordinator and FHWA as deemed necessary; independent checks of delegated design decisions will be performed at 30/60/90 percent reviews, constructability reviews, Plans Engineering Branch reviews for project log-in, and/or District Circulation reviews for PS&E, before District Division Chief of Design approval. A database will be used to track delegated authorities on a district wide basis.

Issue Resolution:

- The District Division Chief of Design and Design Liaison will review delegated approvals semi-annually and prepare a report summarizing any issues that may arise including conflicting delegation authority and conflicts with customer and stakeholder interests as well as Statewide and District consistency in the application of standards and policies
- The District will coordinate issue resolution with the HQ Project Delivery Coordinator and HQ DOD as necessary.
- A database will be utilized to identify systemic and recurring conflicts. These conflicts will be elevated in a timely manner to the HQ DOD.

- Lessons learned will be shared at the periodic meetings between all Districts and HQ DOD.

Results:

- The HQ DOD will develop Results criteria at a future date and will be collaborating with all districts and regions to establish performance indicators. The proposed Results criteria in this document are appropriate at this time.
- The District will track the authorized delegations for timely completion and appropriate documentation. A report will be prepared semi-annually.
- The District will document review comments on authorized delegations by various subject matter experts and stakeholders (i.e. Traffic Operations, Construction, Maintenance, SANDAG, SCAG, Local Agencies, and the Consultants).
- The District will track all delegation approvals by route, post mile, project ID, type of approval, number of reviews provided, and cycle time to approve.
- The District will document all training efforts including number of staff trained, strategic plan improvements and meetings with HQ DOD and HQ Project Delivery Coordinators.
- 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 strategies action plan. The key indicators to be reported are:
 - Audit ratings - consistency, cycle time, cost, risk, integrity, and tort liability
 - Number of documents requiring formal conflict resolution process
 - Number of approvals beyond district delegation authority (outliers)
 - Number of Design Delegations addressed vs. not addressed in PID's/PR's/RTL (omissions)
 - Number of FHWA approvals for Design Exceptions on the Interstate for the 13 Controlling Criteria
 - Satisfaction surveys by customers and stakeholders.

Design Delegation Agreement						
Highway Design Manual (HDM)						
HDM Chapter/ Topic	Description	Conven- tional Highway	Express- way	Freeway¹	Inter- state Freeway¹	Delegated Approval Authority
Advisory Design Standards	Advisory standards use the word "should" and are indicated by Underlining	DELEGATED	DELEGATED	DELEGATED	DELEGATED	DISTRICT DIVISION CHIEF, 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	DISTRICT DIVISION CHIEF, DESIGN
All Mandatory Design Standards (Except for Chapter 600) and 2013 Delegated Standards	Mandatory standards use the word "shall" and are printed in Boldface	BASELINE	BASELINE	ADDITIONAL DELEGATION APPROVED	NO	DISTRICT DIVISION CHIEF, DESIGN
Design Information Bulletins(DIB), Design Memorandum and Executive Orders						
DIB 77	Interchange Spacing	N/A	BASELINE	NO	NO	DISTRICT DIVISION CHIEF, DESIGN
DIB 79	2R Project certification Design guidance and Standards for Roadway Rehabilitation Projects and Certain Other Projects	BASELINE	BASELINE	NO	NO	DISTRICT DIVISION CHIEF, DESIGN
DIB 82 ³	Pedestrian Accessibility Guidelines for Highway Projects and ADA	BASELINE	BASELINE	BASELINE	BASELINE	DISTRICT DIVISION CHIEF, DESIGN
DIB 83	Caltrans Supplement to FHWA Culvert Repair Practices Manual	BASELINE	BASELINE	NO	NO	DISTRICT DIVISION CHIEF, DESIGN

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 of Design chain of command.

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

Project Development Procedures Manual (PDPM)						
HDM Chapter/ Topic	Description	Conven- tional Highway	Express- way	Freeway ¹	Inter- state Freeway ¹	Delegated Approval Authority
PDPM 9	Modifications to existing access points or new access points to the Interstate System – Review & Approval required.	BASELINE	BASELINE	NO	NO	DISTRICT DIVISION CHIEF, DESIGN
PDPM 9-Article 7	Traffic signal projects that introduce or perpetuate nonstandard conditions - Exceptions to Mandatory Design Standards	BASELINE	BASELINE	NO	NO	DISTRICT DIVISION CHIEF, DESIGN
HDM-PDPM 82.2(1) - 15-7	Contract Design Changes (CCOs) - Exceptions to mandatory design standards.	BASELINE	BASELINE	NO	NO	DISTRICT DIVISION CHIEF, DESIGN
PDPM 17	Existing Utility Longitudinal Encroachments - Exceptions may be granted, but must be approved.	BASELINE	BASELINE	ADDITIONAL DELEGATION APPROVED	ADDITIONAL DELEGATION APPROVED	DISTRICT DIVISION CHIEF, DESIGN
PDPM 17, Appendix LL, Section 1	Exceptions to High-Low Underground Utility Risk Policy Approval.	BASELINE	BASELINE	ADDITIONAL DELEGATION APPROVED	ADDITIONAL DELEGATION APPROVED	DISTRICT DIVISION CHIEF, DESIGN
PDPM 17	Utility Encroachments on Toll Bridges – All installations must have approval.	BASELINE	BASELINE	NO	NO	DISTRICT DIVISION CHIEF, DESIGN
PDPM 17	Reclaimed Water Systems & Encroachments - All installations must have approval	BASELINE	BASELINE	NO	NO	DISTRICT DIVISION CHIEF, DESIGN
PDPM 23	Approval Authority for Denominations, or Withdrawal of Denominations.	N/A	BASELINE	BASELINE	BASELINE	DISTRICT DIVISION CHIEF, DESIGN
PDPM 23	Reopen Route Studies – requires written approval.	BASELINE	BASELINE	NO	NO	DISTRICT DIVISION CHIEF, DESIGN
PDPM 2,24	Conformance to Adopted Route - All deviations from the adopted route must be approved.	BASELINE	BASELINE	NO	NO	DISTRICT DIVISION CHIEF, DESIGN
PDPM 2	Route adoption maps – Approval authority and exceptions to policy	BASELINE	BASELINE	BASELINE	BASELINE	DISTRICT DIVISION CHIEF, DESIGN

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

HDM Chapter/ Topic	Description	Conven- tional Highway	Express- way	Freeway ¹	Inter- state Freeway ¹	Delegated Approval Authority
PDPM 2, 24	Freeway Agreements and Controlled Access Highway– Execution authority.	N/A	BASELINE	BASELINE	BASELINE	DISTRICT DIVISION CHIEF, DESIGN
PDPM 24	"Project" or "Performance" Agreement – draft document requires review and approval.	BASELINE	BASELINE	NO	NO	DISTRICT DIVISION CHIEF, DESIGN
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	

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

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 Delegation 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 Delegation 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 Delegation 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 Delegation 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 Delegation Agreement are the individual Districts, the Resource Center (see Figure 1), and the Office of Performance Management.

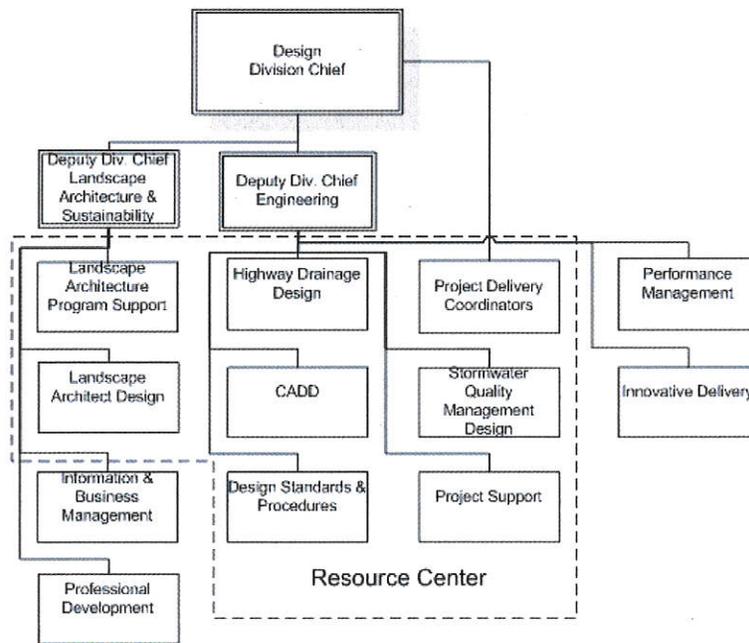


Figure 1 DOD Organization Chart

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 Delegation 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 Delegation 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 Delegation 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 Delegation 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 Delegation Agreement Delegation of Authority

Refer to Appendix C, the baseline Design Delegation 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 Delegation 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 Delegation Agreement Delegations of Authority

Each District has the ability to request additional delegation authorities beyond the baseline Design Delegation 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.