

FEDERAL HIGHWAY ADMINISTRATION
High Profile Project Strategic Oversight Agreement for
12-07163 SR-22/I-405 HOV
Direct Connector
\$318,803,000.00
/ EA
March 4,2008

On September 4, 2007, a new Federal Highway Administration (FHWA) and California Department of Transportation (Department) Stewardship and Oversight (Stewardship/Oversight) Agreement was signed. Under the new Stewardship/Oversight Agreement, the FHWA and Department will utilize a risk-based approach to project – level management that no longer uses the \$1,000,000 threshold to determine FHWA stewardship and oversight. This risk-based approach to project oversight will be conducted in two steps: 1) selecting the projects that traditionally pose a risk to the health of the Federal-aid Highway Program (High Profile projects) and 2) within the High Profile projects, further delegating approval authorities in activities that pose a low risk to the individual projects.

A Major Project is defined as having a total project cost of greater than \$500 million. Under the Stewardship/Oversight Agreement, all Major Projects are considered “High Profile” Projects. Each “High Profile” project will have a Project Responsibility List developed to define which approval actions are to be handled by FHWA or Department/Local Agency. Other areas of Federal involvement and/or approval actions for this project are summarized in this agreement. <i.e., attending meetings, design reviews, conducting project inspections, etc.>

FHWA Project Personnel and Resources for Oversight:

An FHWA Project Oversight Manager (POM) has been assigned for the oversight of this project. The POM will be responsible for all project actions and approvals, with the guidance of the FHWA Division Office management and the assistance of other FHWA personnel. Division Office specialists will be available for project reviews and technical assistance in order to provide expeditious reviews and approvals of project actions. Oversight will be conducted through project inspections, review of project data and various other means. The U.S.D.O.T. Office of Inspector General may also perform audits of project costs and other financial data as required.

Reporting Requirements:

The FHWA POM will be responsible for providing periodic updates of the costs and schedules of the project to FHWA Headquarters and the United States Department of Transportation (US DOT) – Office of the Secretary. Briefings will also be provided to assist various agencies with tracking information. The Project Management team will provide the POM with quarterly updates at a minimum (using all available information) with respect to project cost and scheduling to assist with this task. Along with the

quarterly updates, the FHWA POM will attend regular meetings to discuss the project's progress including any unforeseen circumstances.

PROJECT DESCRIPTION

This project consists of adding an High Occupancy Vehicle(HOV) lane in each direction on I-405 between SR-22 and I-605, and direct freeway-to-freeway HOV connectors between SR-22/I-405 and I-405/I-605 in each direction. Six existing structures will be removed and replaced. The total project cost is estimated to be \$400,000,000. The project limits are on the SR-22 from approximately one half mile east of Valley View OC to just west of the Valley View OC; on I-405 from the SR-22/I-405 junction to I-405 Orange County/Los Angeles county line; and on I-605 from I-405/I-605 junction to approximately one half mile south of Katella Street UC.

PROJECT-SPECIFIC REQUIREMENTS

Oversight activities specific to this project are detailed in Attachment A. Items not addressed by the Project Responsibilities List that pertain to this project are discussed below.

Planning:

FHWA has ensured that the Project is included in a conforming Transportation Improvement Plan.

Environment:

<For non-delegated projects the Project Responsibilities list will need to be changed accordingly. Any approvals changed to "FHWA" from "Caltrans" can be footnoted as follows: (1) FHWA remains responsible for this project which has been excluded from the assumption of NEPA responsibilities by Caltrans.> The existing environmental document is an approved FEIS/EIR with the record of decision by FHWA on March 26, 2003. Re-evaluations/addendums shall be prepared as needed.

Design:

Preliminary design will be completed prior to final design. Mandatory design exceptions will have written approval from FHWA once approved by Department. A Modified Access Report will be prepared for approval by FHWA.

Right of Way:

Department/Local Agency shall acquire and furnish all R/W for project outside of existing State R/W and shall perform all R/W activities including all eminent domain activities. On southbound I-405 between Seal Beach Boulevard and Bolsa Chica off-

ramp, Department/Local Agency will secure an approximate twenty-foot permanent roadway easement from the Seal Beach Naval Station.

Construction:

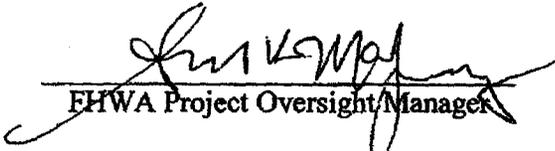
Department will advertise, award and administer project contract

Plan of Finance:

The initial Finance Plan will be submitted to FHWA as early as possible but no later than ninety days prior to authorization of funds for construction. Updates to the initial plan will be provided to the FHWA Division Office and the FHWA Major Projects Team by the annual submission date established in the Initial Finance Plan for each subsequent year until all construction is completed.

Project Management Plan

A draft Project Management Plan (PMP) will be submitted to FHWA prior to finalization of the NEPA decision document. The final PMP will be due 90 days after completion of NEPA. The final PMP will be approved by the FHWA California Division, in concurrence with the FHWA Headquarters Major Projects Team. Updates to the PMP will be completed and submitted on a regular basis if significant changes occur to the project cost and/or schedule.


FHWA Project Oversight Manager


Caltrans Project Manager
4/21/08

ATTACHMENT A

Overview

The Project Responsibility List identifies the responsible agency for project level actions. It is organized by columns listed as High Profile and Delegated Projects. Within each column, activities are listed and the appropriate Approval Authority (FHWA or Caltrans) is identified. The FHWA will maintain approval authority for activities that cannot be delegated and activities that may pose a risk to individual projects. The activities with highlighted () cells under the High Profile projects column, which show FHWA, may be delegated to Caltrans if the particular activity is of low risk to the project or the FAHP.

APPROVAL ACTION	APPROVAL AUTHORITY High Profile Projects
ADMINISTRATION	
Financial Management	
All Vouchers (progress payments and final)	FHWA
Federal-aid Project Agreement and Modification—Preliminary Engineering through Construction [23 CFR 630.110]	FHWA
Funding Eligibility Determinations	FHWA
Obligate funds	FHWA
Section 1.9 Waiver [23 CFR Section 1.9]	FHWA
PROJECT DEVELOPMENT	
ROW	
Accept ROW certificate 3 as a condition of PS&E approval [23 CFR 635.309(c)(3)]	FHWA
Accept ROW certificates 1 and 2 as a condition of PS&E approval [23 CFR 635.309(c)(1)&(2)]	Caltrans
Air space agreements / Non-highway use and occupancy not on the Interstate [23 CFR 710.405]	N/A
Air space agreements / Non-highway use and occupancy on the Interstate [23 CFR 710.405]	FHWA
Control of Access [23 CFR 620.203(h)]	FHWA
Functional Replacement [23 CFR 710.509]	FHWA
Junkyard Control [23 CFR 751.25]	FHWA
Outdoor Advertising Sign Removal Projects [23 CFR 750.307]	FHWA
Protective Buying and Hardship Acquisition [23 CFR 710.307, 503]	FHWA
Public Interest Finding (PIF) - Disposal of federally funded ROW [23 CFR 710.403, 409]	FHWA
Railroad Agreement [23 CFR 646.216 (3)(d)]	N/A
Relinquishment of a Highway Facility for continued highway purposes [23 CFR 620.201, 202, 203]	FHWA
Request for Credits for Early Acquisition of ROW [23 CFR 710.501]	FHWA
Request for Direct Federal Acquisition [23 CFR 710.603]	FHWA

APPROVAL ACTION	APPROVAL AUTHORITY High Profile Projects
Request for Federal Land Transfer [23 CFR 710.601]	FHWA
Request for Waivers [49 CFR 24.204(b)]	FHWA
Utility Agreement [23 CFR 645.113, 119]	Caltrans
Utility Relocation [23 CFR 645 subparts A and B]	FHWA
Withholding of Payments [23 CFR 710.203(c), 23 CFR 1.36]	FHWA
Environment	
Categorical Exclusion (CE) [23 CFR 771.117 (c) and (d); SAFETEA-LU 6004; 23 CFR 771.117 all other CEs: SAFETEA-LU 6005]	Caltrans (1)
Certification of Public Hearing [23 CFR 771.111(h)(2)(vi)]	Caltrans
Draft Environmental Impact Statement (DEIS) [23 CFR 771.123; 23 CFR 771.123 (e); SAFETEA-LU 6005]	Caltrans (1)
Environmental Assessment (EA) Availability to the Public [23 CFR 771.1199(c); SAFETEA-LU 6005]	Caltrans (1)
Final Environmental Impact Statement (FEIS) [23 CFR 771.125; 23 CFR 771.125(c); SAFETEA-LU 6005]	Caltrans (1)
FEIS Legal Sufficiency [23 CFR 771.125(b); SAFETEA-LU 6005]	Caltrans (1)
Finding of No Significant Impact [23 CFR 771.121; SAFETEA-LU 6005]	Caltrans (1)
Noise Abatement [23 CFR 772]	Caltrans
Project-Level Transportation Conformity for CE processed under SAFETEA-LU 6004 MOU [40 CFR 93]	Caltrans (1)
Project-Level Transportation Conformity for CE, EA and Environmental Impact Statement (EIS) processed under SAFETEA-LU 6005 MOU [40 CFR 93]	FHWA
Record of Decision [23 CFR 771.127; SAFETEA-LU 6005]	Caltrans (1)
Re-evaluation on Approved Environmental Documents [23 CFR 771.129; SAFETEA-LU 6004 & 6005]	Caltrans (1)
Section 4(f) <i>De Minimis</i> Determination [SAFETEA-LU 6004, 6005 & 6009, 49 USC 303]	Caltrans (1)
Section 4(f) Individual [23 CFR 771.135; SAFETEA-LU 6004 & 6005]	Caltrans (1)
Section 4(f) Programmatic [23 CFR 771.135; SAFETEA-LU 6004 & 6005]	Caltrans (1)
Supplemental EIS [23 CFR 771.130; SAFETEA-LU 6005]	Caltrans (1)
Preliminary Design	
Consultant Selection [23 CFR 172.5]	FHWA
Financial Plans for projects from \$100M to \$499M [SAFETEA-LU 1904]	Caltrans
Major ITS Project Development [23 CFR 940.11]	FHWA
Major Projects and TIFIA Loan Projects - Project Management Plan and Financial Plan Approval [SAFETEA-LU 1904]	FHWA
Minor ITS Project Development [23 CFR 940.11]	Caltrans

APPROVAL ACTION	APPROVAL AUTHORITY High Profile Projects
New/Modified Interstate Access Determination of Engineering and Operations Acceptability [Feb 1998 Federal Register, Vol#28 - (minor access changes delegated to Caltrans, see letter dated September 15, 1994)]	FHWA (Caltrans)
PIF - Airspace Clearance FAA [CFR 620.104]	FHWA
PIF - Use of Negotiated Consultant Contracts [23 CFR 172.5(3)]	Caltrans
Detailed Design	
Approve preliminary plans for major and unusual structures	Caltrans
Design Exceptions, non-Interstate (all other projects) [23 CFR 625.3]	Caltrans
Design Exceptions on the Interstate (13 controlling Criteria) [23 CFR 625.3]	FHWA
Experimental Features (Pilot and Demo) aka CEWP, design/sequencing	FHWA
New/Modified Interstate Access Control Change - Final Approval [Feb 1998 Federal Register, Vol#28]	FHWA
PIF - Statewide and project specific use of proprietary products and processes [23 CFR 635.411]. If statewide, FHWA approval.	FHWA
PIF and Cost Justification Letter - Statewide and Project Specific - Concur in use of publicly furnished materials and expenses [23 CFR 635.407]. If statewide, FHWA approval.	FHWA
ROW encroachments - Use and occupancy of acquired ROW [23 CFR 710.401, HDM 504.8]	FHWA
Value Engineering [23 CFR 627, SAFETEA-LU 1904]	Caltrans
PS&E and Advertising	
Authorize advertising for bids [23 CFR 635.112]	Caltrans
Authorize utility or railroad force account work [23 CFR 645.113 & 646.216]	N/A
Bid Analysis (Engineer Estimates)	Caltrans
Consultant Agreements [23 CFR 172.7 - 172.9]	Caltrans
Exempt bridge from Coast Guard permit requirements [23 CFR 650.805]	FHWA
Hiring of consultant to serve in a "management" role [23 CFR 172.9(d)]	FHWA
Noise - Reasonable and Feasible Determination for PS&E approval [23 CFR 772.11(g)]	Caltrans (1)
PIF - Advertising period less than three weeks [23 CFR 635.112]	FHWA
PIF - Use of contracting method other than competitive bidding [23 CFR 635.104 & 204]	FHWA
PIF - Use of Force Account [23 CFR 635.204, 205]	FHWA
PIF - Use of Mandatory Borrow/Disposal Sites [23 CFR 635.407]	FHWA
PIF - Use of Publicly Owned Equipment [23 CFR 635.106]	FHWA
PS&E [23 CFR 630.205, 23 USC 106]	Caltrans
Supplemental Work Item Justification	FHWA

APPROVAL ACTION	APPROVAL AUTHORITY High Profile Projects
Utility and railroad agreements [23 CFR 645.113 & 646.216]	N/A
Warranties [23 CFR 635.413]	FHWA
Construction	
Accept Materials Certification [23 CFR 637.207]	Caltrans
Addenda during advertising period [23 CFR 635.112(c)]	Caltrans
Buy America Waiver [23 CFR 635.410, ISTEA Sec. 1041(a) & 1048(a), 41 CFR 10 (a-d)] Submit to HQ if >\$50K.	FHWA
Concur in award of contract [23 CFR 635.114]	Caltrans
Concur in rejection of all bids [23 CFR 635.114]	Caltrans
Concur in settlement of contract claims [23 CFR 635.124; C&M Manual, Chapter 2]	Caltrans
Concur in termination of contracts [23 CFR 635.125]	Caltrans
Construction engineering by local agency [23 CFR 635.105]	N/A
Contract time extensions [23 CFR 635.120 & 121]	Caltrans
Final inspection/acceptance of completed work [23 USC 114(a)]	FHWA
Incentive/Disincentive Amount Justification [23 CFR 635.127]	Caltrans
Innovative Contracting Requirements [SEP 14 & 15]	FHWA
Liquidated Damages (rates subject to FHWA approval) [23 CFR 635.127]	Caltrans
Major changes and extra work [23 CFR 635.120]	FHWA
Minor changes and extra work [23 CFR 635.120]	Caltrans
Subcontracting Requirements [23 CFR 635.116(b)]	Caltrans
Research	
Experimental Features [FAPG Ch. 6, Sect G 6042.4]	FHWA
Emergency Relief	
ER Damage Assessments and Reports on the SHS [23 CFR 668, 23 USC 120 and 125]	FHWA
ER Damage Assessments and Reports off the SHS [23 CFR 668; 23 USC 120 and 125; ER Q&A, Question #5 Revised DAF and #8 Coordination with Other Agencies]	FHWA/ Caltrans
(1) Caltrans has assumed responsibility for these items under the Section 6004 and 6005 MOUs. The FHWA will reassume responsibility should any of the applicable agreements be terminated or expire. Additionally, the FHWA remains responsible for several projects that have been excluded from the assumption of NEPA responsibilities by Caltrans.	