

## **HIGH PROFILE PROJECT RESPONSIBILITIES LIST**

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*Project Description:* The North Torrey Pines Bridge Seismic Retrofit Project is located in San Diego County, California (Caltrans District 11) toward the southerly city limit of the City of Del Mar, on North Torrey Pines Road immediately south of Carmel Valley Road. The project provides for vehicular travel on an existing two (2) lane bridge, which is situated in the coastal zone between the City of San Diego to the south and the City of Del Mar to the north. The scope of the project addresses the seismic retrofit and rehabilitation of the existing bridge with the objective of maintaining its existing capacity (two lanes, one in each direction) and the visual characteristics. The visual characteristics are important in light of this bridge being eligible for listing on the National Register of Historic Places, its placement on the California Register of Historical Resources, and its designation as a City of Del Mar Historic Landmark. The proposed alternatives that were studied and narrowed down to four alternatives for presentation at the mandatory Seismic Strategy Meeting had estimated project costs (current dollars) ranging from \$25,200,000 to \$36,500,000. Alternatives included rehabilitation and full replacement options. FHWA was included in a joint decision meeting with Caltrans, indicating to the local agency that funding of a rehabilitation alternative was a viable option. Based upon said joint decision meeting, the local agency proceeded to hold the mandatory Seismic Strategy Meeting, which included the appropriate experts and which focused on a brief technical discussion of the selected (preferred) rehabilitation alternative. The other objectives typical to a mandatory Seismic Strategy meeting were also met. The project cost corresponding to the selected rehabilitation alternative was estimated at \$32,400,000 (current dollars), as presented at the Seismic Strategy Meeting. This project is currently in the PA&ED stage.

### **Milestones for Seismic Retrofit and Rehabilitation are:**

#### **05/07-07/08 Environmental & Preliminary Design**

02/08/08 Field testing

04/16/08 Initialize retrofit strategy & rehabilitation technical meetings

10/15/08 Adopt CEQA environmental document

10/27/08 Certify NEPA environmental document

10/31/08 R/W for seismic retrofit and rehabilitation on existing bridge and alignment

#### **11/08-08/09 PS&E (Final Design)**

02/01/09 65% progress submittal and begin all agency reviews

05/01/09 Complete independent check

06/01/09 90% progress submittal and all agency reviews

07/10/09 Final PS&E submittal and all agency reviews

*EA Number: 11-212374L, Federal Number: STPLZ-5356(003)*

*Discussion of Involvement:* As a full participant, FHWA shall be a member of all project management committees and provided an opportunity for membership on all subcommittees. Caltrans shall submit project progress reports and financial reports in accordance with 49 CFR §18.40(b) and §18.41, respectively, at an interval of at least semi-annually or more frequently at the discretion of the FHWA (not more frequently than quarterly). Upon completion of the project, Caltrans shall provide a final report, which at a minimum shall include the potential effects of the project on driver behavior, traffic volume, etc. Furthermore, FHWA shall have full participation, to the extent that they are interested in the preliminary design, detailed design, and PS&E (plans, technical specifications, and detailed estimate).

As a High Profile Project, FHWA will remain involved with the project through not more than quarterly, nor less than semi-annually, inspections/tours and project updates. During inspections/tours and project updates, Caltrans/Local Agency will provide FHWA with a listing of major and minor change orders, time extensions, and potential contract claims. Furthermore, Caltrans/Local Agency will inform FHWA if/when there are any major changes to the project such as the termination of a contract or a congressional request for additional funding. Caltrans/Local Agency will offer FHWA the opportunity to be involved as a participant in the final inspection of the project.

This project was classified as a High Profile project based on the Stewardship Agreement criteria – unusual bridge and structure project. This project involves an extremely complex seismic retrofit strategy that involves technologies that are unusual. This work could involve the use of sole source materials as well as have unidentified work items that result from design and constructability issues. Additionally, this project is the first High Profile Project within Caltrans District 11 Local Assistance. For these reasons, FHWA will be retaining all approval actions that are designated by the yellow boxes in the following table, except for minor change orders. All other approval actions will remain with FHWA or Caltrans District 11 Local Assistance (white boxes).

FHWA and Caltrans retain the opportunity to revisit, at mutually agreed upon times and as necessary, the reevaluation of this agreement for revisions or general amendments found necessary for certain provisions as the project progresses.

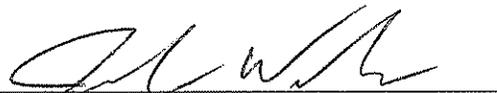
The activities with highlighted  cells indicate whether this approval action will be made either by FHWA or delegated to Caltrans if the particular activity is of low risk to the project or the FAHP (Federal-Aid Highway Program).

| APPROVAL ACTION   | Approval Authority    |
|---|-----------------------|
|   | High Profile Projects |
| <b>ADMINISTRATION</b>   |                       |
| <b>Financial Management</b>   |                       |
| 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                  |
| <b>PROJECT DEVELOPMENT</b>  |                       |
| <b>ROW</b>  |                       |
| 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]                             | FHWA                  |
| 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)]  | Caltrans              |
| 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                  |
| 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                  |
| <b>Environment</b>  |                       |
| 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)          |

| APPROVAL ACTION  | Approval Authority<br>High Profile Projects |
|--|---|
| 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)                                |
| <b>Preliminary Design</b>  |   |
| Consultant Selection [23CFR 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                                    |
| 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                                    |
| <b>Detailed Design</b>   |   |
| Approve preliminary plans for major and unusual structures   | FHWA  |
| 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.  | Caltrans                                    |

| APPROVAL ACTION  | Approval Authority    |
|--|-----------------------|
|  | High Profile Projects |
| 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. | Caltrans              |
| 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              |
| <b>PS&amp;E and Advertising</b>  |                       |
| Authorize advertising for bids [23 CFR 635.112]  | FHWA                  |
| Authorize utility or railroad force account work [23 CFR 645.113 & 646.216]  | FHWA                  |
| Bid Analysis (Engineer Estimates)  | FHWA                  |
| Consultant Agreements [23 CFR 172.7 - 172.9]   | FHWA                  |
| 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]  | Caltrans              |
| PIF - Use of contracting method other than competitive bidding [23 CFR 635.104 & 204]  | Caltrans              |
| PIF - Use of Force Account [23 CFR 635.204, 205]   | Caltrans              |
| PIF - Use of Mandatory Borrow/Disposal Sites [23 CFR 635.407]  | Caltrans              |
| PIF - Use of Publicly Owned Equipment [23 CFR 635.106]   | Caltrans              |
| PS&E [23 CFR 630.205, 23 USC 106]  | FHWA                  |
| Supplemental Work Item Justification   | FHWA                  |
| Utility and railroad agreements [23 CFR 645.113 & 646.216]   | Caltrans              |
| Warranties [23 CFR 635.413]  | FHWA                  |
| <b>Construction</b>  |                       |
| Accept Materials Certification [23 CFR 637.207]  | FHWA                  |
| Addenda during advertising period [23 CFR 635.112(c)]  | FHWA                  |
| Buy America Waiver [23 CFR 635.410, ISTEA Sec. 1041(a) & 1048(a), 41 CFR 101 (a-d)] Submit to HQ if >\$50K.  | FHWA                  |
| Concur in award of contract [23 CFR 635.114]   | FHWA                  |
| Concur in rejection of all bids [23 CFR 635.114]   | FHWA                  |
| Concur in settlement of contract claims [23 CFR 635.124; C&M Manual, Chapter 2]  | FHWA                  |
| Concur in termination of contracts [23 CFR 635.125]  | FHWA                  |
| Construction engineering by local agency [23 CFR 635.105]  | FHWA                  |
| Contract time extensions [23 CFR 635.120 & 121]  | FHWA                  |
| Final inspection/acceptance of completed work [23 USC 114(a)]  | FHWA                  |
| Incentive/Disincentive Amount Justification [23 CFR 635.127]   | FHWA                  |
| Innovative Contracting Requirements [SEP 14 & 15]  | FHWA                  |

| APPROVAL ACTION  | Approval Authority    |
|--|-----------------------|
|  | High Profile Projects |
| Liquidated Damages (rates subject to FHWA approval) [23 CFR 635.127]   | FHWA                  |
| 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)]  | FHWA                  |
| <b>Research</b>  |                       |
| Experimental Features [FAPG Ch. 6, Sect G 6042.4]  | FHWA                  |
| <b>Emergency Relief</b>  |                       |
| 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        |
| <p>(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.</p> <p>(2) Activity is delegated to the local agency.</p> <p>(3) Caltrans approval for On-Federal Aid system, local agency approval for Off-Federal Aid system.</p> <p>(4) Subject to the FHWA's Random Sampling Verification Process.</p> |                       |

  
 FHWA Project Oversight Manager

  
 Caltrans Project Manager