District 12
Design Delegation Agreement

February 2015

Prepared by:

District 12
Office 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 stewardship 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 District Director dated September 17, 2012.

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

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

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

This Stewardship agreement, made and entered into this 3rd day of March, 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 Stewardship Quality Management Plan.

I, Director of District 12, request design delegation authority for the Deputy District Director of the Capital Outlay Program for the baseline described in this Stewardship Delegation Agreement including Design standards on non-interstate freeways. The attached Stewardship Quality Management Plan describes how I will manage the delegated authority.

Ryan Chamberlain, District Director

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

Timothy Craggs, Chief, HQ Division of Design

District 12
Stewardship Quality Management Plan

Introduction

The District 12 Stewardship Quality Management Plan (SQMP) is the basis for establishing and maintaining a broad level of delegation from Headquarters (HQ) to the District as documented in the Stewardship Agreement. The SQMP also outlines the Division of Design's (DOD) commitment to provide the support needed for the District to be successful.

The Stewardship Agreement is a contractual document which responsibly transfers decision making authority from Caltrans Division of Design (DOD) to District 12. In accordance to the Design Delegation 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 defendable rationale for District accountability. The SQMP uses the principles of leadership, strategic planning, workforce, detection, and results to define the systems and processes that will be utilized to meet the delegation responsibilities applicable to the baseline Design Stewardship Agreement (see Appendix A) and additional Design Stewardship Agreement Delegations of Authority that are anticipated to be negotiated in the future. Improvements to the management 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 12 Director will sub-delegate to the Deputy District Director (DDD), Capital Outlay Program who will sub-delegate to the Design Office Chief as appropriate and agreed upon by the District Director. The delegation will be formally documented with signed delegation agreements and communicated to District 12 staff in a memorandum from the District 12 Director. As part of regularly scheduled quarterly coordination meetings, the District 12 Director will include risk management as an agenda item where delegations and associated project issues and risks will be discussed and managed. The District 12 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, policies and other delegated design decision documents. In addition, the District 12 Director, the DDD, Capital Outlay Program and Design Office Chief 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 Figure 1 flow diagram outlines the District 12 delegation organization leadership, delegation flow and relationship with the DOD Resource Center.

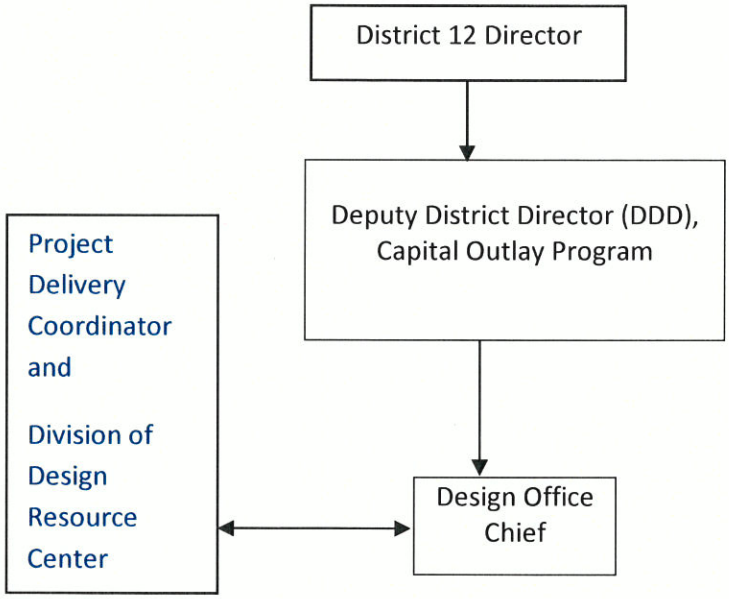

Figure 1 District Organization Leadership

The District 12 Director, DDD of Capital Outlay Program and the Design Office Chief will outreach and engage district staff affected by the stewardship agreement to ensure understanding and commitment to the delegated responsibility. All project history files will be required to retain a copy of the approved stewardship agreement. Lastly, in the event of changing leaders, a set of protocols will be developed to ensure transitions are in place.

Strategic Planning

The Stewardship Agreement delegation authority is consistent with the direction of Caltrans most current Strategic Planning effort; to be more efficient, transparent and empowered at the district level. Upon approval of 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 implemented. Performance measure results will be reported periodically by the DDD, Capital Outlay Program. Positive results and/or improvement actions will be the basis for sustaining approval authority in collaboration with DOD.

Customer Focus

The Stewardship Agreement gives the district a broad level of authority potentially affecting many inside and outside the organization to different degrees and in many different ways. All of these concerned entities are stakeholders and customers of this effort whose concerns must be considered and accounted for. Internally, at the lower level, engineering staff have an expectation of good guidance and direction from management. At the higher level, the district director must have confidence that the delegated authority is wisely implemented and applied with appropriate documentation. Internal district customers that may be affected with the delegation are the Divisions of Transportation Planning, Environmental Analysis, Traffic Operations and Maintenance (includes Permits). Each will be coordinated with to capture their interests as they relate to delegation responsibility. Externally, local partners and FHWA are involved in the planning and designing of improvement projects on the state highway system as stakeholders. Their interests and concerns will be captured through the district director and management meetings and forums. They will be included, as needed, for evaluating lessons learned and making future improvements. At the broadest level, the travelling public is the ultimate customer whose safety and comfort are at stake with the decisions that are made.

Workforce

The primary focus for the delegation approval for non-standard features will be the Design Office Chief. Other delegation approvals or design decision documents will require approval from the Design Office Chief or the DDD, Project Delivery as shown in Appendix A. However, design seniors, project engineers, project managers, and functional mangers all contribute and must be engaged and educated on the delegation process and responsibilities. In addition, the Design Office Chief, with input from the HQ Project Delivery Coordinator, will assign a qualified District 12 Design Liaison (Design Liaison) who will be consulted by others in the district, and will be a single focal point with the DOD Project Delivery Coordinator, DOD Resource Center, FHWA and other district functional units. Also, the Design Liaison will be responsible for monitoring and documenting key indicators and known issues in the Results section of the SQMP and informing district staff of any changes to the delegation approval for non-standard features and other delegated approval documents. The DOD Resource Center will support the district staff and District Liaison 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 policies and ensure training consistency on policies. Anticipated projects and involvement will include the Permits, Maintenance, Traffic Design, Utilities, Traffic Operations, Electrical Design, Landscape Architecture, National Pollutant Discharge Elimination System (NPDES), Hydraulics, Construction, Transportation Planning, Project Studies and Project Management units to be familiar with the delegation responsibilities and affected changes. The following flow diagram in Figure 2 shows the typical delegated decision process with the SQMP.

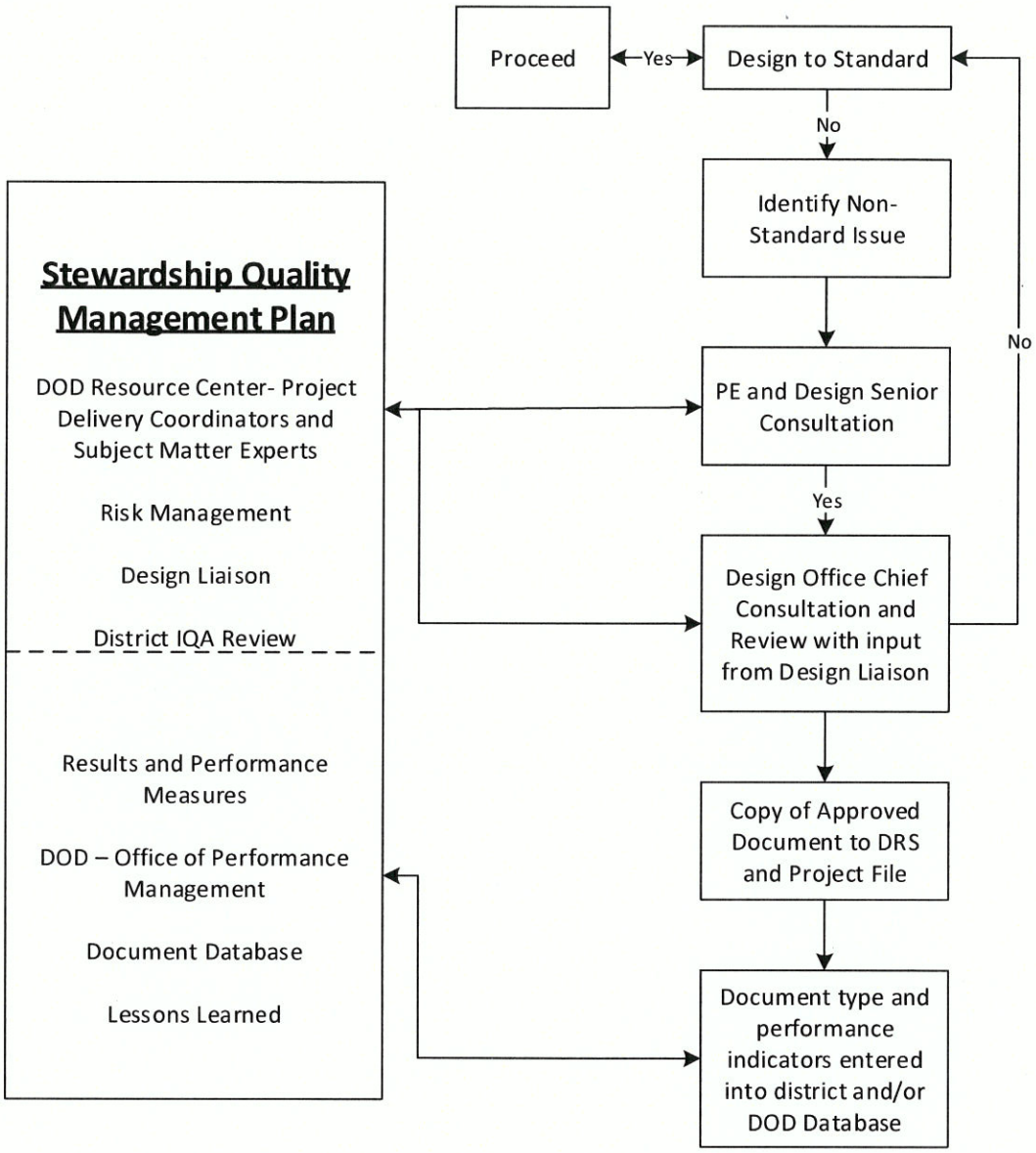

Figure 2 Typical Delegation Decision Process with SQMP

DOD will resource the travel for the Design Liaison to attend periodic meetings (approximately 12 to 16 yearly) with DOD Project Delivery Coordinator and other DOD Resource Center staff to ensure statewide consistency and to stay informed of policies and standards changes. The Design Liaison shall be resourced through project work plans as a direct project expenditure.

Detection

District 12 will develop written and published district guidance and procedural requirements for implementing the delegation responsibility. The Design Liaison will ensure the application of the consistent and uniform 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 measures as 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 12 Design Liaison will take the lead in resolving issues that create conflict among the stakeholders. 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 DOD and stakeholders.

Results

The DOD will be developing results criteria at a future date, and will be collaborating with all districts and regions establishing performance indicators. The proposed Results criteria in this document are appropriate at this time.

Results will be assessed and categorized by evaluating the **quantity, quality** and access to the documentation as summarized with key indicators and performance measures. Reporting of the results and developing metrics for evaluation and auditing will be developed in coordination with DOD.

The **quantity** is the amount and type of post-stewardship approvals:

- Number of Post-Stewardship delegated approvals
- Category of decisions: Federal, Design Information Bulletin (DIB) or Design Memorandum, Highway Design Manual (HDM) policy
- Type of document/deliverable: Fact Sheet, Memorandum, Memo-to-File, Utility Exception, etc.
- Identity of project level delegation: Project Initiation Document (PID), Project Report (PR) Ready to List (RTL) etc.

The **quality** is the value of the decisions, approval process and documentation. Decisions:

- Consistency with other statewide documentation/analysis for approvals
- Understanding and documentation of risk level
- Integrity of decision factors: technical, cost, delay, impacts to resources, etc. Other legal, policy, procedural and quality audit aspects

Approval process may include the following information:

- Documentation that review followed established process
- Project Engineer (PE), Senior, and/or Office Chief Peer and Independent Quality Assurance (IQA) reviews
- District resourced geometrician "subject matter expert" review
- DOD subject matter expert input/concurrence (as appropriate)
- Utility Engineering, Traffic specialty unit review
- Levels of recommendation and final approval authority involved

Documentation should follow the uniform filing system and should include the following:

- All required documentation and attachments
- Completeness of the engineering analysis/documentation
- Proper policy references and rationale
- Audit rating

The access to properly filed and retrievable documents available for legal review, quality audits, reporting and reference will be through the Document Retrieval System (DRS) and eventually, a district database that is compatible with the DOD database that is currently in development. It is anticipated that the new searchable database will store documents and information using a filing system and categories to access copies, sort and report including the key indicators and performance measure data.

Access to documentation will allow for the following:

- HQ access or link to database or depository
- Legal access
- District Design Stewardship point of contact
- Staff access and utilization for assisting with preparation of consistent documents

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 action plan. The key indicators to be reported may include:

- Ratings of quality audit on consistency, risk, integrity and legal
- Number of documents requiring formal conflict resolution process
- Number of approvals beyond district delegation authority (outliers)
- Number of Stewardship delegations addressed vs not addressed in PID's/PR's/RTL (omissions)
- Documentation of FHWA approval for Design Exceptions on Interstate for 13 Controlling Criteria (additional Delegations).

Tam Nguyen

02/02/2015

Tam Nguyen
Design Office Chief

Date

Recommended by:

Adnan A Maiah

2/19/2015

Adnan Maiah
Deputy District Director, Capital Outlay Program

Date

Approved by:

2/25/15

Ryan Chamberlain
District 12 Director

Date

	Baseline Stewardship Agreement Delegation Authority to the District					
	Highway Design Manual (HDM)					
HDM Chapter/ Topic	**Description**	**Conven-tional Highway**	**Express-way**	**Freeway[1]**	**Inter-state Freeway[1]**	**Delegated Authority**
Advisory Design Standards	Advisory standards use the word "should" and are indicated by underlining	DELEGATED	DELEGATED	DELEGATED	DELEGATED	DESIGN OFFICE CHIEF
2013 Delegated Mandatory Design Standards	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	DESIGN OFFICE CHIEF
All Mandatory Design Standards (Except for Chapter 600) and 2013 Delegated Standards	Mandatory standards use the word "shall" and are printed in boldface	DELEGATED	DELEGATED	*DELEGATED	NO	DESIGN OFFICE CHIEF
	Design Information Bulletins (DIB), Design Memorandum and Executive Orders					
DIB Number	**Description**	**Conven-tional Highway**	**Express-way**	**Freeway[1]**	**Inter-state Freeway[1]**	**Delegated Authority**
DIB 77	Interchange Spacing	N/A	DELEGATED	NO	NO	DESIGN OFFICE CHIEF
DIB 79	2R Project certification Design guidance and Standards for Roadway Rehabilitation Projects and Certain Other Projects	DELEGATED	DELEGATED	NO	NO	DESIGN OFFICE CHIEF

* This is the errata correction dated July 8, 2015.

[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 chain of command.

	Design Information Bulletins (DIB), Design Memorandum and Executive Orders (Continued)					
DIB Number	**Description**	**Conven-tional Highway**	**Express-way**	**Freeway[1]**	**Inter-state Freeway[1]**	**Delegated Authority**
DIB 82	Pedestrian Accessibility Guidelines for Highway Projects and ADA	DELEGATED	DELEGATED	DELEGATED[3]	DELEGATED[3]	DESIGN OFFICE CHIEF
DIB 83	Caltrans Supplement to FHWA Culvert Repair Practices Manual	DELEGATED	DELEGATED	NO	NO	DESIGN OFFICE CHIEF
	Project Development Procedures Manual (PDPM)					
PDPM Chapter /Article	**Description**	**Conven-tional Highway**	**Express-way**	**Freeway[1]**	**Inter-state Freeway[1]**	**Delegated Authority**
PDPM 27	Modifications to existing access points or new access points to the Interstate System – Review & Approval required.	DELEGATED	DELEGATED	NO	NO	DESIGN OFFICE CHIEF
PDPM 9-Article 7	Traffic signal projects that introduce or perpetuate nonstandard conditions - Exceptions to Mandatory Design Standards	DELEGATED	DELEGATED	NO	NO	DESIGN OFFICE CHIEF
HDM-PDPM 82.2(1) - 15-7	Contract Design Changes (CCOs) - Exceptions to mandatory design standards.	DELEGATED	DELEGATED	** DELEGATED	NO	DESIGN OFFICE CHIEF
PDPM 17	Existing Utility Longitudinal Encroachments - Exceptions may be granted, but must be approved.	DELEGATED	DELEGATED	NO	NO	DESIGN OFFICE CHIEF
PDPM 17	Utility Encroachments on Toll Bridges – All installations must have approval.	DELEGATED	DELEGATED	NO	NO	DESIGN OFFICE CHIEF
PDPM 17	Reclaimed Water Systems & Encroachments - All installations must have approval	DELEGATED	DELEGATED	NO	NO	DESIGN OFFICE CHIEF

** This is the errata correction dated October 8, 2015.

[1] If not delegated, see the article "Negotiated Design Stewardship Agreement Delegations of Authority."
[3] These are part of the delegation implementation plan for ADA standards.

	Project Development Procedures Manual (PDPM) (Continued)					
PDPM Chapter /Article	Description	Conven-tional Highway	Express-way	Freeway[1]	Inter-state Freeway[1]	Delegated Authority
PDPM 23	Approval Authority for Denominations, or Withdrawal of Denominations.	N/A	DELEGATED	DELEGATED	DELEGATED	DDD, CAPITAL OUTLAY PROGRAM
PDPM 23	Reopen Route Studies – requires written approval.	DELEGATED	DELEGATED	NO	NO	DDD, CAPITAL OUTLAY PROGRAM
PDPM 2,24	Conformance to Adopted Route - All deviations from the adopted route must be approved.	DELEGATED	DELEGATED	NO	NO	DDD, CAPITAL OUTLAY PROGRAM
PDPM 2	Route adoption maps – Approval authority and exceptions to policy	DELEGATED	DELEGATED	DELEGATED	DELEGATED	DDD, CAPITAL OUTLAY PROGRAM
PDPM 2, 24	Freeway Agreements and Controlled Access Highway– Execution authority.	N/A	DELEGATED	DELEGATED	DELEGATED	DDD, CAPITAL OUTLAY PROGRAM
PDPM 24	"Project" or "Performance" Agreement – draft document requires review and approval.	DELEGATED	DELEGATED	NO	NO	DDD, CAPITAL OUTLAY PROGRAM
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 Stewardship Agreement[4] 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 Stewardship 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.

[4] This document is known as the Design Delegation Agreement.

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.

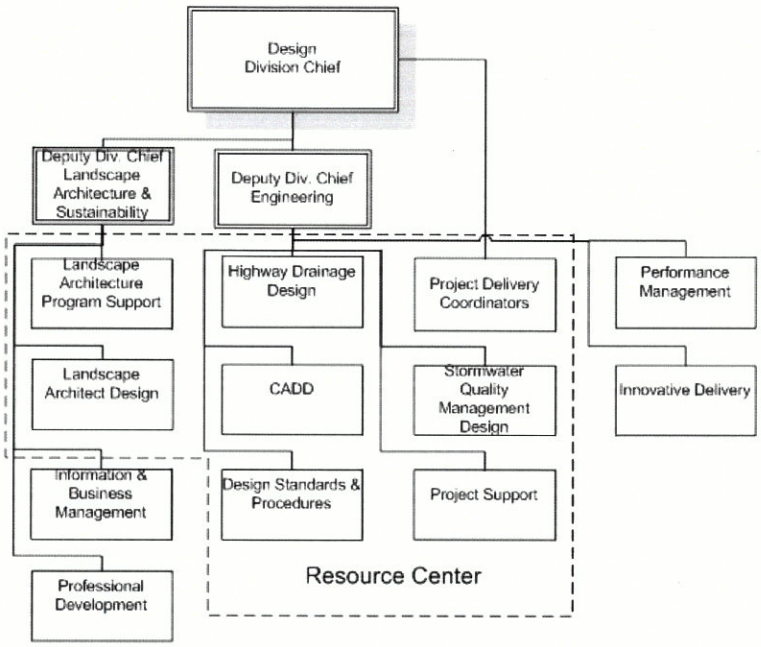

Figure 1 DOD Organization Chart

Districts

Each district is expected to accept the baseline Design Stewardship Agreement Delegation Authority as presented below and will have the option to negotiate an increased level of authority beyond the baseline, reflecting their district needs. Each district will also be expected to provide an organizational structure to implement a Stewardship Quality Management Plan (SQMP) as part of the Design Stewardship Agreement. This SQMP will outline and define how the district will ensure adherence to the Design Stewardship Agreement.

Delegation of the Authorities through this Design Stewardship Agreement will transfer to the District Director. These delegations affect civil engineer works and are therefore subject to the Business and Professional code as defined in sections 6730-6731.1. If a District Director is not a registered 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 Stewardship Agreement, including the negotiated level of delegated authorities and the SQMP as needed in the future.

DOD Resource Center

The DOD Resource Center is a term applied to the expertise provided by the Project Delivery Coordinators, and subject matter experts in the DOD offices. These individuals will provide guidance and support for the districts with regard to delegated authorities of the Design Stewardship Agreement when called upon. It should be noted that the DOD Resource Center will provide subject matter expertise on topics such as geometrics, ADA standards, utility encroachments, encroachments, route matters, 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.[2]
- Previously district delegated mandatory design exception approval authorities as shown in the Highway Design Manual (HDM) will remain unchanged (enacted in 2013).

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

The following approval authorities are excluded from the baseline Design Stewardship Agreement and retained by the DOD:

- Project of Statewide Interest (POSI) as defined in Appendix A
- High-low underground utility risk policy approvals
- Longitudinal utility encroachments on freeways or expressways
- Non-utility encroachments
- Safety Roadside Rest Areas Master Plan
- Non-Standard Special Provision (NSSP) approvals within DOD.

Negotiated Design Stewardship Agreement Delegations of Authority

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