

Deputy Directive

Number: DD-23-R1

*Refer to
Director's Policy:* 03 - Safety and Health
06 - Partnerships
07 - Project Delivery
08 - Freeway System
Management
10 - Commitments
14 - Quality in Caltrans

Effective Date: February 2007

Supersedes: DD-23 (6-28-94)

TITLE Roles and Responsibilities for Development of Projects on the State Highway System

POLICY

The California Department of Transportation (Department), as owner/operator of the State Highway System (SHS), has the statutory and inherent obligation to ensure that all modifications or additions to the SHS, regardless of project sponsor or funding source, are:

- Safe, operational, maintainable, compatible and of good value.
- Providing for the efficient multimodal movement of people and goods.
- In the best interest of the general public.
- Developed and constructed in compliance with laws and regulations that govern the use of State and Federal transportation funds.
- Developed and constructed in partnership with vested stakeholders.

The Department meets its obligations by:

- Engaging in early and continuous partnerships and ensuring accountability amongst project sponsors, implementing agencies, stakeholders, departmental functional units, local, regional and transit agencies, Tribal Governments, developers and consulting firms employed by the Department or its partners.
- Ensuring that all projects on or proposed for the SHS are planned, developed and constructed efficiently and effectively in accordance with standards and practices defined in various Department policies, procedures, manuals and guidance documents.
- Maintaining ultimate approval authority for all projects on the SHS.
- Keeping the public informed through appropriate community outreach.

DEFINITIONS/BACKGROUND

Owner/Operator is that entity ultimately responsible for the operation, maintenance and tort liability of a facility. Per Government Code (GC) 14520.3 (b), the Department is the owner/operator of the SHS.

Project is that temporary endeavor undertaken to plan, develop and construct an improvement, modification, or addition to the SHS.

Project Sponsor secures funding for the project and serves as the project advocate. The project sponsor chooses an Implementing Agency for each project component and is the customer of the Implementing Agency. The Department is the sponsor for all projects funded solely from the State Highway Operation and Protection Program and most projects funded from the Interregional Improvement Program.

The Implementing Agency is that entity charged with successful completion of each project component as defined in GC Section 14529 (b):

1. Project Initiation Document (PID).¹
2. Completion of all permits and environmental studies.
3. Preparation of plans, specifications, and estimates.
4. Acquisition of rights-of-way, including, but not limited to, support activities.
5. Construction, construction management and engineering, including surveys and inspection.

There could be a different Implementing Agency for each component of a project. To ensure clear lines of responsibility, only one agency can be the Implementing Agency for a single component. Contract advertisement, award and administration shall be completed by the same Implementing Agency.

Deputy Directive (DD) 23, "Developing Special Funded Projects," dated June 28, 1994, established roles and responsibilities for projects on the SHS funded by others. The passage of Senate Bill 45 in 1997 and Proposition 35 in 2000 redefined these roles and responsibilities, necessitating the revision of this DD to be consistent with current statute.

1. Although the PID is not listed as a project component in GC 14529 (b), it is required in GC 14526 (b) and 14527 (g) before the start of the components in 14529 (b). This implies the PID is an additional component.

RESPONSIBILITIES

Project Sponsors:

- Identify and prioritize the projects they sponsor.
- Identify the purpose and need for their project relative to the SHS.
- Establish project goals and evaluate project outcomes relative to the established goals.
- Serve as advocates for their projects, and secure funding from the various funding programs or other sources.
- Choose an Implementing Agency or Agencies for project components.
- Secure funding for the preparation and completion of project components as defined in GC Section 14529 (b).
- Secure funding for the preparation and completion of activities at the project team and functional level to perform quality control and quality assurance activities to ensure compliance with Department policies, standards and practices.

Implementing Agencies:

- Deliver project components on time and within budget.
- Deliver quality project components in accordance with Department policies, standards, and practices to ensure the project is in the best interest of the general public and to preserve the immunities established by law to protect the Department and its employees.
- Implement adequate quality control and quality assurance procedures to ensure project components comply with Department policies, standards, procedures, and best practices.
- Ensure that project component closeout activities are completed, including, but not limited to, survey monumentation, as-built plans, environmental commitments compliance, and right-of-way.

Deputy Director, Project Delivery:

- Establishes and ensures implementation of Department policies, standards, procedures, and best practices for Project Delivery.
- Establishes a Quality Management System for Project Delivery for use on all projects developed or proposed for the SHS.
- Provides capital outlay support (COS) resources for the timely and quality delivery of products and services.

Deputy Director, Maintenance and Operations:

- Establishes and ensures implementation of Department policies, procedures, and best practices for issuance of encroachment permits.
- Establishes and ensures implementation of Department policies, procedures, and best practices for maintenance and operations of SHS.
- Provides maintenance and operations support resources for the timely and quality delivery of products and services, including encroachment permits and owner-operator activities in support of project delivery.

Deputy Director, Planning and Modal Programs:

- Ensures that implementation of projects on or proposed for the SHS are consistent with the Department's Interregional Transportation Strategic Plan vision.
- Provides resources for the development of PIDs, including quality control and quality assurance or independent quality assurance activities.

Division Chiefs:

For each Division's respective area of responsibility relative to the efficient and timely delivery of quality projects on or proposed for the SHS:

- Develop and implement standards, procedures, and best practices.
- Develop and implement guidance, tools, and training.
- Provide statewide direction and standards for activities required to ensure compliance with Department policies, standards, and best practices.
- Measure and monitor critical project deliverables by Districts.
- Perform process reviews, ensuring the consistent and effective application of Department standards, procedures, best practices, and quality management activities.
- Implement a system of continuous quality improvement using information learned from measuring and monitoring deliverables and from process reviews.

District Directors:

- Assess the feasibility of the project sponsor's ability to obtain funding for the proposed project component(s) through completion before Department begins work on the PID or subsequent project component.
- Assess a project's purpose and need relative to its public benefit and impact to the SHS.
- Appoint a primary point of contact for the Department for each project.

- Determine and provide those activities necessary to fulfill the Department's owner/operator obligations for those projects impacting the SHS, including, but not limited to:
 - Implementation of quality control and quality assurance practices for each project component for which the Department is responsible;
 - Implementation of independent quality assurance (commonly referred to as oversight) for each project component that is the responsibility of others.
- Ensure project decisions are made through public outreach and involvement of stakeholders.
- Enter into cooperative or highway improvement agreements as appropriate with project sponsor prior to expenditure of COS resources.
- Inform stakeholders of the policies, standards, procedures, and best practices required by the Department and Federal Highway Administration.
- Deliver on commitments made to partners and customers, based on statutory authority and available resources, and ensure the timely delivery of quality products and services for which the Department is responsible.
- Ensure that departmental functional support units are properly resourced to deliver timely and quality products and services.
- Determine the appropriate agency to be lead under the California Environmental Quality Act per current Department policy.

Public Information Officers:

- Communicate to the public, specific actions that will be taken to restore or minimize effects of all construction, maintenance, permitting, planned emergency restoration, or other activities on the SHS.

Managers, Project Managers, Functional Managers, and Supervisors:

- Empower employees with the tools, resources, time and training to deliver the products and services for which the Department is responsible.
- Participate in the development of work plans defining project scope, cost, schedule, resource, and quality requirements.
- Prioritize commitments to ensure the successful delivery of both the Department's and external project sponsors' projects.
- Ensure that work does not begin without appropriate authorization.
- Notify their District Director and Deputy District Directors, via established chains of command, of any changes or problems that could delay the successful delivery of a project.
- Ensure project compliance with Department policies, standards, procedures, and best practices.
- Engage the appropriate Department public information office early in the project delivery process through project construction completion.

Employees:

- Provide quality and timely products and services by using the appropriate tools, resources, time, and training.
- Communicate to their project managers, supervisors, and impacted functional units any changes or problems that could impact the timely, efficient delivery of a project or project component.

APPLICABILITY

All employees involved with the delivery of modifications or additions to the SHS.

Original Signed By

February 23, 2007

RANDELL H. IWASAKI
Chief Deputy Director

Date Signed