EXHIBIT 2-B FEDERAL-AID PROJECT RESPONSIBILITIES LIST

FOR DELEGATED PROJECTS OFF THE STATE HIGHWAY SYSTEM
(Pursuant to 2015 FHWA & Caltrans Stewardship and Oversight Agreement)

Project Action/Activity	Local Agency	Caltrans District	Caltrans HQ	FHWA
Project Authorization (Chapter 3)				
Construction Engineering > 15% Total Contract Item Costs	Verify[1]	Approve[1]	-	-
Project Agreement and Modification [23 CFR 630.110]	Prepare	Recommend	Approve[2]	Approve[2] /Verify[3]
Obligate Funds	-	-	-	Approve[4]
Funding Eligibility Determinations	Prepare	Recommend	Approve	Verify[3]
Reimbursement Vouchers (interim and final)	-	-	Prepare	Approve
Section 1.9 Approvals of Incurred Costs. [23 CFR 1.9]	Prepare	Recommend	Recommend	Approve
Agreements (Chapter 4)				
Master Agreement	Sign	File Copy	Prepare/ Approve	-
Program Supplement Agreement	Sign	File Copy	Initiate/ Approve	-
Invoicing (Chapter 5)				
Invoice	Prepare	Approve[5]	Approve[5]	-
Project Eligibility	Prepare	Approve	Review	-
Environmental Procedures (Chapter 6)				
Project-Level Transportation Conformity Determination for CE pursuant to 23 USC 327 (NEPA Assessment MOU)	Prepare	Request	-	Approve
NEPA Approval Consistent with 23 USC 326 & 327 MOUs (for detailed NEPA actions and approvals refer to LAPM Chapter 6 and the SER)	Prepare	Approve	-	-
Field Review (Chapter 7)				
Field Review	Perform	Participate[6]	-	-
Minor ITS Project development [23 CFR 940.11] (SERF)	Prepare	Approve	-	-

[1] Applies only to projects selected and programmed directly by Caltrans.
[2] Approval and signatures are needed by both Caltrans and FHWA.
[3] Subject to FHWA's random sample verification process. Verification is defined here as routine, independent confirmation of sampled projects.
[4] Obligation of funds by FHWA is the final step in the project authorization process
[5] DLAE performs initial review and approval. Headquarters Local Programs Accounting performs final review of invoice prior to payment by the State which is subsequently reimbursed by FHWA.
[6] DLAE participates in field reviews unless otherwise documented in project files.

Project Action/Activity	Local Agency	Caltrans District	Caltrans HQ	FHWA
Public Hearings (Chapter 8)				
Public Hearing [23 CFR 771.111(h)]	Perform/ Certify	-	-	-
Civil Rights & Disadvantaged Business Enterprises (Chapter 9)				
DBE Implementation Agreement [LAPM]	Prepare	Approve	-	-
DBE Annual Goals [LAPM]	-	-	Prepare	Approve
ADA Coordinator [49 CFR 27.13(a)]	Certify	Accept	-	-
ADA Complaint Procedure [49 CFR 27.13(b)]	Certify	Accept	-	-
ADA Agency Self-Evaluation [28 CFR 35.105]	Certify	Accept	-	-
ADA Transition Plan [28 CFR 35.150]	Certify	Accept	-	-
Consultant Selection (Chapter 10)				
Consultant Selection [23 CFR 172.7-172.9]	Perform	Review[7]	-	-
Consultant Agreements	Approve	Review[8]	-	-
PIF – Use of Non-Competitive Negotiated Consultant Contracts [23 CFR 172.5(3)]	Prepare	Approve	-	-
Cognizant Agency Audit [23 CFR 172.11]	Prepare	Copied	Review[9]	-
Consultants in Management Role [23 CFR 172.7(b)(5)]	Prepare		-	Approve
Design Standards (Chapter 11)				
Preliminary Plans for Major and Unusual Structures	Prepare	Approve	-	-
Design Standards	Approve	-	-	-
Exceptions to Design Standards [23 CFR 625.3(f)]	Approve	-	-	-
Experimental Features	Prepare	Recommend	Recommend	Approve
Value Engineering [23 CFR 627, SAFETEA-LU 1904]	Approve	Review[10]	-	-
Develop Financial Plans for Federal Projects between $100 Million to $500 Million [23 USC 106(i)]	Prepare	Review & Approve	-	-
High Risk ITS Project Development [23 CFR 940.11]	Prepare	Recommend	Recommend	Approve
Major Projects and TIFIA Loan Projects – Project Management Plan and Financial Plan [SAFETEA-LU 1904]	Prepare	Review[11]	Review	Approve

[7] DLAE receives consultant contract DBE information and may participate in consultant selection process upon request and contingent on available resources.
[8] DLAE receives and reviews executed consultant contract before payment is made.
[9] Local agency coordinates review of proposed consultant contract indirect cost rates, etc. with Caltrans Independent Office of Audits & Investigations, DLAE to be copied on correspondence.
[10] For all Federal-aid projects exceeding $50 million on the National Highway System (NHS) and bridge projects exceeding $40 million on the NHS. DLAE to coordinate review of local agency Value Analysis Study with District Value Analysis Coordinator.
[11] DLAE to coordinate with Division of Project Management.

Project Action/Activity	Local Agency	Caltrans District	Caltrans HQ	FHWA
Low Risk ITS Project development [23 CFR 940.11]	Prepare	Approve	-	-
Plans, Specifications & Estimates (Chapter 12)				
PS&E [23 CFR 630.205, 23 USC 106]	Approve & Certify	Verify	-	-
Public Interest Finding (PIF) – Statewide Application	-	Recommend	Prepare	Approve
Environmental Commitments are incorporated	Prepare	Verify	-	-
PIF – Use of publicly furnished materials [23 CFR 635.407]	Approve	-	-	-
PIF – Use of contracting method other than competitive Bidding [23 CFR 635.104/204]	Prepare	Approve	-	-
Utility or Railroad Force Account Work [23 CFR 645.113 & 646.216]	Prepare	Approve	-	-
PIF – Advertising Period less than 3 Weeks [23 CFR 635.112]	Prepare	Approve	-	-
PIF – Use of Force Account [23 CFR 635.204,205]	Prepare	Approve[12]	-	-
PIF – Use of Mandatory Borrow/Disposal Sites [23 CFR 635.407]	Prepare			-
PIF – Use of Publicly-Owned Equipment [23 CFR 635.106]	Approve	-	-	-
Buy America Waiver [23 CFR 635.410]	Prepare	Recommend	Recommend	Approve
Innovative Contracting Requirements [SEP 14 & 15]	Prepare	Recommend	Recommend	Approve
Right-Of-Way (Chapter 13)				
Qualify Local Agencies	-	Approve	-	-
Qualify/Select Consultants	Perform/ Select	Verify	-	-
R/W certificate 3 – Conceptually concur as a condition of PS&E approval [23 CFR 635.309(r)(3)]	Prepare	Recommend	Recommend	Approve
Accept ROW certificate 1 and 2 as a condition of PS&E approval [23 CFR 635.309(c)(1)&(2)]	Prepare	Approve	-	-
Functional Replacement [23 CFR 710.509]	Prepare	Recommend	Recommend	Approve
Protective Buying and Hardship Acquisition [23 CFR 710.503]	Prepare	Recommend	Recommend	Approve
Public Interest Finding (PIF) – Concur on declaring Federally Funded R/W as excess for disposal [23 CFR 710.403, 409]	Prepare	Recommend	Recommend	Approve
Railroad Agreement [23 CFR 646.216 (3)(d)]	Prepare	Approve		
Request for Credits for Early Acquisition of ROW [23 CFR 710.501]	Prepare	Recommend	Recommend	Approve

[12] Copy of approved force account PIFs to be forwarded to FHWA. For ARRA projects, force account PIFs are to be submitted to FHWA for approval.

Project Action/Activity	Local Agency	Caltrans District	Caltrans HQ	FHWA
Request for Direct Federal Acquisition [23 CFR 710.603]	Prepare	Recommend	Recommend	Approve
Request for Federal Land Transfer [23 CFR 710.601]	Prepare	Recommend	Recommend	Approve
Request for Waivers of comparable replacement dwelling requirements [49 CFR 24.204(b)]	Prepare	Recommend	Recommend	Approve
Withholding of Federal Payments upon failure to perform [23 CFR 710.203(c), 23 CFR 1.36]	Prepare	Recommend	Recommend	Approve
Utilities Relocation (Chapter 14)				
Utility Agreement [23 CFR 645.113, 119]	Prepare	Approve	-	-
Utility Relocation [23 CFR 645 subparts A and B]	Prepare	Approve	-	-
Advertise & Award Project (Chapter 15)				
Advertise Project	Prepare	Recommend	Recommend	Approve[13]
Bid Analysis [23 CFR 635.114]	Prepare & Approve	Review	-	-
Consultant Agreements [23 CFR 172.7-172.9]	Approve	Review	-	-
Public Interest Finding (PIF) - Advertising Less than 3 Weeks [23 CFR 635.112]	Prepare	Approve	-	-
PIF - Use of Contracting Method other than Competitive Bidding [23 CFR 635.104 & 204]	Prepare	Approve	-	-
Addenda during Advertisement Period [23 CFR 635.112]	Prepare	Approve	-	-
Award of Contract [23 CFR 635.114]	Approve	-	-	-
Rejection of All Bids [23 CFR 635.114]	Approve	-	-	-
Award Package – Including DBE Reporting	Prepare	Review	Report[14]	-
Administer Construction Contract (Chapter 16)				
Construction engineering by local agency [23 CFR 635.105]	Certify	Approve	-	-
Contract Administration and Inspection	Certify	Review[15]	Verify[16]	Verify[17]
Subcontracting Requirements [23 CFR 635.114]	Certify	-	-	-
Quality Assurance Program [LAPM Chapter 16.14]	Approve	Accept	-	-
Contract Change Orders (CCO) w/ no increase in Federal funds	Approve[18]	-	-	-
E-76 Modification for CCO with increase in Federal funds	Prepare	Recommend	Approve	Approve[19]

[13] Approval for advertising is included with receipt of construction authorization for the project.
[14] DBE data is reported to Caltrans Office of Business & Economic Opportunity.
[15] DLAE may select areas for review.
[16] DLA Construction Oversight Engineers perform periodic reviews of contract administration of construction projects.
[17] FHWA can verify any aspect of the project as part of a construction field review.
[18] Local agencies are financially responsible for change orders executed without additional E-76 funds.
[19] Local agencies must receive E-76 modification approval prior to executing the CCO.

Project Action/Activity	Local Agency	Caltrans District	Caltrans HQ	FHWA
Environmental Commitments (permit conditions and required mitigation) [23 CFR 771.109(b)]	Implement	-	-	-
Contract Time Extensions [23 CFR 635.120]	Prepare	Approve	-	-
Termination of Construction Contract [23 CFR 635.125]	Approve [20]	-	-	-
Settlement of Construction Contract Claims [23 CFR 635.124]	Approve [21]	-	-	-
Incentive/Disincentive Amount Justification [23 CFR 635.127]	Approve	-	-	-
Liquidated Damages [23 CFR 635.127]	Approve	Review	-	-
Reimbursement Invoice	Prepare	Approve [22]	Approve	-
Project Completion (Chapter 17)				
Final Inspection/Contract Acceptance [23 USC 114(a)]	Approve	-	-	-
Materials Certification [LAPM Exhibit 17-G]	Certify	Review	Review [23]	
Project Verification	Recommend	Verify	-	-
Final Report of Expenditures	Prepare	Approve	-	Verify
Post-Project Audits	-	-	Perform [24]	-
Maintenance (Chapter 18)				
Maintenance of completed Federal-aid Projects	Perform	Review	-	-

[20] Local agencies are financially responsible for termination agreements executed without necessary E-76 funds. Anticipated profits for work not performed is not eligible for Federal reimbursement.
[21] Local agencies are financially responsible for settlement of contract claims without necessary E-76 funds. Any contract adjustment shall be fully supported.
[22] DLAE performs initial review and approval. Headquarters Local Programs Accounting performs final review of invoice prior to payment by the State which is subsequently reimbursed by FHWA.
[23] DLA Oversight Engineers perform periodic reviews.
[24] Performed by Caltrans Independent Office of Audits & Investigations with assistance from the DLAE.