

Deputy Directive

Number: DD-23-R2

Refer to

Director's Policy: DP-03, Safety and Health
DP-06, Caltrans' Partnerships
DP-07, Project Delivery
DP-08, Transportation System
Management and
Operations (TSMO)
DP-10, Departmental Commitments
DP-14, Quality in Caltrans
DP-33, Sustainability

Effective Date: 12/04/2018

Supersedes: DD-23 R1 (2/23/2007)

Responsible

Program: Project Delivery,
Division of Design

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

POLICY

The California Department of Transportation (Caltrans), as owner/operator of the State Highway System (SHS), has the statutory (Government Code section 14000(c)) and inherent goal to ensure that all modifications or additions to the SHS are:

- Safe, operational, maintainable, environmentally compatible, and of good value.
- Efficient in providing 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.

Caltrans meets this goal by:

- Applying quality management practices.
 - Engaging in early and continuous partnerships and ensuring accountability amongst project sponsors, implementing agencies, stakeholders, Caltrans functional units, local, regional, and transit agencies, tribal governments, developers and consulting firms employed by Caltrans or its partners.
 - Ensuring that all projects on or proposed for the SHS are planned, developed, and constructed efficiently and effectively resulting in a quality project in accordance with Caltrans standards and practices.
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- Ensuring one implementing agency undertakes the project's advertising, awarding, and administration of a construction contract.
- Maintaining ultimate approval authority for all projects on the SHS.
- Keeping the public informed through appropriate outreach.

DEFINITION/BACKGROUND

The roles and responsibilities in planning, designing, and constructing transportation projects on the SHS continue to increase in complexity due to the influx of various transportation funding sources, the ability to use alternative project delivery methods, regional transportation planning agencies' active roles in selecting and programming transportation projects, and these agencies' ability to contract with private architectural and engineering firms to deliver those projects. Caltrans as steward of the SHS strives to ensure the appropriate accountability and professional liability remain with project sponsors, implementing agencies, and product suppliers. Caltrans seeks to ensure the integrity of the SHS by defining the various roles and responsibilities of all parties involved, and by ensuring the quality of transportation projects. The definitions provided below are recognition of the parties' interests related to transportation project development.

Owner/Operator is the entity ultimately responsible for the planning, design, construction, operation, maintenance, and liability of a facility. Government Code section 14520.3 (b) and Streets and Highways Code section 90 establishes Caltrans as the owner/operator of the SHS.

Project is the undertaking by a project sponsor of a transportation related construction, erection, alteration, repair, or improvement to the SHS, including all work necessary to fulfill the owner/operator's requirements and commitments while satisfying all state and federal laws and regulations. (Public Contract Code section 10105).

Project Sponsor is the project advocate that acquires funding partners to ensure adequate project funding.

Project Components are prescribed in Government Code section 14529(b) and describe the resources during the life of a project in the State Transportation Improvement Program. Components are synonymous to phases which are used to indicate the progression of a project in the project development process.

Implementing Agency is an entity charged with successful completion of a project component, and assumes project management responsibilities for the component. There is only one implementing agency per component.

Supplier is the entity that provides a service or product to the implementing agency.

Delegation is the process of transferring powers, duties, obligations, or actions from one person/entity to another.

Quality Project is the result in the fulfillment of project responsibilities in the delivery of products and services that considers stakeholders' interests and fulfills Caltrans' requirements and outcomes.

Quality Control (QC) is the methods, means, or procedures used by a supplier to monitor and assess products or services to ensure that the final product will fulfill the established quality requirements.

Quality Assurance (QA) is the performance of all the planned and systematic activities that provide confidence that the product requirements will be fulfilled.

Quality Management Plan (QMP) is a document prepared by the implementing agency that describes by who, what, when, and how QC and QA activities will be performed for each project component as specified in the quality assurance program.

Quality Assurance Program (QAP) is the implementing agency's promulgated quality related policies, procedures, and guidelines necessary to ensure the work performed for each project component results in a quality project.

Quality Management Assessment (QMA) is the performance of all planned systematic activities by the owner/operator that verifies the implementing agency's QAP effectiveness and precedes the owner/operator approval.

Quality Management Practices are all the implementing agency's systematic activities used to direct, control, and coordinate the development of a quality project. These activities include the QAP and QMP implementation, the performances of QC and QA activities, and quality improvements originating from QMA, QC, or QA.

Owner/Operator Approval is a non-delegable project related decision which can only be performed by the owner/operator.

Stakeholder Approval is a project related decision which can only be performed by an external individual or organization whose duties are established by law (e.g. National Environmental Policy Act (NEPA) permitting agencies, California Environmental Quality Act (CEQA) permitting agencies, railroads, or the California Transportation Commission (CTC)).

California Environmental Quality Act Lead Agency (CEQA) (Public Resources Code section 21067) is the public agency which has the principal responsibility for carrying out or approving a project which may have a significant effect on the environment.

National Environmental Policy Act Lead Agency is the public agency which ensures federal compliance and approvals for a project.

CEQA Responsible Agency (Public Resource Code section 21069) is the public agency, other than the lead agency, that has discretionary authority over a project.

RESPONSIBILITIES

Owner/Operator:

- Performs QMA for all projects to ensure a quality project on the SHS.
- Provides owner/operator approval as needed.
- Provides written approval on risks the project sponsor is unable to mitigate or avoid.
- Fulfills the FHWA Stewardship and Oversight Agreement responsibilities.
- Fulfills NEPA lead agency role and responsibilities when assigned by FHWA.
- Fulfills CEQA lead agency role and responsibilities.
- Performs CEQA responsible agency responsibilities, when not a CEQA lead agency.

Project Sponsor:

- Secures funding for the preparation and completion of all the project components including quality management practices.
- Identifies and seeks approval for the transportation need and purpose that conforms to Caltrans Strategic Management Plan.
- Evaluates and compares project outcomes to the established project goals.
- Chooses an implementing agency for each project component.
- Mitigates project risks and does not create undue risk for the owner/operator unless necessary approvals are obtained using proper procedures.
- Ensures the project management plan is implemented, including, but not limited to, the QMP and risk management plan.

CEQA Lead Agency:

- Determines the appropriate type of environmental documentation.
 - Exercises its independent judgment and analysis for the adequacy and objectivity of the CEQA environmental document.
 - Reviews and approves the need and purpose for the project as it relates to the environmental documentation.
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- Reviews and approves a reasonable range of alternatives in relation to the environmental documentation.
- Reviews, comments, approves, and certifies the environmental documentation at appropriate stages of project development as prescribed in the Caltrans Standard Environmental Reference (SER).

NEPA Lead Agency:

Performed by the US Department of Transportation, Federal Highway Administration (FHWA) unless assigned to Caltrans.

- Reviews, comments, and approves the NEPA environmental documentation at appropriate stages of project development.
- Reviews and approves the need and purpose for the project as it relates to the environmental document.
- Ensures a reasonable range of alternatives are considered in relation to the environmental document.
- Reviews, comments, approves, and reevaluates environmental documentation at each project component.
- Ensures the project sponsor complies with the project's environmental mitigation and other environmental commitments disclosed in the environmental document.

CEQA Responsible Agency:

- Ensures its concerns are met by providing early consultation to the CEQA lead agency.
- Participates in the CEQA process.
- Prepares and issues its own findings.
- Certifies its review and consideration of the CEQA lead agency's CEQA document.
- Acts on or approves the project.

Implementing Agency:

- Chooses the supplier for each project component.
 - Establishes and implements QAP and generates a QMP for each component.
 - Delivers quality project components on time, and within budget.
 - Verifies and accepts work performed by the supplier provided appropriate documentation is obtained to allow for verification and acceptance.
 - Advertises, awards, and administers the construction contract.
 - Ensures that all project component closeout activities are completed in a timely manner, including, but not limited to, survey control and right of way monumentation, as-built plans, environmental commitments compliance, and right-of-way.
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Deputy Director, Project Delivery:

- Ensures establishment and implementation of Caltrans policies, standards, procedures, and best practices for each project component affecting project development.
- Ensures establishment of the QAP for each project component affecting Project Delivery that includes QC, QA, QMA, and owner/operator approval activities.
- Ensures allocation of capital outlay support (COS) resources for the timely delivery of quality products and services.

Deputy Director, Maintenance and Operations:

- Ensures establishment and implementation of Caltrans policies, procedures, and best practices for maintenance and operations of SHS.
- Ensures allocation of maintenance and operations support resources for the timely delivery of products and services related to project development.
- Ensures establishment and implementation of Caltrans policies, procedures, and best practices for issuance of encroachment permits.
- Ensures allocation of maintenance and operations support resources for the timely delivery of products and services including CEQA lead agency or responsible agency.

Deputy Director, Planning and Modal Programs:

- Ensures establishment and implementation of Caltrans policies, procedures, and best practices for Transportation Planning of the SHS.
- Ensures that implementation of projects on or proposed for the SHS are consistent with all Caltrans transportation planning documents.
- Provides resources for the development of project initiation documents in the project initiation phase.
- Establishes and ensures the QAP for the project initiation phase includes QC, QA, QMA, and owner/operator approval activities.
- Ensures allocation of Transportation Planning support resources for the timely delivery of products and services including CEQA lead agency or responsible agency.

Division Chiefs:

For each Division's respective area of responsibility pertaining to the efficient and timely delivery of quality projects and services:

- Develop and implement standards, procedures, and best practices that are aligned with Caltrans' Strategic Management Plan.
 - Develop and implement guidance, tools, and training to ensure successful delivery of quality projects.
 - Develop a QAP pertaining to their product and services for which Caltrans is the implementing agency and responsible agency.
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- Provide statewide direction, policies and standards for activities required to ensure compliance with Caltrans policies, standards, and best practices.
- Measure and monitor critical program and project deliverables and outcomes by districts and regions in alignment with Caltrans' Strategic Management Plan.
- Act as the approval authority for owner/operator approvals for those decisions delegated.
- Provide guidance, policies, tools, and training for QMA activities.
- Perform audit, surveillance, or process reviews for ensuring the consistent and effective application of Caltrans 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) before Caltrans begins work.
 - Act as the Caltrans authority for any owner/operator approval for those decisions delegated.
 - Concur on the project's need and purpose relative to its public benefit and impacts to the SHS.
 - Appoint a primary point of contact for each project.
 - Determine and provide those activities that ensure a quality project on the SHS, including, but not limited to:
 - Implementation of the QAP for each project component for which Caltrans is the implementing agency.
 - Implementation of QMA for all project components.
 - Ensure project decisions are made considering information gathered through public outreach and involvement of stakeholders.
 - Enter into cooperative or highway improvement agreements as appropriate with project sponsor(s) prior to expenditure of COS resources.
 - Inform stakeholders of the policies, standards, procedures, and best practices required by Caltrans and FHWA.
 - 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 Caltrans is the implementing agency.
 - Ensure that Caltrans functional units are properly resourced to deliver quality products and services in a timely manner.
 - Determine the appropriate agency to be the lead under CEQA.
 - Approve and certify the CEQA environmental document if Caltrans is the CEQA lead agency or approve the project if Caltrans is the responsible agency.
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- Review and approve the project report or equivalent after consideration of the CEQA.
- If assigned, approve the NEPA environmental documentation.
- Ensures all proposed projects are evaluated and prioritized for funding.

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.

District Deputies, Office Chiefs, and Branch Chiefs:

- Provide QA for the products, and services within their functional area.
- Empower employees with the tools, resources, time, and training to deliver the products and services for which Caltrans is the implementing agency.
- Participate in the development of work plans and quality management activities defining project scope, cost, schedule, resource, and quality requirements.
- Prioritize commitments to ensure the successful delivery of both Caltrans' and external project sponsors' projects.
- Ensure that work does not begin without appropriate written authorization.
- Notify their District Director and/or Deputy District Directors, via established reporting relationship, of any changes, problems, or risks that could affect the scope, cost, schedule, and overall quality of projects on the SHS, or owner/operator approval.
- Apply the QAP, and develop the QMP if Caltrans is the implementing agency.
- Perform QMA, if assigned this responsibility.
- Assess and manage risk affecting the owner/operator responsibilities.

Project Managers:

- Lead the project development team on issues and risks related to quality management, scope management, schedule management, or cost management issues for each project component utilizing appropriate documentation.
- Facilitate resolutions and seek approvals for project related issues and risks affecting the quality, scope, schedule or cost.
- Ensure funding requirements are met.

Task Managers or Employees:

- Participate in the deployment of the QAP by performing quality control or quality assurance, if assigned, on work or services.
 - Provide quality and timely products and services by using appropriate tools, resources, time, documentation, and training.
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**ROLES AND RESPONSIBILITIES FOR DEVELOPMENT OF PROJECTS
ON THE STATE HIGHWAY SYSTEM (Cont.)**

- Assess risk of issues affecting the owner/operator responsibilities and communicate those in a collaborative fashion to the implementing agency and stakeholders.
- Communicate to their supervisors, project managers, and impacted functional units any changes, problems, or risks by using proper and approved methods of documentation for the project.

APPLICABILITY

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

Original signed by:

RYAN CHAMBERLAIN
Chief Deputy Director

12/04/2018

Date Signed
