

The FHWA and ADOT Stewardship and Oversight Agreement for Arizona



March 2010

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Abbreviations

AA/EEO – Affirmative Action/Equal Employment Opportunity
AASHTO – American Association of State Highway & Transportation Officials
AC – Advanced Construction
ADA – Americans with Disabilities Act
ADOT – Arizona Department of Transportation
Agreement – The FHWA and ADOT Stewardship and Oversight Agreement for Arizona
ALISS – Accident Location Information and Surveillance System
ANSI – American National Standards Institute
ARRA or Recovery Act – American Recovery and Reinvestment Act
BAC – Blood Alcohol Content
CE – Categorical Exclusion
CFR – Code of Federal Regulations
COA – Change of Access
COOP – Continuity of Operations Plan
CRI – Condition Rating Index
CY – Calendar Year
DBE – Disadvantaged Business Enterprise
DOT – Department of Transportation
EA – Environmental Assessment
EIS – Environmental Impact Statement
ER – Emergency Relief
FAHP – Federal-aid Highway Program
FAPG – Federal-aid Program Guide
FARS – Fatal Accident Reporting System
FHWA – Federal Highway Administration
FIRE – Financial Integrity Review and Evaluation
FFY – Federal Fiscal Year
FMIS – Financial Management Information System
FONSI – Finding of No Significant Impact
FTA – Federal Transit Administration
HBP – Highway Bridge Program
HPMS – Highway Performance Monitoring System
HQ – Headquarters
HSIP – Highway Safety Improvement Program
ISTEA – Intermodal Surface Transportation Efficiency Act of 1991
ITS – Intelligent Transportation Systems
LPA – Local Public Agency
LRTP – Long-range Transportation Plan
LTAP – Local Technical Assistance Program
MAG – Maricopa Association of Governments
MPO – Metropolitan Planning Organization
MUTCD – Manual on Uniform Traffic Control Devices
NBI – National Bridge Inventory

NBIS – National Bridge Inspection Standards
NEPA – National Environmental Policy Act
NHS – National Highway System
NHTSA – National Highway Traffic Safety Administration
NOI – Notice of Intent
OJT – On the Job Training
OMB – Office of Management and Budget
PAG – Pima Association of Governments
PE – Preliminary Engineering
PIF – Public Interest Finding
P.L. – Public Law
PS&E – Plans, Specifications and Estimate
PSR – Present Service Rating
QC/QA – Quality Control/Quality Assurance
3R – Resurfacing, Restoration and Rehabilitation
4R – Resurfacing, Restoration, Rehabilitation and Reconstruction
ROD – Record of Decision
ROW – Right of Way
Secretary – Office of the Secretary, U.S. Department of Transportation
SAFETEA-LU – Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users
SEP-14 – Special Experimental Project-14
SHPO – State Historic Preservation Office
SHSP – Strategic Highway Safety Plan
SHS – State Highway System
SPR – Statewide Planning and Research
STIP – Statewide Transportation Improvement Program
TEA – Transportation Enhancements
TEA-21 – Transportation Equity Act for the 21st Century
TERO – Tribal Employment Rights Office
TIP – Transportation Improvement Program
TMA – Transportation Management Area
Uniform Act – Uniform Relocation Assistance and Real Property Acquisitions Act
UPWP – Unified Planning Work Program
USC – United States Code
USDOT – United States Department of Transportation
VE – Value Engineering
VMT – Vehicle Miles Travelled
WLS – Western Legal Services

The Stewardship and Oversight Agreement

Pursuant to Title 23, United States Code (USC), Section 106 (c), a state may assume the responsibilities of the Secretary of Transportation under this title for design, plans, specifications, estimates, contract awards, and inspections of projects unless the state or the Secretary determines that such assumption is not appropriate. *The FHWA and ADOT Stewardship and Oversight Agreement for Arizona* (hereafter referred to as the "Agreement") also covers projects on the Interstate System that are considered to be inherently low risk, as further defined in this Agreement. As a condition of accepting federal-aid highway funds, the Arizona Department of Transportation (ADOT) agrees to follow applicable federal-aid program and project requirements when administering or implementing elements of the federal-aid highway program.

In signing this Agreement, ADOT and the Federal Highway Administration (FHWA) Arizona Division agree to adhere to the provisions and responsibilities set forth in this Agreement and agree to carry out their responsibilities in a true spirit of cooperation and partnership in implementing the federal-aid highway program (FAPH) in Arizona.

ADOT agrees that where it assumes delegated Title 23 oversight roles and approval responsibilities, it is responsible for ensuring that projects are developed and constructed in compliance with federal requirements, as defined under Title 23, Section 106, and that appropriate corrective action is taken when found to be in non-compliance with applicable federal requirements. FHWA may be consulted at any time regarding matters related to or impacting federal requirements.

FHWA and ADOT further understand that nothing contained herein shall relieve them from ultimate accountability for compliance with federal and state laws, and regulations with respect to the expenditure of FAHP funds in the State of Arizona, including those funds passed through to local governments. This Agreement does not preclude the FHWA access to, and review of, federal-aid projects at any time, and does not replace the provisions of Title 23.

The Agreement is intended to be a living document that can be modified when needed to incorporate additional legislation, additional processes, or other changes to improve program and project delivery. The FHWA Arizona Division Administrator or the ADOT Director may initiate amendments to this Agreement at any time as appropriate.

APPROVED BY:



Robert E. Hollis
Division Administrator, Arizona
Federal Highway Administration

3/24/2010

Date



John S. Halikowski
Director
Arizona Department of Transportation

3/24/10

Date

The Stewardship and Oversight Agreement

Introduction

Guiding Legislation

This Agreement outlines the roles and responsibilities of both the Federal Highway Administration (FHWA) Arizona Division and the Arizona Department of Transportation (ADOT) in the oversight and administration of the federal-aid highway program (FAHP) in Arizona.

Since 1991, federal transportation legislation has provided flexibility in delegating certain FAHP program and project-level responsibilities to states. The Intermodal Surface Transportation Efficiency Act (ISTEA) of 1991, the Transportation Equity Act for the 21st Century (TEA-21) of 1998, and the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005 provided flexibility to FHWA and the states in ensuring project actions are carried out in accordance with applicable laws, regulations, and policies. TEA-21, Section 1305 (a), required that FHWA and the state enter into an agreement showing the extent of the state's assumption of responsibilities of the Secretary of Transportation. These laws allowed the states to assume greater program and project responsibilities, and accountability in the management of the FAHP. With the passage of SAFETEA-LU, greater flexibility was granted for FHWA and the states to enter into a more comprehensive agreement that covers all aspects of the FAHP and mechanisms to effectively and efficiently execute the federal-aid program relating to program and project delivery, including financial integrity.

Pursuant to 23 USC 106(c), only certain project-level actions and authorities, as further defined in this Agreement, can be delegated; these involve: design, plans, specifications, estimates, contract awards, and inspections of projects. However, actions under the following non-Title 23 authorities cannot be delegated: National Environmental Policy Act (excepted as permitted under Title 23); Uniform Relocation Assistance & Real Property Acquisitions Act; and Clean Air Act. Also, the non-Title 23 requirements apply to all projects. In those situations where ADOT has assumed responsibility for project oversight through the delegations provided in Title 23 USC 106, ADOT is responsible acting in the relative role of FHWA. While federal law allows a state to assume certain project responsibilities, FHWA is ultimately accountable for assuring that the FAHP is delivered consistent with established requirements. Delegation authority to the state can be withdrawn at anytime if the state operates in a manner which violates federal laws or regulations.

23 USC 106(b) also permits states to approve, on a project-by-project basis, plans, specifications, and estimates for projects to resurface, restore, and rehabilitate highways on the National Highway System (NHS), and further permits the states to request that the Secretary no longer review and approve highway projects on the NHS (including the Interstate) with an estimated construction cost of less than \$1,000,000.

FHWA recognizes there are some projects on the Interstate System that are routine and inherently low risk that are generally non-controversial and in which the state DOTs have a high-level of experience and documented procedures and processes in place for ensuring compliance with federal requirements.

It is also mutually desirable for the FHWA to streamline the approval process of these routine and inherently low-risk projects. For that reason, the FHWA issued guidance on February 22, 2007, that allows for evaluation and revision of the \$ 1,000,000 threshold and the shifting of responsibilities to the states for inherently low-risk projects on the Interstate.

Accordingly, this Agreement incorporates, by programmatic agreement, inherently low-risk projects on the Interstate System on the basis of the following:

1. Inherently low-risk oversight projects include those that are routine, low-risk projects and generally non-controversial in which the state DOTs have a high-level of experience and documented procedures and processes in place for ensuring compliance with federal requirements. These projects would not include complex or unique engineering features, would not traditionally involve major changes in scope or cost, would satisfy design standards, and would not jeopardize the safety or operation of the Interstate System. Complex projects that are classified as “major projects,” involve new partners (public/private partnerships), or new, innovative contracting methods are viewed as high risk, are not considered inherently low-risk oversight projects. For purposes of this agreement, inherently low-risk oversight projects include all Interstate projects under \$25,000,000. In addition, the following class of Interstate projects is considered to be inherently low-risk for oversight purposes: 3R (resurfacing, restoration, and rehabilitation).
2. For the projects listed in paragraph 1, FHWA is granting its approval, in advance of the actual delivery of the projects, for these projects’ designs, plans, specifications, estimates, contract awards, contract administration, and inspections. These advance approvals are not deemed to occur until after the completion of the National Environmental Policy Act (NEPA) process and the satisfaction of other related environmental laws and procedures.
3. For the projects listed in paragraph 1, FHWA’s oversight will be satisfied by a risk management framework and process/program reviews. It is understood that FHWA’s approval of funds for these projects at either the preconstruction or construction phase constitutes a determination that the project in question is eligible for the federal-aid funding and that the appropriate federal requirements have been met to date or defined steps are to be taken to ensure that requirements will be met. Notwithstanding this determination, FHWA continues to retain overall responsibility for all aspects of federal-aid programs and, as such, shall be granted full access to review any aspect or record of a federal-aid project at any time.

Overview

Stewardship and oversight, as outlined in this Agreement, are exercised through program management and project level activities. Stewardship and oversight are defined as follows:

Stewardship is the efficient and effective management of the public funds that have been entrusted to the FHWA. Stewardship is a joint responsibility for the development and implementation of the FAHP. It involves all the FHWA activities in delivering the FAHP such as leadership, technology deployment, technical assistance, problem solving, program administration and oversight. Stewardship activities include continuous process improvement initiatives, technology assistance,

technology deployment, performance measurement, project involvement activities, and sharing best practices. Stewardship can be considered “how” we meet program goals.

Oversight is the act of ensuring that the Federal-aid program is delivered in accordance with applicable laws, regulations, and policies. Oversight is the compliance or verification component of the FHWA stewardship activities. Narrowly focused, oversight activities ensure that the implementation of the FAHP is done in accordance with the applicable laws, regulations, and policies. Broadly focused, oversight activities enable both agencies to ensure the effective delivery and operation of the transportation system envisioned in our governing laws and regulations. Oversight activities include process reviews, program evaluation, program management activities, and project involvement activities.

The purpose of this Agreement is to provide a roadmap to effectively and efficiently manage the FAHP both in terms of program and project delivery. It defines roles and responsibilities, outlines authorities, and assures accountability.

Synopsis

This Agreement outlines a consistent risk-based approach for the FHWA to effectively and efficiently manage public funds and to ensure the FAHP is delivered in accordance with applicable laws, regulations, policies, and consistent with good business practices. It includes stewardship responsibilities for program and project level actions. The Agreement takes into account the FHWA and ADOT resources and capabilities, and the federal requirements where FHWA has a mandated role in the oversight process. It also forms the principal basis for monitoring and evaluating the quality of ADOT's federal-aid program, and the continued disbursement of federal funds based upon ADOT policies, practices, and staffing resources.

The Agreement can be modified when needed to incorporate additional legislation, additional processes, or other changes to improve program and project delivery in the State of Arizona. It serves as a continuing plan of program and project oversight responsibilities for each agency covering the following functional program areas:

- Planning
- Environment
- Design
- Major Projects
- Right-of-Way
- Utility Relocation and Accommodation
- Civil Rights
- Construction and Contract Administration
- Finance
- Maintenance
- Local Public Agency (LPA) Projects
- Pavement and Materials
- Research, Development, and Technology
- Safety
- Bridge/Structures
- Intelligent Transportation Systems (ITS)

Program management ensures federal program requirements are met while proactively seeking opportunities to add value during routine program actions. Program management can include on-site project visits, participation on joint program or project committees and task forces, joint quality improvement teams, providing technical assistance, and assisting transportation stakeholders in the overall delivery of the FAHP.

FHWA's stewardship and oversight of specific projects, where applicable, will include early involvement in project decisions combined with an assessment of the quality of the products produced during the project development process. ADOT will follow its project development process to ensure proper communication and coordination occurs between ADOT and FHWA.

FHWA will use a variety of techniques, including project (on-site visits) and program reviews, to manage, monitor, and assess performance of those projects where ADOT has assumed responsibilities, as well as evaluate the fulfillment of the responsibilities outlined in this Agreement.

- Project Reviews – Project reviews are generally project-specific, comprising those elements shown in the enclosed Project Responsibility Chart (Table 3), and may involve on-site field visits and inspections.
- Program Reviews and Assessments – Program reviews are a thorough analysis of key functional program processes and procedures used by the state to manage the program. The reviews are conducted to ensure compliance with federal requirements and identify opportunities for process improvements and highlight exemplary practices. Program assessments includes a variety of techniques such as joint risk assessments, self-assessments and program evaluations, to identify strengths, weaknesses, opportunities and best practices – all aimed at continuous improvement of the program.

Program Level Oversight

FHWA and ADOT will work collaboratively to manage the FAHP, and review, monitor, and approve activities as necessary in the designated areas of responsibility to comply with applicable laws, regulations, directives, and standards. The FHWA Program Responsibility Chart (Table 1) identifies the functional program areas, illustrates various approval actions specified in federal regulation, notification and approval requirements.

Table 1 – FHWA Program Responsibility Chart

Approval Action	Reference	Receive	Approve	Remarks
Planning				
State Planning & Research (SPR) Work Program	23 CFR 420.111	FHWA	FHWA	ADOT annually develops work program
Long-Range Statewide Transportation Plan	23 CFR 450.214	FHWA	ADOT	FHWA reviews and comments on LRTP. No official approval action is taken.
Statewide Transportation Improvement Program (STIP)	23 CFR 450.216	FHWA & FTA	FHWA & FTA	Covers a 4 year period; update required every 4 years, but ADOT traditionally updates annually.
MPO Indirect Cost Allocation Plan	23 CFR 420 OMB Circular A-87	ADOT	ADOT	Annual Submission. ADOT forwards approvals for FHWA information.
MPO Unified Planning Work Programs (UPWP)	23 CFR 450.308	ADOT FHWA & FTA	FHWA & FTA	MPO annually develops UPWP
Metropolitan 20-Year Long-Range Transportation Plan (LRTP)	23 CFR 450.322	ADOT FHWA & FTA	MPO	FHWA, FTA & ADOT review and comment on Metropolitan LRTPs but do not approve. However, FHWA/FTA must make an air quality conformity determination.
Metropolitan Transportation Improvement Plan (TIP)	23 CFR 450.324	ADOT FHWA & FTA	ADOT	Covers a 4 year period; update required every 4 years, however can be updated more frequently.
Transportation Management Area (TMA) Certification of MAG and PAG	23 CFR 450.334	FHWA & FTA	FHWA & FTA	FHWA and FTA jointly certify every 4 years
Highway Performance Monitoring System (HPMS) Annual Data Submittal from State and Field Verification Review and Report (including Traffic Volume Monthly ATR Data and Annual Truck Weight Data)	23 CFR 420.105	FHWA	FHWA Certifies	FHWA annually conducts a field verification review for funding apportionment and allocation purposes. ADOT submits required ATR and other data reports directly to FHWA HQ
Highway Statistics: 500 Series Reports	23 CFR 420.105	FHWA	None	ADOT is required to submit several Highway Statistics forms periodically. Form 551-M for motor fuel is submitted monthly.
Certification of Public Road Mileage	23 CFR 460.3	FHWA	FHWA HQ	Due by June 1 st of each year. The Governor has delegated certification authority to the ADOT Director.
Environment				
Programmatic approval authority for specific categorical exclusions	23 CFR 771.109	FHWA	ADOT	ADOT has been delegated approval authority for specific categorical exclusions
ADOT acts as FHWA's non-federal representative for Section 7 (Endangered Species Act) consultation	23 CFR 771.109	FHWA	FHWA	
ADOT acts as FHWA's non-federal representative for Section 106 (National Historic Preservation Act) consultation	23 CFR 771.133	FHWA	FHWA	
ADOT public involvement procedures	23 CFR 771.111(h)(1)	FHWA	FHWA	Current approved procedures are in the 1988 Action Plan
Noise Abatement Policy	23 CFR 772 HQ Memo 6/12/95	FHWA	FHWA	FHWA approves ADOT's noise abatement policy & updates
Design				
ADOT Standard Drawings for Road and Bridge Construction (Construction, Bridge, Traffic Signing & Marking, and Traffic Signals & Lighting Standard Drawings)	23 CFR 625 & 630 (B)	FHWA	FHWA	Design standards are covered by 23 CFR 625, approval of ADOT design standards is derived from 23 CFR 630(b) and takes place as ADOT updates their standards.
ADOT Standard Specifications (stored specs) for Road and Bridge Construction	23 CFR 625 & 630 (B)	FHWA	FHWA	
ADOT Contract Award and Administration Rules and Procedures (Consultant Selection Procedures)	23 CFR 172	FHWA	FHWA	Approval of State Consultant Selection Procedures is outlined in 23 CFR 172.9 and approval takes places as ADOT updates their procedures.
ADOT Project Design Development Process Manual	23 CFR 625	FHWA	ADOT	FHWA to receive this documents but no approval needed since they do not specifically establish Design Standards.
ADOT Roadway Design Guide	23 CFR 625	FHWA	ADOT	
Statewide Public Interest Findings (PIFs)	23 CFR 635.411	FHWA	FHWA	
Value Engineering (VE) Program	23 CFR 627.1	FHWA	ADOT	ADOT shall assure VE analysis is completed on all applicable projects

Table 1 – FHWA Program Responsibility Chart

Approval Action	Reference	Receive	Approve	Remarks
Right of Way (ROW)				
ADOT Right-of-Way Procedural Manual	23 CFR 710.201	FHWA	FHWA	Required a minimum of every 5 years. Currently, ADOT has agreed to provide annually in February of each year.
Highway Beautification (MPSS)	23 CFR 750.304	FHWA	FHWA	As needed
Relocation/Acquisition Statistical Data (OMB Form 2125-0030)	49 CFR 24.9 (c) and App B	FHWA	FHWA	Annually (fiscal year)
Utilities				
ADOT Policy for Accommodating Utilities on the Highway Right-of-Way and updates	23 CFR 645.215	FHWA	FHWA	As needed. Current version was approved on July 9, 1998
Utility Accommodation on Interstates	23 USC 123	FHWA	FHWA	
Utility and Railroad Engineering Section Procedures Manual	23 CFR 645 & 646	FHWA	FHWA	
Civil Rights				
ADOT Disadvantaged Business Enterprise (DBE) Program and annual overall DBE goal	49 CFR 26.41	FHWA	FHWA	Annually, by August 1 st
Title VI/Non-discrimination Program, plans and annual accomplishment report.	23 CFR 200.9	FHWA	FHWA	Annually, by October 15 th
State internal EEO affirmative action plan (Title VII), accomplishments and goals and updates	23 CFR 230.311	FHWA	FHWA	Annually, by August 15 th
State Employment Practices Report (EEO-4)	23 CFR 230.313 (III)(B)	FHWA	FHWA	Annually, by August 15 th
EEO Contract Compliance review reports (form FHWA 86)	23 CFR 230.409 & 230.413	FHWA	FHWA	Within 30 days of compliance review
Contract Compliance Reviews and audits of Federal-aid Highway contracts and subcontractors of \$10,000 or more.	23 CFR 230	FHWA	FHWA	Conducted by ADOT
Labor Compliance Data on the 1392 report	23 CFR 230.121(a)	FHWA	FHWA	Annually by September 15 th , ADOT will submit FHWA for review, and forward to FHWA HQ.
On-the-Job-Training Programs	23 CFR 230	FHWA	FHWA	As needed - ADOT will review and approve in coordination with FHWA
ADOT Americans with Disabilities Act (ADA) Transition Plan	28 CFR 35.150	FHWA	FHWA	State and local governments must make their programs accessible
Construction				
ADOT Construction Manual	23 CFR 635	FHWA	ADOT	The ADOT Construction Manual covers many of the requirements defined in 23 CFR 635. FHWA to receive this document.
Finance				
Federal Integrity Review and Evaluation (FIRE)	FIRE Order 4560.1a	FHWA	None or FHWA	ADOT will assist and provide feedback to FHWA on all aspects of FIRE
Federal-aid Current Billing (RASPS Weekly Billings)	23 CFR 140 & 635.122	FHWA	FHWA	FHWA will be conducting billing reviews as needed to be in compliance with FIRE and other federal regulations
State Indirect Cost Allocation Plan	23 CFR 420	FHWA	FHWA	
Accounting Process for the payroll additive rates and indirect cost rates	49 CFR 18 2 CFR 225	FHWA	FHWA	ADOT has opted to develop an indirect cost plan and, therefore, will seek reimbursement for indirect costs.
Inactive Obligation Reports	23 CFR 631.106 (a)	FHWA	None	FHWA will submit quarterly reports to ADOT Finance so they are aware of where they are on inactive obligations
Maintenance				
FHWA must ensure the federal-aid highway system is being adequately maintained by ADOT	23 CFR 633.208	None	FHWA	
STIP includes financial plan to demonstrate adequate operations & maintenance of federal-aid highways	23 CFR 450.216 (m)	FHWA	FHWA	Annually
TIP includes financial plan to demonstrate adequate operations & maintenance of federal-aid highways	23 CFR 450.322 (f)	FHWA	FHWA	Annually

Table 1 – FHWA Program Responsibility Chart

Approval Action	Reference	Receive	Approve	Remarks
Local Public Agency (LPA)				
Local Public Agency Manual	23 CFR 1.11(e) & 635.105	FHWA	FHWA	
Certification Acceptance (CA) Agreements and revisions	23 CFR 1.11(e) & 635.105	FHWA	FHWA Concurrence	
Pavements and Materials				
Pavement Management System	23 CFR 500.106	FHWA	FHWA	As needed
ADOT Quality Assurance Program	23 CFR 637 (B)	FHWA	FHWA	As needed
Research, Development and Technology				
State Planning & Research (SPR) Work Program, Part II	23 CFR 420.111	FHWA	FHWA	Annually (transitioning to state fiscal year)
Local Technical Assistance Program (LTAP)	23 USC 504 (b)(1) & (2)	FHWA	FHWA	ADOT annual develops work plan
ADOT Research Manual	23 CFR 420.209	FHWA	ADOT	Annually by March 1
ADOT Research Implementation Report	23 CFR 420.117	FHWA	ADOT	Annually
Safety				
Strategic Highway Safety Plan (SHSP)	23 CFR 924.9 (a)(ii) 23 CFR 924.13 (2)	FHWA	FHWA Concurrence	Approve initially and reassess as appropriate
Highway Safety Improvement Program (HSIP) Project/Program Eligibility	23 CFR 924.5 (b)	FHWA	FHWA (State) ADOT (Locals)	On a project/program basis
HSIP Reporting Requirement: HSIP program, High-Risk Rural Roads, Rail Crossing Improvement Projects, and the 5% - Transparency Report	23 CFR 924.15	FHWA	FHWA	ADOT submits to FHWA by Aug 31 st FHWA forwards to FHWA HQ by Sept 30 th
HSIP 10% Flex Provision Eligibility	23 CFR 924.11(b)	FHWA	FHWA	ADOT will submit a written request for approval to FHWA each federal fiscal year, if requesting.
Drug Offenders Certification	23 USC 159	FHWA	FHWA HQ	ADOT provides to FHWA, FHWA to provide to FHWA HQ by Dec 31 st
MUTCD Conformance	23 CFR 655.603 (b)	ADOT/FHWA	FHWA	Substantial conformance with 2 years of effective date of final rule
ADOT Work Zone Safety and Mobility Implementation Guidelines	23 CFR 630.1014	FHWA	FHWA Concurrence	Requires FHWA concurrence and reassessment at appropriate intervals
ADOT Work Zone Safety and Mobility Process Review	23 CFR 630.1008 (c)	FHWA	None	At least every 2 years. FHWA participates in review and results to be provided as feedback into Policy, Procedures and Guidelines
Bridge				
Compliance with the National Bridge Inspection Standard (NBIS)	23 CFR 650 (C)	ADOT FHWA HQ	FHWA	Annually; compliance review copied to FHWA HQ
National Bridge Inventory (NBI) data	23 CFR 650.315	FHWA HQ	None	Annually; Reviewed and accepted by FHWA HQ
Bridge Unit Cost Data	23 USC 144 (e)	FHWA	None	Annually; Compiled by FHWA HQ, to be reviewed by FHWA and forwarded to FHWA HQ
Data showing at least 15% of HBP (Highway Bridge Program) funds spent off-system	23 CFR 650.413(c)	FHWA	FHWA	Annually; ADOT submits data to FHWA
HBP Selection List (structures eligible for HBP funds)	23 CFR 650.409(b)	ADOT	FHWA	Annually; FHWA provides to ADOT
Intelligent Transportation Systems (ITS)				
Regional ITS architectures must be developed and maintained.	23 CFR 940.9	FHWA	FHWA Concurrence	Arizona institutes 3 Regional Architectures (MAG, PAG, & Statewide)

Establishment of Project Oversight Levels

In accordance with 23 USC 106(c) project-level actions and authorities can be delegated; these involve: design, plans, specifications, estimates, contract awards, and inspections of projects. Action under the following non-Title 23 authorities cannot be delegated: National Environmental Policy Act (excepted as permitted under Title 23); Uniform Relocation Assistance & Real Property Acquisitions Act; and Clean Air Act. Also, the non-Title 23 requirements apply to all projects.

Interstate Projects

The FHWA Arizona Division retains full FHWA oversight and approval authority for all projects on the Interstate System that involve new construction or reconstruction that cost over \$25 million. All other projects on the Interstate System will be administered by ADOT following FAHP procedures. This includes Interstate projects that involve new construction or reconstruction and cost \$25 million or less and all 3R (pavement preservation and similar rehabilitation projects) regardless of cost. However, the FHWA Arizona Division retains responsibility and authority to approve all design exceptions involving the AASHTO Design Standards (13 controlling criteria) on the Interstate System. In addition, FHWA must approve all actions involving changes of access (COA) approval on the Interstate System regardless of funding source.

Non-Interstate Projects

The FHWA Arizona Division retains full FHWA oversight and approval authority for all non-Interstate projects funded under the FAHP that cost over \$75 million in the Phoenix District or \$25 million elsewhere in Arizona. However, the FHWA Arizona Division retains responsibility and authority to approve all design exceptions involving the 13 controlling criteria (AASHTO Design Standards) on the National Highway System (NHS). ADOT may establish design standards for all projects off the NHS and may approve all design exceptions for all projects off the NHS.

Projects that have been determined to require full FHWA oversight are denoted by the following letters placed at the end of the Federal-aid Project Number:

N – Full FHWA Oversight on the National Highway System (NHS)

X – Full FHWA Oversight off the NHS

FHWA recognizes some projects are routine, inherently low risk, and are generally non-controversial. These projects can be delegated to ADOT who has a high-level of experience and documented procedures and processes in place for ensuring compliance with federal requirements.

A – Projects where oversight responsibilities are delegated to ADOT

In those situations where ADOT has assumed responsibility for project oversight, ADOT is responsible acting in the relative role of FHWA. While federal law allows a state to assume certain project responsibilities, FHWA is ultimately held accountable for assuring that the FAHP is delivered consistent with established requirements. Delegation authority to the state can be withdrawn at anytime if the state operates in a manner which violates federal laws or regulations.

FHWA and ADOT will work cooperatively to identify appropriate stewardship and oversight initiatives using a combination of dollar value thresholds and risk-based screening criteria. The following table (Table 2) summarizes the respective roles and responsibilities of FHWA and ADOT in the administration and oversight of FAHP projects in the State of Arizona.

Additional Screening Criteria

The following screening criteria are to be used by FHWA Arizona Division in partnership with ADOT to determine whether individual projects require adjustment to the oversight level established by Table 2.

Screening criteria include elements such as:

- New or modified access,
- Complexity and/or constructability,
- Controversy and/or public resistance,
- Innovative contracting,
- Congressional interest,
- Level of environmental review,
- Demonstration or high priority project,
- Administering agency's familiarity with the FAHP, and
- Other considerations.

Staff will use their knowledge of the project and professional judgment to evaluate these criteria and make a determination as to whether the project should be designated as a FHWA full or state oversight project. The FHWA Senior Engineering Manager will review the decision and either concur with the recommendation or work with staff to reach consensus. Decisions changing the oversight level established by Table 2 should be documented and placed in the project file.

On occasion, FHWA and ADOT may determine that an oversight level appropriate for the initial phase(s) of a project is not appropriate for later phase(s) and may revise the project's oversight level. For example, a project may be identified as full oversight in the environmental and design phases, yet, due to the routine nature of the construction phase the project may change designation to an ADOT oversight project. Documentation of any change in oversight level should be placed in the project file.

Table 2 – Delegated Oversight Responsibilities by Agency for Federal-aid Projects

Highway System and/or Project Category	Project Scope	Primary Oversight Responsibility		Remarks/Conditions
		FHWA	ADOT	
Interstate	> \$25 million	X		New construction and reconstruction only (excludes 3R)
	≤ \$25 million ¹		X	New construction, reconstruction, and 3R (pavement preservation, etc.) FHWA retains authority and responsibility to approve for all design exceptions and Change of Access actions.
Non-Interstate	>\$75 million (Phoenix District) >\$25 million (Rest of the state)	X		FHWA retains responsibility to approve all design exceptions on NHS projects
	≤ \$75 million (Phoenix District) ≤ \$25 million (Rest of the state)		X	
Major Projects	≥ \$500 million	X		Require a Project Management and Financial Management Plan (submitted to FHWA for concurrence)
	≥ \$100 million and < \$500 million	X		Require a Financial Management Plan (not submitted to FHWA)
ITS Projects	Major ITS Projects as defined as 23 CFR 940.3	X		
	All Other Projects ²		X	
Highway Safety Improvement Program (HSIP) Projects ²	All Public Roads		X	FHWA retains responsibility for the determination of eligibility of funds.
Highway Bridge Projects ²	All Public Roads		X	FHWA retains responsibility for the determination of eligibility of funds.
Local Public Agency (LPA) Projects ²	All		X	
Non-Traditional Projects ²	1. Alternative Contracting Methods (CMAR, Job Order Contracting, etc.) 2. Public-Private Partnerships 3. Leading Edge Technology		X	FHWA’s oversight responsibility will be evaluated annually, and is primarily for the purpose of gaining knowledge and experience of new contracting methods, and technology transfer. SEP-14 approvals may apply.
Emergency Relief Projects ²	All		X	
Congressional High Priority Projects ²	All		X	FHWA oversight responsibility to be evaluated on a case-by-case basis.

¹ Interstate projects with a cost ≤ \$25 million are delegated by programmatic agreement.

² Primary oversight rests with ADOT unless the project meets other *project scope* thresholds.

Project Level Oversight

FHWA and ADOT will work collaboratively to manage the FAHP, and review, monitor, and approve activities as necessary in the designated areas of responsibility to comply with applicable laws, regulations, directives, and standards as defined in the FHWA Project Responsibility Chart (Table 3).

Performance Measures

Specific performance measures will be used to track the health of the FAHP. These performance measures will be developed cooperatively between the FHWA Arizona Division and ADOT. The performance measures will be developed, reassessed, and/or revised as necessary on an annual basis. These measures will be used to track performance trends, assess the overall delivery of the FAHP, evaluate compliance with Federal-aid highway procedures, identify opportunities, and implement processes to bring about improvement to the FAHP in Arizona. Current performance measures can be found in Appendix A. Each year the measures will be reviewed and evaluated to determine if the performance measures are still the best representation of program health and enable true monitoring of the program, or if they need to be redefined.

Table 3 – FHWA Project Responsibility Chart	FHWA APPROVAL AUTHORITY					
	Full Oversight Projects (N and X Projects)			State Administered Projects (A Projects)		
	Receive	Review	Approval	Receive	Review	Approval
Environment						
Programmatic Categorical Exclusions (CE) [23 CFR 771.117]	Yes			Yes		
Non-Programmatic CEs [23 CFR 771.117]	Yes	Yes	Yes	Yes	Yes	Yes
Environmental Assessments (Draft, FONSI) [23 CFR 771.119]	Yes	Yes	Yes	Yes	Yes	Yes
Environmental Impact Statements (NOI, Draft, Final, ROD) [23 CFR 771.123]	Yes	Yes	Yes	Yes	Yes	Yes
Re-evaluations (Programmatic CEs) [23 CFR 771.129]	Yes			Yes		
Re-evaluations (Non-Programmatic CEs, EAs, EISs) [23 CFR 771.129]	Yes	Yes	Yes	Yes	Yes	Yes
Section 4(f) Determinations [23 CFR 774]	Yes	Yes	Yes	Yes	Yes	Yes
180-day Statue of Limitations [SAFETEA-LU 6002]	Yes	Yes	Yes	Yes	Yes	Yes
Section 106 Actions [36 CFR 800]	Yes	Yes	Yes	Yes	Yes	Yes
Section 7 Consultation	Yes	Yes	Yes	Yes	Yes	Yes
Design						
Initial Project Assessment	Yes	Yes	Note 1	Yes		
Project Assessment Summary of Comments	Yes			Yes		
Final Project Assessment	Yes	Yes	Note 1	Yes		
Consultant Contract Agreements						
Corridor Studies/Feasibility Studies/Alternative Analysis	Yes	Yes	Note 1	Yes		
Design Concept Report Draft and Final (All NHS projects and for all projects with EIS or EA not on NHS)	Yes	Yes	Note 1	Yes	Yes	Note 1
Major Design Criteria	Yes	Yes	Yes			
Geotechnical Reports (Initial and Final)	Yes		Note 1			
Materials Memo (Initial and Final)	Yes		Note 1			
Drainage Report (Initial and Final)	Yes		Note 1			
Structures selection (Initial and Final)	Yes		Note 1			
Design Exception Approval	Yes	Yes	Yes	Yes-NHS Only	Yes-NHS Only	Yes-NHS Only
Interstate Change of Access Report	Yes	Yes	Yes	Yes	Yes	Yes
15%, 30%,60%, 95% Plans	Yes	Yes	Note 1			
Utility Clearance Letter	Yes	Yes	Note 1			
Right of Way Clearance Letter	Yes	Yes	Note 1			
Local Agency Request to Self Bid and/or Administer a project	Yes	Yes	Yes	Yes	Yes	Yes
Material and Product Public Interest Finding [23 CFR 635.411]	Yes	Yes	Yes	Yes		
Department Furnished Material Public Interest Finding [23 CFR 635.407]	Yes	Yes	Yes	Yes		
ITS Project – Systems Engineering and Regional Architecture compliance [23 CFR 940.11]	Yes	Yes	Note 1	Yes		
Major Projects						
Cost Estimate Review [23 USC 106(h)]	Yes	Yes	Yes			
Financial Plan [23 USC 106 (h)]	Yes	Yes	Yes			
Project Management Plan [23 USC 106 (h)]	Yes	Yes	Yes			
Right of Way						
Disposal of Federally Funded Right-of-Way [23 CFR 710.409]	Yes	Yes	Yes	Yes	Yes	Yes
Interstate Control of Access [23 CFR 710.403]	Yes	Yes	Yes	Yes	Yes	Yes

Approval Action	FHWA APPROVAL AUTHORITY					
	Full Oversight Projects (N and X Projects)			State Administered Projects (A Projects)		
	Receive	Review	Approval	Receive	Review	Approval
Request for Credits [23 CFR 710.507]	Yes	Yes	Yes	Yes	Yes	Yes
Direct Federal Acquisition Request [23 CFR 710.603]	Yes	Yes	Yes	Yes	Yes	Yes
Federal Land Transfer Request [23 CFR 710.601]	Yes	Yes	Yes	Yes	Yes	Yes
ROW Relinquishment Request [23 CFR 620 (b), 23 CFR 710.401, 23 CFR 710.403]	Yes	Yes	Yes	Yes	Yes	Yes
Withholding of Payments [23 CFR 710.203(c), 23 CFR 1.36]	Yes	Yes	Yes	Yes	Yes	Yes
Hardship Acquisition and Protective Buying [23 CFR 710.503]	Yes	Yes	Yes	Yes	Yes	Yes
Airspace Leasing on the Interstate [23 CFR 710.405]	Yes	Yes	Yes	Yes	Yes	Yes
PS&E and Advertising						
PS&E (plans, specifications and estimates) [23 CFR 630.201]	Yes	Yes	Yes	Note 3		
Addendums during advertising periods [23 CFR 635.112]	Yes	Yes	Yes	Note 3		
Authorization of funds (PE, Construction, Procurement, ROW, Utilities) [23 CFR 630.106]	Yes	Yes	Yes	Yes	Yes	Yes (Note 2)
Concurrence in Award [23 CFR 635.114]	Yes	Yes	Yes			
Bid Rejections [23 CFR 635.114]	Yes	Yes	Yes			
Executed Contract (Copy to FHWA)	Yes			Yes		
Final Plans (Copy to FHWA)	Yes					
Construction						
Partner Conference Invitation (Notification)	Yes			Note 3		
Prior Approval of Contract Modifications-Change Orders, Force Account [23 CFR 635.120]	Yes	Yes	Yes			
Contract Modifications – Change Orders, Force Accounts [23 CFR 635.120]	Yes	Yes	Yes	Note 3		
Letter of Agreements [23 CFR 635.120]	Yes		Note 1	Note 3		
Approve Contract Time Extensions [23 CFR 635.121]	Yes	Yes	Yes	Note 3		
Buy America Waiver [23 CFR 635.410]	Yes	Yes	Yes	Yes	Yes	Yes
Termination of contracts [23 CFR 635.125]	Yes	Yes	Yes	Yes	Yes	Yes
Innovative Contracting Requirements [SEP 14&15]	Yes	Yes	Yes	Yes	Yes	Yes
Notify FHWA of Final Project Inspections	Yes		Note 1	Note 3		
Materials Certification	Yes	Yes	Note 1	Yes		
Final ADOT Acceptance Letter from District Construction to Contractor [23 USC 114a]				Yes	Yes	Yes
Financial Management						
Authorization of funds (PE, Construction, Procurement, ROW, Utilities) [23 CFR 630.106]	Yes	Yes	Yes	Yes	Yes	Yes (Note 2)
Determination of Eligibility for Safety Projects	Yes	Yes	Yes	Yes	Yes	Yes
Determination of Eligibility (variances) on Bridge Projects	Yes	Yes	Yes	Yes	Yes	Yes
Modified Project Agreement	Yes	Yes	Yes	Yes	Yes	Yes
Final Acceptance Memo from ADOT Finance to FHWA	Yes	Yes	Yes			
Final Voucher	Yes	Yes	Yes	Yes	Yes	Yes

Notes:

ALL BLANKS CELLS REPRESENT: No

Note 1: Comments will be supplied to ADOT as appropriate

Note 2: Indicate the following on the authorization cover letter: right-of-way, utility, environmental clearance dates (including details on type of clearance) and whether a design exception was needed. If a design exception was approved please provide approval date. Additionally, if a local agency requested to self administer a project provide date of FHWA's concurrence.

Note 3: Yes for ARRA (Recovery Act) Projects only

Definitions:

N Project: Full oversight (FHWA) on the NHS

X Project: Full oversight (FHWA) off the NHS

A Project: State administered (ADOT)

Receive: Please *submit* appropriate document to FHWA.

Review: FHWA will *review* document.

Action: FHWA will *approve or disapprove* the document.

Dispute Resolution Procedure

While most requests by ADOT for FHWA approval result in a positive response within the anticipated turn-around time, there are occasions when the agencies will disagree. This section of the Agreement provides a template for escalating issues that have reached an impasse at the operations level.³

It is expected that nearly all issues should be resolved between FHWA area engineers, or program specialists, and the ADOT representative who submitted the request. Since time is nearly always an important factor, escalation to the next level should be accomplished by the respective units, as soon as it has been determined that the issue cannot be resolved at the level at which a question or issue is at an impasse.

ADOT	FHWA
Resident Engineer / Project Manager	Area Engineer / Program Specialist
District Engineer / Assistant State Engineer	Area Engineer / Program Specialist
Deputy State Engineer	Senior Engineering Manager
State Engineer	Assistant Division Administrator

Should none of the above negotiations result in a satisfactory resolution, the FHWA Division Administrator and the ADOT Director will determine the final outcome. All decisions reached must be in compliance with all federal laws and regulations.

³ This template represents the ADOT ITD structure. Equivalent positions may be used to represent the appropriate ADOT Division Structure.

Appendix A – Performance Measures

Performance/Compliance Indicator	Goal	Reporting Instrument	Reporting Frequency	Lead Reporting Authority	Comments
Planning					
Percent of STIP projects advanced	TBD	STIP FMIS	Annual (FFY)	ADOT MPD	Current FFY + 3 year history to track trend and establish baseline
Number of STIP amendments	TBD	STIP STIP Amendments	Annual (FFY)	ADOT MPD	
Percent of SPR funds expended	90% of annual OA	FMIS	Annual (SFY)	ADOT MPD	
Percent of PL funds expended	90% of annual OA	FMIS	Annual (SFY)	ADOT MPD	
Number of Long Range Plans updated according to schedule	100%	State Report	Annual (FFY)	ADOT MPD	
Environment					
Months to complete an EA	18 months	EDTS Report	Annual (FFY)	FHWA	
Quality of EA documents	90% of Draft EAs are approved on second submittal to FHWA	EDTS Report	Annual (FFY)	FHWA	
	50% of Final EAs are approved on first submittal to FHWA	EDTS Report	Annual (FFY)	FHWA	
Months to complete an EIS	48 months	EDTS Report	Annual (FFY)	FHWA	National average is 56 months; HQ working on Every Day Counts initiative to reduce NEPA process time
Mitigation tracking and performance	100% of Mitigation Measures applicable to contractor are included in PS&E package	ADOT OES Report	Annual (FFY)	ADOT PMs and OES FHWA	100% of full oversight projects (N & X) will be reviewed State administered projects (A) will be reviewed through periodic process reviews
Mitigation tracking and performance (FFY11)	Systematic Tracking Process Developed (Yes/No)	Verified	One time determination	ADOT OES develop, FHWA verify	One time measure for FFY11
Mitigation tracking and performance (FFY12)	100% of Mitigation Measures included in contract implemented	ADOT OES Report	Annual (FFY)	ADOT Districts and OES	Measure to commence in FFY12 after development of Mitigation Tracking System
Percentage of each class of NEPA Documentation (CE Group I, CE Group II, Condensed CE, EA, EIS)	TBD	ADOT EPG	Annual (FFY)	ADOT EPG	ADOT to submit current FFY + 2 year history to establish baseline (<i>Baseline determination on FFY10, FFY09, FFY08 data</i>)
Design					
Number of projects with design exceptions (by oversight level)	Trend	Report from ADOT	Annual (FFY)	ADOT Roadway Design	
Number of design exceptions by project eliminated through design (by oversight level)	Trend	Report from ADOT	Annual (FFY)	ADOT Roadway Design	

Appendix A – Performance Measures

Performance/Compliance Indicator	Goal	Reporting Instrument	Reporting Frequency	Lead Reporting Authority	Comments
Major Projects					
Number of cost estimate reviews completed prior to the <i>draft</i> environmental document	100%	Report by FHWA	Annual (FFY)	FHWA	
Number of Project Management Plans completed within 90 days after completion of the <i>final</i> environmental document	100%	Report by FHWA	Annual (FFY)	FHWA	
Number of Financial Management Plans completed prior to authorization of the project for construction	100%	Report by FHWA	Annual (FFY)	FHWA	
Right of Way (ROW)					
Number of ROW projects authorized this fiscal year	Trend	Report from State	Annual (FFY)	ADOT ROW	
Percent of Federal-aid construction projects with conditional ROW certifications	Trend	Report from State	Annual (FFY)	ADOT ROW	
Utilities					
Percent of sampled Federal-aid projects w/authority to proceed, has Utility Clearance Certifications	100%	PAR Review	Annual	FHWA	Sample size of no less than 10%
Number of projects experiencing delays and/or claims due to utility conflicts	0%	Utility & RR Engineering Database (Report)	Annual (FFY)	ADOT Utility & RR Engineering	
Number of executed utility agreements designed to address utility conflicts	100%	Utility & RR Engineering Database (Report)	Annual (FFY)	ADOT Utility & RR Engineering	
Civil Rights					
Percent of completed projects with DBE goal met	TBD	TBD	Annual (FFY)	TBD	
Percent of DBE participation on FA contracts verses percent identified in contract	TBD	TBD	Annual (FFY)	TBD	
Percent of OJT project goals met	TBD	TBD	Annual (FFY)	TBD	
Number of complaints filed in all areas of Civil Rights	TBD	TBD	Annual (FFY)	TBD	Report shall also include the actions taken

Appendix A – Performance Measures

Performance/Compliance Indicator	Goal	Reporting Instrument	Reporting Frequency	Lead Reporting Authority	Comments
Construction					
Percent of projects above 10% or below 15% of the engineer's estimate (by level of oversight)	<10%	Report from ADOT	Annual (FFY)	ADOT C&S	
Number of projects with more than 5 addendums (by level of oversight)	<10%	Report from ADOT	Annual (SFY) and Annual (FFY)	ADOT C&S	
Number of supplemental agreements per project (by level of oversight)	Trend	Report from ADOT	Annual (FFY)	ADOT Field Reports	
Finance					
Total dollar amount of inactive obligations	4%	FMIS	Bi-annual (FFY)	FHWA	
Total number of projects with inactive obligations as a percentage of total federal-aid projects	Trend	FMIS	Bi-annual (FFY)	ADOT FMS	
Amount of AC authorized in fiscal year	Trend	Advantage	Annual (FFY)	ADOT FMS	
Total State (not local) highway expenditures this fiscal year (include all phases – planning, environment, construction, maintenance)	Trend	Advantage	Annual (FFY)	ADOT FMS	
Percent of the federal-aid program of total state highway program	Trend	Advantage	Annual (FFY)	ADOT FMS	
Percentage of federal-aid program expended in local areas	Trend	Advantage	Annual (FFY)	ADOT FMS	
Amount of ER funds obligated current fiscal year	Track	FIM	Annual (FFY)	FHWA	Recommend: Triennial Program Review by FHWA Operations
Maintenance					
Total amount of funds spent to maintain the State Highway System (SHS)	Trend	Report from ADOT (PECOS)	Annual (SFY)	ADOT Statewide Maintenance	
Total SHS maintenance funds by District	Trend	Report from ADOT (PECOS)	Annual (SFY)	ADOT Statewide Maintenance	
Maintenance dollars expended per lane mile on the SHS	Trend	Report from ADOT (PECOS)	Annual (SFY)	ADOT Statewide Maintenance	

Appendix A – Performance Measures

Performance/Compliance Indicator	Goal	Reporting Instrument	Reporting Frequency	Lead Reporting Authority	Comments
Local Public Agency Projects					
Number of ADOT LPA Reviews completed in each of the Program Areas	Trend	Report	Annual (FFY)	FHWA	
Percentage of CA Agreements that have been updated in comparison to establish dates	100%	Report	Annual (FFY)	FHWA	
Pavement and Materials					
Percentage of Pavement Rehab projects using recycled materials	Trend	Report from ADOT	Annual (SFY)	ADOT Pavement Management Section	Report provided by July 30 th
Total dollar amount of Pavement Rehab Projects authorized this year	Trend	Report from ADOT	Annual (SFY)	ADOT Pavement Management Section	Report provided by July 30 th
Number of Disputed HMA Tests settled through 3 rd Party Referee Testing	Trend	Report from ADOT	Annual (SFY)	ADOT QA Section	
Percentage of State Highway System with Good Ride Quality (95% has Present Service Rating (PSR) > 3.2)	95% over 3.2	Report from ADOT	Annual (CY)	ADOT Pavement Management Section	Report provided by July 30 th
Research Development and Technology					
Percent of recommendations implemented	Trend	Report from ADOT	Annual (FFY)	ATRC	
Number of studies initiated and completed in fiscal year	Trend	Report from ADOT	Annual (FFY)	ATRC	
Distribution of research studies by discipline area	Trend Alignment by state's needs	Report from ADOT	Annual (FFY)	ADOT	
Safety (continued on next page)					
Number of Fatalities (FARS)	Trend	FARS	CY	ADOT HES	Current year + 4 year history
Number of Fatalities (ALISS)	Trend	ALISS	CY	ADOT HES	Current year + 4 year history
Number of SHS Fatalities	Trend	ALISS	CY	ADOT HES	Current year + 4 year history
Number Fatality/100MVMT	Trend	ALISS HPMS	CY	ADOT HES	Current year + 4 year history
Number of SHS Fatality/100MVMT	Trend	ALISS HPMS	CY	ADOT HES	Current year + 4 year history
Number of Pedestrian Fatalities	Trend	ALISS	CY	ADOT HES	Current year + 4 year history
Number of SHS Pedestrian Fatalities	Trend	ALISS	CY	ADOT HES	Current year + 4 year history

Appendix A – Performance Measures

Performance/Compliance Indicator	Goal	Reporting Instrument	Reporting Frequency	Lead Reporting Authority	Comments
Safety (continued)					
Number of Roadway Departure Fatalities	Trend	ALISS	CY	ADOT HES	Current year + 4 year history Category shall include head-on sideswipes
Number of SHS Roadway Departure Fatalities	Trend	ALISS	CY	ADOT HES	Current year + 4 year history
Number of Intersection Fatalities	Trend	ALISS	CY	ADOT HES	Current year + 4 year history
Number of SHS Intersection Fatalities	Trend	ALISS	CY	ADOT HES	Current year + 4 year history
Percent of Fatalities related to alcohol (> 0.08 BAC)	Trend	ALISS	CY	ADOT HES	Current year + 4 year history
Number of Alcohol-related Fatalities (> .08 BAC)	Trend	ALISS	CY	ADOT HES	Current year + 4 year history
Percent of seat belt use	Trend	GOHS Seat Belt Survey	CY	GOHS	Current year + 4 year history
Number of Fatalities not wearing proper safety restraints	Trend	ALISS	CY	ADOT HES	Current year + 4 year history
Percent of total HSIP funds obligated/annual apportionment (LS 30 Funds)	50%	FMIS	FFY	FHWA	Current year + 4 year history
Percent of HSIP obligated/total available (LS 30)	Trend	FMIS	FFY	FHWA	Current year + 4 year history
Number of HSIP projects started in FFY, # of projects ready to go, cost, anticipated benefits in terms of lives saved	TBD	TBD	FFY	TBD	
Status of Rural Safety Projects	TBD	TBD	FFY	TBD	
Work Zone					
Number of Fatalities and serious injuries	Trend	ALISS	CY	ADOT HES	Current year + 4 year history
Percent of projects identified as significant	TBD	TBD	Annual (FFY)	TBD	Evaluation of Work Zone Safety and Mobility Policy will clarify this performance measure

Appendix A – Performance Measures

Performance/Compliance Indicator	Goal	Reporting Instrument	Reporting Frequency	Lead Reporting Authority	Comments
Bridges and Structures					
ADOT Condition Rating Index (CRI)	92.5%	Annual Report	Annual (SFY)	ADOT Bridge Group	
Percent structurally deficient bridge per roadway type (NHS, Non-NHS, State Structures, Non-State Structures)	19% National <i>(trend to establish level in AZ)</i>	Annual Report (NBIS)	Annual (SFY)	ADOT Bridge Group	
Percent structurally deficient or functionally obsolete based on deck area, district, agency, etc.	19% National <i>(trend to establish level in AZ)</i>	Annual Report (NBIS)	Annual (SFY)	ADOT Bridge Group	Define matrix based on criteria (deck area, district, agency, etc.)
Intelligent Transportation Systems (ITS)					
Usage of 511	800,000 calls	511 Server	Annual (FFY)	ADOT TTG	
Usage of AZ511.com	150 million hits	511 Server	Annual (FFY)	ADOT TTG	
Average Incident Response time – Phoenix	45 minutes or less 90% of the time	HCRS (Highway Condition Reporting System)	Annual (FFY)	ADOT TTG	
Average Incident Response time – Rural	60 minutes or less 90% of the time	HCRS	Annual (FFY)	ADOT TTG	
DMS to Display Travel Time	TBD	HCRS	Annual (FFY)	ADOT TTG	ADOT only has funding identified to post travel times on DMS until January 21, 2011