

STEWARDSHIP AND OVERSIGHT AGREEMENT

**BY AND BETWEEN
FEDERAL HIGHWAY ADMINISTRATION,
NEW MEXICO DIVISION**



AND

**THE STATE OF NEW MEXICO
DEPARTMENT OF TRANSPORTATION**



VERSION TRACKING:

- Revised: 2015 – complete rewrite incorporating February 2015 FHWA template
- Revised: 2012 – complete rewrite of the S&O Agreement
- Revised: 2011
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FEDERAL-AID HIGHWAY PROGRAM
STEWARDSHIP AND OVERSIGHT AGREEMENT
BY AND BETWEEN
FEDERAL HIGHWAY ADMINISTRATION, NEW MEXICO DIVISION
AND THE
STATE OF NEW MEXICO DEPARTMENT OF TRANSPORTATION

Section I: Background and Introduction

The federal-aid Highway Program (FAHP) is a federally-assisted program of State-selected projects. The Federal Highway Administration (FHWA) and the State Departments of Transportation have long worked as partners to deliver the FAHP in accordance with Federal requirements. In enacting 23 U.S.C. 106(c), as amended, Congress recognized the need to give the States more authority to carry out project responsibilities traditionally handled by FHWA. Congress also recognized the importance of a risk-based approach to FHWA oversight of the FAHP, Establishing requirements in 23 U.S.C. 106(g). This Stewardship and Oversight (S&O) Agreement sets forth the agreement between the FHWA and the State of New Mexico Department of Transportation (NMDOT) on the roles and responsibilities of the FHWA and the NMDOT with respect to Title 23 project approvals and related responsibilities, and FAHP oversight activities.

The scope of FHWA responsibilities, and the legal authority for State DOT assumption of FHWA responsibilities, developed over time. The U.S. Secretary of Transportation delegated responsibility to the Administrator of the FHWA for the FAHP under Title 23 of the United States Code, and associated laws. (49 CFR 1.84 and 1.85) The following legislation further outlines FHWA's responsibilities:

- Intermodal Surface Transportation Efficiency Act (ISTEA) of 1991;
- Transportation Equity Act for the 21st Century (TEA-21) of 1998;
- Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005; and
- Moving Ahead for Progress in the 21st Century Act (MAP-21) of 2012 (P.L. 112-141).

The FHWA may not assign or delegate its decision-making authority to a State Department of Transportation unless authorized by law. Section 106 of Title 23, United States Code (Section 106), authorizes the State to assume specific project approvals. For projects that receive funding under Title 23, U.S.C., and are on the National Highway System (NHS) including projects on the Interstate System, the State may assume the responsibilities of the Secretary of the U.S. Department of Transportation under Title 23 for design, plans, specifications, estimates, contract awards, and inspections with respect to the projects unless the Secretary determines that the assumption is not appropriate. (23 U.S.C. 106(c)(1)) For projects under Title 23, U.S.C. that are not on the NHS, the State shall assume the responsibilities for design, plans, specifications,

estimates, contract awards, and inspections unless the State determines that such assumption is not appropriate. (23 U.S.C. 106(c)(2))

For all other project activities which do not fall within the specific project approvals listed in Section 106 or are not otherwise authorized by law, the FHWA may authorize a State DOT to perform work needed to reach the FHWA decision point, or to implement FHWA's decision. However such decisions themselves are reserved to FHWA.

The authority given to the State DOT under Section 106(c)(1) and (2) is limited to specific project approvals listed herein. Nothing listed herein is intended to include assumption of FHWA's decision-making authority regarding Title 23, U.S.C. eligibility or Federal-aid participation determinations. The FHWA always must make the final eligibility and participation decisions for the FAHP.

Section 106(c)(3) requires FHWA and the State DOT to enter into an agreement relating to the extent to which the State DOT assumes project responsibilities. This S & O Agreement, includes information on specific project approvals and related responsibilities, and provides the requirements for FHWA oversight of the FAHP (Oversight Program), as required by 23 U.S.C. 106(g).

Section II: Intent and Purpose of S&O Agreement

The intent and purpose of this S&O Agreement is to document the roles and responsibilities of the FHWA's New Mexico Division Office (FHWA or Division) and the NMDOT with respect to project approvals and related responsibilities, and to document the methods of oversight which will be used to efficiently and effectively deliver the FAHP.

The Project Action Responsibility Matrix, Attachment A to this S&O Agreement and as further described in Section VIII of this S&O Agreement, identifies FHWA FAHP project approvals and related responsibilities NMDOT assumes from FHWA on a program-wide basis pursuant to 23 U.S.C. 106(c) and other legal authorities. Upon execution of this agreement, Attachment A shall be controlling and except as specifically noted in Attachment A, no other agreements, attachments, or other documents shall have the effect of delegating or assigning FHWA approvals to NMDOT on a program-wide basis under 23 U.S.C 106 or have the effect of altering Attachment A.

Section III: Assumption of Responsibilities for Federal-Aid projects on the National Highway System

- A. The NMDOT may assume the FHWA's Title 23 responsibilities for design; plans, specifications, and estimates (PS&E); contract awards; and inspections, with respect to Federal-aid projects on the National Highway System (NHS) if both the NMDOT and FHWA determine that assumption of responsibilities is appropriate.

- B. Approvals and related activities for which the NMDOT has assumed responsibilities as shown in Attachment A will apply program wide unless project specific actions for which the Division will carry out the approval or related responsibilities are documented in accordance with the FHWA Project of Division Interest/Project of Corporate Interest Guide (FHWA PoDI/PoCI Guide), located at:

<http://www.fhwa.dot.gov/federalaid/stewardship>

- C. The NMDOT may not assume responsibilities for Interstate projects that are in high risk categories. (23 U.S.C. 106(c)(1))
- D. The NMDOT is to exercise any and all assumptions of the Secretary responsibilities for Federal-aid projects, except those retained by Division, on the NHS in accordance with Federal laws, regulations and policies.

Section IV: Assumption of Responsibilities for Federal-Aid Projects off the National Highway System

- A. The NMDOT shall assume the FHWA's Title 23 responsibilities for design, PS&Es, contract awards, and inspections, with respect to Federal-aid projects off the NHS (non-NHS) unless the NMDOT determines that assumption of responsibilities is not appropriate. (23 U.S.C. 106(c)(2))
- B. Except as provided in 23 U.S.C.109(o), the NMDOT is to exercise the Secretary's approvals and related responsibilities on these projects in accordance with Federal laws.
- C. The NMDOT, in its discretion, may request FHWA carry out one or more non-NHS approvals or related responsibilities listed as "State" in Attachment A on a program-wide basis. For a project specific request, the NMDOT may request FHWA carry out any approval or related responsibility listed in Attachment A off the NHS. Such project-specific requests shall be documented in accordance with Division Projects of Division Interest / Projects of Corporate Interest tool, Attachment D, and PoDI / PoCI Oversight Screening Criteria / Checklist Attachment E.
- D. Pursuant to 23 U.S.C. 109(o), non-NHS projects shall be designed and constructed in accordance with State laws, regulations, directives, safety standards, design standards, and construction standards.

Section V: Assumption of Responsibilities for Tribal / Locally Administrated Projects

The NMDOT may permit Tribal / Local Public Agencies (T/LPAs) to carry out the NMDOT's assumed responsibilities on locally administered projects. The NMDOT is responsible and accountable for T/LPA compliance with all applicable Federal laws and requirements.

Section VI: Permissible Areas of Assumption under 23 U.S.C 106(c)

An assumption of responsibilities under 23 U.S.C. 106(c) may cover only activities in the following areas:

- A. Design, which includes preliminary engineering, engineering, and design-related services directly relating to the construction of a FAHP-funded project, including engineering, design, project development and management, construction project management and inspection, surveying, mapping (including the establishment of temporary and permanent geodetic control in accordance with specifications of the National Oceanic and Atmospheric Administration), and architectural-related services.
- B. PS&E, which represents the actions and approvals required before authorization of construction. The PS&E package includes geometric standards, drawings, specifications, project estimates, certifications relating to completion of right-of-way acquisition and relocation, utility work, and railroad work.
- C. Contract awards, which include procurement of professional and other consultant services and construction-related services to include advertising, evaluating, and awarding contracts.
- D. Inspections, which include general contract administration, material testing and quality assurance, review, and inspections of Federal-aid contracts as well as final inspection/acceptance.
- E. Approvals and related responsibilities affecting real property as provided in 23 CFR 710.201(i) and any successor regulation in 23 CFR Part 710.

Section VII: Federal Approvals and Related Responsibilities that may NOT be assumed by the NMDOT

- A. Any approval or related responsibility not listed in Attachment A cannot be assumed by the State without prior concurrence by FHWA Headquarters. The following is a list of

the most frequently-occurring approvals and related responsibilities that may not be assumed by the State DOT:

- Civil Rights Program approvals;
- Environmental approvals, except those specifically assumed under other agreements. (23 U.S.C. 326 and 327; programmatic categorical exclusion agreements);
- Federal air quality conformity determinations required by the Clean Air Act;
- Approval of current bill and final vouchers;
- Approval of federally-funded hardship acquisition, protective buying, and 23 U.S.C. 108(d) early acquisition;
- Project agreements and modifications to project agreements and obligation of funds (including advance construction);
- Planning and programming pursuant to 23 U.S.C. 134 and 135;
- Special Experimental Projects (SEP-14 and SEP-15);
- Use of Interstate airspace for non-highway-related purposes;
- Any Federal agency approval or determination under the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (Uniform Act), as amended, and implementing regulations in 49 CFR Part 24;
- Waivers to Buy America requirements;
- Approval of Federal participation under 23 CFR 1.9(b);
- Provide pre-approval for preventive maintenance project (until FHWA concurs with NMDOT procedures);
- Requests for credits toward the non-Federal share of construction costs for early acquisitions, donations, or other contributions applied to a project;
- Functional replacement of property;
- Approval of a time extension for preliminary engineering projects beyond the 10-year limit, in the event that actual construction or acquisition of right-of-way for a highway project has not commenced;
- Approval of a time extension beyond the 20-year limit for right of way projects, in the event that actual construction of a road on the right-of-way is not undertaken;
- Determine need for Coast Guard Permit;
- Training Special Provision – Approval of New Project Training Programs; and
- Any other approval or activity not specifically identified in Attachment A unless otherwise approved by the FHWA, including the Office of Chief Counsel.

- B. For all projects and programs, the NMDOT will comply with Title 23 and all applicable non-Title 23, U.S.C. Federal-aid program requirements, such as metropolitan and statewide planning; environment; procurement of engineering and design related service contracts (except as provided in 23 U.S.C. 109(o)); Civil Rights including Title VI of the Civil Rights Act, and participation by Disadvantaged Business Enterprises; prevailing wage rates; and acquisition of right-of-way, etc.
- C. This S & O Agreement does not modify the FHWA's non-Title 23 program approval and related responsibilities, such as approvals required under the Clean Air Act; National Environmental Policy Act, Executive Order on Environmental Justice (E.O. 12898), and

other related environmental laws and statutes; the Uniform Act; and the Civil Rights Act of 1964 and related statutes.

Section VIII: Project Action Responsibility Matrix

Attachment A, Project Action Responsibility Matrix, to this S&O Agreement identifies FAHP project approvals and related responsibilities. The Matrix specifies which approvals and related responsibilities are assumed by the NMDOT under 23 U.S.C. 106(c) or other statutory or regulatory authority, as well as approvals and related responsibilities reserved to FHWA.

Section IX: High Risk Categories

- A. In 23 U.S.C. 106(c), Congress directs that the Secretary shall not assign any approvals or related responsibilities for projects on the Interstate System if the Secretary determines the project to be in a high risk category. Under 23 U.S.C. 106(c)(4)(B), the Secretary may define high risk categories on a national basis, State-by-State basis, or national and State-by-State basis.
- B. As of the effective date of this Agreement, the Division has determined there are no high risk categories.

Section X: FHWA Oversight Program Under 23 U.S.C. 106(g)

- A. In 23 U.S.C. 106(g), Congress directs that the Secretary shall establish an oversight program to monitor the effective and efficient use of funds authorized to carry out the FAHP. This program includes FHWA oversight of the State's processes and management practices, including those involved in carrying out the approvals and related responsibilities assumed by the State under 23 U.S.C. 106(c). Congress defines that, at a minimum, the oversight program shall be responsive to all areas relating to financial integrity and project delivery.
- B. The FHWA shall perform annual reviews that address elements of the NMDOT's financial management system in accordance with 23 U.S.C. 106(g)(2)(A). FHWA will periodically review the NMDOT's monitoring of sub-recipients pursuant to 23 U.S.C. 106(g)(4)(B).
- C. The FHWA shall perform annual reviews that address elements of the project delivery systems of the NMDOT, which elements include one or more activities that are involved in the life cycle of project from conception to completion of the project. The FHWA will also evaluate the practices of NMDOT for estimating project costs, awarding contracts, and reducing costs. 23 U.S.C. 106(g) (2) and (3).

- D. To carry out the requirements of 23 U.S.C. 106(g), the FHWA will employ a risk management framework to evaluate financial integrity and project delivery, and balance risk with staffing resources, available funding, and the State's transportation needs. The FHWA may work collaboratively with the NMDOT to assess the risks inherent with the FAHP and funds management, and how that assessment will be used to align resources to develop appropriate risk response strategies.

Techniques the Division and NMDOT may use to identify and analyze risks and develop response strategies include the following:

- Program Assessments;
- FIRE Reviews;
- Program Reviews;
- Certification Reviews;
- Recurring or periodic reviews such as the Compliance Assessment Program (CAP); and
- Inspections of project elements or phases.

These techniques will be carried out in a manner consistent with applicable Division Standard Operating Procedures (SOP) or other control documents relating to program assessments, FIRE, program reviews, CAP, etc.

The following techniques and processes will be used by the Division to carry out the requirements of 23 U.S.C. 106(g):

- ***Risk Cycle***

Annually, FHWA conducts a formalized review of their oversight of the FAHP as part of the annual Unit Plan Cycle. This assessment includes evaluation of each Program Area by the FHWA Division. As part of the evaluation, Division staff reaches out to NMDOT for comments. These reviews are further analyzed to determine the FHWA Division's Top Risks/Top Opportunities for the upcoming Performance Year (PY). These Top Risks/Top Opportunities are reviewed with NMDOT periodically throughout the PY.

- ***Unit Plan***

Annually the FHWA Division evaluates its resources against the needs of the FAHP and DOTs Strategic Goals. Division staff works with team leaders to develop activities, program reviews, program assessments, and SOPs to be included in the Unit Plan. On a quarterly basis these activities are updated and reviewed by management to ensure that deliverables are on track to be met for the current PY.

- ***Project / Program involvement:***

- Included, but not limited to, presentations and discussions of program concerns, current project issues, PoDIs, and any open items. A subset of performance indicators (dashboard measures) are reviewed quarterly.
- NMDOT Office of Inspector General (OIG) sends copies of reviews to FHWA for review and concurrence. These reviews are evaluated at the program level and used to identify potential follow up FHWA reviews.
- SOPs are evaluated and updated every one to three years or on an as needed basis.
- Meetings with Executive leadership from both organizations are held regularly. At least quarterly, such oversight activities are discussed in some detail.

E. Program Responsibility Matrix

Attachment B to this S&O Agreement is the Program Responsibility Matrix that identifies all relevant FHWA program actions, Division, and NMDOT program contact offices responsible for each action.

F. Manuals and Operating Agreements

The NMDOT manuals, agreements and other control documents that have been approved for use on Federal-aid projects are listed in Attachment C to this S&O Agreement.

G. Stewardship and Oversight Indicators

The Division and NMDOT have jointly established Stewardship and Oversight Indicators (Indicators), as a way of effectively managing and improving program delivery. Indicators provide documented evidence that NMDOT's assumption of responsibilities is functioning appropriately. The data for these Indicators will be updated and evaluated annually in the 3rd Quarter of the Federal Fiscal Year (April – June) and corresponding report placed on internal website.

Section XI: State DOT Oversight and Reporting Requirements

A. NMDOT Oversight and Reporting Requirements

The NMDOT is responsible for demonstrating to the FHWA how it is carrying out its responsibilities in accordance with this S&O Agreement. In order to fulfill this responsibility, the NMDOT will:

- Prepare construction documents, for all FAHPs, in accordance with the project development process and the production schedule;
- Carry out design reviews on all FAHPs prior to advertisement;
- Develop construction cost estimates per NMDOT's guidelines;
- Award construction contracts as set forth in NMDOT's "Bid Review Process";

- Conduct construction activities as set forth in the project's sealed construction documents and in accordance with NMDOT's Standard Specifications and Construction Manual; and
- Conduct and document Construction and Civil Rights Bureau inspections on a reasonable sample of active construction projects.

NMDOT will maintain individual FAHP files that include documentation of all required FHWA actions and NMDOT's assumed project approvals as set forth in this S & O Agreement.

B. NMDOT Oversight of Tribal/Local Administered Projects

The NMDOT has a T/LPA Handbook that provides guidance to T/LPAs for administering projects funded as part of the FAHP. Each entity must also enter into a Cooperative Project Agreement for each project funded as part of the FAHP. This Cooperative Project Agreement defines specific responsibilities for each entity.

- B.1. NMDOT is required to provide adequate oversight of sub-recipients including oversight of any assumed responsibilities NMDOT has delegated to T/LPAs.
- B.2. Pursuant to 23 U.S.C. 106(g)(4), the NMDOT shall be responsible for determining that sub-recipients of Federal funds have adequate project delivery systems for locally administered projects and sufficient accounting controls to properly manage such Federal-aid funds. The NMDOT is also responsible for ensuring compliance with reporting and other requirements applicable to grantees making sub-awards, such as monthly reporting requirements under the Federal Funding Accountability and Transparency Act of 2006, PL 109-282 (as amended by PL 110-252).
- B.3. The NMDOT acknowledges that it is responsible for sub-recipient awareness of Federal grant requirements, management of grant awards and sub-awards and is familiar with and comprehends pass through entity responsibilities (2 C.F.R. 200.331 Requirement for Pass-thru Entities). The NMDOT shall carry out these responsibilities using the following actions, programs, and processes:

Guidance for T/LPA projects is provided in the T/LPA handbook which is reviewed and approved by the Division Office and describes the overall process for project implementation. A part of that process is that the NMDOT enters into Cooperative Agreements in order to clearly specify and delineate the rights and duties of the Parties in the design, development, and/or construction of a State or Federally Funded project. The T/LPA must meet applicable certification requirements, receive a Notice to Proceed, a copy of the funding authorization from FHWA, and the executed agreement before beginning work.

Additionally, NMDOT will:

- maintain a sufficiently staffed T/LPA administration section;
- maintain an up-to-date T/ LPA section on the NMDOT website that is easily accessible to tribal and local agencies that provides contract administration tools including essential project related documents and links to fundamental training subject matter;
- maintain and update a T/LPA Handbook; and
- administer T/LPA program such that it conforms to the FHWA approved “Procedures for Local Public Agency Project Administration”, including a comprehensive T/LPA qualification process.

- B.4. The NMDOT shall assess whether a sub-recipient has adequate project delivery systems and sufficient accounting controls to properly manage projects, using the following actions, programs, and processes:

NMDOT negotiates a “Cooperative Project Agreement” which each Tribal/Local entity. Specifically these Agreement(s) stipulate the T/LPA’s responsibilities. In the Cooperative Project Agreement - Design work, Section 4 (r) states...”If the Public Entity receives a combined \$750,000 in Federal Funding, which would require an audit pursuant to OMB Super Circular Section 200.501, it must provide (NMDOT) Department a copy of the most recent completed audit report before the start of work”. In the Cooperative Project Agreement - Construction work, Section 4 (q) states... “If the Public Entity has received a combined \$750,000 in Federal Funding, which under OMB Super Circular Section 200.501 requires the Public Entity to have a single audit performed, the Public Entity must provide the Department a copy of the most recent completed audit report before the start of work”. The Single Audit is also available on the New Mexico Office of the State Auditor’s website. NMDOT reviews these documents for material weaknesses and/or significant findings allowing the NMDOT to determine if the sub-recipient has sufficient accounting controls to properly manage projects.

- B.5. The NMDOT shall assess whether a sub-recipient is staffed and equipped to perform work satisfactorily and cost effectively, and that adequate staffing and supervision exists to manage the Federal project(s), by using the following actions, programs, and processes:

In the Cooperative Project Agreement, each T/LPA entity must adhere to all items outlined in Section 4 entitled “The Public Entity Shall”. This Section specifically addresses the performance of the actual work requirements.

- B.6. The NMDOT shall assess whether sub-recipient projects receive adequate inspection to ensure they are completed in conformance with approved plans and specifications, by using the following actions, programs, and processes:

The Cooperative Project Agreement, Section 5 entitled “The Department Shall” addresses NMDOT’s reviews/ inspections of documents and deliverables according to specifications, and inspection, technical assistance, monitoring and overseeing progress of each project.

- B.7. The NMDOT shall ensure that when T/LPAs elect to use consultants for engineering services, the T/LPA, as provided under 23 CFR 635.105(b), shall provide a full-time employee of the agency to be in responsible charge of the project. The NMDOT’s process to ensure compliance with this requirement is documented by the following actions, programs, and processes:

The NMDOT requires through its T/LPA Handbook and the Cooperative Project Agreement, that the T/LPA allow the NMDOT to review and concur on all the T/LPA’s third party contractual commitments to include the use of consultants for engineering services and construction management, as provided under 23 CFR 635.105. The Cooperative Project Agreement also requires the T/LPA to designate a project manager as the single point of contact.

- B.8. The NMDOT shall ensure that project actions will be administered in accordance with all applicable Federal laws and regulations. The NMDOT will use the following process on required approvals on sub-recipient projects:

The NMDOT T/LPA CLE assigned to each project ensures compliance with all elements of the 23 CFR. The T/LPA Handbook and Cooperative Project Agreements describe project actions that require NMDOT review/approval.

NMDOT oversight includes, but is not limited to the following areas:

- Consultant selection and management (Cooperative Project Agreement Section 4 and T/LPA Handbook, Chapter 4);
- Environment (Cooperative Project Agreement Section 4 and T/LPA Handbook, Chapter 5);
- Design (Cooperative Project Agreement Section 4, Appendix C and T/LPA Handbook, Chapter 4);
- Civil Rights (Cooperative Project Agreement Section 11-13 and T/LPA Handbook, Chapters 10 & 11);
- Financial management including audits and indirect cost allocation plans (Cooperative Project Agreement Sections 15 & 16, Single Audit Act Procedures Manual);
- Right-of-way (Cooperative Project Agreement Section 4, Appendix C and T/LPA Handbook, Chapter 7);
- Construction monitoring including Quality Control/Quality Assurance (QC/QA) (Cooperative Project Agreement Section 4 and Appendix A); and
- Contract administration (Cooperative Project Agreement Section 4 and T/LPA Handbook, Chapter 9).

- B.9. The NMDOT shall document its oversight activities for T/LPA-administered projects and findings, and shares this information with the FHWA as follows:

The NMDOT has clearly documented the approval and oversight process on T/LPA. The Cooperative Project Agreement and various correspondence, checklists and informational documents submitted to the T/LPA during each phase of the Cooperative Project Agreement process, as well as in the T/LPA Handbook provide clear guidance. FHWA participates and provides language included in these documents. NMDOT will seek FHWA guidance and approval on subsequent revisions.

Additionally, the NMDOT has assigned T/LPA Coordinators at each of the six District offices to provide assistance and oversight during the construction phase and a T/LPA Construction Liaison Engineer (CLE) is assigned to oversee each project to ensure compliance with Federal requirements. The CLE will perform project inspections on any/all project files and will provide at a minimum a final inspection report on all projects. The NMDOT also utilizes a T/LPA PS&E formal checklist (completed by the assigned CLE) to ensure that all the above areas have been completed and adhered to by the sub-grantee. Final inspection reports are filed in the project files online in the Construction and Civil Rights Bureau (CCRB) Shared Folder for each project. NMDOT will provide FHWA access to the project files when requested.

The NMDOT staff provides oversight on the T/LPA's procurement methods to ensure Federal requirements and language is included in T/LPA third party contracts. NMDOT will meet with FHWA to discuss current practices, areas of concern, and establish business service standards that would provide an expectation for how long it would take to provide reports, reviews and findings along with the expectation to implement corrective actions when necessary. On a quarterly frequency, NMDOT will provide FHWA with a status report summarizing its T/LPA program. The report includes, at a minimum, the status of each active T/LPA project (i.e., current phase, approval milestones made by NMDOT, etc.) and a summary of approved T/LPAs (i.e., requests received, NMDOT approvals/denials, etc.). Also, NMDOT meets with FHWA to discuss dashboard metrics, providing data to analyze an agreed upon set of indicators to determine how NMDOT's assumed authorities are being executed.

Section XII: Implementation and Amendments


- A. This S&O Agreement will take effect as of the effective date of the signature of the FHWA New Mexico Division Administrator, who shall sign this S&O Agreement last.

- B. This S&O Agreement supersedes the December 6, 2012 Stewardship and Oversight Agreement and all corresponding supplements.
- C. The Division and the NMDOT agree that updates to this S & O Agreement will be considered periodically on a case-by-case basis or when:
 - Significant new legislation, Executive orders, or other initiatives affecting the relationship or responsibilities of one or both parties to the S&O Agreement occurs;
 - Leadership, or leadership direction, changes at the NMDOT or FHWA; or
 - Priorities shift as a result of audits, public perception, or changes in staffing at either the NMDOT or Division Office.
- D. The Division and the NMDOT agree that changes may occur to the contents of the Attachments to this S&O Agreement and documents incorporated by reference into the S&O Agreement. Except as provided in paragraph XII. E and F, changes to the Attachments and documents incorporated by reference will not require the Division and the NMDOT to amend this S&O Agreement. The effective date of any revisions to one of these documents shall be clearly visible in the header of the revised document. This S&O Agreement and any revised document shall be posted on the Division's S&O Agreement internet site within five (5) business days of the effective date.
- E. Any changes to the high risk categories must be documented by an amendment to this S&O Agreement.
- F. Any changes to the Project Action Responsibility Matrix must be approved by the FHWA Office of Infrastructure in writing and documented by an amendment to this S&O Agreement.

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EXECUTION BY THE FHWA NEW MEXICO DIVISION OFFICE

Executed this 7 day of April, 2015.


Signature

J. Don Martinez

Don Martinez
Division Administrator

**EXECUTION BY THE New Mexico DEPARTMENT OF
TRANSPORTATION**

Executed this 7th day of April, 2015.

A handwritten signature in cursive script, appearing to read "Thurman", written over a horizontal line.

Signature

A handwritten signature in cursive script, reading "Tom Church, Secretary", written over a horizontal line.

Tom Church
Cabinet Secretary

Attachment A: Project Action Responsibility Matrix (As of February 6, 2015)

The following matrix identifies Federal-aid highway program (FAHP) project approvals and related responsibilities. The matrix specifies which ones are subject to State assumption under the provisions of 23 U.S.C. 106(c) or other statutory or regulatory authority, as well as those which are reserved to FHWA.

In the column entitled "Projects on the NHS" if an item is marked "FHWA or State," it means the State may assume the specified approval and related responsibilities if the Division determines the assumption is appropriate. For projects on the NHS, the FHWA may retain any approval or related action in any box marked "FHWA or State", as deemed appropriate by the Division, by choosing to enter "FHWA" for that box. If the FHWA retains any approval or related action in any box marked "FHWA or State", the project is a PoDI, and will require a PoDI plan.

For the column marked "Projects off the NHS", the State must assume all items marked "State" unless the State determines the assumption of a particular item by the State is not appropriate and requests FHWA take responsibility for the action. In such cases, the box should read "FHWA".

If FHWA retains an action the State could have assumed (on the NHS) or has a right to assume (off the NHS), the affected projects become PoDI projects.¹ Matrix users may find it easier to identify such situations if you mark such instances in the matrix with a note or asterisk (). Divisions also may wish to include in Attachment A's introduction information about where readers can find a list of PoDI projects and copies of PoDI plans.*

Except as expressly stated in notes to the matrix below, the State cannot assume any item marked only as "FHWA" in either column. Any item marked only "FHWA" is reserved to FHWA because it is outside the scope of 23 U.S.C. 106(c), or otherwise is reserved to FHWA by law. While FHWA may not delegate decision-making authority to a State unless authorized by law, FHWA may authorize a State DOT to perform work needed to reach the decision point, or to implement the decision.]

The State DOT is responsible for ensuring all individual elements of the project are eligible for FAHP funding, but all final eligibility and participation determinations are retained by FHWA.

¹ The following are considered PoDI projects: Major Projects (>\$500M); Appalachian Development Highway Projects; TIGER Discretionary Grant Projects; NHS Projects with Retained FHWA Project Approval; Non-NHS Projects with Retained FHWA Project Approval; and Projects Selected by FHWA for Risk-based Stewardship & Oversight. Regardless of retained project approval actions, any Federal-aid Highway Project either on or off the NHS that the Division identifies as having an elevated level of risk can be selected for risk-based stewardship and oversight and would then be identified as a PoDI.

PROJECT ACTION RESPONSIBILITY MATRIX (as of February 6, 2015) (Excluding PoDIs, which are subject to separate PoDI Plans)		
ACTION	AGENCY RESPONSIBLE	
	PROJECTS ON THE NHS	PROJECTS OFF THE NHS
PROGRAMMING (All phases)		
Ensure project in Statewide Transportation Improvement Program (STIP)/Transportation Improvement Program (TIP)	STATE	STATE
Identify proposed funding category	STATE(1)	STATE(1)
FINANCIAL MANAGEMENT (All phases)		
Obligate funds/approve Federal-aid project agreement modifications, and project closures (project authorizations) (Note: this action cannot be assumed by State)	FHWA	FHWA
Authorize current bill (Note: this action cannot be assumed by State)	FHWA	FHWA
Review and Accept Financial Plan and Annual Updates for Federal Major Projects over \$500 million [23 U.S.C. 106(h)] (Note: this action cannot be assumed by State)	FHWA	FHWA
Review Cost Estimates for Federal Major Projects over \$500 million [23 U.S.C. 106(h)] (Note: this action cannot be assumed by State)	FHWA	FHWA
Develop Financial Plan for Federal Projects between \$100 million and \$500 million. [23 U.S.C. 106(i)]	STATE	STATE
ENVIRONMENT (All phases)		
All EA/FONSI, EIS/ROD, 4(f), 106, 6(f) and other approval actions required by Federal environmental laws and regulations. (Note: this action cannot be assumed by STATE except under 23 U.S.C. 327)	FHWA(2)	FHWA(2)
Categorical Exclusion approval actions (Note this action cannot be assumed by the State except through an assignment under 23 U.S.C. 326 or 327, or through a programmatic agreement pursuant to Section 1318(d) of MAP-21) and 23 CFR 771.117(g))	FHWA(2)	FHWA(2)
PRELIMINARY DESIGN (Design Phase)		
Consultant Contract Selection	STATE (3)	STATE (3)

PROJECT ACTION RESPONSIBILITY MATRIX (as of February 6, 2015) (Excluding PoDIs, which are subject to separate PoDI Plans)		
ACTION	AGENCY RESPONSIBLE	
	PROJECTS ON THE NHS	PROJECTS OFF THE NHS
Sole source Consultant Contract Selection	FHWA (3)*	STATE (3)
Approve hiring of consultant to serve in a "management" role (Note: this action cannot be assumed by State) [23 CFR 172.9]	FHWA	FHWA
Approve consultant agreements and agreement revisions (Federal non-Major Projects) [23 CFR 172.9]	STATE	STATE
Approve consultant agreements and agreement revisions on Federal Major Projects [23 CFR 172.9] (Note: this action cannot be assumed by State)	FHWA	FHWA
Approve exceptions to design standards [23 CFR 625.3(f)]	FHWA(Interstate)* STATE (Non-Interstate)	STATE
Interstate System Access Change [23 USC 111] (Note: this action cannot be assumed by State)	FHWA	N/A
Interstate System Access Justification Report [23 USC 111] (Note: action may be assumed by State pursuant to 23 USC 111(e))	STATE	N/A
Airport highway clearance coordination and respective public interest finding (if required) [23 CFR 620.104]	STATE	STATE
Approve Project Management Plan for Federal Major Projects over \$500 million [23 USC 106(h)] (Note: this action cannot be assumed by State)	FHWA	FHWA
Approve innovative and Public-Private Partnership projects in accordance with SEP-14 and SEP-15 (Note: this action cannot be assumed by State)	FHWA	FHWA
Provide pre-approval for preventive maintenance project (until FHWA concurs with STATE procedures) (Note: this action cannot be assumed by State)	FHWA	FHWA
DETAILED / FINAL DESIGN (Design Phase)		
Provide approval of preliminary plans for unusual/complex bridges or structures on the Interstate. [23 USC 109(a) and FHWA Policy]	FHWA (4)	N/A
Provide approval of preliminary plans for unusual/complex bridges or structures (non-interstate). [23 USC 109(a) and FHWA Policy]	STATE(4)	STATE

PROJECT ACTION RESPONSIBILITY MATRIX (as of February 6, 2015) (Excluding PoDIs, which are subject to separate PoDI Plans)		
ACTION	AGENCY RESPONSIBLE	
	PROJECTS ON THE NHS	PROJECTS OFF THE NHS
Approve retaining right-of-way encroachments [23 CFR 1.23 (b) & (c)]	FHWA*	STATE
Approve use of local force account agreements [23 CFR 635.104 & 204]	FHWA*	STATE
Approve use of publicly owned equipment [23 CFR 635.106]	STATE	STATE
Approve the use of proprietary products, processes [23 CFR 635.411]	FHWA*	STATE
Concur in use of publicly furnished materials [23 CFR 635.407]	STATE	STATE
RIGHT-OF-WAY (Design and Operational Phases)		
Make feasibility/practicability determination for allowing authorization of construction prior to completion of ROW clearance, utility and railroad work [23 CFR 635.309(b)]	FHWA*	STATE
Make public interest finding on whether State may proceed with bid advertisement even though ROW acquisition/relocation activities are not complete for some parcels [23 CFR 635.309(c)(3)]	FHWA (Interstate)* STATE (Non-Interstate)	STATE
Ensure compliant ROW certificate is in place [23 CFR 635.309(c)]	STATE	STATE
Approve Hardship and Protective Buying [23 CFR 710.503] (If a Federal-aid project) (Note: this action cannot be assumed by State)	FHWA	FHWA
Approve Interstate Real Property Interest Use Agreements [23 CFR 710.405] (Note: this action cannot be assumed by State)	FHWA	N/A
Approve non-highway use and occupancy [23 CFR 1.23(c)]	FHWA (Interstate) STATE (Non-Interstate) (3)	STATE (3)
Approve disposal at less than fair market value of federally funded right-of-way, including disposals of access control [23 U.S.C. 156] (Note: this action cannot be assumed by State)	FHWA	FHWA

PROJECT ACTION RESPONSIBILITY MATRIX (as of February 6, 2015) (Excluding PoDIs, which are subject to separate PoDI Plans)		
ACTION	AGENCY RESPONSIBLE	
	PROJECTS ON THE NHS	PROJECTS OFF THE NHS
Approve disposal at fair market value of federally funded right-of-way, including disposals of access control [23 CFR 710.409] (Note: 23 CFR 710.201 authorizes FHWA and STATE to agree to scope of property-related oversight and approvals for all actions except those on the Interstate System)	FHWA (Interstate) STATE (Non-Interstate) (3)	STATE (3)
Requests for credits toward the non-Federal share of construction costs for early acquisitions, donations or other contributions applied to a project (note: this action cannot be assumed by State)	FHWA	FHWA
Federal land transfers [23 CFR 710, Subpart F] (Note: this action cannot be assumed by State)	FHWA	FHWA
Functional replacement of property [23 CFR 710.509] (Note: this action cannot be assumed by State)	FHWA	FHWA
SYSTEM OPERATIONS AND PRESERVATION (Design Phase)		
Accept Transportation Management Plans (23 CFR 630.1012(b))	STATE	STATE
Approval of System Engineering Analysis (for ITS) [23 CFR 940.11]	STATE	STATE
PS&E AND ADVERTISING (Design Phase)		
Approve PS&E [23 CFR 630.201]	STATE	STATE
Authorize advance construction and conversions [23 CFR 630.703 & 709] (Note: this action cannot be assumed by State)	FHWA	FHWA
Approve utility or railroad force account work [23 CFR 645.113 & 646.216]	FHWA*	STATE
Approve utility and railroad agreements [23 CFR 645.113 & 646.216]	STATE	STATE
Approve use of consultants by utility companies [23 CFR 645.109(b)]	STATE	STATE
Approve exceptions to maximum railroad protective insurance limits [23 CFR 646.111]	STATE	STATE
Authorize (approve) advertising for bids [23 CFR 635.112, 309]	STATE	STATE
CONTRACT ADVERTISEMENT AND AWARD (Design Phase)		
All contracts to be done by competitive bidding unless otherwise authorized by law		

PROJECT ACTION RESPONSIBILITY MATRIX (as of February 6, 2015) (Excluding PoDIs, which are subject to separate PoDI Plans)		
ACTION	AGENCY RESPONSIBLE	
	PROJECTS ON THE NHS	PROJECTS OFF THE NHS
Approve cost-effectiveness determinations for construction work performed by force account or by contract awarded by other than competitive bidding [23 CFR 635.104 &.204]	STATE	STATE
Approve emergency determinations for contracts awarded by other than competitive bidding [23 CFR 635.104 &.204]	FHWA*	STATE
Approve construction engineering by local agency [23 CFR 635.105]	STATE	STATE
Approve advertising period less than 3 weeks [23 CFR 635.112]	FHWA*	STATE
Approve addenda during advertising period [23 CFR 635.112]	STATE, whichever approved PS&E	STATE
Concur in award of contract [23 CFR 635.114]	STATE	STATE
Concur in rejection of all bids [23 CFR 635.114]	FHWA*	STATE
Approval of Design-Build Requests-for-Proposals and Addenda [23 CFR 635.112]	STATE	STATE
CONSTRUCTION (Construction Phase)		
Approve changes and extra work [23 CFR 635.120]	STATE	STATE
Approve contract time extensions [23 CFR 635.120]	STATE	STATE
Concur in use of mandatory borrow/disposal sites [23 CFR 635.407]	STATE	STATE
Accept materials certification [23 CFR 637.207]	STATE	STATE
Concur in settlement of contract claims [23 CFR 635.124]	FHWA *	STATE
Concur in termination of construction contracts [23 CFR 635.125]	FHWA *	STATE
Waive Buy America provisions [23 CFR 635.410] (Note: this action cannot be assumed by State)	FHWA	FHWA
Final inspection/acceptance of completed work [23 USC 114(a)]	STATE	STATE
CIVIL RIGHTS (All phases)		
Approval of Disadvantaged Business Enterprise (DBE) Project Contract Goal	STATE	STATE

PROJECT ACTION RESPONSIBILITY MATRIX (as of February 6, 2015) (Excluding PoDIs, which are subject to separate PoDI Plans)		
ACTION	AGENCY RESPONSIBLE	
	PROJECTS ON THE NHS	PROJECTS OFF THE NHS
set by the State DOT under 49 CFR 26.51(d). [49 CFR 26.51(e)(3)]		
Acceptance of Bidder's Good Faith Efforts to Meet Contract Goal [49 CFR 26.53] or of Prime Contractor's Good Faith Efforts to Find Another DBE Subcontractor When a DBE Subcontractor is Terminated or Fails to Complete Its Work [49 CFR 26.53(g)] (Note: this action cannot be performed by the FHWA)	STATE	STATE
Equal Employment Opportunity (EEO) Contract Compliance Review Approval [23 CFR Part 230, Subpart D]).	FHWA *	STATE
Training Special Provision – Approval of Project Goal for training slots or hours [23 CFR Part 230, Subpart A]	STATE	STATE
Training Special Provision – Approval of New Project Training Programs (Note: this action cannot be assumed by State) [23 CFR 230.111(d), (e)]	FHWA	FHWA
FOOTNOTES:		
* Denotes activities that could be assigned to the State, but retained by FHWA		
(1) State is responsible for ensuring that all individual elements of the project are eligible. FHWA will check that the scope of the project as described in submitted project agreement is eligible for the category of funding sought. All final eligibility and participation determinations are retained by FHWA.		
(2) If there is a 23 U.S.C. 326 or 325 assignment or PCE agreement, decisions are handled in accordance with those assignments or agreements.		
(3) State's process and modifications to, or variation in process, require FHWA approval.		
(4) Unusual/Complex bridges and structures are those that the Division determines to have unique foundation problems, new or complex designs, exceptionally long spans, exceptionally large foundations, complex hydrologic (including climate change and extreme weather events) aspects, complex hydraulic elements or scour related elements, or that are designed with procedures that depart from currently recognized acceptable practices (i.e., cable-stay, suspension, arch, segmental concrete, moveable, truss, tunnels, or complex geotechnical walls or ground improvement systems)		

Attachment B: Program Responsibility Matrix

PROGRAM ACTION RESPONSIBILITY

The following matrix is a list of program actions. Modify the matrix to reflect the Division and State "Responsible Program Office." The primary office of contact should be listed, rather than an individual or the approving official.

Activity	Authority ²	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Appropriations, Allotments, Obligations	31 USC 1341(a)(1)(A)& (B); 31 USC 1517(a); 23 USC 118(b), 23 USC 121	As needed	Not Applicable	Office of Chief Financial Officer	Finance Manager	STIP and Funding Control	State will monitor appropriations, allotments and obligations to ensure that all funding is used efficiently within each quarter and use all Obligation Authority (OA) by the end of the year.
Approval of Indirect Cost Allocation Plans (ICAPs)	49 CFR Part 18; 2 CFR 200 Subpart E (previously 2 CFR 225); ASMB-10	As needed	Not Applicable	Office of Chief Financial Officer	Finance Manager	Funding Control and Chief Engineer	The State will certify that the ICAP was prepared in accordance with 2 CFR 200 Subpart E.
FIRE Program Activities	FHWA Order 4560.1B (or as superseded)	Ongoing		Office of Chief Financial Officer	Finance Manager	Deputy Secretary-Highway Operations, Chief Engineer, Asset Management & Planning Director, CFO	State will continue to provide oversight and conduct reviews to ensure Federal-aid compliance. FHWA will review and monitor. State responsibilities include multiple tasks in support of risk assessments, conducting reviews and implementation of recommendations.

² All actions taken on or after December 26, 2014, shall be governed by the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards in 2 CFR Part 200. Part 200 of 2 CFR supersedes 49 CFR Parts 18 and 19, and requirements from OMB Circulars A-21, A-87, A-110, and A-122 (which have been placed in OMB guidance's); Circulars A-89, A-102, and A-133; and the guidance in Circular A-50 on Single Audit Act follow-up.

Activity	Authority ²	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Audit Coordination/FHWA Financial Statement Audit/State External Audit Reviews/State Internal Audit Reviews	FMFIA, 49 CFR 18.26; OMB Circular A-123, 133; GAAP, CFO Act of 1990; DOT Order 8000.1C	As needed	Not Applicable	Office of Chief Financial Officer	Finance Manager	CFO Accounting	State assures corrective action is taken to resolve audit findings and FHWA will monitor activities to ensure implementation.
Improper Payments Review	Improper Payments Information Act of 2002, PL 107-300, Improper Payments Elimination and Recovery Act of 2010, PL 111-204, Improper Payments Elimination and Recovery Improvement Act of 2012, PL 112-248	Annually		Office of Chief Financial Officer	Finance Manager	CFO Accounting	State will provide all information necessary to document sampled payments and FHWA offices will review and complete appropriate data submittal forms.
Transfer of Funds between programs or to other FHWA offices or agencies as requested by State	23 USC 126	As needed	Not Applicable	Office of Chief Financial Officer	Finance Manager	Funding Control	State will submit requests for transfer and FHWA approves and processes the funding transfers between programs, to other States, to other agencies, and to FHWA HQ, Federal Lands, or Research offices.
Reviews of State Transportation Departments Financial Management Systems - Financial Integrity	23 USC 106(g)(2)(A)	Annually	Not Applicable	Office of Chief Financial Officer	Finance Manager	CFO Accounting	23 USC 106(g)(2)(A) states that the Secretary shall perform annual reviews that address elements of the State transportation departments' financial management systems that affect projects approved under subsection (a).
Review Adequacy of Sub-recipient Project Delivery Systems and Sufficient Accounting Controls to Manage Federal Funds	23 USC 106(g)(4)(A)(i)	As needed	Not Applicable	Office of Chief Financial Officer	Finance Manager	Funding Control	
Periodic Reviews of States Monitoring of sub-recipients	23 USC 106(g)(4)(B)	As needed	Not Applicable	Office of Infrastructure	Finance Manager	Funding Control	

Activity	Authority ²	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Approval of Increased Federal Share Agreement (Sliding Scale)	23 USC 120(b)(2)	As determined by the Federal Share Agreement	Not Applicable	Office of Chief Financial Officer	Finance Manager	Chief Engineer and Funding Control	A State must enter into an agreement with FHWA for use of the increased Federal share allowable under this section, which must be reviewed and updated periodically as agreed to in the agreement. States must demonstrate that they are in compliance with the statute and the agreement.
Prepare / Review Title VI Plan Accomplishments and Next Year's Goals	23 CFR 200.9(b)(10)	Annually	1-Oct	Office of Civil Rights	Civil Rights	Construction and Civil Rights Bureau	Division office reviews and comments.
Prepare / EEO Contractor Compliance Plan accomplishments and next year's goals	23 CFR 230, Subpart C, Appendix A, Part I, III	Annually	1-Oct	Office of Civil Rights	Civil Rights	Construction and Civil Rights Bureau	Division office reviews and comments.
Prepare / Review State Internal EEO Affirmative Action Plan (Title VII) Accomplishments and Goals	23 CFR 230.311	Annually	1-Oct	Office of Civil Rights	Civil Rights	Construction and Civil Rights Bureau	Courtesy copy to HQ.
Review DBE Program Revisions	49 CFR 26.21(b)(2)	As needed	Not Applicable	Office of Civil Rights	Civil Rights	Construction and Civil Rights Bureau	Division sends to HCR for review and approval as
Prepare / DBE Uniform Awards and Commitment Report	49 CFR 26, Appendix B	Semi-Annual	June 1st December 1st	Office of Civil Rights	Civil Rights	Construction and Civil Rights Bureau	Division Office reviews and sends to HCR
Prepare / Annual Analysis and Corrective Action Plan (if necessary)	49 CFR 26.47(c)	Annual (as necessary)	December 31st	Office of Civil Rights	Civil Rights	Construction and Civil Rights Bureau	Division Office approves sends copy to HCR
Prepare / State DBE Program Goals	49 CFR 26.45(f)(1)	Triennial	August 1st	Office of Civil Rights	Civil Rights	Construction and Civil Rights Bureau	Division reviews and approves; HCC provides legal sufficiency review and approval sends copy to HCR
Prepare / Review On-the-Job-Training (OJT) goals & accomplishments	23 CFR 230.111(b)	Annually	TBA	Office of Civil Rights	Civil Rights	Construction and Civil Rights Bureau	Division office reviews and comments.

Activity	Authority ²	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Approval of QJT and DBE Supportive Services fund requests	23 CFR 230.113 & 23 CFR 230.204	Annual	TBA	Office of Civil Rights	Civil Rights	Construction and Civil Rights Bureau	Division recommends approval submits to HCR for final approval
Return of any unused discretionary grant program funding	23 CFR 230.117(2)	Annual	TBA	Office of Civil Rights	Finance Manager	Construction and Civil Rights Bureau	Division works with HCR and CFO
Prepare / Review of Report on Supportive Services (QJT & DBE)	23 CFR 230.113(g), 230.121(e), 230.204(g)(6)	Quarterly		Office of Civil Rights	Civil Rights	Construction and Civil Rights Bureau	Division office reviews and comments.
Prepare / Review Annual Contractor Employment Report (Construction Summary of Employment Data (Form PR-1392)	23 CFR 230.121(a); Appendix D to Subpart A, Part 230, General Information and Instructions	Annually	1-Dec	Office of Civil Rights	Civil Rights	Construction and Civil Rights Bureau	Recommendation sent to HQ for approval.
Prepare / Review State DOT Employment Statistical Data (EEO-4)	23 CFR, Subpart C, Appendix A	Biannual	1-Dec	Office of Civil Rights	Civil Rights	Construction and Civil Rights Bureau / HR	Report sent to HQ quarterly for informational purposes and recommendation sent to HQ annually for approval.
Prepare / Review Annual Federal Projected Awards Reports - Historically Black Colleges & Universities/Tribal Colleges & Universities/Hispanic Serving Institutions, American Indian/Alaskan Native, Asian Pacific & American Islander.	Presidential Executive Orders: 13230, 13256, 13270, 13361, 13515	Annual	TBA	Office of Civil Rights	Civil Rights	LTAP	Divisions submit data to HCR who prepares report for DOCR
Prepare / Review ADA Complaint Reports of Investigation	28 CFR 35.190	As needed	Not Applicable	Office of Civil Rights	Civil Rights	Construction and Civil Rights Bureau	Division office reviews, FHWA HQ approves and issues finding.
Review Americans with Disabilities Act (ADA) /Sec. 504 Program Plan accomplishments and next year's goals	49 CFR 27.11(c), EO 12250	Annually	1-Oct	Office of Civil Rights	Civil Rights	Construction and Civil Rights Bureau	Division office reviews and comments.

Activity	Authority ²	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Return of unexpended funds used for Summer Transportation Institutes	23 CFR 230.117(2)	Annual	August 30; however, State procurement rules may govern	Office of Civil Rights	Civil Rights	Construction and Civil Rights Bureau	Divisions work with HCR and CFO
Prepare / Review Request for National Summer Transportation Institute (NSTI) Proposals (SOWs)	23 USC 140(b)	Annual	TBA	Office of Civil Rights	Civil Rights	Construction and Civil Rights Bureau	Divisions recommend approval. HCR gives final approval
Prepare / Review NSTI Report (questionnaire)	23 USC 140(b)	Annual	October 15th	Office of Civil Rights	Civil Rights	Construction and Civil Rights Bureau	Divisions provide to HCR
Receipt of State Consultation Process with Tribal Governments	23 CFR 450.210(c)	As needed	Not Applicable	Office of Federal Lands Highway	Field Ops	Construction and Civil Rights Bureau	Informational Purposes.
Approval of Contracting Procedures for Consultant Selection	23 CFR 172.5 & 172.9	As needed	Not Applicable	Office of Infrastructure	Field Ops	Chief Engineer	FHWA Division Office Approval.
Determination of High Risk Categories - Limitation on Interstate Projects	23 USC 106(c)(4)(B)	As needed	Not Applicable	Office of Infrastructure	Field Ops	Chief Engineer	Office of Program Administration determines national categories and must concur on any State designations.
Approval of State 3R Program	23 CFR 625.4(a)(3), 23 USC 109(n)	As needed	Not Applicable	Office of Infrastructure	Field Ops	Chief Engineer	FHWA Division Office Approval.
Verify adoption of Design Standards (National Highway System, including Interstate)	23 CFR 625, 23 USC 109(b), 23 USC 109(c)(2), 23 USC 109(o)	As needed	Not Applicable	Office of Infrastructure	Field Ops	Chief Engineer	FHWA HQ regulatory action to adopt NHS standards.
Approval of preliminary plans of Major and Unusual Bridges on the Interstate Highway System	(M1100.A)	As needed	Not Applicable	Office of Infrastructure	Structures	Chief Engineer	Director of HIBT has approval of preliminary plans of Major and Unusual Bridges on the Interstate Highway System (M1100.A)
Approval of State Standard Specifications	23 CFR 625.3	As needed	Not Applicable	Office of Infrastructure	Field Ops	Chief Engineer and State Construction Engineer	FHWA Division Office Approval.

Activity	Authority ²	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Verify State Design Exception Policy complies with FHWA Policy	23 CFR 625.3	As needed	Not Applicable	Office of Infrastructure	Field Ops	Chief Engineer	FHWA Division Office Approval.
Approval of State Standard Detail Plans	23 CFR 625.3	As needed	Not Applicable	Office of Infrastructure	Field Ops	Chief Engineer	FHWA Division Office Approval.
Approval of Pavement Design Policy	23 CFR 626.3	As needed	Not Applicable	Office of Infrastructure	Field Ops	Asset Management and Planning Director	FHWA Division Office Approval.
Review of Value Engineering Policy and Procedures	23 CFR 627.1(b)&(c), 23 CFR 627.7 FHWA Order 1311.1B	As needed	Not Applicable	Office of Infrastructure	Field Ops	Chief Engineer	FHWA Division Office Review.
Review of Value Engineering Annual Report	23 CFR 627.7, FHWA Order 1311.1B	Annual	Not Applicable	Office of Infrastructure	Field Ops	Chief Engineer	FHWA Division Office collects, reviews, and submits to HQ for review and reporting.
Review and Approval of Interstate Access Requests	23 USC 111, 23 CFR 710, 74 FR 43743-43746 (Aug. 27, 2009)	As needed	Not Applicable	Office of Infrastructure	Field Ops	Chief Engineer	FHWA Division Office approval with concurrence from HQ on more complex access requests.
Approval of Liquidated Damages Rate	23 CFR 635.127	Every 2 years	Not Applicable	Office of Infrastructure	Field Ops	Chief Engineer and State Construction Engineer	FHWA Division Office Approval.
Approval of Quality Assurance Program	23 CFR 637.205	As needed	Not Applicable	Office of Infrastructure	Field Ops	State Construction Engineer and State Materials Engineer	State administrators, with programmatic agreement by the Division Office, as part of their materials testing and construction quality assurance/acceptance program.
Assure Central Laboratory accredited by AASHTO Accreditation Program or FHWA approved comparable program	23 CFR 637.209	As needed	Not Applicable	Office of Infrastructure	Field Ops	State Materials Engineer	State administrators, with programmatic agreement by the Division Office, as part of their materials testing and construction quality assurance/acceptance program.

Activity	Authority ²	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Assure Non-STD designated lab performing Independent Assurance sampling and testing accredited by AASHTO Accreditation Program or FHWA approved comparable program	23 CFR 637.209	As needed	Not Applicable	Office of Infrastructure	Field Ops	State Materials Engineer	State administrators, with programmatic agreement by the Division Office, as part of their materials testing and construction quality assurance/acceptance program.
Assure Non-STD designated lab used in dispute resolution accredited by AASHTO Accreditation Program or FHWA approved comparable program	23 CFR 637.209	As needed	Not Applicable	Office of Infrastructure	Field Ops	State Materials Engineer	State administrators, with programmatic agreement by the Division Office, as part of their materials testing and construction quality assurance/acceptance program.
Review Independent Assurance Annual Report	23 CFR 637.207	Annually	1-Mar	Office of Infrastructure	Field Ops	State Materials Engineer	State administrators, with programmatic agreement by the Division Office, as part of their materials testing and construction quality assurance/acceptance program.
Assure Labor Compliance - Prevailing Wage Rate	23 USC 113	As needed	Not Applicable	Office of Infrastructure	Civil Rights	Construction and Civil Rights Bureau	FHWA Division Office Review and Approval
Determination of Eligible Preventive Maintenance Activity - Cost-Effective Means of Extending Useful Life Determination	23 USC 116(e)	As needed	Not Applicable	Office of Infrastructure	Field Ops	Pavement Management	FHWA Division Office Approval
Approval of Utility Agreement / Alternate Procedure	23 CFR 645.119	As needed	Not Applicable	Office of Infrastructure	ROW	Utility Manager	FHWA Division Office Approval
Approval of Utility Accommodation Policy	23 CFR 645.215, 23 USC 109(i), 23 USC 123	As needed	Not Applicable	Office of Infrastructure	ROW	Utility Manager	FHWA Division Office Approval
Review Bridge Construction, Geotechnical, and Hydraulics	23 CFR 650	As needed	Not Applicable	Office of Infrastructure	Structures	State Bridge Engineer	

Activity	Authority ²	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Review Plans of Corrective Action established to address NBIS compliance issues	23 CFR 650, 23 USC 144	Annually		Office of Infrastructure	Structures	State Bridge Engineer	Division office performs annual compliance review and reports results to HQ.
Review NBI Data Submittal	23 CFR 650 Subpart C, Annual Memo from HQ, 23 USC 144	Annually	1-Apr	Office of Infrastructure	Structures	State Bridge Engineer	Division resolve errors with States; States submit to HQ.
Review structurally deficient bridge construction Unit Cost submittal	23 USC 144	Annually	1-Apr	Office of Infrastructure	Structures	State Bridge Engineer	Submit to HQ.
Review Section 9 of the Rivers and Harbors Act Submittals (Bridge Permits)	23 CFR 650 Subpart H; 33 CFR 114 & 115	As needed	Not Applicable	Office of Infrastructure	Structures	State Bridge Engineer	
Approval for reduction of expenditures for off-system bridges	23 USC 133(g)(2)(B)	As needed	Not Applicable	Office of Infrastructure	Structures	Chief Engineer	The FHWA Administrator may reduce the requirement for expenditures for off-system bridges if the FHWA Administrator determines that the State has inadequate needs to justify the expenditure.
Determination on Adequacy of State's Asset Management Plan	23 USC 119(5)	Annually beginning second fiscal year after establishment of the process		Office of Infrastructure	ADA	Asset Management and Planning Director	
Certification and Recertification of States Process for Development of State Asset Management Plan	23 USC 119(6)	Recertification every four years after establishment of the process		Office of Infrastructure	ADA	Asset Management and Planning Director	

Activity	Authority ²	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Review Reporting on Performance Targets	23 USC 150(e)	Beginning four years after enactment of MAP-21 and biennially thereafter		Office of Infrastructure	Planning	Asset Management and Planning Director	
Review National Highway System Performance Achievement Plan for Actions to achieve the targets (when State does not achieve or make significant progress toward achieving)	23 USC 119(7)	Required if State does not achieve targets (or significant progress) for 2 consecutive reports		Office of Infrastructure	Planning	Asset Management and Planning Director	
States and sub-recipient failure to maintain projects - Notice and withholding Federal-aid Funds	23 USC 116(d)	As needed	Not Applicable	Office of Infrastructure	Division Administrator	N/A	
Emergency Relief (ER) Damage Assessments and Reports	23 CFR 668 23 USC 120 and 125	As needed	Not Applicable	Office of Infrastructure	Field Ops	Highway Operations Director	Perform with State.
Toll Credit and Maintenance of Effort (MOE) Calculation and Agreement	23 USC 120(i)	Annually		Office of Infrastructure	N/A	N/A	State will calculate the amount of eligible toll credit and submit for approval. FHWA will review and approve the request.

Activity	Authority ²	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Local Public Agency (LPA) Oversight	49 CFR Part 18 – 18.37 and 18.40; OMB Circular A-133; 23 USC 106(g)(4)	As needed	Not Applicable	Office of Infrastructure	Field Ops	Regional Manager, Construction Liaison Engineer, Funding Control	States are responsible to ensure that LPAs are aware of all the applicable Federal-aid Program requirements; States are responsible to ensure monitoring and oversight to assure compliance with Federal requirements. 23 USC further reinforces stressing accountability on "project delivery systems" and "accounting controls."
Approval to Sell, Lease or Otherwise Dispose of a Ferry Purchased with Federal-aid Funds	23 USC 129 (c)(6)	As needed	Not Applicable	Office of Infrastructure	ROW	N/A	Division Office reviews and submits for Office of Program Administration for Administrator Approval
Territorial Highway Program - Approval of Territory Agreement	23 USC 165(c)(5)	Reviewed and Revised as needed every two years		Office of Infrastructure	Field Ops	N/A	Division Office works with Office of Program Administration and HCC
TIFIA Credit Program	23 USC 601-609	As needed	Not Applicable	Office of Innovative Program Delivery	Finance Manager	CFO Asset Management and Planning Director	Project sponsors submit requests for credit assistance to the TIFIA JPO for review; approval by the Secretary
GARVEEs	23 USC 122; GARVEE Guidance 3/14	As needed	Not Applicable	Office of Innovative Program Delivery	Finance Manager	CFO Policy Director, Asset Management and Planning Director	MOUs strongly suggested for each GARVEE issue. FM contacts OIPD for review/concurrence before final approval
State Infrastructure Banks	NHS Act Section 308; 23 USC 610; SIB Guidance 3/14	Annual Report	Not Applicable	Office of Innovative Program Delivery	Finance Manager	CFO	Division sends copy of report to OIPD. SIB submits annual report to Division Office.

Activity	Authority ²	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Section 129 Tolling Authority Requests	23 USC 129(a)	As needed	Not Applicable	Office of Innovative Program Delivery	Finance Manager	CFO	At the option of the project sponsor, may execute a Tolling Eligibility MOU with the Division Office; HIN coordinates FHWA HQ review
Section 166 HOV/HOT Lanes Tolling Authority Requests	23 USC 166(d)	As needed	Not Applicable	Office of Innovative Program Delivery	Finance Manager	Policy Director, Asset Management and Planning Director	At the option of the project sponsor, may execute a Tolling Eligibility MOU with the Division Office; HIN coordinates FHWA HQ review
Value Pricing Pilot Program Tolling Authority Requests	ISTEA Section 1012(b)	As needed	Not Applicable	Office of Innovative Program Delivery	Finance Manager	Policy Director, Asset Management and Planning Director	Requests submitted to HIN to coordinate review; approval by the Administrator
Interstate System Reconstruction and Rehabilitation Pilot Program Tolling Authority Requests	TEA-21 Section 1216(b)	As needed	Not Applicable	Office of Innovative Program Delivery	Division Administrator	Cabinet Secretary	Applications submitted to HIN to coordinate review; approval by the Administrator
Annual Audit of Toll Facility Records and Certification of Adequate Maintenance - Report Submittal	23 USC 129(a)(3)(B); TEA-21 Section 1216(b)(5)(B); SAFETEA-LU Section 1604(b)(3)(A); ISTEA Section 1012(b)(3)	Annually		Office of Innovative Program Delivery	Finance Manager	CFO	Division Office to receive the reports.
Project Management Plan (Major Projects)	23 U.S.C. 106(h)(2)	Prior to first federal authorization of construction funds for a Major Project	Not Applicable	Office of Innovative Program Delivery	Division Office will conduct concurrent review with HQ Office of Innovative Program Delivery.	Chief Engineer	Division Office will provide approval after receiving concurrence from HQ Office of Innovative Program Delivery.
Financial Plan (Major Projects)	23 U.S.C. 106(h)(3)	Prior to first federal authorization of construction funds for a Major Project and then annually.	Annually as noted in the approved Initial Financial Plan	Office of Innovative Program Delivery	Division Office will conduct concurrent review with HQ Office of Innovative Program Delivery.	Chief Engineer and State Construction Engineer	Division Office will provide approval after receiving concurrence from HQ Office of Innovative Program Delivery.

Activity	Authority ²	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Financial Plan (Other Projects)	23 U.S.C. 106(i)	Prior to first federal authorization of construction funds for an Other Project and then annually.	Annually as noted in the approved Initial Financial Plan	Office of Innovative Program Delivery	Division Office will review and approve Financial Plans for Other Projects in accordance with its stewardship and oversight agreement with the State DOT or Project Sponsor.	Chief Engineer and State Construction Engineer	Other Projects are defined as projects with an estimated total cost of \$100 million or more that have not been designated as Major Projects.
Review Designation and Re-designation of Primary Freight Network	23 USC 167(d)	One year after enactment of MAP-21 and every ten years thereafter		Office of Operations	Planning	Planning	Under development, initial PFN designation scheduled for Spring 2014 completion.
Review Development and Update of National Freight Strategic Plan	23 USC 167(f)	Three years after enactment of MAP-21 and every five years thereafter		Office of Operations	Planning	Planning	OST lead
Review Freight Transportation Conditions and Performance Report	23 USC 167(g)	Two years after enactment of MAP-21 and every two years thereafter		Office of Operations	Planning	Planning	OST lead
Review HOV Operations Report for Tolloed Use and Low-Emission and Energy-Efficient Vehicle Use	23 USC 166(d)	Annually		Office of Operations	Planning	Planning	
Congestion Partnerships Assessment	Annual Memo from HQ	Annually	1-Jul	Office of Operations	Planning	Planning	Complete with partners and forward to HQ.
Traffic Incident Management Self-Assessment	Annual Memo from HQ	Annually	1-Jul	Office of Operations	Safety	ITS	Complete with partners and forward to HQ.

Activity	Authority ²	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Work Zone Self-Assessment	Annual Memo from HQ	Annually	7/1/2013, This project is currently on hiatus and has not been determined whether it will be reestablished or not.	Office of Operations	Safety	Construction and Civil Rights Bureau	Complete with partners and forward to HQ.
Approval of State-Prepared Manual on Uniform Traffic Control Devices - State Traffic Control Manuals	23 CFR 655.603, 23 USC 109(d)	As needed	Not Applicable	Office of Operations	N/A	N/A	
Review Vehicle Size & Weight Enforcement Plan	23 CFR 657.11, 23 USC 127	Annually	1-Oct	Office of Operations	Planning	Planning Deputy Secretary Business Support & Programs	
Review Vehicle Size & Weight Enforcement Certification	23 CFR 657.13, 23 USC 141	Annually	1-Jan	Office of Operations	Planning	Planning Deputy Secretary Business Support & Programs	
Approval of National Network Modifications	23 CFR 658.11	As needed	Not Applicable	Office of Operations		N/A	
Intelligent Transportation System Architecture & Standards	23 CFR Part 940	As needed	Not Applicable	Office of Operations	ITS	ITS	
Approval of Work Zone Significant Project Determination	23 CFR 630.1010	As needed		Office of Operations	Safety	Traffic Design	
Approval of Exceptions to Work Zone Procedures for Interstate Projects	23 CFR 630.1010	As needed		Office of Operations	Safety	Traffic Design	
Approval of Work Zone Policy and Procedures Conformance Review	23 CFR 630.1014	At appropriate intervals		Office of Operations	Safety	Traffic Design	

Activity	Authority ²	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Process Review of Work Zone Safety and Mobility Procedures	23 CFR 630.1008, 23 USC 109(e)(2), 23 USC 112(g)	Every 2 years		Office of Operations	Safety	Traffic Design and Construction Bureau	
Approval of State Planning Work Program and Revisions (Part 1)	23 CFR 420.111, 23 CFR 420.115, and 23 CFR 420.209	Annually	Prior to Program Period	Office of Planning, Environment & Realty	Planning	Asset Management and Planning Director	FHWA Division Office Approval.
Approval of State Research and Development Work Program (Part 2)	23 CFR 420.111, 23 CFR 420.115, and 23 CFR 420.209	Annually	Prior to Program Period	Office of Planning, Environment & Realty	Planning	Asset Management and Planning Director	FHWA Division Office Approval.
Approval of State's Distribution of Planning Funds Formula - Allocation Formulas for PL Funds	23 CFR 420.109, 23 USC 104(d)(2)(A)(i)	When Revised	Not Applicable	Office of Planning, Environment & Realty	Planning	Asset Management and Planning Director	FHWA Division Office Approval.
Review of State Public Involvement Procedures	23 CFR 450.210(a)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning	Asset Management and Planning Director	FHWA Division Office Review to Assure Compliance.
Receipt of State Consultation Process for Non-metropolitan Local Officials	23 CFR 450.210(b)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning	Asset Management and Planning Director	Informational Purposes.
Review of Long-range Statewide Transportation Plan	23 CFR 450.214	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning	Asset Management and Planning Director	FHWA Division Office Review to Assure Compliance.
Approval of Statewide Transportation Improvement Program (STIP)	23 CFR 450.216, 23 CFR 450.218(a) & (c), 23 USC 135(g)(7)	At least every 4 years	Not Applicable	Office of Planning, Environment & Realty	Planning	Chief Engineer	Joint FHWA and FTA approval.
Approval of STIP Amendments	23 CFR 450.218(a) & (c)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning	Chief Engineer	Joint FHWA and FTA approval.
Finding of Consistency of Planning Process with Section 134 and 135	23 USC 135(g)(8), 23 CFR 450.218(b)	Concurrent with STIP approval	Not Applicable	Office of Planning, Environment & Realty	Planning	Chief Engineer	FHWA and FTA issue a joint finding concurrent with STIP approval.
Review of State Self-certification that Planning Process is in Accordance with Applicable Requirements	23 CFR 450.218(a)	Submitted with proposed STIP or STIP amendments	Not Applicable	Office of Planning, Environment & Realty	Planning	Asset Management and Planning Director	Received with STIP.

Activity	Authority ²	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Approval of Transportation Management Area (TMA) MPO Unified Planning Work Programs (UPWP)	23 CFR 450.308(b) and 23 CFR 420 (Subpart A)	Prior to Program End	Not Applicable	Office of Planning, Environment & Realty	Planning	Planning	
Approval of Non-TMA UPWA	23 CFR 450.308(b) and 23 CFR 420 (Subpart A)	Prior to Program End	Not Applicable	Office of Planning, Environment & Realty	Planning	Planning	May use simplified work statement.
Approval of UPWP Revisions and Amendments (All MPO's)	23 CFR 420.115	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning	Planning	
Review of UPWP Performance and Expenditure Reports (All MPO's)	23 CFR 420.117(b)	Not more frequently than quarterly	Not Applicable	Office of Planning, Environment & Realty	Planning	Planning	
Approval of Report Before Publication (All MPO's)	23 CFR 420.117(e)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning	Planning	Waiver may be granted.
Approval to use Planning Funds outside Urbanized Areas for States Receiving Minimum Apportionment	23 USC 104(d)(1)(A)(ii)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning	Planning	
Review of Metropolitan Planning Area Boundary (Establishment and Changes)	23 CFR 450.312	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning	Planning	Approval by MPO and the Governor, shape files forwarded to HQ. (Comment: No action is required by FHWA/FTA).
Review of Metropolitan Transportation Planning Organizations (MPO) Designation and Re-designation	23 CFR 450.310	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning	Planning	Require agreement between Governor and local governments.
Review of Metropolitan Planning Agreements (MPA) for Attainment or Entire Nonattainment Area	23 CFR 450.314(a)	When Completed	Not Applicable	Office of Planning, Environment & Realty	Planning	Planning	Between MPO/State DOT/Transit Operator. Included in UPWP or Prospectus (23 CFR 450.314(d)).

Activity	Authority ²	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Review of MPA - for MPA that do not include the entire nonattainment or maintenance area	23 CFR 450.314(b), 23 USC 109(j)	When Completed	Not Applicable	Office of Planning, Environment & Realty	Planning	Planning	Between MPO/State DOT/State AQ Agency.
Review of MPO Public Participation Procedures	23 CFR 450.316(a)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning	Planning	Must be developed and published.
Review of Metropolitan Transportation Plan (MTP) in Attainment Areas (and Updates)	23 CFR 450.322	Every 4 years	Not Applicable	Office of Planning, Environment & Realty	Planning	Planning	
Review of MTP in Non-Attainment and Maintenance Areas (and Updates)	23 CFR 450.322	Every 5 years	Not Applicable	Office of Planning, Environment & Realty	Planning	Planning	
Review of MTP Amendments	23 CFR 450.322(c)	As Needed	Not Applicable	Office of Planning, Environment & Realty	Planning	Planning	
Air Quality Conformity Determination on LRTP in Non-attainment and Maintenance Areas	23 CFR 450.322(d)	Concurrent with LRTP updates at least every 4 years and as needed on amendments	Not Applicable	Office of Planning, Environment & Realty	Planning	Planning	After receipt of MPO determination; Joint FHWA and FTA determination; In consultation with the Environmental Protection Agency (EPA).
Review of Transportation Improvement Program (TIP)	23 CFR 450.300(a); 23 CFR 450.324(b); 23 CFR 450.328(a), 23 USC 134(j)(1)(D)	Prior to Program Period	Not Applicable	Office of Planning, Environment & Realty	Planning	Planning, STIP	No succinct Federal approval action is required for the TIP. FHWA/FTA approval of the TIP is through the STIP approval process.
Review of TIP Amendments	23 CFR 450.324(a); 23 CFR 450.328(b)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning	Planning, STIP	No succinct Federal approval action is required for the TIP. FHWA/FTA approval of the TIP is through the STIP approval process.

Activity	Authority ²	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Approval of Air Quality Conformity Determination on TIP	23 CFR 450.326; 23 CFR 450.328	At least every 4 years, or when the TIP has been modified (unless exempt projects)	Not Applicable	Office of Planning, Environment & Realty	Planning	Planning	Applies to non-attainment and maintenance areas only. After receipt of MPO determination, joint determination with FTA (in cooperation with EPA).
Federal Finding of Consistency of Planning Process with Section 134 and 135	23 CFR 450.218(b); 23 CFR 450.334(a)	Concurrent with (S)TIP submittal	Not Applicable	Office of Planning, Environment & Realty	Planning	Planning	At least every four years, joint finding with FTA when TIP is submitted.
In Metropolitan Planning Areas, Review of State and MPO Self-certification that Planning Process is in Accordance with Applicable Requirements	23 CFR 450.334 (a), 23 CFR 218(a)	Annually or concurrent with the STIP/TIP cycle	Not Applicable	Office of Planning, Environment & Realty	Planning	Planning	Required for all MPO's. May be included in the STIP, TIP, or UPWP, at least every 4 years.
In TMA's, Certification that Planning Process is in Accordance with Applicable Requirements	23 CFR 450.334(b), 23 USC 134(k)(5)	Every 4 years		Office of Planning, Environment & Realty	Planning	Planning	Joint FHWA and FTA Certification.
Approval of Federal-Aid Urban Area Boundaries	23 CFR 470.105 (a), 23 USC 101(a)(33)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning	Planning	
Approval of Revision of Functional Classification	23 CFR 470.105 (b)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning	Planning	
Approval by Administrator of Interstate Additions & Revisions	23 USC 103(c)(1)(D), 23 CFR 470.111, 23CFR 470.115 (a)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning	Planning	Approval by HQ – Administrator.
Approval by Office Director of National Highway System (NHS) Additions and Revisions	23 USC 103(b)(3), 23 CFR 470.113 and 470.115(a)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning	Planning	Approved by HQ - Office Director.

Activity	Authority ²	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Review of CMAQ Annual Report	CMAQ Guidance Memo October 31, 2006	Annually	1-Mar	Office of Planning, Environment & Realty	Planning	Planning	Division provides information on CMAQ projects including: amount of obligation, project description and location, and air quality benefits. The report must be submitted via the web-based CMAQ Tracking System.
Transportation Planning Excellence Awards		Annually	1-Feb	Office of Planning, Environment & Realty	Planning	Planning	Call for entries for the FHWA FTA Transportation Planning and Excellence Awards.
Approval of Local Technical Assistance Program (LTAP) Centers Work Plan and Budget	FHWA LTAP Field Manual	Annually	31-Mar	Office of Planning, Environment & Realty	Planning	Planning	FHWA HQ approval.
Approval of Public Involvement Program Procedures	23 CFR 771.111(h), 23 USC 128	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning	Planning	
Approval of NEPA Procedures, including Section 4(f)	23 CFR 771; 23 CFR 774; SAFETEA-LU 6007 & 6009, 23 USC 109(h)	As needed	Not Applicable	Office of Planning, Environment & Realty	Environment	Environment	
Approval of Noise Policies	23 CFR 772.7, 772.9, and 772.13, 23 USC 109(i)	As needed	Not Applicable	Office of Planning, Environment & Realty	Environment	Environment	FHWA approves State's noise abatement policy.
EIS Status Updates	FHWA Strategic Goal - EIS Timeliness	Quarterly	(Fiscal Year - Oct, Jan, Apr, Jul)	Office of Planning, Environment & Realty	Environment	Environment	Monitor time required to complete EIS's. Determine projects which have exceeded recommended timeline (3 years). Identify projects which should be listed as dormant. Submit to HEPE.
Endangered Species Act Cost Report		Annually	1-Mar	Office of Planning, Environment & Realty	Environment	Environment	
Exemplary Ecosystem Initiatives Applications		Annually	1-Apr	Office of Planning, Environment & Realty	Environment	Environment	

Activity	Authority ²	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
				Realty			
Approval of Acquisitions, Appraisals, and Relocations Program and Procedures	49 CFR Part 24, The UA	As needed	Not Applicable	Office of Planning, Environment & Realty	ROW	ROW	
Early Acquisitions	23 CFR 710.501	As needed	Not Applicable	Office of Planning, Environment & Realty	ROW	ROW	
Local Public Agency Oversight	49 CFR 24.4(b); 23 CFR 710.201	As needed	Not Applicable	Office of Planning, Environment & Realty	ROW	ROW	
Approval of Highway Facility Relinquishment	23 CFR 620.203	As needed	Not Applicable	Office of Planning, Environment & Realty	ROW	ROW	
Approval of ROW Disposal Authorization Request	23 CFR 710.409	As needed	Not Applicable	Office of Planning, Environment & Realty	ROW	ROW	
Approval of ROW Operations Manual (Organization, Policies and Procedures), Updates, and Certification	23 CFR 710.201	January 1, 2001 and every 3 years thereafter or as required by changes in State law or Federal regulation or law	Not Applicable	Office of Planning, Environment & Realty	ROW	ROW	
Approval of Exception to Charging Fair Market Value	23 CFR 710.403 and 23 CFR 710.409	As needed	Not Applicable	Office of Planning, Environment & Realty	ROW	ROW	
Approval of Interstate Real Property Use Agreements	23 CFR 710.405	As needed	Not Applicable	Office of Planning, Environment & Realty	ROW	ROW	
Approval of Request for Federal Land Transfer	23 CFR 710.601	As needed	Not Applicable	Office of Planning, Environment & Realty	ROW	ROW	
Approval of Request for Direct Federal Acquisition	23 CFR 710.603	As needed	Not Applicable	Office of Planning, Environment & Realty	ROW	ROW	

Activity	Authority ²	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Approval of Outdoor Advertising Policies and Procedures, and Regulation and Procedure Approval	23 CFR 750.304, 23 CFR 750.705, 23 USC 131	As needed	Not Applicable	Office of Planning, Environment & Realty	ROW	State Maintenance Engineer	
Approval of Requests to Exempt Certain Nonconforming Signs, Displays, and Devices	23 CFR 750.503	As needed	Not Applicable	Office of Planning, Environment & Realty	ROW	State Maintenance Engineer	
Approval of Railroad Agreement Alternate Procedure	23 CFR 646.220	As needed	Not Applicable	Office of Planning, Environment & Realty	ROW	Rail Manager	
Approval of Uniform Act Waivers and Waivers from Availability of Comparable Replacement Dwelling before Displacement	49 CFR 24.7, 49 CFR 24.204(b)	As needed	Not Applicable	Office of Planning, Environment & Realty	ROW	ROW	Requests reviewed and approved by HEPR Office Director.
Review of Uniform Relocation Assistance & Real Property Acquisition Report (OMB Form 2125-0030)	49 CFR 24.9c & Appendix B 49 CFR 24.603	Annually	15-Nov	Office of Planning, Environment & Realty	ROW	ROW	Submitted to FHWA Headquarters (HQ).
Review of Real Property Acquisition Statistical Report	FHWA Order 6540.1	Annually	15-Nov	Office of Planning, Environment & Realty	ROW	ROW	
Approval of Management Process and Project Selection Procedures and Certification for Research, Development & Technology Transfer Program and Revisions to Process	23 CFR 420.115 and 23 CFR 420.209	As needed	Not Applicable	Office of Planning, Environment & Realty	Field Ops	Asset Management and Planning Director	FHWA Division Office Approval.

Activity	Authority ²	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Periodic Review of States Management Process of the Research, Development & Technology Transfer Program	23 CFR 420.209	Periodic	Not Applicable	Office of Planning, Environment & Realty	Field Ops	Asset Management and Planning Director	FHWA Division Office Periodic Review.
Approval of Performance and Expenditure Reports for SPR Research Work Programs	23 CFR 420.117	No less frequently than annual and no more frequently than quarterly	90 Days After End Of Period	Office of Planning, Environment & Realty	Field Ops	Asset Management and Planning Director	FHWA Division Office Approval.
Approval of SPR research reports	23 CFR 420.117	Prior to publication unless prior approval is waved	Not Applicable	Office of Planning, Environment & Realty	Field Ops	Asset Management and Planning Director	FHWA Division Office Approval unless waived.
Annual Traffic Reports	Traffic Monitoring Analysis System and Traffic Monitoring Guide reporting	When Published	As needed	Office of Highway Policy information	Field Ops	Asset Management and Planning Director	When Published
Approval of Annual Field Review Report	HPMS Field Review Guidelines (June 2001) Continuous Process Improvement Model for HPMS(February 2003)	Annually	1-Nov	Office of Highway Policy information	Field Ops	Asset Management and Planning Director	Review memo to HQ.
Approval of Certified Public Road Mileage	23 CFR 460.3(b)	Annually	1-Jun	Office of Highway Policy information	Field Ops	Asset Management and Planning Director	Each year, the Governor of each State and territory or a designee must certify Public Road Mileage. FHWA division reviews the Mileage and sends to HQ with division review/concurrence. This is reported to NHTSA for Apportionment of Safety Funds.
Approval of Data Submittal	23 CFR 420.105(b), HPMS Field Manual	Annually	15-Jun	Office of Highway Policy information	Field Ops	Asset Management and Planning Director	State DOT sends directly to Division Office and HQ.

Activity	Authority ²	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Highway Statistics Reports	Guide to Reporting Highway Statistics			Office of Highway Policy information	Field Ops	CFO, Accounting, Asset Management and Planning Director	State DOT of Division Office sends directly to HQ.
Motor Fuels Report	A Guide to Reporting Highway Statistics, Chapter 2	Due 60 days after end of each reporting month		Office of Highway Policy information	Field Ops	Chief Economist	
Vehicles and Drivers (561, 562, 566, and 571)	A Guide to Reporting Highway Statistics, Chapters 3, 4, 5, and 6	1-Apr	1-Apr	Office of Highway Policy information	Field Ops	Chief Economist	
Finance (531, 532, 541, 542, and 543 (optional))	A Guide to Reporting Highway Statistics, Chapters 8 and 9	1-Apr	1-Apr	Office of Highway Policy information	Field Ops	Accounting	
Transportation Bond Referendums	A Guide to Reporting Highway Statistics, Chapter 9	When Published	When Published	Office of Highway Policy information	Finance Manager	Accounting	
State DOT / Toll Authority Audits and Published Annual Reports and Form 539 (optional)	A Guide to Reporting Highway Statistics, Chapter 10	When Published	When Published	Office of Highway Policy information	Finance Manager	CFO Accounting	Annually, Due as soon as available.
Finance (536)	A Guide to Reporting Highway Statistics, Chapter 11	30-Sep	30-Sep	Office of Highway Policy information	Finance Manager	Chief Economist	Biennially for odd-numbered years. Due nine months after end of reporting year
Finance (534)	A Guide to Reporting Highway Statistics, Chapter 12	15-Jun	15-Jun	Office of Highway Policy information	Finance Manager Field Ops	Accounting, Maintenance Management, STIP	Annually for State, Biennially for local
Highway Finance and Tax Legislation	A Guide to Reporting Highway Statistics, Chapter 13	When Published	When Published	Office of Highway Policy information	Finance Manager	Accounting	
State DOT Budgets and Published Annual Reports	A Guide to Reporting Highway Statistics, Chapter 13	When Published	When Published	Office of Highway Policy information	Finance Manager	Accounting	
Motor Fuel Oversight Review	July 24, 2001 HQ Memo	Initial baseline reports no later than December 31, 2003		Office of Highway Policy information	Field Ops	Chief Economist	Annual progress reports and statement of verification by June 30. Submitted via UPACS.

Activity	Authority ²	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Review of Biennial - Toll Facilities in the United States	23 CFR 450.105(b) HPMS Field Manual	Biennially - Odd Years	June 15 (Odd Years)	Office of Highway Policy information	N/A	N/A	Division Office sends to HQ.
State Highway Maps (Tourist)		When Published	When Published	Office of Highway Policy information	Planning	Planning	Two copies to each Division Office and 100 copies to HQ.
Traffic Flow Maps		When Published		Office of Highway Policy information	ITS	Data Management Bureau	When Published.
Vehicle Classification Data	MAP-21, HPMS Field Manual, Traffic Monitoring Guide	15-Jun	15-Jun	Office of Highway Policy information	Field Ops	Data Management Bureau	Part of Annual HPMS submittal.
Highway Use Tax Evasion Grant Awards	23 USC 143	Annual	Not Applicable	Office of Highway Policy information	Finance Manager	N/A	FHWA along with the Internal Revenue Service will review applications and select awardees for projects designed to reduce or eliminate fuel tax evasion. FHWA will also review annual progress reports on projects.
Heavy Vehicle Use Tax (HVUT) – Certification of verifying proof-of-payment of HVUT	23 CFR 669.7	1-Jul	1-Jul	Office of Highway Policy information	Field Ops	Chief Economist	Each year, the Governor of each State, or a designee must certify that the State is verifying that the HVUT has been paid before they issue or renew registrations on vehicles over 55,000 lbs. The HVUT program is administered by the Internal Revenue Service.

Activity	Authority ²	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Heavy Vehicle Use Tax (HVUT) – Certification of verifying proof-of-payment of HVUT	23 CFR 669	Annual	1-Jan	Office of Highway Policy information	Field Ops	Chief Economist	Each year, the Governor of each State, or a designee must certify that the State is verifying that the HVUT has been paid before they issue or renew registrations on vehicles over 55,000 lbs. The HVUT program is administered by the Internal Revenue Service.
Heavy Vehicle Use Tax (HVUT) – Triennial review of State program	23 CFR 669.21	Triennial	Not Applicable	Office of Highway Policy information	Field Ops	Chief Economist	Every 3 years, the local Division Office will perform a review of the State process for verifying that the HVUT has been paid before a registration can be issued or renewed for vehicles over 55,000 lbs. The HVUT program is administered by the Internal Revenue Service.
Permanent ATR Data	Heavy Vehicle Travel Information System Field Manual	Monthly	Monthly	Office of Highway Policy information	Field Ops	Data Management Bureau	Submit monthly, within 20 days after the close of the month for which the data were collected.
Continuous Automatic Vehicle Classifier Data	Heavy Vehicle Travel Information System Field Manual	Monthly	Monthly	Office of Highway Policy information	Field Ops	Data Management Bureau	Send up to one week of data per quarter
Weight and Vehicle Classification Data Collected at Weigh-in-motion sites	Heavy Vehicle Travel Information System Field Manual	15-Jun	As needed	Office of Highway Policy information	Field Ops	Data Management Bureau	WIM data collected at non-continuous sites during a year should be submitted by June 15 of the following year. If continuous WIM data are available, then up to one week of data per quarter.

Activity	Authority ²	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Approval of MAP-21 compliant SHSP update within the legislatively required timeframe.	23 U.S.C. 148 (d)(2)(B)	Non Recurring	By Aug. 1 of the fiscal year after the HSJP final rule is established	Office of Safety	Safety	Asset Management and Planning Director	FHWA Division Offices provide copy of SHSP process approval letter to HQ.
Highway Safety Improvement Program (HSIP) and Railway-Highway Crossing Program (RHCP) Reports	23 USC 148(h), 23 CFR 924.15	Annually	31-Aug	Office of Safety	Safety	Planning, Rail Managers	As per MAP-21 guidance, reports are due to FHWA Division Office by August 31st and to the Office of Safety by September 30.
Transportation Performance Management (TPM) for Safety	23 USC 150, 23 USC 134, 23 USC 135, 23 USC 148(i)	Annually	31-Aug	Office of Safety	Safety	Asset Management and Planning Director	Per MAP-21, States and MPOs must set targets for established measures. Targets must be assessed for achievement
Review Drug Offender Driver's License Suspension Law & Enforcement Certification (Section 159)	23 USC 159 23, CFR 192.5	Annually	1-Jan	Office of Safety	Safety	Traffic Safety Division	Certifications due to the Division Office by January 1.
Section 154/164 Compliance Status - Funds Reservation	23 USC 154 and 23 USC 164	Annually	30-Oct	Office of Safety	Field Ops	Traffic Safety Division	States must submit a Shift letter to the Division Office by Oct. 30 indicating how to apply the penalty. New penalty states have additional time. The Office of Safety processes the compilation of information in a memo to the CFO.
Review Safety Belt Compliance Status	23 USC 153, 23 CFR 1215.6	Annually	Annually	Office of Safety	Safety	Traffic Safety Division	NHTSA

Activity	Authority ²	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
High Risk Rural Roads (HRRR) Special Rule	23 USC 148(g)(1)	Annually	Annually	Office of Safety	Field Ops	Planning	After the final FARS and HPMS data are available, FHWA HQ will inform the States if the HRRR Special Rule applies for the following FY.
Older Drivers and Pedestrians Special Rule	23 USC 148 (g)(2)	Annually	31-Aug	Office of Safety	Safety	Planning	States should include in their annual HSIP reports (due August 31st) the calculations performed, verifying whether the Older Driver Special Rule applies in the State. If the Special Rule applies to a State in a given year, the State must include in its subsequent SHSP strategies to address the increases in the fatality and serious injury rates for drivers and pedestrians over the age of 65.
FHWA Emergency Preparedness Program	Executive Order 12656 and FHWA Order 1910.2C	As needed	Not Applicable	Office of Operations	Field Ops	Highway Operations Director	National Programs.

Attachment C: MANUALS AND OPERATING AGREEMENTS (As of December 2014)

Document / Manual Description	Location (Agency)	Approved Date	Date next Revision	Owner	Approver	Availability	Basis
DBE Program Plan/Manual	Construction/Civil Rights Bureau	2012	2015	Construction and Civil Rights Bureau	DA	http://dot.state.nm.us/content/dam/nmdot/OE/OP/DBE-Program-Manual.pdf	49 CFR 26
Title VI Program Plan	Construction and Civil Rights Bureau	2011	2014	Construction and Civil Rights Bureau	DA	http://dot.state.nm.us/content/dam/nmdot/OE/OP/TitleVI-Plan.pdf	49 CFR 21; 23 CFR 200
Contractor Compliance Program Plan	Construction and Civil Rights Bureau	2012	2015	Construction and Civil Rights Bureau	DA	http://dot.state.nm.us/content/dam/nmdot/OE/OP/CCP-Contract-Compliance-Plan.pdf	23 CFR 230
On-the-Job Training Program	Construction and Civil Rights Bureau	2012	2015	Construction and Civil Rights Bureau	DA	http://dot.state.nm.us/content/dam/nmdot/OE/OP/OTJ-Training-Special-%20Provision.pdf	23 CFR 230
State Internal Equal Employment Opportunity Program	Construction and Civil Rights Bureau	2011	2014	NMDOT Human Resources Division	DA	http://dot.state.nm.us/content/dam/nmdot/OE/OP/AAP.pdf	23 CFR 230
ADA Transition Plan	Construction and Civil Rights Bureau	2014 (Pending)	2014	Construction and Civil Rights Bureau	DA	Hard Copy (Contact: Damian Segura, Interim Director OEOP, damian.segura@state.nm.us)	28 CFR 35
EEO/Civil Rights Field Procedures Manual	Construction and Civil Rights Bureau	2014		Construction and Civil Rights Bureau		http://dot.state.nm.us/content/dam/nmdot/OE/OP/Civil-Rights-EEO-Field-Procedures.pdf	49 CFR 26
Construction Guide	Construction and Civil Rights Bureau	Feb-14	updated	Construction and Civil Rights Bureau	NMDOT	Hardcopy	NMDOT Construction procedures
Standard Specifications	Construction and Civil Rights Bureau	2014		Construction and Civil Rights Bureau	FHWA	http://www.dot.state.nm.us/content/dam/nmdot/Plans_Specs_Estimates/2014_Specs_For_Highway_And_Bridge_Construction.pdf	23 CFR
Office Procedures (Manual) Guide	Construction and Civil Rights Bureau	2009		Construction and Civil Rights Bureau	NMDOT	Will be placed in internal drive/server for NMDOT use	NMDOT Audit procedures consistency of project administration

Document / Manual Description	Location (Agency)	Approved Date	Date next Revision	Owner	Approver	Availability	Basis
Consultant Services Procedures Manual & Handbook	NMDOT Consultant Management Unit	26-Apr-06		NMDOT Consultant Management Manager	FHWA Area Engineer & NMDOT Chief Engineer	http://dot.state.nm.us/en/Program_Management.html#d	23 CFR 172.9 & NMAC
State Procurement Code	NMDOT Procurement Services Bureau	Living Document	Updated As Needed	State of New Mexico	Legislature	http://www.genservices.state.nm.us/stateprocurementCodeRegulationsExecutiveOrders	NMAC
Office of Infrastructure Design Directives	NMDOT Office of Infrastructure	As needed		NMDOT Chief Engineer	NMDOT Chief Engineer	http://www.dot.state.nm.us/en/DesignDirectives.html	NMDOT Department Policy
Manual on Uniform Traffic Control Devices, FHWA	NMDOT Office of Infrastructure	2009		NMDOT Office of Infrastructure	NMDOT Chief Engineer	http://mutcd.fhwa.dot.gov/	Chapter 66, Article 7 NMSA 1978
A Policy on the Geometric Design of Highways and Streets, AASHTO	NMDOT Office of Infrastructure	2011 6th Edition		NMDOT Office of Infrastructure	NMDOT Chief Engineer	Hard Copy	23 CFR 625.4
Location Study Procedures	NMDOT Chief Engineer	August 2000		NMDOT Environmental Design Bureau	NMDOT Cabinet Secretary	http://dot.state.nm.us/content/dam/nmdot/Infrastructure/Location_Study_Procedures.pdf	23 CFR 771
NMDOT Environmental Program Guidance & Procedures	FHWA NMDOT	February 2006		NMDOT Environmental Design Bureau	FHWA Division Administrator	Hardcopy	23 CFR 771
Programmatic Categorical Exclusion	NMDOT Design	February 2006		NMDOT Environmental Design Bureau	FHWA Division Administrator / Bureau Chief	Hardcopy	23 CFR 771.117
Desk Manual	NMDOT Accounting Services	6/30/12		NMDOT Project Billing Supervisor	NMDOT Accounting Services Mgr.	Network Drive	Internal Process
FHWA Billing Procedures	NMDOT Accounting Services	Aug-06		NMDOT Office Chief Financial Officer	NMDOT Assistant Accounting Services Mgr.	RASPS Help Menu	US Treasury Policy

Document / Manual Description	Location (Agency)	Approved Date	Date next Revision	Owner	Approver	Availability	Basis
DFA MAPS	DFA Financial Control	2011		DFA CAFR	DFA Comptroller	http://nmdfa.state.nm.us/uploads/FileLinks/8de07941945d4798bf5ce7fe3c7a00f3/C%20Fras%20Manual%20Volumes%201%20and%202.pdf	State Statute
FIRE Regulation	FHWA (Financial Services Team)	4/21/2014		FHWA Financial Services Team	FHWA Administrator	FHWA Web Site	FHWA FIRE Order 4560.1c
Pavement Design Policy and Guidelines	NMDOT	7/21/08		NMDOT Pavement Design Unit	NMDOT Chief Engineer and Pavement Design Unit Head	http://www.dot.state.nm.us/content/dam/nmdot/Plans_Specs_Estimates/Design_Directives/2008/IDD-2008-05%20%28Pavement%20Design%20Guideline%29.pdf	23 CFR 626
Annual Work Program / UPWP Policies and Procedures	NMDOT	Oct-14		NMDOT Planning Division Director	NMDOT Cabinet Secretary	http://dot.state.nm.us/content/dam/nmdot/planning/Planning_Annual_Work_Program.pdf	23 USC 134 23 USC 135 and regulations
MPO Quick Reference Guide (GTG)	NMDOT	Adopted October 2013	Amended August 2014	NMDOT Planning Division Director	NMDOT Cabinet Secretary	http://dot.state.nm.us/content/dam/nmdot/Planning_Procedures_Manual_2014	NMDOT Management Tool
Public Involvement Process (PIP)	NMDOT	Jun-14		NMDOT Planning Division Director	NMDOT Cabinet Secretary	http://dot.state.nm.us/content/dam/nmdot/planning/NMDOT_PIP_NPO_TRPO_Public_Involvement_Plan_Final	23 USC 450.210(a)(2)
RPO Handbook	NMDOT	Adopted October 2013	Updated August 2014	NMDOT Planning Division Director	NMDOT Cabinet Secretary	http://dot.state.nm.us/content/dam/nmdot/Planning_Procedures_Manual_2014	NMDOT Management Tool
STIP/TIP Policies & Procedures	Program Mgmt.	2/09/12	Jun-14	NMDOT Program Management Division Director	NMDOT Cabinet Secretary	http://dot.state.nm.us/content/dam/nmdot/STIP/Approved_STIP-TIP_Procedures.pdf	23 USC 134 23 USC 135 and regulations
Tribal / Local Gov't Handbook (TLGA)	NMDOT	October 2007	Updated May 2014	NMDOT Planning Division Director	NMDOT Cabinet Secretary	http://dot.state.nm.us/content/dam/nmdot/Local_Government_Agreement_Unit/TLGA_HANDBOOK.pdf	NMDOT Management Tool
Research Policies and Procedures Manual	NMDOT Research Bureau	Jul-09		NMDOT Research Bureau	FHWA and NMDOT Cabinet Secretary	Hardcopy	23 CFR 420.209

Document / Manual Description	Location (Agency)	Approved Date	Date next Revision	Owner	Approver	Availability	Basis
Technical Panel Handbook	NMDOT Research Bureau	Jul-09		NMDOT Research Bureau	NMDOT Research Bureau Chief.	Hard Copy	23 CFR 420.209
Technology Transfer Guidelines	NMDOT Research Bureau	Jul-09		NMDOT Research Bureau	FHWA and NMDOT Research Bureau Chief	Hard Copy	23 CFR 420.209
ROW Handbook,	NMDOT ROW Bureau	1-2011		NMDOT ROW Bureau	FHWA	http://www.dot.state.nm.us/content/dam/nmdot/infrastructure/ROW_Handbook.pdf	23 CFR 710.201
Access Management Manual	NMDOT Traffic	9-2001		NMDOT Traffic Technical Support Bureau	NMDOT	Hard Copy	State Law
Planning Division Policy and Procedures Manual	NMDOT Planning Division	Under Develop		NMDOT Planning Division	FHWA reviews	Will be available by hard copy and website	Recommend by FHWA
Traffic Safety Division Policy and Procedures Manual	NMDOT Traffic Safety Division	2011		NMDOT Traffic Safety Division	NHTSA	Hard Copy	Recommend by NHTSA
HSIP Policy and Procedures Manual	NMDOT Traffic Technical Support Bureau	Jun-10		NMDOT Traffic Technical Support Bureau	FHWA Safety Engineer	Hardcopy (and electronic file) at Traffic Technical Support Bureau	FHWA Office of Safety Guidance
Highway Safety Manual	NMDOT Traffic Technical Support Bureau	Jun-14		NMDOT Traffic Technical Support Bureau	FHWA Safety Engineer	Hardcopy (and electronic file) at Traffic Technical Support Bureau	FHWA Office of Safety Guidance
AASHTO LRFD Bridge Construction Specifications	NMDOT State Construction Bureau	2010		AASHTO	AASHTO	http://www.fhwa.dot.gov/bridge/loadrating/	
AASHTO The Manual for Bridge Evaluation	NMDOT Bridge Bureau	2011		AASHTO	AASHTO		

Document / Manual Description	Location (Agency)	Approved Date	Date next Revision	Owner	Approver	Availability	Basis
AASHTO Guide Manual for Bridge Element Inspection	NMDOT Bridge Bureau	2011		AASHTO			
AAASHTO LRFD Bridge Design Specifications, 6th edition	NMDOT Bridge Bureau	2012		AASHTO			
FHWA Recording and Coding Guide for the Structure Inventory and Appraisal of the Nation's Bridges	NMDOT Bridge Bureau	1995		FHWA		http://www.fhwa.dot.gov/bridge/nbi.cfm	
National Bridge Inspection Standards	NMDOT Bridge Bureau	2012		FHWA		http://www.fhwa.dot.gov/bridge/nbis.cfm	
FHWA Safety Inspection of In-Service Bridges	NMDOT Bridge Bureau	2012		FHWA		http://www.fhwa.dot.gov/bridge/nbis.cfm	
NMDOT Construction Manual	Construction and Civil Rights Bureau	1987		NMDOT			
NMDOT Standard Specifications for Highway and Bridge Construction	Construction and Civil Rights Bureau	2007		NMDOT		http://www.dot.state.nm.us/content/dam/nmdot/Plans_Specs_Estimates/2014_Specs_For_Highway_And_Bridge_Construction.pdf	
NMDOT Bridge Design Guide	NMDOT Bridge Bureau	Apr-14		NMDOT		http://dot.state.nm.us/content/dam/nmdot/Bridge/BRIDGE_PROCEDURES_AND_DESIGN_GUIDE.pdf	
NMDOT Quality Assurance Plan	NMDOT Bridge Bureau	2012		NMDOT			
DMS Operational Guidelines	NMDOT-ITS	Mar-13		NMDOT Manager ITS Operations	Cabinet Secretary	http://www.dot.state.nm.us/content/nmdot/en/ITS.html	MUTCD Compliance
Statewide Architecture	NMDOT-ITS	Sep-12		NMDOT Manager ITS Operations	FHWA ensures in place	http://www.dot.state.nm.us/content/nmdot/en/ITS.html	23 CFR 940

Document / Manual Description	Location (Agency)	Approved Date	Date next Revision	Owner	Approver	Availability	Basis
AMPA (Albq. Planning Area)	NMDOT-ITS & MRCOG	Dec-11		NMDOT Manager ITS Operations & MRCOG	FHWA ensures in place	http://www.dot.state.nm.us/content/nmdot/en/ITS.html	23 CFR 940
Santa Fe Architecture	NMDOT-ITS	Dec-11		NMDOT Manager ITS Operations	FHWA ensures in place	http://www.dot.state.nm.us/content/nmdot/en/ITS.html	23 CFR 940
Las Cruces Architecture	NMDOT-ITS	Jun-14		NMDOT Manager ITS Operations	FHWA ensures in place	http://www.dot.state.nm.us/content/nmdot/en/ITS.html	23 CFR 940
Farmington Architecture	Farmington MPO	In Process		NMDOT Manager ITS Operations	FHWA ensures in place	Hardcopy (Farmington MPO)	23 CFR 940
Tribal and Local Government Planning Handbook	NMDOT Statewide Planning Bureau	Oct-07		NMDOT Statewide Planning Bureau	NMDOT Cabinet Secretary	http://dot.state.nm.us/Local_Government_Agreement_Unit/TLGA_HANDBOOK_October07.pdf	23 CFR
Cooperative Project Agreement – Design Work	NMDOT-PINF Finance	Nov-14		NMDOT PINF Finance			
Cooperative Project Agreement – Construction Work	NMDOT-PINF Finance	Nov-14		NMDOT PINF Finance			
T/LPA PS&E Checklist	Construction and Civil Rights Bureau						
NMDOT Spec Book	Construction and Civil Rights Bureau	2014		NMDOT	NMDOT Cabinet Secretary (FHWA concurs)	http://www.dot.state.nm.us/content/dam/nmdot/Plans_Specs_Estimates/2014_Specs_For_Highway_And_Bridge_Construction.pdf	23 CFR 635
FHWA T/LPA Reference Guide	N/A	Apr-11		FHWA	FHWA Office of Program Administration	http://www.fhwa.dot.gov/federalaid/LPA/reference.cfm	23 CFR

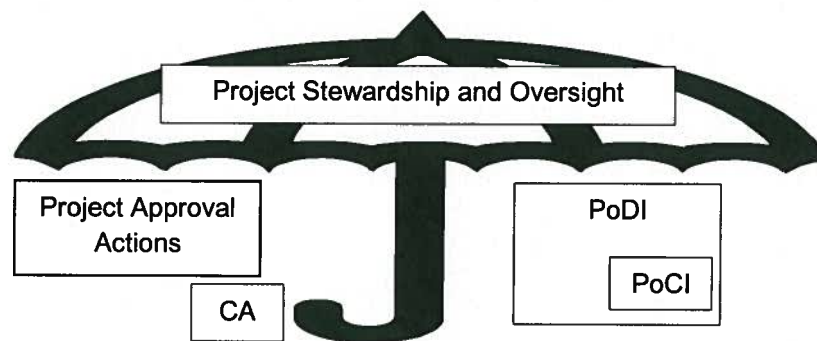
Document / Manual Description	Location (Agency)	Approved Date	Date next Revision	Owner	Approver	Availability	Basis
NMDOT Single Audit Act Procedures Manual	NMDOT Office of Inspector General	Jan-12		NMDOT OIG	NMDOT Cabinet Secretary	Hardcopy	OMB A-133 Single Audit
NMDOT T/LPA Website	NMDOT Statewide Planning Bureau	2012		NMDOT Statewide Planning Bureau	NMDOT Cabinet Secretary	http://dot.state.nm.us/Planning.html#LGAU	Department Website

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Attachment D: Projects of Division Interest/Projects of Corporate Interest

The goal of risk-based project stewardship and oversight is to optimize the successful delivery of programs and projects and help ensure compliance with federal requirements. FHWA Risk-Based Project Stewardship and Oversight involves three main avenues of project involvement: 1) project approval actions, 2) data-driven compliance assurance, i.e., the Compliance Assessment Program (CAP), and 3) risk-based stewardship and oversight involvement in Projects of Division Interest (PoDI), including Projects of Corporate Interest (PoCI) which are a subset of PoDIs (See below)

Attachment E is the checklist that is used to determine if a project falls into the PoDI/PoCI consideration. The document is titled: PoDI / PoCI Oversight Screening Criteria



The assessment for designation of PoDI / PoCI's is as follows:

Procedure:

The FHWA Field Operations Team Leader and NMDOT's State Construction Engineer will meet quarterly to review the list of upcoming projects and assign oversight. The first meeting will be at the beginning of each Federal fiscal year and upon STIP approval. Preliminary annual assignments will be made for the upcoming three years.

The FHWA retains responsibility of authorizing environmental documents. The FHWA Operations Engineer, in cooperation with NMDOT, will further evaluate oversight assignment at this time and document that determination on the Screening Criteria form.

A Screening Criteria will be filled out for each project and kept in the project file. NMDOT's Construction Bureau will keep these on file for all projects. In addition the Division will keep files on PoDI projects. The Screening Criteria will become part of the project records.

Designation of these projects in Fiscal Management Information System (FMIS) is located in Project Oversight Designation Requirement in FMIS

Risk Levels Assignment: The level of risk associated with each element of a project in the Oversight Screen Criteria above varies from 0 to 3. A rating of 0 indicates that the project element has little or no risk associated with it; conversely a 3 would indicate that this project element has a considerable or high risk. An example of a 0 risk level would for instance be an overlay or pavement preservation project where all elements detailed above were considered and no impact to any environmental characteristic (natural resources waterways, etc., cultural resources historical or tribal, Project complexity was minimal as no geometric or capacity issues were entertained, No Special Interest groups or issues were identified. e.g. equestrian or bicycle activities or groups, special political interest groups local or other, and no atypical funding or other regulatory office. e.g. Army Corp, Federal Lands, State Lands etc. were impacted by the project. The project will be reviewed twice at a minimum and the appropriate risk level assigned and final oversight responsibility developed.

Project of Division or Corporate Interest (PoDI / PoCI): Projects of Division or Corporate Interest (PoDI / PoCI) designated as full oversight or PoDI / PoCI projects may be classified as full oversight or have project elements that will be given additional scrutiny and oversight from Division Office staff. The NMDOT will receive written notice of the project's designation detailing the project elements that will have increased oversight. TIGER Grant Projects and Major Projects will automatically be designated as a PoDI.

Division Office to complete PoDI / PoCI questionnaire in the SharePoint Site for each project designated as a PoDI.

File All PoDI / PoCI Documents in the Division Office PoDI / PoCI files.

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Attachment E: PoDI / PoCI Oversight Screening Criteria/Checklist

Oversight screening criteria for Federal-Aid, PoDI or PoCI projects are determined through use of a checklist which provides a basis to determine if the project is to be categorized as a PoDI or PoCI project. The directions for completing the checklist found below are as follows:

Tier I: Use Tier I Criteria to determine the first line filter for Federal Oversight or designation as a Project of Division or Corporate Interest (PoDI/PoCI). If a project meets Tier I Criteria, then further review the project using Tier II for final determination. If Tier I criteria is not met, the project will be considered as State Administered.

Tier II: Categorize a project as Federal Oversight or PoDI/PoCI if it scores 18 points or higher in Tier II. Use the project scores for guidance only. The final determination rests with the rating officials. Consider the size and complexity of the overall program needs as well when rating a project.

Rate each element with a score of 0 to 3, with 3 representing the higher risk or complexity. Enter the total of those scores in the TOTAL SCORE for Tier II box. Each element receives a rating. For example, if in the 'Special Interest' category, the Federal, State and Local elements each receive a rating of two (2), then the total rating for that category is six (6).

Other:

Examples of the use of the 'other' category are:

Involvement of other federal or state agencies

Atypical funding

Legislative mandates

Experimental or innovative technology

Checklist next page:

Federal Project Number: _____

State Control Number: _____

1.)Tier I Criteria	IF Yes:	If No:
TIGER Grant Project	Proceed to 3.) TOTAL SCORE Section A.)	Proceed to Tier II
Project predetermined to be of high risk or importance to the Division or Federal-aid program	Proceed to TOTAL SCORE Section A.)	Proceed to Tier II
Projects on the NHS that alter current geometry.	Proceed to Tier II	Proceed to TOTAL SCORE Section B.)

Use Tier I Criteria to determine the first line filter for Federal Oversight.

2.)Tier II Criteria	Risk (0-3)	Score
Level of Environmental Review (EIS/EA/CE) <ul style="list-style-type: none"> Natural Resources/Conflicts Cultural Resources/Conflicts Public Controversy/Conflicts 	0-3 0-3 0-3	
Certification Issues/Problems (Environnement, Utilities, R/W, R/R, ITS)	0-3	
Project Complexity <ul style="list-style-type: none"> Design Access Control Issues Construction Innovative Contracting Techniques Alternate Technical Concepts Design Build Contractor or Construction Conflict, Issues, Elements, etc..... 	0-3 0-3 0-3 0-3 0-3 0-3 0-3	
Special Interest (Specify) (Environmental, Political, Special Interest Groups, etc.) <ul style="list-style-type: none"> Federal () State () Local () 	0-3 0-3 0-3	
Other (Specify)	0-3	
Total Score		

Other –Use of the “other” category is for projects which involve other federal or state agencies (exclusive of FHWA and NMDOT). Use of the ‘other’ category can extend to projects with atypical funding or

3.) TOTAL SCORE Classification	YES - NO
A. PoDI/PoCI or Full Oversight (Score > 18, Very High Risk and/or TIGER Grant Project)	
B. State Oversight	

legislative (state or federal) programs.

A project with a score of 18 or higher will be classified as a **PoDI or PoCI**.

Notes: If designated as a PoDI/PoCI the following project elements will receive increased oversight:

Concurred on by:

NMDOT _____

Date: _____

FHWA _____

Date: _____

Attachment F: Glossary

Assumption of Responsibilities – The act of NMDOT to accept responsibility for carrying out and approving certain actions in the place of the FHWA. Such actions are to be taken by the NMDOT in conformance with Federal laws, regulations, and policies.

Assumed Projects – Federal projects that the NMDOT reviews in the place of the FHWA and has the authority to approve certain specified actions pertaining to design; plans, specifications, and estimates; contract awards; and inspections.

Certification Reviews – A review that formalizes the continuing oversight and day-to-day evaluation of the planning process.

Control Document – Applicable laws, regulations, standards, policies, and standard specifications approved by FHWA for use on Federal-aid highway projects.

Core Functions – Activities that make up the primary elements of the division office's Federal-aid oversight responsibilities based on regulations and national policies. Core functions in the division office are Planning, Environment, Right-of-Way, Design, Construction, Finance, Operations, System Preservation, Safety, and Civil Rights.

Locally Administered Projects – For the purpose of the S&O Agreement, a Federal-aid project in which an entity other than a traditional NMDOT is a sub-recipient and this entity is administering the particular phase being authorized, i.e., Preliminary Engineering, ROW, or Construction. These would include projects where the non-traditional entity will either perform the work itself or enter into a contract for services or construction. NMDOT remains responsible for the local public agency's compliance on locally administered projects.

Local Public Agency (LPA) – Any organization, other than a traditional NMDOT, with administrative or functional responsibilities that are directly or indirectly affiliated with a governmental body of any Tribal Nation, State, or local jurisdiction. LPAs would most often include cities or counties. However, an LPA, as defined here, could also include a State entity as well, perhaps even a part of a NMDOT. An example could include a Port Authority or Toll Authority that had not traditionally worked with the Federal-aid highway program (FAHP).

Oversight – The act of ensuring that the FAHP is delivered consistent with laws, regulations, and policies.

Program Assessments – This evaluation technique may take many forms, including joint risk assessments and self-assessments. These tools are based on the common concepts of identifying strengths, weaknesses, and opportunities and the identification and sharing of “best” practices to continually improve the program.

Program Reviews – A thorough analysis of key program components and the processes employed by the NMDOT in managing the program. The reviews are conducted to: 1) ensure compliance with Federal requirements; 2) identify areas in need of improvement; 3) identify

opportunities for greater efficiencies and cost improvement to the program; and/or 4) identify exemplary practices.

Projects of Division Interest (PoDIs) – PoDIs are those projects that have an elevated risk, contain elements of higher risk, or present a meaningful opportunity for FHWA involvement to enhance meeting project objectives.

For PoDIs, FHWA has made a risk-based decision to retain project approval actions or conduct stewardship and oversight activities for the project as provided for in 23 USC 106.

Recurring Reviews – Reviews that the division office conducts annually or on a regular periodic basis. Examples include NBIS, HPMS, HVUT, etc.

Risk Assessment – The process of identifying a risk event, determining the likelihood of the event happening, determining the impact (positive or negative) of the event on the delivery of the FAHP, and identifying an appropriate risk response strategy.

Risk-Based Approach – Incorporating risk assessment and risk management into investment and strategic decision making (the means by which limited resources are focused).

Risk Management – The systematic identification, assessment, planning, and management of threats and opportunities faced by FHWA projects and programs.

Stewardship – The efficient and effective management of the public funds that have been entrusted to the FHWA.

Unit Performance Plan – The annual performance plan prepared by an individual FHWA unit that address unit responsibilities and priorities taking into account the National Performance Objectives and National Initiatives identified in the FHWA's Strategic Implementation Plan (SIP) as well as specific initiatives identified at the unit level based on risk.

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