STEWARDSHIP AND OVERSIGHT AGREEMENT

ON PROJECT ASSUMPTION AND PROGRAM OVERSIGHT

BY AND BETWEEN

FEDERAL HIGHWAY ADMINISTRATION, PUERTO RICO DIVISION

AND THE

PUERTO RICO HIGHWAY AND TRANSPORTATION AUTHORITY

June 2015

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 Puerto Rico Highway and Transportation Authority (PRHTA) on the roles and responsibilities of the FHWA and the State DOT 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 DOT 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 Federal-aid Highway Program.

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 Stewardship and Oversight Agreement (S&O Agreement), includes information on specific project approvals and related responsibilities, and provides 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 Puerto Rico Division Office (FHWA) and the Puerto Rico Highway and Transportation Authority (PRHTA) 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 PRHTA 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 PRHTA 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. PRHTA *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 PRHTA and FHWA determine that assumption of responsibilities is appropriate.

B. Approvals and related activities for which the PRHTA 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/140328_podipoci.pdf

C. PRHTA may not assume responsibilities for Interstate projects that are in high risk categories. (23 U.S.C. 106(c)(1)) . Projects under this category are discussed in Section IX of this agreement.

D. PRHTA is to exercise any and all assumptions of the U. S. Secretary of Transportation (the Secretary) responsibilities for Federal-aid projects 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. PRHTA *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 PRHTA 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), PRHTA is to exercise the Secretary's approvals and related responsibilities on these projects in accordance with Federal laws.

C. PRHTA, 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 PRHTA 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 the FHWA PoDI/PoCI Guide.

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 LOCALLY ADMINISTERED PROJECTS

The PRHTA may permit local public agencies (LPAs) to carry out the PRHTA's assumed responsibilities on locally administered projects. The PRHTA is responsible for LPA compliance with all applicable Federal laws and requirements.

This section does not apply to PRHTA as there are no LPA's in Puerto Rico.

SECTION VI. PERMISSABLE 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 represent the actions and approvals required before authorization of construction. The PS&E package includes geometric standards, drawings, specifications, project estimates, and 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 STATE DOT

A. Any approval or related responsibility not listed in Attachment A cannot be assumed by PRHTA 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 PRHTA:

- 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 PRHTA 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, PRHTA 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 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 PRHTA 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. The Division has determined there are no high risk categories applicable to Puerto Rico at the time of the signing of this S&O Agreement.

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 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 PRHTA's financial management system in accordance with 23 U.S.C. 106(g)(2)(A). FHWA will periodically review PRHTA 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 PRHTA, 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 PRHTA 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 PRHTA's transportation needs. The FHWA may work collaboratively with PRHTA 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 PRHTA may use to identify and analyze risks and develop response strategies include the following:

- Program Assessments;
- FIRE Reviews;
- Program Reviews;
- Certification Reviews;
- Toll Credit 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 or other control documents relating to program assessments, FIRE, program reviews, CAP, etc.

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

FHWA will annually conduct a risk assessment process to identify the Division's high risks areas and determine response strategies for those risks through the Unit Plan and Risk Assessment Process. Once the risks are identified, strategies are then developed to mitigate the high risk areas. The techniques and processes used to mitigate risk could include: conducting process reviews, monitoring processes, and developing programmatic agreements.

At the project level, FHWA will annually determine which projects have a high level of Division Interest. The Projects of Division Interest (PoDI) process is documented on FHWA's Resource Deployment Tool. Each project will have a Stewardship and Oversight Plan developed that will describe the focused oversight activities that will be conducted. The PR Division will carry out their activities in accordance with this PODI plan and document their activities as appropriate.

E. Program Responsibility Matrix

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

F. Manuals and Operating Agreements

PRHTA manuals, agreements, standard operating procedures (SOPs) and other control documents that have been approved for use on Federal-aid projects are listed in Attachment C to this S&O Agreement. Any modifications or revisions to these documents require FHWA review and approval.

G. Stewardship and Oversight Indicators

FHWA and PRHTA will use Stewardship and Oversight indicators as a mean to assess whether the responsibilities assumed by PRHTA are functioning appropriately. These indicators will be risk-based and shall be reviewed on an annual basis to effectively manage and improve program delivery. Indicators are incorporated in Attachment D.

SECTION XI. STATE DOT OVERSIGHT AND REPORTING REQUIREMENTS

A. PRHTA Oversight and Reporting Requirements

PRHTA is responsible for demonstrating to the FHWA how the State DOT is carrying out its responsibilities in accordance with this S&O Agreement. In order to fulfill this responsibility, PRHTA will use the performance indicators included in Attachment D to measure effective stewardship & oversight. PRHTA will prepare a report and submit to FHWA the status of the oversight indicators on a semi-annual basis for the first year of this agreement, after the first year PRHTA shall submit reports on a quarterly basis.

PRHTA will maintain individual Federal-aid project files that will include documentation of all required FHWA actions and PRHTA's assumed project approvals as set forth in the agreement. PRHTA will provide FHWA access to the project files when requested.

At the project level, PRHTA shall have all the processes and procedures in place to be able to carry out the Federal-aid program as required by 23 U.S.C. FHWA shall concur with PRHTA before its implementations. In case where PRHTA determines that a deviation from any.of the processes is necessary, PRHTA shall consult with FHWA to ensure that project eligibility is maintained.

At the program level, PRHTA, in coordination with FHWA, will continue to develop updates to its manuals and procedures as conditions requires. PRHTA will review and take action as needed to ensure and maintains adequate staffing and capability to carry out its responsibilities under the Federal-aid Highway Program and shall keep records of training provided.

PRHTA shall schedule regular meetings with FHWA to discuss policies and processes to ensure compliance with federal requirements.

PRHTA shall conduct internal review of its processes and provide documentations these actions. These reviews shall be conducted jointly with FHWA.

B. PRHTA Oversight of Locally Administered Projects.

Currently PRHTA is exempt from implementing oversight of LPA since there are no sub-recipients for the Puerto Rico Highway Program. However, in the event sub-recipients are designated PRHTA needs to comply with the following:

B.1. PRHTA is required to provide adequate oversight of sub-recipients including oversight of any assumed responsibilities the State DOT delegates to a LPA.

B.2. Pursuant to 23 U.S.C. 106(g)(4), PRHTA 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. PRHTA 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. PRHTA 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 Requirements for Pass-thru Entities). The State DOT shall carry out these responsibilities using the following actions, programs, and processes:

This section does not apply to PRHTA as there are no LPA's in Puerto Rico.

B.4. PRHTA 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:

B.5. PRHTA 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:

B.6. PRHTA 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:

B.7. PRHTA shall ensure that when LPA select to use consultants for engineering services, the 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. PRHTA's process to ensure compliance with this requirement is documented by the following actions, programs, and processes:

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

a. Consultant selection and management;
b. Environment;
c. Design;
d. Civil Rights;
e. Financial management including audits and indirect cost allocation plans;
f. Right-of-way;
g. Construction monitoring, including Quality Control/Quality Assurance (QC/QA); and
h. Contract administration including the State DOT's responsibility to approve a sub-recipient to pursue a contract procurement method other than competitive bidding.

B.9. PRHTA shall document its oversight activities for LPA-administered projects and findings, and how it will share this information with the FHWA.

SECTION XII. IMPLEMENTATION AND AMENDMENTS

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

B. The Division and PRHTA agree that updates to this 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 PRHTA or FHWA; or
- Priorities shift as a result of audits, public perception, or changes in staffing at either PRHTA or Puerto Rico Division Office.

C. FHWA and PRHTA 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.D, changes to the Attachments and documents incorporated by reference will not require FHWA and PRHTA 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 document. This Agreement and any revised document shall be posted on FHWA's S&O Agreement internet site within five (5) business days of the effective date.

D. Any changes to the high risk categories, which none exist as of the signing of this agreement, must be documented by an amendment to this S&O Agreement.

E. Any changes to the Project Action Responsibility 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 PUERTO RICO DIVISION OFFICE

Executed this 25th day of JUNE, 2015 .

Signature

Gregory Nadeau
Acting Administrator FHWA

EXECUTION BY THE FHWA PUERTO RICO DIVISION OFFICE

Executed this 25 day of June, 2015 .

Signature

James Christian
Division Administrator FHWA Puerto Rico's Division

EXECUTION BY THE PUERTO RICO DEPARTMENT OF TRANSPORTATION AND PUBLIC WORKS

Executed this 25 day of June, 2015.

Signature

Hon. Miguel A. Torres Díaz
Secretary of the DTPW
President, Board of Directors' PRHTA

EXECUTION BY THE PUERTO RICO HIGHWAY AND TRANSPORTATION AUTHORITY

Executed this 25 day of June, 2015.

Signature

Ms. Carmen A. Villar Prados
Executive Director, PRHTA

ATTACHMENT A
PROJECT ACTION RESPONSIBILITY MATRIX
(As of May 22, 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.

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 the State is not appropriate and requests FHWA take responsibility for the action. In such cases, the box should read "FHWA".

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 following matrix identifies Federal-aid highway program (FAHP) project approvals and related responsibilities on a program-wide basis. The matrix specifies which actions are assumed by the State 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. Projects classified as PoDI projects are not covered by the matrix, as those projects will be governed by a separate PoDI plan that specifies FHWA and State responsibilities for the project.

In the matrix, actions marked with an asterisk ("FHWA*") are those that FHWA has retained but that could have been assumed by the State through FHWA discretion (on the NHS) or by right (off the NHS). Projects requiring those actions are PoDI projects because of FHWA's retained authority. Those projects will be governed by a separate PoDI Plan.

PRHTA 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.

PROJECT ACTION RESPONSIBILITY MATRIX (as of May 22, 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 MANAGMENT (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)

PROJECT ACTION RESPONSIBILITY MATRIX (as of May 22, 2015) (Excluding PoDIs, which are subject to separate PoDI Plans)		
ACTION	**AGENCY RESPONSIBLE**	
	PROJECTS ON THE NHS	**PROJECTS OFF THE NHS**
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	FHWA*	FHWA* (3)
Sole source Consultant Contract Selection	FHWA*	FHWA*
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]	FHWA*	FHWA*
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*	FHWA*
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))	FHWA*	N/A
Airport highway clearance coordination and respective public interest finding (if required) [23 CFR 620.104]	FHWA*	FHWA*
Approve Project Management Plan for Federal Major Projects	FHWA	FHWA

PROJECT ACTION RESPONSIBILITY MATRIX (as of May 22, 2015) (Excluding PoDIs, which are subject to separate PoDI Plans)		
ACTION	**AGENCY RESPONSIBLE**	
	PROJECTS ON THE NHS	**PROJECTS OFF THE NHS**
over $500 million [23 USC 106(h)] (Note: this action cannot be assumed by State)		
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]	FHWA*	FHWA*
Approve retaining right-of-way encroachments [23 CFR 1.23 (b) & (c)]	FHWA*	FHWA*
Approve use of local force account agreements [23 CFR 635.104 & 204]	FHWA*	FHWA*
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	FHWA*	FHWA*

PROJECT ACTION RESPONSIBILITY MATRIX (as of May 22, 2015) (Excluding PoDIs, which are subject to separate PoDI Plans)		
ACTION	**AGENCY RESPONSIBLE**	
	PROJECTS ON THE NHS	**PROJECTS OFF THE NHS**
authorization of construction prior to completion of ROW clearance, utility and railroad work [23 CFR 635.309(b)]		
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 for Interstate FHWA for non-Interstate*	FHWA*
Ensure compliant ROW certificate is in place [23 CFR 635.309(c)]	FHWA*	FHWA*
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 for Interstate FHWA for non-Interstate* (3)	FHWA*
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
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	FHWA for Interstate FHWA for non-Interstate*	FHWA*

PROJECT ACTION RESPONSIBILITY MATRIX (as of May 22, 2015) (Excluding PoDIs, which are subject to separate PoDI Plans)		
ACTION	**AGENCY RESPONSIBLE**	
	PROJECTS ON THE NHS	**PROJECTS OFF THE NHS**
actions except those on the Interstate System)		
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))	FHWA*	STATE
Approval of System Engineering Analysis (for ITS) [23 CFR 940.11]	FHWA*	STATE
PS&E AND ADVERTISING (Design Phase)		
Approve PS&E [23 CFR 630.201]	FHWA*	FHWA*
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]	FHWA*	STATE
Approve use of consultants by	STATE	STATE

PROJECT ACTION RESPONSIBILITY MATRIX (as of May 22, 2015) (Excluding PoDIs, which are subject to separate PoDI Plans)		
ACTION	**AGENCY RESPONSIBLE**	
	PROJECTS ON THE NHS	**PROJECTS OFF THE NHS**
utility companies [23 CFR 645.109(b)]		
Approve exceptions to maximum railroad protective insurance limits [23 CFR 646.111]	FHWA*	STATE
Authorize (approve) advertising for bids [23 CFR 635.112, 309]	FHWA*	FHWA*
CONTRACT ADVERTISEMENT AND AWARD (Design Phase) **All contracts to be done by competitive bidding unless otherwise authorized by law**		
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*	FHWA*
Approve construction engineering by local agency [23 CFR 635.105]	FHWA*	STATE
Approve advertising period less than 3 weeks [23 CFR 635.112]	FHWA*	FHWA*
Approve addenda during advertising period [23 CFR 635.112]	FHWA*	FHWA*
Concur in award of contract [23 CFR 635.114]	FHWA*	FHWA*
Concur in rejection of all bids [23 CFR 635.114]	FHWA*	FHWA*
Approval of Design-Build Requests-for-Proposals and Addenda [23 CFR 635.112]	FHWA*	FHWA*
CONSTRUCTION (Construction Phase)		
Approve changes and extra work [23 CFR 635.120]	FHWA*	FHWA*
Approve contract time extensions [23 CFR 635.120]	FHWA*	FHWA*

PROJECT ACTION RESPONSIBILITY MATRIX (as of May 22, 2015) (Excluding PoDIs, which are subject to separate PoDI Plans)		
ACTION	**AGENCY RESPONSIBLE**	
	PROJECTS ON THE NHS	**PROJECTS OFF THE NHS**
Concur in use of mandatory borrow/disposal sites [23 CFR 635.407]	FHWA*	STATE
Accept materials certification [23 CFR 637.207]	STATE	STATE
Concur in settlement of contract claims [23 CFR 635.124]	FHWA*	FHWA*
Concur in termination of construction contracts [23 CFR 635.125]	FHWA*	FHWA*
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)]	FHWA*	FHWA*
CIVIL RIGHTS (All phases)		
Approval of Disadvantaged Business Enterprise (DBE) Project Contract Goal set by the State DOT under 49 CFR 26.51(d). [49 CFR 26.51(e)(3)]	STATE	STATE
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]).	STATE	STATE
Training Special Provision – Approval of Project Goal for training slots or hours [23 CFR Part 230, Subpart A]	STATE	STATE

PROJECT ACTION RESPONSIBILITY MATRIX (as of May 22, 2015) (Excluding PoDIs, which are subject to separate PoDI Plans)		
ACTION	**AGENCY RESPONSIBLE**	
	PROJECTS ON THE NHS	**PROJECTS OFF THE NHS**
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:

(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

Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	PRHTA 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 Team	Federal Liaison Office	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)	2 CFR 200 Subpart E; ASMBC-10	As needed	Not Applicable	Office of Chief Financial Officer	Finance Team	Federal Liaison Office	The State will certify that the ICAP was prepared in accordance with 2 CFR 200 Subpart E.
FIRE Program Activities	FHWA Order 4560.1C (or as superseded)	Ongoing		Office of Chief Financial Officer	Finance Team	Various depending on nature of reviews	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.
Audit Coordination/FHWA Financial Statement Audit/State External Audit Reviews/State Internal Audit Reviews	FMFIA, 2 C.F.R. Part 200, Subpart F, GAAP, CFO Act of 1990; DOT Order 8000.1C	As needed	Not Applicable	Office of Chief Financial Officer	Finance Team	Area of Finance and Administration	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 Team	Various depending on nature of transactions selected for IPIA review	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 132 and FHWA Order 4551.126”	As needed	Not Applicable	Office of Chief Financial Officer	Finance Team	Federal Liaison Office	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.
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 Team	Area of Finance and Administration	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	N/A	N/A	N/A
Periodic Reviews of States Monitoring of sub-recipients	23 USC 106(g)(4)(B)	As needed	Not Applicable	Office of Infrastructure	N/A	N/A	N/A
Approval of Increased Federal Share Agreement (Sliding Scale)	23 USC 120(b)(2)	As determined by the Federal Share Agreement 25	Not Applicable	Office of Chief Financial Officer	Finance Team	Bids and Awards Office	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 Officer	Civil Rights Office	PRHTA will prepare and submit Title VI Plan accomplishments and next year’s goals. Joint review FTA or FHWA 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 Officer	Civil Right Office	PRHTA prepares and submits EEO contractor compliance plan, and the 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 Officer	Civil Right Office	PRHTA prepares and submits State Internal EEO Affirmative action plan. Joint review FTA or FHWA Division office reviews and comments. Courtesy copy to HQ.
Review DBE Program Revisions	49 CFR 26.21(b)(2)	As needed	Not Applicable	Office of Civil Rights	Civil Rights Officer	Civil Right Office	PRHTA prepares DBE Program Revisions. FHWA must review DBE program revisions and submit to HCR
Prepare / DBE Uniform Awards and Commitment Report	49 CFR 26, Appendix B	Semi-Annual	June 1st December 1st	Office of Civil Rights	Civil Rights Officer	Civil Right Office	PRHTA prepares Uniform Awards and Commitment Report and the Division Office reviews and sends to HCR

Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	PRHTA Responsible Program Office	Remarks
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 Officer	Civil Right Office	PRHTA Prepares Analysis and Corrective Action Plan. Division Office approves and sends copy to HCR
Prepare / State DBE Program Goals	49 CFR 26.45(f)(1)	Triennial	August 1st	Office of Civil Rights	Civil Rights Officer	Civil Right Office	PRHTA prepares and submit State DBE Program Goals. 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 Officer	Civil Right Office	PRHTA prepares OJT goals and accomplishments. Division office reviews and comments.
Approval of OJT and DBE Supportive Services fund requests	23 CFR 230.113 & 23 CFR 230.204	Annual	TBA	Office of Civil Rights	Civil Rights Officer	Civil Right Office	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	Civil Rights Officer	Civil Right Office	Division works with HCR and CFO
Prepare / Review of Report on Supportive Services (OJT & DBE)	23 CFR 230.113(g), 230.121(e), 230.204(g)(6)	Quarterly		Office of Civil Rights	Civil Rights Officer	Civil Right Office	PRHTA prepares Report on Supportive Services. 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 Officer	Civil Right Office	PRHTA prepares Annual contractor employment report and Division sends 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 Officer	Civil Right Office	PRHTA prepares Employment Statistical Data. 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 Institutes, American Indian Alaskan Native, Asian Pacific & American Islander.	Presidential Executive Orders: 13230, 13256,13270, 13361, 13515	Annual	TBA	Office of Civil Rights	Civil Rights Officer	Strategic Planning Office	PRHTA prepares annual reports, and the 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 Officer	Civil Rights Office	PRHTA prepares ADA complaint reports of investigations, and the 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 Officer	Civil Rights Office	PRHTA prepares ADA Program plan accomplishments and next year's goals, and the Division office reviews and comments.
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 Officer	Infrastructure Directorate	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 Officer	Infrastructure Directorate	PRHTA prepares request and the 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 Officer	Infrastructure Directorate	PRHTA prepares the report and the Division 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	N/A	N/A	Informational Purposes.
Approval of Contracting Procedures for Consultant Selection	23 CFR 172.5 & 172.9	As needed	Not Applicable	Office of Infrastructure	Design	Design Area	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	Design	Design Area	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	Design	Design Area	FHWA Division Office Approval.
Approval 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	Design	Design Area	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	Bridge Engineer	Bridge Program manager	Director of HIBT has approval of preliminary plans of Major and Unusual Bridges on the Interstate Highway System (M1100.A)

Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	PRHTA Responsible Program Office	Remarks
Approval of State Standard Specifications	23 CFR 625.3	As needed	Not Applicable	Office of Infrastructure	Design/Construction	Executive Director for Infrastructure	FHWA Division Office Approval.
Verify State Design Exception Policy complies with FHWA Policy	23 CFR 625.3	As needed	Not Applicable	Office of Infrastructure	Design	Design Area	FHWA Division Office Approval.
Approval of State Standard Detail Plans	23 CFR 625.3	As needed	Not Applicable	Office of Infrastructure	Design	Design Area	FHWA Division Office Approval.
Approval of Pavement Design Policy	23 CFR 626.3	As needed	Not Applicable	Office of Infrastructure	Pavement and Materials Engineer	Pavement and Materials Office	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	VE Engineer	Design Area	FHWA Division Office Review.
Review of Value Engineering Annual Report	23 CFR 627.7, FHWA Order 1311.1B	Annual	Not Applicable	Office of Infrastructure	VE Engineer	Design Area	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	VE Engineer	Design Area	PRHTA prepares and submits request. 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	Construction Area	Estimates and Bid Office, Construction Area, and Infrastructure Directorate	FHWA Division Office Approval.
Approval of Quality Assurance Program	23 CFR 637.205	As needed	Not Applicable	Office of Infrastructure	Pavement and Materials Engineer	Material Testing Office	State administers, 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	Pavement and Materials Engineer	Material Testing Office	State administers, with programmatic agreement by the Division Office, as part of their materials testing and construction quality assurance/acceptance program.
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	Pavement and Materials Engineer	Material Testing Office	State administers, 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	Pavement and Materials Engineer	Material Testing Office	State administers, 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	Pavement and Materials Engineer	Material Testing Office	State administers, 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	N/A	Projects Control Office, Construction Area	PRHTA prepares Assure Labor Compliance – Prevailing Wage Rate. 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	Area Engineer	Infrastructure Directorate	FHWA Division Office Approval
Approval of Utility Agreement / Alternate Procedure	23 CFR 645.119	As needed	Not Applicable	Office of Infrastructure	N/A	N/A	FHWA Division Office Approval
Approval of Utility Accommodation Policy	23 CFR 645.215, 23 USC 109(l), 23 USC 123	As needed	Not Applicable	Office of Infrastructure	N/A	N/A	FHWA Division Office Approval
Review Bridge Construction, Geotechnical, and Hydraulics	23 CFR 650	As needed	Not Applicable	Office of Infrastructure	Bridge Engineer	Design Area	
Review Plans of Corrective Action established to address NBIS compliance issues	23 CFR 650, 23 USC 144	Annually		Office of Infrastructure	Bridge Engineer	Bridge Inventory Management Office	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	Bridge Engineer	Bridge Inventory Management Office	PRHTA prepares NBI Data Submittal. Division resolve errors with States; States submit to HQ.

Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	PRHTA Responsible Program Office	Remarks
Review structurally deficient bridge construction Unit Cost submittal	23 USC 144	Annually	1-Apr	Office of Infrastructure	Bridge Engineer	Bridge Inventory Management Office	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	Bridge Engineer	Bridge Office	
Approval for reduction of expenditures for off-system bridges	23 USC 133(g)(2)(B)	As needed	Not Applicable	Office of Infrastructure	Planning Team	PRHTA Office of Planning and Environment	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	Pavement and Materials Engineer	Programming and Special Studies Area	
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	Pavement and Materials Engineer	Programming and Special Studies Area, Strategic Planning Office	
Review Reporting on Performance Targets	23 USC 150(e)	Beginning four years after enactment of MAP-21 and biennially thereafter		Office of Infrastructure	Pavement and Materials Engineer	Programming and Special Studies Area, Strategic Planning Office	
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	Pavement and Materials Engineer	Programming and Special Studies Area, HPMS Highway Systems Office	
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	Pavement and Material Engineer/Bridge Engineer	Infrastructure Directorate and Programming & Special Studies Area	
Emergency Relief (ER) Damage Assessments and Reports	23 CFR 668 23 USC 120 and 125	As needed	Not Applicable	Office of Infrastructure	ER Coordinator	Construction Area Office	Perform with State.
Toll Credit and Maintenance of Effort (MOE) Calculation and Agreement	23 USC 120(i),23 USC 129	Annually		Office of Infrastructure	Finance Team	Federal Liaison Office and Area of Finance and Administration	State will calculate the amount of eligible toll credit and submit for approval. FHWA will review and approve the request.
Local Public Agency (LPA) Oversight	2 C.F.R. 200.331; 23 USC 106(g)(4)	As needed	Not Applicable	Office of Infrastructure	N/A	N/A	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	Pavement and Materials Engineer	Federal Liaison Office	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	N/A	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 Team	Federal Liaison Office and Area of Finance and Administration	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 Team	Federal Liaison Office and Area of Finance and Administration	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 Team	Federal Liaison Office and Area of Finance and Administration	Division sends copy of report to OIPD. SIB submits annual report to Division Office.
Section 129 Tolling Authority Requests	23 USC 129(a)	As needed	Not Applicable	Office of Innovative Program Delivery	Finance Team	Federal Liaison Office and Area of Finance and Administration	At the option of the project sponsor, may execute a Tolling Eligibility MOU with the Division Office; HIN coordinates FHWA HQ review

Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	PRHTA Responsible Program Office	Remarks
Section 166 HOV/HOT Lanes Tolling Authority Requests	23 USC 166(d)	As needed	Not Applicable	Office of Innovative Program Delivery	Finance Team	Federal Liaison Office and Area of Finance and Administration	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 Team	Federal Liaison Office and Area of Finance and Administration	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	Finance Team	Federal Liaison Office and Area of Finance and Administration	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 Team	Federal Liaison Office and Area of Finance and Administration	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.	State DOT or Project Sponsor will prepare and submit Project Management Plan.	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.	State DOT or Project Sponsor will prepare and submit annual Financial Plans.	Division Office will provide approval after receiving concurrence from HQ Office of Innovative Program Delivery.
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.	State DOT or Project Sponsor will prepare and submit annual Financial Plans to the Division Office, only upon request.	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 Team	PR Port Authority	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 Team	PR Port Authority	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 Team	PR Port Authority	OST lead
Review HOV Operations Report for Tolled Use and Low-Emission and Energy-Efficient Vehicle Use	23 USC 166(d)	Annually		Office of Operations	Planning Team	PRDOT Secretary	
Congestion Partnerships Assessment	Annual Memo from HQ	Annually	1-Jul	Office of Operations	Operations	Traffic Engineering Office	Complete with partners and forward to HQ.
Operations Support Program	Annual Memo from HQ	Annually	1-Jul	Office of Operations	Operations	Signal System and ITS Division	Eligibility determination made by HQ. July 1 date for approval to issue funding for current FY.
Traffic Incident Management Self-Assessment	Annual Memo from HQ	Annually	1-Jul	Office of Operations	Operations	Signal System and ITS Division	Complete with partners and forward to HQ.
Work Zone Self-Assessment	Annual Memo from HQ	Annually	7/1/2013, This project is currently on hiatis and has not been determined whether it will be restablished or not.	Office of Operations	Operations	Traffic Engineering Office	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	Operations	Traffic Engineering Office/Secretary DTOP	
Review Vehicle Size & Weight Enforcement Plan	23 CFR 657.11, 23 USC 127	Annually	1-Oct	Office of Operations	Planning Team	Programming and Special Studies Area, Weighting and Measures Central Office	

Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	PRHTA Responsible Program Office	Remarks
Review Vehicle Size & Weight Enforcement Certification	23 CFR 657.13, 23 USC 141	Annually	1-Jan	Office of Operations	Planning Team	Programming and Special Studies Area, Weighting and Measures Central Office	
Approval of National Network Modifications	23 CFR 658.11	As needed	Not Applicable	Office of Operations	Planning Team	Programming and Special Studies Area, HPMS Highway Systems Office	
Intelligent Transportation System Architecture & Standards	23 CFR Part 940	As needed	Not Applicable	Office of Operations	Operations	Traffic Engineering Area/Signal System Division	
Approval of Work Zone Significant Project Determination	23 CFR 630.1010	As needed		Office of Operations	Operations	Traffic Engineering Area/DTOP Secretary	
Approval of Exceptions to Work Zone Procedures for Interstate Projects	23 CFR 630.1010	As needed		Office of Operations	Operations	Design Area/Traffic Engineering Office	
Approval of Work Zone Policy and Procedures Conformance Review	23 CFR 630.1014	At appropriate intervals		Office of Operations	Operations	Traffic Engineering Area/Road Safety Auditing	
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	Operations	Traffic Engineering Area	
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 Team	Programming and Special Studies Area	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 Team	Programming and Special Studies Area	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 Team	Programming and Special Studies Area, Federal Coordination Office, and Federal Liaison Office	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 Team	Federal Coordination Office	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 Team	Federal Coordination Office	Informational Purposes.
Review of Long-range Statewide Transportation Plan	23 CFR 450.214	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning Team	Programming and Special Studies Area, Strategic Planning Office	PRHTA prepares LRSTP. 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 Team	Federal Coordination Office	PRHTA prepares the STIP. 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 Team	Federal Coordination Office	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 Team	Federal Coordination Office	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 Team	Federal Coordination Office	Received with STIP.
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 Team	Programming and Special Studies Area, Strategic Planning Office, and Federal Coordination Office	The UPWP currently has transit projects only. FTA approves with FHWA concurrence. FHWA/FTA are working to combine work programs into one federal-aid document.
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 Team	Federal Coordination Office	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 Team	Federal Coordination Office	The UPWP currently has transit projects only. FTA approves with FHWA concurrance. FHWA/FTA are working to combine work programs into one federal-aid document.
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 Team	Federal Coordination Office	The UPWP currently has transit projects only. FTA approves with FHWA concurrence. FHWA/FTA are working to combine work programs into one federal-aid document.
Approval of Report Before Publication (All MPO's)	23 CFR 420.117(e)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning Team	Federal Coordination Office	Waiver may be granted.

Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	PRHTA Responsible Program Office	Remarks
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 Team	Federal Coordination Office	
Review of Metropolitan Planning Area Boundary (Establishment and Changes)	23 CFR 450.312	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning Team	Federal Coordination Office	Approval by MPO and the Governor, shape files forwarded to HQ. (Comment: No action is required by FHWA/FTA).The Division Office should work with the MPO during census updates to provide guidance on MPA boundaries; this topic is covered in the TMA certification review.
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 Team	Federal Coordination Office	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 Team	Federal Coordination Office	Between MPO/State DOT/Transit Operator. Included in UPWP or Prospectus (23 CFR 450.314(d)).
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 Team	Federal Coordination Office	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 Team	Federal Coordination Office	Must be developed and published.
Review of Metropolitan Transportation Plan (MTP) in Attainment Areas (and Updates)	23 CFR 450.322	Every 4 yrs	Not Applicable	Office of Planning, Environment & Realty	Planning Team	Programming and Special Studies Area, Strategic Planning Office, and Federal Coordination Office	
Review of MTP in Non-Attainment and Maintenance Areas (and Updates)	23 CFR 450.322	Every 5 yrs	Not Applicable	Office of Planning, Environment & Realty	Planning Team	Programming and Special Studies Area, Strategic Planning Office, and Federal Coordination Office	
Review of MTP Amendments	23 CFR 450.322(c)	As Needed	Not Applicable	Office of Planning, Environment & Realty	Planning Team	Programming and Special Studies Area, Strategic Planning Office, and Federal Coordination Office	
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 Team	Programming and Special Studies Area	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 Team	Federal Coordination Office, and Programming and Special Studies Area	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 Team	Federal Coordination Office, and Programming and Special Studies Area	No succinct Federal approval action is required for the TIP. FHWA/FTA approval of the TIP is through the STIP approval process.
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 Team	Federal Coordination Office, and Programming and Special Studies Area	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 Team	Federal Coordination Office, and Programming and Special Studies Area	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 Team	Federal Coordination Office	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 yrs		Office of Planning, Environment & Realty	Planning Team	Federal Coordination Office	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 Team	Programming and Special Studies Area, HPMS Highway Systems Office	
Approval of Revision of Functional Classification	23 CFR 470.105 (b)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning Team	Programming and Special Studies Area, HPMS Highway Systems Office	

Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	PRHTA Responsible Program Office	Remarks
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 Team	Programming and Special Studies Area, HPMS Highway Systems Office	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 Team	Programming and Special Studies Area, HPMS Highway Systems Office	Approved by HQ - Office Director.
Review of CMAQ Annual Report	CMAQ Guidance Memo October 31, 2006	Annually	1-Mar	Office of Planning, Environment & Realty	Planning Team	Programming and Special Studies Area	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 Team	Infrastructure Directorate	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 Team	DTPW/PRHTA Special Committee	FHWA HQ approval.
Approval of Public Involvement Program Procedures	23 CFR 450.316	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning Team	Federal Coordination Office	
Approval of Public Involvement Program Procedures	23 CFR 771.111(h), 23 USC 128	As needed	Not Applicable	Office of Planning, Environment & Realty	Environment Team	Federal Coordination Office	
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 Team	Programming and Special Studies Area, and Environment Studies Office	FHWA Approves NEPA procedures
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 Team	Programming and Special Studies Area, and Environment Studies Office	FHWA approves State' noise abatement policy.
EIS Status Updates	FHWA Strategic Goal - EIS Timeliness	Quarterly	(Fiscal Year - Oct, Jan, Apr, Jul)	Office of Planning, Environment & Realty	Environment Team	Programming and Special Studies Area, and Environment Studies Office	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 Team	Programming and Special Studies Area, and Environment Studies Office	
Exemplary Ecosystem Initiatives Applications		Annually	1-Apr	Office of Planning, Environment & Realty	Environment Team	Programming and Special Studies Area, and Environment Studies Office	
Executive Dashboard on Permitting		As Needed		Office of Planning, Environment & Realty	Environment Team	Programming and Special Studies Area, and Environment Studies Office	
Noise Barrier Cost	Office of Management and Budget (OMB), under control number 201403-2125-001, has authorized this collection of information in accordance with the Paperwork Reduction Act. This request is also in accordance with 23 CFR 772.13(f) "Abatement Measure Reporting."	As Needed		Office of Planning, Environment & Realty	Environment Team	Programming and Special Studies Area, and Environment Studies Office	
Archeological Program	The Report to Congress on Federal Archeology program is prepared by the Secretary of the Interior by the Departmental Consulting Archeologist, National Park Services (NPS)	Annually	February	Office of Planning, Environment & Realty	Environment Team	Programming and Special Studies Area, and Environment Studies Office	
Approval of Acquisitions, Appraisals, and Relocations Program and Procedures	49 CFR Part 24, The UA	As needed	Not Applicable	Office of Planning, Environment & Realty	Right Of Way Officer	Property Acquisition Area	
Early Acquisitions	23 CFR 710.501	As needed	Not Applicable	Office of Planning, Environment & Realty	Right Of Way Officer	Property Acquisition Area	
Local Public Agency Oversight	49 CFR 24.4(b); 23 CFR 710.201	As needed	Not Applicable	Office of Planning, Environment & Realty	N/A	N/A	
Approval of Highway Facility Relinquishment	23 CFR 620.203	As needed	Not Applicable	Office of Planning, Environment & Realty	N/A	N/A	

Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	PRHTA Responsible Program Office	Remarks
Approval of ROW Disposal Authorization Request	23 CFR 710.409	As needed	Not Applicable	Office of Planning, Environment & Realty	Right Of Way Officer	Property Management Office	
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	Right Of Way Officer	Property Acquisition Area	
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	Right Of Way Officer	N/A	
Approval of Interstate Real Property Use Agreements	23 CFR 710.405	As needed	Not Applicable	Office of Planning, Environment & Realty	Right Of Way Officer	Property Management Office	
Approval of Request for Federal Land Transfer	23 CFR 710.601	As needed	Not Applicable	Office of Planning, Environment & Realty	Right Of Way Officer	Property Acquisition Area	
Approval of Request for Direct Federal Acquisition	23 CFR 710.603	As needed	Not Applicable	Office of Planning, Environment & Realty	Right Of Way Officer	Property Acquisition Area	
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	Right Of Way Officer	Federal Liaison office, Property Acquisition Area, and Property Management Office	
Approval of Requests to Exempt Certain Nonconforming Signs, Displays, and Devices	23 CFR 750.503	As needed	Not Applicable	Office of Planning, Environment & Realty	Right Of Way Officer	N/A	
Approval of Railroad Agreement Alternate Procedure	23 CFR 646.220	As needed	Not Applicable	Office of Planning, Environment & Realty	N/A	N/A	
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	Right Of Way Officer	Property Acquisition Area	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	Right Of Way Officer	Property Acquisition Area	Submitted to FHWA Headquarters (HQ).
Review of Real Property Acquisition Statistical Report	FHWA Order 6540.1	Annually	15-Nov	Office of Planning, Environment & Realty	Right Of Way Officer	Property Acquisition Area	
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	N/A	N/A	FHWA Division Office Approval.
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	N/A	N/A	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	Planning Team	Programming and Special Studies Area	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	N/A	N/A	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	Safety	Traffic Engineering Area	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	Planning Team	Programming and Special Studies Area, HPMS Highway Systems Office	Review memo to HQ.
Approval of Certified Public Road Mileage	23 CFR 460.3(b)	Annually	1-Jun	Office of Highway Policy information	Planning Team	Programming and Special Studies Area, HPMS Highway Systems Office	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	Planning Team	Programming and Special Studies Area, HPMS Highway Systems Office	State DOT sends directly to Division Office and HQ.

Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	PRHTA Responsible Program Office	Remarks
Highway Statistics Reports	Guide to Reporting Highway Statistics			Office of Highway Policy information	Planning Team	Programming and Special Studies Area, HPMS Highway Systems Office	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	Planning Team	Finance and Administration Area, Budget Office	
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	Planning Team	PRHTA Office of Planning and Environment	
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	Planning Team	PRHTA Office of Planning and Environment	
Transportation Bond Referendums	A Guide to Reporting Highway Statistics, Chapter 9	When Published	When Published	Office of Highway Policy information	N/A	N/A	
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 and Planning Team	PRHTA Office of Planning and Environment, PRHTA Office of Toll Roads and Operations	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	Planning Team	Finance and Administration Area	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	Planning Team	Finance and Administration Area	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 Team	PRHTA Office of Finance and Administration	
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 Team	PRHTA Office of Finance and Administration	
Motor Fuel Oversight Review	July 24, 2001 HQ Memo	Initial baseline reports no later than December 31, 2003		Office of Highway Policy information	Planning Team	Programming and Special Studies Areas	Annual progress reports and statement of verification by June 30. Submitted via UPACS.
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	Planning Team	Programming and Special Studies Areas	Division Office sends to HQ.
State Highway Maps (Tourist)		When Published	When Published	Office of Highway Policy information	Planning Team	Programming and Special Studies Areas, HPMS Highway Systems Office.	Two copies to each Division Office and 100 copies to HQ.
Traffic Flow Maps		When Published		Office of Highway Policy information	Planning Team	Programming and Special Studies Areas, HPMS Highway Systems Office, GIS Office, Transit Data Collection and Transit Analysis Office	When Published.
Vehicle Classification Data	MAP-21, HPMS Field Manual, Traffic Monitoring Guide	15-Jun	15-Jun	Office of Highway Policy information	Planning Team	Programming and Special Studies Areas, HPMS Highway Systems Office, GIS Office, Transit Data Collection and Transit Analysis Office	Part of Annual HPMS submittal.
Highway Use Tax Evasion Grant Awards	23 USC 143	Annualy	Not Applicable	Office of Highway Policy information	N/A	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	Not Applicable	Office of Highway Policy information	N/A	N/A	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) – Certification of verifying proof-of-payment of HVUT	23 CFR 669	Annual	Not Applicable	Office of Highway Policy information	N/A	N/A	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	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	PRHTA Responsible Program Office	Remarks
Heavy Vehicle Use Tax (HVUT) – Triennial review of State program	23 CFR 669.21	Triennial	Not Applicable	Office of Highway Policy information	N/A	N/A	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	Planning Team	Programming and Special Studies Area, Weighting and Measures Central Office	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	Planning Team	Programming and Special Studies Area, Weighting and Measures Central Office	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	Planning Team	Programming and Special Studies Area, Weighting and Measures Central Office	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.
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 HSIP final rule is established	Office of Safety	Safety Engineer	Traffic Engineering and Operation Area	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 Engineer	Traffic Engineering and Operation Area	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 Engineer	Traffic Engineering and Operation Area	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 Engineer	Federal Liaison Office	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	Safety Engineer	Federal Liaison Office	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 Engineer	N/A	NHTSA
High Risk Rural Roads (HRRR) Special Rule	23 USC 148(g)(1)	Annually	Annually	Office of Safety	Safety Engineer		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 Engineer		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	Associate Division Administrator	Construction Area	National Programs.

ATTACHMENT C
EXISTING MANUALS AND OPERATING AGREEMENTS FOR PRHTA FEDERAL-AID PROJECTS

Procedure for Toll Credit Usage
SOP Processing of Federal Billings for CHO & EWO
SOP Analysis, Verification and Recording of Data for Federal
Billings Bridge Safety Inspection Manual
Systematic Preventative Maintenance
Agreement Title VI Plan
Right of Way Manual
Access Policy Affirmative Action
Plan Bid Process "Reglamento de
Subastas" Consultant Selection
Process Construction Manual
Disadvantage Business Enterprise (DBE)
Progra Standard Drawings
PRHTA Design Manual
Statewide Transportation Improvement
Plan Supplemental and Standard
Specifications Work Zone Safety Policy
Strategic Highway Safety Plan
(SHSP) Highway Design and
Directives Manual
Standard Specifications for Road and Bridge
Construction Special Provisions
Value Engineering Policy
Long Range
Transportation Plan
Puerto Rico Noise Policy
Access Control Policy

ATTACHMENT D
PRHTA STEWARDSHIP AND OVERSIGHT INDICATORS AND REPORTING REQUIREMENTS

Effective Stewardship/Oversight Indicators	
Area of Focus	Indicator
Civil Rights	• DBE project goal versus actual payment • Quarterly progress toward statewide DBE goal • Number of ADA formal complaints • Number of formal Title VI complaints • EEO compliance reviews completed
Financial Management	• Annual Obligation Curve • Percentage of Projects with expenditures last 90 days • Inactive Obligations as a percentage of annual apportionment
Bridge/NBIS	• Percentage of routine inspections on schedule • Number of bridges behind on Underwater Inspections. • Number of bridges behind on Fracture Critical Inspections • Number delinquent inspections
Planning	• Percentage of projects advanced from STIP
Environment	• Average time to complete EISs, EAs and CEs • Percentage of projects requiring environmental re-evaluation • Percentage projects requiring wetland mitigation • Number of projects with administrative compliance orders from regulatory agencies
Design	• Percentage of change between original design estimate and the contracted design amount per project • Number of projects with 15% or more increase in total design cost. • Percentage of projects completed under the original contract time • Utility agreements per individual projects • Number of PS&E comments requiring resolution • PRHTA number of days to address PS&E comments per project • Value engineering savings • Number of projects that require design exceptions
ROW	• Percentage of projects with conditional ROW certifications • Number of ROW appeals filed each year • Percentage of parcels acquired through condemnation
Safety	• Percent of Highway Safety Improvement Program funds obligated • Number of completed Roadway Safety Audits • Number of fatalities (decrease) • Fatalities rate • Number of Injuries
Operations	• Average incident clearance time • Duration of peak period (AM and PM for key routes)
Contract Administration	• Number of days between authorization and bid award • Number of bids per project (by region, type of work, contract size, level of competition, etc.) • Percentage of change between original construction estimate and the contracted amount per project
Construction	• Value engineering savings – construction

	• Percentage of projects completed under the original contract time • Number of projects with 15% or more increase in total cost. • Number of projects that requires times extensions. • Construction change orders attributed to design • Number of projects closed-out

Appendix A: Glossary

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

Assumed Projects – Federal projects that the State DOT 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- ay, 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 State DOT a sub-recipient and this entity is administering the particular phase being authorized, i.e., Preliminary Engineering, ROW, or Construction. These include projects where the non-traditional entity will either perform the work itself or enter into a contract for services or construction. State DOT remains responsible for the local public agency's compliance on locally administered projects.
– Any organization, other a traditional State DOT, 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 State DOT. An e ample could include a Port Authority or Toll Authority that had not traditionally worked with the Federal-aid highway program (FAHP).

Oversight – The act 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 State DOT 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.

Appendix B: Project Oversight Designation Requirement in the Fiscal Management Information System (FMIS)

PoDI/State Administered – Projects of Division Interest that are administered by the State DOT. If specific 106(c) responsibilities are assumed by the State DOT, the responsibilities assumed should be noted in the project description and/or remarks fields. (Projects where all six 106(c) responsibilities are retained by FHWA would need no such notation.) These are projects where FHWA will review and approve actions pertaining to one or more of the following (design; plans, specifications, and estimates; contract awards; and project inspections) and may also include additional areas of focus by the division.

PoDI/Locally Administered – Projects of Division Interest that are locally administered.If specific 106(c) responsibilities are assumed by the State DOT, the responsibilities assumed should be noted in the project description and/or remarks fields. (Projects where all six 106(c) responsibilities are retained by FHWA would need no such notation.) These are projects where FHWA will review and approve actions pertaining to one or more of the following (design; plans, specifications, and estimates; contract awards; and project inspections) and may also include additional areas of focus by the division.

Assumed/State Administered – Projects where *responsibility for all six Section 106(c) items* is assumed by the State DOT and the project is administered by the State DOT. These are projects where the State DOT has assumed responsibility for review and approval actions pertaining to all of the following: design; plans, specifications, and estimates; contract awards; and project inspections.

Assumed/Locally Administered - Projects where *responsibility for all Section 106(c) items* is assumed by the State DOT and the project is administered by a local agency. These are projects where the State DOT has assumed responsibility for review and approval actions pertaining to all of the following: design; plans, specifications, and estimates; contract awards; and project inspections.

Other – There may be situations that do not fit the previous categories. In cases where the project is identified as "Other," additional details should be provided in the project description and/or remarks fields. Examples could include non-State DOT direct recipients.