

Superseded by April 2015 agreement.



**Federal Highway Administration, Alaska Division
and
Alaska Department of Transportation & Public Facilities
Stewardship and Oversight Agreement**



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INTRODUCTION

Purpose

The purpose of this Joint Stewardship and Oversight Agreement (Agreement) is to provide a roadmap to effectively and efficiently manage the Federal-Aid Highway Program (FAHP) both in terms of program and project delivery. It formalizes the roles and responsibilities of the Federal Highway Administration (FHWA), Alaska Division and the Alaska Department of Transportation (DOT&PF) in administering the FAHP, and outlines authorities, and assures accountability.

The Agreement outlines a risk-based approach for FHWA and DOT&PF to manage the public funds and to ensure the FAHP is delivered in accordance with federal laws and regulations. The approach includes a Strategic Planning Process, Strategic Stewardship and Oversight, and performance indicators/measures.

Through this Agreement, DOT&PF accepts responsibility as the project approval authority for delegated activities in accordance with Section 106 of Title 23, United States Code (USC). FHWA retains overall responsibility for the FAHP and this Agreement does not preclude FHWA from accessing or reviewing any federal-aid program and/or project at any time.

Background

The United States Congress (Congress) has charged FHWA with administering the FAHP under Title 23 of the United States Code (USC), Title 23 of the Code of Federal Regulations (CFR), and other associated laws and regulations. Section 106 of Title 23 USC, requires the agencies to enter into an agreement that documents the delegation of responsibilities. With the passage of the Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU), stewardship evolved to cover all aspects of the FAHP including financial integrity, local agency project delivery, and other mainstream FAHP program elements. With the changes in the law, Congress tasked both agencies with managing the FAHP through stewardship and oversight to accomplish national, state and local goals of maintaining a national highway network, improving its operation and safety, and providing for national security while protecting and improving the environment. In addition to the changes brought through SAFETEA-LU, current efforts require both agencies to ensure accountability and transparency in managing the FAHP.

FHWA is charged with stewardship and oversight responsibilities for all federal highway funded programs, regardless of project approval authorities assumed by DOT&PF. FHWA must conduct activities to ensure that DOT&PF implementation of the FAHP conforms to established laws, regulations, and policies; and that DOT&PF is carrying out its roles and responsibilities according to established agreement with FHWA.

Stewardship and oversight, as outlined in this document, are exercised through program management and project level activities. FHWA and DOT&PF have defined stewardship and oversight as follows:

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

Oversight is the act of ensuring that the federal highway program is delivered in accordance with applicable laws, regulations and policies.

DOT&PF and FHWA will work in partnership to deliver the FAHP to ensure integrity, value, quality, accountability, and transparency for system stakeholders and its customers. In order to meet this outcome, the agencies will implement strategies and employ a variety of tools to assess and effectively monitor the overall health of the FAHP to enhance the transportation system within the State of Alaska.

AGENCY ROLES AND RESPONSIBILITIES

Overview

In an effort to enhance the continuing partnership between FHWA and DOT&PF, this Agreement focuses on the individual and joint agency roles and responsibilities. More specific details about DOT&PF and FHWA's roles, responsibilities, and performance measures for each program area are described in the respective program overviews and are summarized in Appendix A: Program Responsibility List; Appendix B: Project Responsibilities List; and, Appendix C: List of Measures.

Roles and Responsibilities

Federal Highway Administration (FHWA)

FHWA will maintain overall responsibility for the FAHP within the parameters of 23 USC 106, except for the assignment of environmental responsibilities under SAFETEA-LU Sections 6004 (23 USC 326).¹ In addition, FHWA is ultimately responsible for ensuring financial integrity and compliance with applicable federal laws and regulations. FHWA remains accountable to the public and Congress for the FAHP and ensuring that it is delivered in an efficient and effective manner regardless of approval authority or responsibility delegated to DOT&PF. FHWA maintains authority for the actions and approvals in the following categories:

- Civil Rights Act of 1964;
- Environmental approvals not specifically assigned under Sections 6004 SAFETEA-LU;
- Federal air quality conformity determinations required by the Clean Air Act;

¹ Section 6004 of SAFETEA-LU is codified in 23 USC 326. For convenience, it is referred to here as Section 6004.

- Progress payments and final vouchers;
- Hardship acquisition and protective buying;
- Project agreements and modifications to project agreements;
- Obligation of funds;
- Planning and programming pursuant to 23 USC 134 and 135;
- Special Experimental Projects (SEP-14 and SEP-15);
- Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (UA), as amended; and,
- Waivers to Buy America requirements.

Projects for which defined approval authority is delegated to DOT&PF are not subject to further approvals by FHWA, unless it is jointly agreed. However, nothing in the Agreement shall prohibit FHWA from reviewing any programs and projects at any time.

Alaska Department of Transportation and Public Facilities (DOT&PF)

DOT&PF, through the specific delegation allowed under federal law, has authority for monitoring, reviewing, and/or approving activities that are eligible for FAHP funds. DOT&PF, in conformance with 23 USC 106, accepts responsibilities for the delegated duties in this Agreement. Additionally, per SAFETEA-LU Section 6004, DOT&PF has been assigned FHWA's authority and responsibility for compliance with the National Environmental Policy Act (NEPA) and other federal environmental laws. Specific authorities, responsibilities and exceptions are defined in the Memorandum of Understanding (MOU) for this delegation and assignment.

DOT&PF is responsible for administering the FAHP in a manner that ensures efficient and effective use of the FAHP funds. DOT&PF will administer the FAHP by being responsible for:

- Duties delegated to it pursuant to 23 USC 106;
- Ensuring and verifying, as needed, compliance with all federal laws, regulations and requirements;
- Identifying areas that are either non-compliant with federal requirements or have a high risk for becoming non-compliant (through a structured assessment process);
- Taking appropriate action when non-compliant findings are made;
- Implementing safeguards and/or improvements to reduce the risk of non-compliance;
- Assessing the FAHP through routine involvement;
- Conducting reviews and offering conflict resolution processes where necessary;
- Reviewing and approving activities under this Agreement related to federal-aid funds usage; and,
- Ensuring compliance with the executed MOU assigning federal responsibilities and supporting all required reviews and audits of activities under SAFETEA-LU Section 6004.

Title 23 USC does not recognize local entities as direct recipients of federal-aid funds. Accordingly, local agencies cannot take the place of DOT&PF in the context of the FAHP. DOT&PF is responsible for all requirements of the FAHP, whether these requirements stem from Title 23 or non-Title 23 statutes. The program and project authority that FHWA has delegated to DOT&PF does not authorize DOT&PF to pass these responsibilities to the local agencies. DOT&PF will provide the necessary review and approval to assure that locally administered federal-aid projects comply with federal requirements. DOT&PF will achieve this by assuring that local agencies have adequate project delivery systems in place and sufficient accounting controls to properly manage FAHP funds.

Joint Roles and Responsibilities

DOT&PF and FHWA will work collaboratively to manage the FAHP, and review, monitor, and approve activities as necessary in the designated areas of responsibility to comply with applicable laws, regulations, directives, and standards as defined in the Program Responsibilities (Appendix A) and the Project Responsibilities (Appendix B) lists. The success of the FAHP in Alaska is a joint responsibility that requires both agencies to be proactive in monitoring and improving the program, as well as taking necessary corrective actions when needed.

RISK-BASED APPROACH

Overview

FHWA and DOT&PF will work cooperatively to identify appropriate stewardship and oversight initiatives using a risk-based approach. The process will consider items such as strategic goals, mutual FHWA and DOT&PF initiatives to improve quality, cost, and FHWA's level of confidence in oversight mechanisms and activities.

This Agreement, therefore, implements a risk-based approach to effectively manage the FAHP and assess its overall health. This risk-based approach to program stewardship and oversight facilitates the effective leveraging of federal resources by focusing on areas of risk at the program and project level. It will be accomplished using distinctive, yet inter-dependent methodologies:

1. Strategic Planning Process,
2. Strategic Stewardship and Oversight (SSO),
3. Performance Measures/Indicators, and
4. Quality Improvement Process

Strategic Planning Process

DOT&PF and FHWA will coordinate strategic planning activities, to the extent possible, in an effort to align agency strategic plans. The FHWA will represent Alaska perspectives in setting national FHWA goals and strategies, and will coordinate the adopted national goals and strategies with the DOT&PF Strategic Planning Process in order to assure reasonable alignment of desired outcomes, objectives, and measures of both agencies.

Annually DOT&PF and FHWA staff will jointly meet to: assess various elements within the FAHP; ensure that program elements are being managed effectively and efficiently; recommend projects for High Profile status; and to assess how well the elements are achieving program goals. They will accomplish this through the utilization of SSO methods (see below), performance measures/indicators and other strategies. In addition, they will consider changes to goals or requirements that affect program elements.

Strategic Stewardship and Oversight Methods

SSO includes methods and activities by which DOT&PF and FHWA will work together in managing the FAHP to: 1) ensure effective strategies are implemented to maintain and improve the overall health of the transportation system within the State of Alaska; and, 2) monitor and maintain compliance with all required federal laws and regulations. These methods develop into the Strategic Planning Process that will guide DOT&PF and FHWA in implementing strategies that manage risk.

SSO is achieved through program management of the responsibilities, including those listed in Appendix A. Program management is used by DOT&PF and FHWA to plan and organize activities to formulate methods that achieve common goals through cooperative efforts in administering the FAHP. Effective management means ensuring that all requirements are met while proactively seeking opportunities to improve the program through:

- Analyzing and evaluating methods and processes;
- Evaluating and recommending improvement for the effectiveness and efficiency of programs;
- Performing program level involvement;
- Promoting new initiatives and concepts;
- Participating on relevant joint task forces, joint committees, and joint quality improvement teams;
- Assisting other stakeholders with program-related issues;
- Verifying compliance through project level samples;
- Conducting program assessments (see below);
- Conducting program reviews (see below); and,
- Conducting strategic project oversight (see below).

Program Assessments

Program assessments provide an avenue for determining the current health and effectiveness of the FAHP and assess future risk. Assessments include program analysis such as risk management techniques and self-assessments. These tools are based on the common concepts of identifying strengths, areas of concern, opportunities, and sharing best practices to continually improve the programs. DOT&PF and FHWA will conduct Program Analyses and implement principles of risk management. Risk management is a systematic process that involves the identification, assessment, planning, and management of threats and opportunities faced by programs, processes, and projects. This will be accomplished by

performing an Annual Program Analysis and Risk Assessment in core program areas. The program analysis will identify particular program initiatives that could be accomplished to optimize the effectiveness of the current state of the program and the vision of where that program should be in three years. In order to accomplish this, a Risk Assessment will be conducted to evaluate the potential exposure to loss for a particular program or process and the identification of potential countermeasures to control or reduce perceived risk. In addition, information obtained from oversight activities and performance measures/indicators will be considered when performing the program analysis and risk assessment. The program analysis will outline response strategies and initiatives to effectively manage risk. Response strategies include strategies of avoidance, acceptance, transference, mitigation or enhancement, planned or implemented to cope with identified risks. Mitigation efforts may include:

- 1) staff training,
- 2) program reviews,
- 3) updating manuals, and procedural guidance,
- 4) and providing technology transfer/technical assistance.

Program Reviews

Program reviews analyze key program components and the processes used by the DOT&PF and FHWA in managing the program. Program reviews can be conducted by individuals or teams from the agencies and other stakeholder groups or organizations. Program reviews are often an outcome of program assessments or performance indicators/measures that suggest a need for improvement. Performance indicators/measures may also be developed as a part of program reviews to help highlight and quantify successes and problem areas. In general, the reviews will:

- Gauge compliance with federal requirements;
- Identify opportunities for greater efficiencies and improvements to the program;
- Identify good program delivery systems and exemplary practices;
- Identify areas that need attention and make recommendations for improvement;
- And follow up to ensure that recommendations have been implemented.

Program reviews may include process reviews, project level reviews, quality improvement reviews and peer reviews.

Strategic Project Oversight

On September 30, 1997, 23 USC 106(c) permitted the States to approve, on a project-by-project basis, plans, specifications, and estimates for projects on the National Highway System (NHS), and permitted the States to request that the U.S. Secretary of Transportation no longer review and approve highway projects on the Interstate with an estimated construction cost of less than \$1,000,000. Additionally, FHWA issued guidance on February 22, 2007, that allows FHWA and the States to establish programmatic agreements for new or reconstruction projects on the Interstate which are greater than \$1,000,000 but are evaluated

as low risk. The States will have advance approval for design, plans, specifications, estimates, contract award, contract administration, and project inspections in advance of actual delivery of these projects. However, these advance approvals are not effective until after approval of the project's environmental document accomplished in accordance with the National Environmental Policy Act (NEPA) process and the satisfaction of other related environmental laws and procedures.

It is mutually desirable to both FHWA and DOT&PF to streamline the approval process for routine and inherently low risk projects. Through this Agreement, FHWA is granting its approval to delegate to DOT&PF in advance of actual delivery of projects the responsibility for oversight and approval of project level activities for low-risk projects. This includes projects on the Interstate System that are routine and inherently low risk in which DOT&PF has a high level of experience and has well-documented procedures and processes in place for ensuring compliance with federal requirements. For projects on the Interstate that are delegated to the DOT&PF, FHWA's oversight will be satisfied by conducting SSO methods and activities. Therefore, both agencies will implement a risk-based approach to project-level management that no longer uses the \$1,000,000 threshold.

While DOT&PF will be responsible for approval of project level activities for low risk projects, FHWA will maintain project level approval for High Profile projects. This risk-based approach to project oversight will be conducted by selecting the projects that traditionally pose a risk to the health of the FAHP.

Each year, after the Program Analyses and Risk Assessments are complete (around July), DOT&PF and FHWA will jointly determine which projects are considered to be High Profile projects based on the criteria listed below. The *High Profile Project* determination will be made by FHWA in conjunction with DOT&PF at the regional level. The criteria include:

- Projects identified through Program Assessments (the likelihood and severity of potential problems)
- Controversial and Congressional Interest projects
- Projects of National Focus
- Innovative contracting method projects with federal funds
- Invitational projects (invited by the DOT&PF)
- Major Intelligent Transportation Systems (ITS) projects
- Major Projects (>\$500M)
- Mini-major Projects (\$100M - \$500M)
- Non-Traditional Revenue Sources projects
- Special Experimental Projects – Alternative Contracting (SEP-14)
- Special Experimental Projects – Public Private Partnerships (SEP-15)
- Unusual Bridge and Structure projects

All Major Projects (>\$500M) will automatically be selected as *High Profile Projects*. Beyond that, the number of *High Profile Projects* is expected to be no greater than thirty projects statewide at any point in time to provide a manageable workload for FHWA area engineers.

All projects will be administered in accordance with the Project Responsibilities List (Appendix B). The three types of projects include High Profile Projects, NHS Projects and non-NHS Projects. FHWA and DOT&PF will have project level approval authorities as indicated in Project Responsibilities List. DOT&PF and FHWA will maintain an open and collaborative relationship in order to ensure timely and efficient delivery of all projects within the FAHP.

Performance Indicators/Measures

Performance indicators/measures will be one of several tools used to assess the health of the FAHP during the Strategic Planning Process. They will enable FHWA and DOT&PF to monitor program performance and proactively implement corrective actions when needed. Performance indicators/measures consist of a mixture of different types of measures designed to monitor and track trends of the effectiveness (outcomes) and efficiency (outputs) of the functional program areas and the overall FAHP. Data derived from these indicators/measures will be used on an ongoing basis to monitor how well the various program elements are functioning, including how efficiently the program is being delivered and how well the program is complying with various requirements. The indicators/measures are to be used as a tool for FHWA and DOT&PF in jointly managing the FAHP. Changes in the measurements over time will be tracked to determine the progress being made toward any objectives, and whether adjustments are necessary to improve efficiency or reduce risk. While these performance measures/indicators provide a point-in-time evaluation, they do not generally reveal why the program is performing at the measured level.

The indicators/measures will also serve as input in conducting annual program analyses and risk assessments and may give cause for program reviews or other program management techniques such as project inspections and project document reviews.

Appendix C provides a comprehensive list of the performance indicators/measures, along with the goal, report cycle, lead authority, and supporting justification for the indicator/measure. It is important to note that the indicators/measures may evolve and change over time; however, every effort will be made to achieve the original intent of the indicator/measure. Additionally, other indicators/measures may be developed and used. All changes to the indicators/measures will be agreed upon by both the FHWA and DOT&PF and will not by themselves warrant a change to this Agreement. However, if other major changes need to be made to the agreement, the latest list of measures will be placed in Appendix C.

Quality Improvement Process

Each agency agrees to appoint a Quality Improvement Manager to meet on a quarterly basis to discuss elements mainly related to the outcomes of the Strategic Planning Process, Strategic Stewardship and Oversight Methods, and Performance Indicators and Measures. Their main objectives are to 1) ensure that the SSO methods and performance measures/indicators are effective and utilized by program and senior level managers, 2) ensure that strategies are implemented that address systemic issues rather than activities that

attempt to fix symptoms, and 3) ensure that major changes to the Agreement are completed in a timely manner. They will discuss the current and upcoming activities, review major issues at the program or project level, and develop strategic approaches to improve the overall processes and programs. The following is a general list of activities that will occur during the quarterly meetings:

- Report status on previous FY program review findings and recommendations
- Ensure that previous reviews are closed out in a timely manner
- Review status of Program reviews (required reviews and risk-based reviews) for the current year
- Share Program Review Work Plans
- Review outcomes of Strategic Stewardship and Oversight Methods and Performance Indicators and Measures
- Identify global FAHP issues
- Develop strategies to address global issues and memorialize them through the Risk Management Framework activities and DOT&PF's Division Overviews
- Ensure list of measures is kept current
- Recommend for approval any major changes to the Agreement

This will assist in monitoring the FAHP in a holistic manner rather than a stove-piped approach. It will facilitate a systemic approach to identifying global issues, developing response strategies, and ensuring that resources are effectively and efficiently utilized.

IMPROVEMENTS TO THE AGREEMENT

It is anticipated that during its implementation there will be instances when both agencies agree that improvements can be made to the terms of this Agreement. As previously stated, *it is important to note that the indicators/measures may evolve and change over time; however, every effort will be made to achieve the original intent of the indicator/measure. All changes to the indicators/measures will be agreed upon by both the FHWA and DOT&PF and will not by themselves warrant a change to this Agreement. However, if other major changes need to be made to the agreement, the latest list of measures will be placed in Appendix C.*

In order to facilitate major changes, each agency's Quality Improvement Manager will be the principal contact for assuring that the Agreement is kept current, and will coordinate the negotiation of any changes. They will make the final recommendations to the DOT&PF Commissioner and the FHWA Division Administrator, who will have approval authority for any such changes.

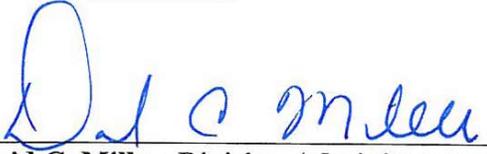
EXECUTION OF DOCUMENT

The FHWA and DOT&PF enter into this Agreement to carry out their respective responsibilities with mutual cooperation and collaboration. This Agreement does not relieve either party from accountability for compliance with federal laws and regulations of the FAHP. Signatures on this Agreement by the FHWA and DOT&PF acknowledge delegation of responsibilities for stewardship and oversight under the provisions of Section 106 of Title 23 USC.



**Leo von Scheben, Commissioner
Alaska Department of Transportation
and Public Facilities**

Sept 22, 2009
Date



**David C. Miller, Division Administrator
Federal Highway Administration**

22 Sept. 2009
Date

Appendix A: Program Responsibilities List (currently under separate file)

APPENDIX A

Program Responsibilities List

The Program Responsibilities List is to be used as a tool to jointly manage program activities that are integral parts of the FAHP. This comprehensive list defines program level activities, roles, and responsibilities. The list also outlines the approval authorities (highlighted in yellow, where applicable) and is broken down by program area identifying frequency of approvals and actions, regulatory references, and provides the FHWA and AKDOT&PF contact information. Effective management of these activities contributes to the overall health of the FAHP.

ACTIVITY	Authority	Frequency / Due	AKDOT&PF Contact	FHWA Contact	Remarks
Planning					
Statewide Planning					
SPR (Part 1) Work Program	23 CFR 420.111	Annually by September 30	Program Development	Planner	
State Participation Process for Non-metropolitan Local Officials	23 CFR 450.210(b)	As needed or as revised by State	Program Development	Planner	
State Public Involvement Process	23 CFR 450.210(a)	As needed or as revised by State	Program Development	Planner	
State Self-certification	23 CFR 450.218	submitted with proposed STIP or STIP amendments	Program Development	Planner	FHWA and FTA issue a joint finding
Statewide Transportation Plan	23 CFR 450.214	Revise and update, as appropriate	Program Development	Planner	
STIP	23 CFR 450.216	At least every 4 years	Program Development	Planner	Joint FHWA and FTA approval
STIP Amendments	23 CFR 450.218	As submitted by State	Program Development	Planner	Joint FHWA and FTA approval
Tribal Government Consultation Process(es)	23 CFR 450.210(c)	As needed or as revised by State	Civil Rights	Civil Rights	
Metropolitan Planning					
Annual Listing of Obligated Projects	23 CFR 450.332	Annually, no later than 90 days after September 30	Program Development	Planner	
Certification in TMAs	23 CFR 450.334(b)	Every 4 yrs	Program Development	Planner	Joint FHWA and FTA certification
Congestion Management Process in TMAs	23 CFR 450.320	Established and revised as needed	Program Development	Planner	
Metropolitan Planning Area Boundaries	23 CFR 450.312	established and revised as needed	Program Development	Planner	Require agreement between Governor and the MPO
Metropolitan Transportation Plan (MTP) in Attainment Areas	23 CFR 450.322	Every 5 yrs	Program Development	Planner	Developed by MPOs
MPO Designation and Redesignation	23 CFR 450.310	As needed/revised by MPO/State	Program Development	Planner	Require agreement between Governor and local governments
MPO Self-certification (Non-TMAs)	23 CFR 450.334(a)	At least every 4 years, with submittal of TIP as part of the STIP	Program Development	Planner	
MTP in Non-attainment and Maintenance Areas	23 CFR 450.322	Every 4 yrs	Program Development	Planner	Developed by MPOs
Participation Plans	23 CFR 450.316	As needed or revised by MPOs	Program Development	Planner	Developed by MPOs

ACTIVITY	Authority	Frequency / Due	AKDOT&PF Contact	FHWA Contact	Remarks
TIP	23 CFR 450.324; 23 CFR 450.328	At least every 4 years	Program Development	Planner	
TIP Amendments	23 CFR 450.326; 23 CFR 450.328	As submitted by MPOs	Program Development	Planner	
Unified Planning Work Programs	23 CFR 450.306	Annually by January 1	Program Development	Planner	Developed by MPOs; Joint FHWA and FTA approval.
Air Quality					
CMAQ Funds Report	04/28/99 HQ CMAQ guidance memo	Annually by Feb 1	Program Development	Planner	
Conformity Determination for MTP in Non-attainment and Maintenance Areas	23 CFR 450.322; 40 CFR 93	With MTP updates at least every 4 years and as needed on amendments	Program Development	Planner	Joint FHWA and FTA determination; In consultation with the Environmental Protection Agency (EPA)
Conformity Determination for TIP in Non-attainment and Maintenance Areas	23 CFR 450.328; 40 CFR 93	With TIP submittal at least every four years and as needed on TIP amendments	Program Development	Planner	Joint FHWA and FTA determination; In consultation with EPA
PM2.5 and Mobile Source Air Toxics	Memos February 3, 2006 and March 29, 2006, 71 FR 12468, 23 CFR 771.129	As needed	Planning/ Environment	Planner/Environment	In consultation with EPA
ROW					
Acquisitions, Appraisals, and Relocations	49 CFR 24, The UA	As needed	ROW	ROW	
Early Acquisitions	23 CFR 710.501	As needed	ROW	ROW	
Outdoor Advertising Policies and Procedures	23 CFR 750.304	As needed or submitted by State	ROW	ROW	
Railroad Agreement Alternate Procedure	23 CFR 646.220	One time	ROW	ROW	
Requests for Waivers	49 CFR 24.204(b); 49 CFR 24.7	As submitted by State	ROW	ROW	
State ROW Manual	23 CFR 710.201	Jan. 1, 2001 & every 3 years thereafter	ROW	ROW	
Uniform Relocation Assistance and Real Property Acquisition Report – [Office of Management and Budget (OMB) Form 2125-0030]	49 CFR 24.9(c) and Appendix B	Annually by no later than November 15	ROW	ROW	Submitted to FHWA Headquarters (HQ)
Utility Accommodation Policy	23 CFR 645.215	When changes occur	ROW	ROW	
Highway Information					
Functional classification of highways/streets	23 CFR 105(b)	As needed or as revised by State	Program Development	Planner	
HPMS Data Submission and Review	FHWA HPMS Field Manual & CFR 420.105(b)	Submission by June 15; Review by November 1	Program Development	Planner	Submission by AKDOT&PF; Review by FHWA Division
NHS revisions	23 CFR 470.113, 115(a)	As requested by State	Program Development	Planner	Approved by HQ - Office Director
Public road mileage certification	23 CFR 460.3 & FAPG NS 23 CFR 460	Annually by June 1	Program Development	Planner	Approved by Governor or designee
Urban area boundaries	23 CFR 470.105(a)	As needed or as revised by State	Program Development	Planner	
Environment					
Bicycle Transportation and Pedestrian Walkways	23 USC 217	As needed or requested by State	Design	Small Programs Manager	
Environmental Justice	FHWA Order 6640.23	As needed or required	Environment	Environment	
Environmental Review Process	SAFETEA-LU Section 6002	As required for EISs and as needed for EAs	Environment	Environment	
NEPA Procedures, including Section 4(f)	23 CFR 771; 23 CFR 774; SAFETEA-LU 6007 & 6009	As needed or required	Environment	Environment	

ACTIVITY	Authority	Frequency / Due	AKDOT&PF Contact	FHWA Contact	Remarks
Noise Policy	23 CFR 772; 06/12/95 HQ memo	As needed or required	Environment/ Design	Environment	FHWA approves AKDOT&PF' noise abatement policy
Planning and Environmental Linkages	23 CFR 450.212; 23 CFR 450.318; Appendix A to 23 CFR 450	As needed	Planning/ Environment	Planning/ Environment	
Compliance Reviews on Section 6004 MOU	SAFETEA-LU Section 6004; MOU	At least every 15 months	Environment	Environment	
Public involvement/Public Hearing Program	23 CFR 771.111(h)(1)	As revised by State	Environment	Environment	
Section 106 of the National Historic Preservation Act	23 CFR 800	As needed or required	Environment	Environment	
Section 404 of the Clean Water Act	23 CFR 777; NEPA/404 MOU	As needed or required	Environment	Environment	
Section 6(f) of the Land and Water Conservation Fund Act	36 CFR 59	As needed or required	Environment	Environment	
Section 7 of the Endangered Species Act	50 CFR 402; Dispute Resolution Process	As needed or required	Environment	Environment	
Section 9 of the Rivers and Harbors Act (Bridge Permits)	23 CFR 650 Subpart H; 33 CFR 114 and 115	As needed or required	Environment	Bridge	
Annual Wetlands Mitigation Report		Annually	Environment	Environment	
Annual ESA Expense Report		Annually	Environment	Environment	
Tribal Government Consultation	36 CFR 800.16(m)	As needed or required	Environment	Civil Rights	
Civil Rights					
ADA/Sec. 504 Program Plan accomplishments and next year's goals	49 CFR 27.11(c), EO 12250	Annually by Oct. 1	Civil Rights	Civil Rights	Division reviews and comments
ADA complaint reports of investigation	28 CFR 35.190	As requested by FHWA	Civil Rights	Civil Rights	Division reviews, FHWA HQ approves and issues finding
Annual Contractor Employment Report [Construction Summary of Employment Data (Form PR-1392)]	23 CFR 230.121(a)(3)	Annually by Sept 30	Civil Rights	Civil Rights	Division reviews and submits to FHWA HQ for approval -- Is this still required???
DBE Program Plan accomplishments and next year's goals	49 CFR 26.11	Annually by Oct. 1	Civil Rights	Civil Rights	Division reviews and comments
DBE Program revisions	49 CFR 26.21(b)(2)	As needed	Civil Rights	Civil Rights	
EEO Contract Compliance review reports	23 CFR 230.409, 230.413(b)(1)(i)(D)	Upon completion by State	Civil Rights	Civil Rights	Division reviews and comments
EEO Contractor Compliance Plan accomplishments and next year's goals	23 CFR 230, Subpart C, Appendix A, Part I, III	Annually by Oct. 1	Civil Rights	Civil Rights	Division reviews and comments
Historically Black College & University / Minority Institutions of Higher Learning / Tribal Colleges and Universities Report	EO 12876	Annually by Nov 1	Research	Research	Division reviews and submits to FHWA HQ
OJT goals & accomplishments	23 CFR 230.111(b)	Annually by Jan 30	Civil Rights	Civil Rights	Division reviews and comments
Report on supportive services (OJT & DBE)	23 CFR 230.113(g), 230.121(e), 230.204(g)(6)	Quarterly by April 15, July 15, Oct. 15, and Jan. 15	Civil Rights	Civil Rights	Division reviews and comments
State Employment Practices Report (EEO-4)	23 CFR 230.311(a)(2), FAPG-1-C-230-C	Annually by Aug. 15	Civil Rights	Civil Rights	Division reviews and submits to FHWA HQ
State internal EEO affirmative action plan (Title VII) accomplishments, next year's goals, and employment statistical data	23 CFR 230.311, FAPG-1-C-230-C	Annually by Oct. 1	Civil Rights	Civil Rights	Division reviews and comments
State's Overall Disadvantaged Business Enterprise (DBE) Goal	49 CFR 26.45(f)(1)	Annually by Aug 1	Civil Rights	Civil Rights	Also requires FHWA legal review and concurrence
Supportive services funds requests (OJT and DBE)	23 CFR 230.113 & 230.204	As requested by FHWA	Civil Rights	Civil Rights	Division reviews and submits to FHWA HQ for approval
Title VI Plan accomplishments and next year's goals	23 CFR 200.9(b)(10), FAPG-1-C-200	Annually by Oct. 1	Civil Rights	Civil Rights	Division reviews and comments
Title VI Plan revisions	23 CFR 200.9	As needed	Civil Rights	Civil Rights	
Uniform Report of DBE Commitments/Awards and Payments	49 CFR 26, Appendix B	Semi-annually by June 1 and Dec. 1	Civil Rights	Civil Rights	Division reviews and submits to FHWA HQ
ITS and Traffic Operations					

ACTIVITY	Authority	Frequency / Due	AKDOT&PF Contact	FHWA Contact	Remarks
Incident Management	23 CFR 500	As needed	Engineering	Engineering	
National Manual on Uniform Traffic Control Devices Compliance	23 CFR 655	within 2 years of most recent national MUTCD edition	Engineering	Engineering	
National Network Modifications	23 CFR 658.11	As requested by State	Engineering	Planning Team	
Regional ITS Architecture Maintenance	23 CFR 940.9	As needed	Planning	Engineering	Typically, MPOs own and maintain system
Statewide ITS Architecture and System Plan	23 CFR 940.9	As needed or as revised by State	Planning	Engineering	
Systems Engineering Analysis Implementation	23 CFR 940.11	Until fully integrated	Planning	Engineering	
Vehicle Size & Weight enforcement certification	23 CFR 657.13	Annually by Jan 1	Weights and Measures	Motor Carrier Safety	
Vehicle Size & Weight enforcement plan	23 CFR 657.11	Annually by Oct 1	Weights and Measures	Motor Carrier Safety	
Research, Development and Technology					
Local Technical Assistance Program (LTAP) Centers Work Plan and Budget	FHWA LTAP work program	Annually by January 1	Research	Research	
Research Work Program	23 CFR 420.111	Annually by January 1	Research	Research	
Safety					
402 Highway Safety Plan	12/22/99 guidelines, TEA-21, 2001	Annual	Program Development	Engineering	The Governor's Highway Safety Rep coordinates with the National Highway Traffic Safety Administration for review and approval; no AKDOT&PF involvement
5% Report	23 USC 148(c)(1)(D)	Annually by August 31	Engineering	Engineering	
Drug offender driver's license suspension law & enforcement certification	23 USC 159, 23 CFR 192.5	Annually by Jan 1	Program Development	Engineering	The Department of Motor Vehicles coordinates with Governor's Safety Rep for certification
High Risk Rural Road Safety	SAFETEA-LU 1401, 23 USC 148	Annually by August 31	Engineering	Engineering	
Highway Safety Improvement Program	SAFETEA-LU, 23 USC 148	Annually by August 31	Engineering	Engineering	
Work Zone Traffic Control Report	23 CFR 630.1008(e)	Biennial	Engineering	Engineering	
Work Zone Accident Report	23 CFR 630.1008©	Annually	Engineering	Engineering	
Pedestrian and Bicycle Safety Program	23 CFR 652	As needed	Program Development	Engineering	
Project crash data	23 CFR 630.1010	Continuous	Program Development	Engineering	
Repeat Offender	23 CFR 1275; 23 USC 164	Annually by October 1	Governor's Safety Rep	Engineering	
Roadside Hardware	FHWA July 25, 1997 Policy Memo re: NCHRP Report 350	As needed	Engineering	Engineering	
SHSP	SAFETEA-LU, 23 USC 148	As needed	Governor's Safety Rep	Engineering	
Work Zone Safety and Mobility Final Rule compliance	23 CFR 630	12-Oct-07	Engineering	Engineering	AKDOT&PF already implements transportation management plans (TMPs) and will continually review and refine TMPs to comply with the provisions of the Final Rule.
Bridges, Structures, Hydraulics and Geotechnical					
Bridge Construction, Geotechnical, Hydraulics Review	23 CFR 650	As needed	Bridge/materials	Bridge	
BMS	23 CFR 500.107	As needed	Bridge	Bridge	
Bridge/Structural Design Review	23 CFR 650	As needed	Bridge	Bridge	
HBP Unit Cost submittal	23 CFR 650 Subpart D	Annually by April 1	Bridge	Bridge	
NBIS Review Statewide report	23 CFR 650 Subpart C	Annually by Feb 1	Bridge	Bridge	Division performs review and prepares annual report
Design, Construction, & Maintenance					
3R Program	23 CFR 625	As needed	Engineering	Engineering	Chapter 11 of Preconstruction Manual
Construction Inspections	23 USC 114	Quarterly	Engineering	Engineering	
Contracting Procedures Consultant Selection	23 CFR 172.5 & 172.9	As updated	Engineering	Engineering	

ACTIVITY	Authority	Frequency / Due	AKDOT&PF Contact	FHWA Contact	Remarks
Convict Produced Materials	23 CFR 635.417	As needed	Engineering	Engineering	
Design Exception Policy	23 625.3	As needed	Engineering	Engineering	
Highway Facility Relinquishment	23 CFR 620.203	As needed	ROW	ROW	
Labor Compliance Policy	23 CFR 635.118, Davis-Bacon Act	As needed	Engineering	Engineering	
Liquidated Damages	23 CFR 635.127	Every 2 years	Engineering	Engineering	
Local Public Agency Oversight Policies & procedures	23 CFR 635.105	As updated	Engineering	Engineering	
Public Agency Furnished Material	23 CFR 635.407	As needed	Engineering	Engineering	
Standard Specifications and Plans	23 CFR 625.4	As Needed	Engineering	Engineering	
Year-end Value Engineering Report	23 CFR 627	Annually by Nov. 22	Engineering	Engineering	FHWA HQ publishes national report
Transportation System Preservation					
Materials Acceptance – Quality Control/Quality Acceptance Program	23 CFR 637B	As updated	Materials	Engineering	
Materials Certifications	23 CFR 637 Appendix A	As needed on federal-aid projects	Construction/ Materials	Engineering	Certifications provide data for program updates.
Pavement Design Policy	23 CFR 626.3	As needed	Materials	Engineering	
Pavement Management System	23 CFR 500.106	As needed	Maintenance	Engineering	
Financial Management					
Appropriations, Allotments, Obligations	31 USC 1341(a)(1)(A) & (B); 31 USC 1517(a); 23 USC 188(b)	As needed	Program Development	Finance	
Audit Coordination	CFO Act of 1990; DOT Order 8000.1C	As needed	Internal Review	Finance	
AKDOT&PF External Audit Reviews	OMB A-87, 123, GAAP	As needed	External Auditors	Finance	
AKDOT&PF Internal Audit Reviews	OMB A-87, 123, GAAP	Annually	Internal Review	Finance	
FHWA Financial Statement Audit	FMFIA, OMB A-123, 127, GAAP	Annually	STWD Admin Services	Finance	
Fed-aid Billing Reimbursement of Eligible Expenditures	23 CFR 140 and 635.122	Weekly	STWD Admin Services	Finance	
FIRE Program	FHWA Order 4560.1A	Ongoing	STWD Admin Services	Finance	
Indirect Cost Allocation Plans	49 CFR Part 18; 2 CFR Part 225 (OMB A-87); ASMBC-10	As needed	STWD Admin Services	Finance	
Innovative Financing, Toll Roads and Privatization	GARVEE 23 CFR 122; TIFIA 23 USC 181-189; SIB Guidance 9/97; AC NHS Act Section 308; Flexible Match 23 USC 323; Toll 23 USC 129(A); Tapered Match TEA-21 Section 1302	As needed	STWD Admin Services	Finance	
Transfer of Funds as Requested by State	23 USC 104(c) and 119(f) and 126	As needed	Program Development	Finance	
Discretionary and Other Funding Programs					
Border Technology Exchange Program	23 USC 506	Annually	Research	Research	Grant program administered by FHWA, Office of International Programs
CMAQ	SAFETEA-LU Sections 1101(a)(5), 1103(d), & 1808	As needed	Program Development	Planner	
Coordinated Border Infrastructure Program	SAFETEA-LU Sections 1101(a)(11) & 1303	As needed	Program Development	Engineering	FHWA recommends action to FHWA HQ
Ferry Boats and Ferry Terminal Facilities	SAFETEA-LU Sections 1101(a)(13) & 1801	As needed	AMHS	Engineering	

ACTIVITY	Authority	Frequency / Due	AKDOT&PF Contact	FHWA Contact	Remarks
High Priority Projects Program	SAFETEA-LU 1701-1702	As needed	Budgets/DLA	Finance	
Bridge replacement and rehabilitation	23 CFR 650 Subpart D	As needed	Bridge	Bridge	Division makes eligibility determinations
Highways For Life	SAFETEA-LU Section 1502	As needed	Engineering	Engineering	FHWA HQ approval
Innovative Bridge Research and Deployment Program	23 USC 503(b)	Annually (date varies)	Bridge	Bridge	Division makes eligibility determinations
ITS Integration Program	TEA-21 Section 5208	Quarterly and Annual Reports	Engineering	Engineering	Program also requires FHWA qualitative assessments of adequacy of project descriptions and evaluation reports and timely submittal of reports by AKDOT&PF.
ITS Deployment Program	TEA-21 Section 5208 and 5209	As needed	Engineering	Engineering	
Public Lands Highway Discretionary	SAFETEA-LU Section 1101(a)(9)(D)	As needed	Engineering	Engineering	Division recommends action to FHWA HQ
Railroad-Highway Crossings	SAFETEA-LU Section 1401	Annually by August 31	Engineering	Engineering	
Recreational Trails Program	SAFETEA-LU Sections 1101(a)(8) & 1109	As submitted by State	DNR	Small Programs Manager	
Safe Routes to School	SAFETEA-LU Sections 1101 & 1404	Varies	Program Development	Engineering	
Scenic Byways Discretionary Program	SAFETEA-LU Sections 1101 & 1605	Annually	Program Development	Small Programs Manager	FHWA division recommends action to FHWA HQ
Transportation Enhancements Program	SAFETEA-LU Sections 1113, 1122, & 6003; TE Guidance dated January 19, 2006	As needed	Program Development	Small Programs Manager	FHWA provides program guidance and technical assistance
Transportation, Community, and System Preservation Program	SAFETEA-LU Section 1117	As needed	Engineering	Engineering	
FHWA Emergency Preparedness Program	Executive Order 12656 and FHWA Order 1910.2C	Continuously	Maintenance	Engineering	
State Manuals Approved by FHWA for Use on Federal-Aid Projects					
Annual Overall DBE Goal	N/A	As Needed	Civil Rights	Civil Rights	
Standard Specifications	N/A	As Needed	Design	Field Operations	
Title VI Program Plan	N/A	As Needed	Civil Rights	Civil Rights	
Preconstruction Manual (Highways)	N/A	As Needed	Engineering	Engineering	
Construction Manual (Highways)	N/A	As Needed	Engineering	Engineering	
Design Build Manual	N/A	As Needed	Engineering	Engineering	
Environmental Procedures Manual	N/A	As Needed	Environment	Environment	
Flexible Pavement Design Manual	N/A	As Needed	Materials	Engineering	
Geotechnical Procedures Manual	N/A	As Needed	Materials	Engineering	
Highway Drainage Manual	N/A	As Needed	Bridge	Engineering	
Right-of-Way Manual	N/A	As Needed	Right of Way	Right of Way	
Sign Design Specifications	N/A	As Needed	Engineering	Engineering	
Standard Drawing Manual	N/A	As Needed	Engineering	Engineering	
Alaska Test Methods Manual	N/A	As Needed	Materials	Engineering	
Traffic Manual Supplement	N/A	As Needed	Engineering	Engineering	
Professional Services Agreement Manual	N/A	As Needed	Engineering	Engineering	
Utility Manual	N/A	As Needed	Engineering	Right of Way	
ICAP Manual	N/A	As Needed	Finance	Finance	
Financial Procedures	N/A	As Needed	Finance	Finance	
Recovery Act Reports	ARRA	As Needed	Engineering	Engineering	

Appendix B: Project Responsibilities List (currently under separate file)

Appendix B - Project Responsibilities List

Overview: The Project Responsibilities List identifies the responsible agency for the major project level actions and is not intended to be an all inclusive list. It is organized by columns listed as High Profile Projects, NHS Projects, and non-NHS Projects. Within each column, activities are listed and the appropriate action is identified. Except those FHWA responsibilities identified below, and those Title 23 actions that FHWA cannot delegate, the ADOT will assume the responsibilities of the FHWA under Title 23 for design, plans, specifications, estimates, right-of-way certification statements (part of PS&E), contract awards, and inspection/final acceptance of projects. This responsibility does not extend to other Federal actions outside of Title 23 unless specifically identified below (i.e., SAFETEA-LU 6004 Categorical Exclusions). FHWA reserves its responsibilities to maintain approval authority on activities that may pose a risk to individual FAHP projects.

TERMS:

Approve - an approval action shall take place before the project action can proceed.

Concur - the project can proceed once concurrence is received or agreed to timeframe (3 days for FHWA review) has expired.

Information - documentation is submitted to FHWA for review and provides input to Program Analysis and Risk Assessments.

ADOT&PF Assigned - Responsibilities have been assigned to ADOT&PF through SAFETEA-LU 6004

Available - documentation is available to FHWA on-line.

Activities/Item	High Profile Projects		NHS Projects		Non-NHS Projects	
	ADOT&PF	FHWA	ADOT&PF	FHWA	ADOT&PF	FHWA
	Action	Action	Action	Action	Action	Action
Finance						
Financial Submittal (PR 37)	Prepare	Approve	Prepare	Approve	Prepare	Approve
State Infrastructure Bank Reports	Prepare	Information	Prepare	Information	Prepare	n/a
All Vouchers (batched State progress payments to FHWA)	Prepare	Approve	Prepare	Approve	Prepare	Approve
Federal-aid Project Agreement and Modifications - Preliminary Engineering through Construction [23 CFR 630.110]	Prepare	Approve	Prepare	Approve	Prepare	Approve
Project Authorizations - Obligate Funds	Prepare	Approve	Prepare	Approve	Prepare	Approve
Section 1.9 Waiver [23 CFR Section 1.9]	Prepare	Approve	Prepare	Approve	Prepare	Approve
Environment						
Programmatic Categorical Exclusions [23 CFR 771.1179c) and (d)]	Prepare, Approve	ADOT&PF Assigned	Prepare, Approve	ADOT&PF Assigned	Prepare, Approve	ADOT&PF Assigned
Programmatic Section 4(f) Evaluation (SAFETEA-LU 6004 assigned)	Prepare, Approve	ADOT&PF Assigned	Prepare, Approve	ADOT&PF Assigned	Prepare, Approve	ADOT&PF Assigned
Section 4(f) de minimis Finding (SAFETEA-LU 6004 assigned)	Prepare, Approve	ADOT&PF Assigned	Prepare, Approve	ADOT&PF Assigned	Prepare, Approve	ADOT&PF Assigned
SAFETEA-LU 6004 Categorical Exclusions	Prepare, Approve	ADOT&PF Assigned	Prepare, Approve	ADOT&PF Assigned	Prepare, Approve	ADOT&PF Assigned
Project-Level Transportation Conformity Determination (SAFETEA-LU 6004 assigned)	Prepare, Approve	ADOT&PF Assigned	Prepare, Approve	ADOT&PF Assigned	Prepare, Approve	ADOT&PF Assigned
Non-Programmatic Categorical Exclusions [23 CFR771.117]	Prepare	Approve	Prepare	Approve	Prepare	Approve
Environmental Assessment [23 CFR 771.11999c)]	Prepare	Approve	Prepare	Approve	Prepare	Approve
Finding Of No Significant Impact [23 CFR 771.121]	Prepare	Approve	Prepare	Approve	Prepare	Approve
Environmental Impact Statement [23 CFR 771.125; 23 CFR 771.125 (c)]	Prepare	Approve	Prepare	Approve	Prepare	Approve
Record of Decision [23 CFR 771.127]	Prepare	Approve	Prepare	Approve	Prepare	Approve
Individual Section 4(f) Evaluation	Prepare	Approve	Prepare	Approve	Prepare	Approve
Programmatic Section 4(f) Evaluation (non-assigned)	Prepare	Approve	Prepare	Approve	Prepare	Approve
Section 4(f) de minimis Finding (non-assigned)	Prepare	Approve	Prepare	Approve	Prepare	Approve
Project-Level Transportation Conformity Determination (non-assigned)	Prepare	Approve	Prepare	Approve	Prepare	Approve

Appendix B - Project Responsibilities List

Activities/Item	High Profile Projects		NHS Projects		Non-NHS Projects	
	ADOT&PF	FHWA	ADOT&PF	FHWA	ADOT&PF	FHWA
	Action	Action	Action	Action	Action	Action
ROW						
Disposal of ROW [23 CFR 710.409]	Prepare, Approve	Information	Prepare, Approve	Information	Prepare, Approve	n/a
Disposal of Access Control	Prepare	Approve	Prepare	Approve	Prepare	Approve
Hardship and Protective Buying [23 CFR 710.307, 503]	Prepare	Approve	Prepare	Approve	Prepare	Approve
Use of Right of Entry to Obtain Possession	Prepare, Approve	Information	Prepare, Approve	Information	Prepare, Approve	Information
Annual ROW Acquisition and Relocation Statistics Report	Prepare	Information	Prepare	Information	Prepare	Information
ROW Plans	Prepare, Approve	Information	Prepare, Approve	Information	Prepare, Approve	n/a
ROW Certification 1,2	Prepare, Approve	Information	Prepare, Approve	n/a	Prepare, Approve	n/a
ROW Certification 3	Prepare	Approve	Prepare, Approve	Approve	Prepare, Approve	Information
Use of Fee negotiators/Fee Appraisers	Prepare, Approve	Information	Prepare, Approve	n/a	Prepare, Approve	n/a
Public Interest Finding (PIF) - Disposal of federally funded ROW for less than market value - 23 CFR 710.403, 409	Prepare	Approve	Prepare	Approve	Prepare	Approve
Junkyard Control [23 CFR 751.25]	Prepare	Approve	Prepare	Approve	Prepare	Approve
Relinquishment of a Highway Facility [23 CFR 620.201,202,203]	Prepare	Approve	Prepare	Approve	Prepare, Approve	Concur
Functional Replacement [23CFR 710.509]	Prepare, Approve	Concur	Prepare, Approve	Concur	Prepare, Approve	Concur
Request for Credits for Early Acquisition of ROW {23 CFR 710.501]	Prepare	Approve	Prepare	Approve	Prepare	Approve
Request for Direct Federal Acquisition [23 CFR 710.603]	Prepare	Approve	Prepare	Approve	Prepare	Approve
Request for Federal Land Transfer [23 CFR 710.601]	Prepare	Approve	Prepare	Concur	Prepare	Concur
Request for Waivers [49CFR 24.204b]	Prepare	Approve	Prepare	Approve	Prepare	Approve
ROW encroachments- Use and occupancy of Acquired ROW [23 CFR 710.401, HDM 504.8]	Prepare	Approve	Prepare	Approve	Prepare	Approve
Design						
Design Project Status Reports	Prepare	Information	Prepare	Information	Prepare	Information
Professional Services Agreement [23 CFR 172.7 - 172.9]	Prepare, Approve	n/a	Prepare, Approve	n/a	Prepare, Approve	n/a
Public Interest Finding (PIF) - Use of Negotiated Consultant (Non-Competitive) Contracts 23 CFR 172.5(3)	Prepare, Approve	Information	Prepare, Approve	n/a	Prepare, Approve	n/a
Experimental Features SEP 14	Prepare	Approve	Prepare	Approve	Prepare	Approve
Project Management Plans for projects > \$500M	Prepare	Approve	Prepare	Approve	Prepare, Approve	Information
Design Study Report	Prepare, Approve	Information	Prepare, Approve	Information	Prepare, Approve	n/a
Design Exceptions [23 CFR 625.3 (f)]	Prepare, Approve	Concur	Prepare, Approve	Information	Prepare, Approve	Information
Financial Management Plans for projects >\$500M	Prepare	Approve	Prepare	Approve	Prepare, Approve	Approve
Finance Plans for Projects from \$100M to \$499M	Prepare	Approve	Prepare, Approve	Information	Prepare, Approve	Information
ITS Projects Systems Engineering Analysis [23 CFR 940.11]	Prepare, Approve	Information	Prepare, Approve	Information	Prepare, Approve	Information
Utility Agreements	Prepare, Approve	Information	Prepare, Approve	n/a	Prepare, Approve	n/a
Toll Facilities Agreements	Prepare	Approve	Prepare	Approve	Prepare	Approve
Approve Preliminary Plans for Major Structures and Tunnels [23 USC 109(a) Life Cycle Cost Analysis and Value Engineering	Prepare, Approve	Information	Prepare, Approve	Information	Prepare, Approve	n/a
Life Cycle Cost Analysis and Value Engineering	Prepare	Information	Prepare	Information	Prepare	n/a
Value Engineering Study for Highway Project > \$25M [23 CFR 627] or Bridge Project > \$20M	Prepare, Approve	Information	Prepare, Approve	n/a	Prepare, Approve	n/a
Exempt Bridge from Coast Guard Permit Requirement [23 CFR 650.805]	Prepare	Approve	Prepare	Approve	Prepare	Approve
Public Interest Finding (PIF) - Airspace Clearance 23 CFR 620.104	Prepare	Approve	Prepare, Approve	Approve	Prepare, Approve	Approve
Local Review Plans	Prepare	Information	Prepare	n/a	Prepare	n/a

Appendix B - Project Responsibilities List

Activities/Item	High Profile Projects		NHS Projects		Non-NHS Projects	
	ADOT&PF	FHWA	ADOT&PF	FHWA	ADOT&PF	FHWA
	Action	Action	Action	Action	Action	Action
Geotechnical Reports	Prepare, Approve	Information	Prepare, Approve	n/a	Prepare, Approve	n/a
Waiver of Buy America [23 CFR 635.410]	Prepare	Approve	Prepare	Approve	Prepare	Approve
Public Interest Finding (PIF) - Statewide and project Specific use of proprietary products and processes 23 CFR 635.411	Prepare	Approve	Prepare, Approve	n/a	Prepare, Approve	n/a
Public Interest Finding (PIF) - Cost Justification Letter - Statewide and project specific - concur in use of publically furnished materials 23 CFR 635.407	Prepare	Approve	Prepare, Approve	n/a	Prepare, Approve	n/a
Public Interest Finding (PIF) - Advertising Period less than 3 weeks 23 CFR 635.112	Prepare, Approve	Information	Prepare, Approve	n/a	Prepare, Approve	n/a
Public Interest Finding (PIF) - Use of Contracting Method other than competitive bidding 23 CFR 635.104 & 204	Prepare	Approve	Prepare, Approve	n/a	Prepare, Approve	n/a
Public Interest Finding (PIF) - Use of force account 23 CFR635.204 & 205	Prepare	Approve	Prepare, Approve	n/a	Prepare, Approve	n/a
Public Interest Finding (PIF) - Use of Mandatory Borrow/Disposal sites 23 CFR 635.407	Prepare, Approve	Information	Prepare, Approve	n/a	Prepare, Approve	n/a
Public Interest Finding (PIF) - Use of Publically owned equipment 23 CFR 635.106	Prepare	Approve	Prepare, Approve	n/a	Prepare, Approve	n/a
Warranties - Materials and Products [23 CFR 635.413]	Prepare	Approve	Prepare	Approve	Prepare, Approve	n/a
Utility Certifications	Prepare, Approve	Information	Prepare, Approve	n/a	Prepare, Approve	n/a
Reimbursement for State Furnished Materials	Prepare	Approve	Prepare	Approve	Prepare, Approve	n/a
PS&E Assembly [23 CFR 630.205]	Prepare	Approve	Prepare	Information	Prepare	Information
Authority to Advertise Memorandum	Prepare, Approve	Information	Prepare, Approve	n/a	Prepare, Approve	n/a
Addendum to Contract Documents	Prepare, Approve	Available ¹	Prepare, Approve	Available ¹	Prepare, Approve	Available ¹
Bid Tabs	Prepare, Approve	Available ²	Prepare, Approve	Available ²	Prepare, Approve	Available ²
Subcontract Approvals	Prepare, Approve	Information	Prepare, Approve	n/a	Prepare, Approve	n/a
Conformed Contract and FHWA Certification Checklist	Prepare, Approve	Information	Prepare, Approve	Information	Prepare, Approve	Information
Request for Concurrence in Contract Award	Prepare, Approve	Information	Prepare, Approve	n/a	Prepare, Approve	n/a
Letter of Award	Prepare, Approve	Information	Prepare, Approve	Information	Prepare, Approve	Information

Appendix B - Project Responsibilities List

Activities/Item	High Profile Projects		NHS Projects		Non-NHS Projects	
	ADOT&PF	FHWA	ADOT&PF	FHWA	ADOT&PF	FHWA
	Action	Action	Action	Action	Action	Action
Construction						
Construction Project Status Reports	Prepare	Available	Prepare	n/a	Prepare	n/a
Supplemental Agreements	Prepare	Approve	Prepare	Approve	Prepare	Approve
Change Orders						
Minor Change Orders (< 5% of Contract Amount or < \$500K whichever is greater)	Prepare, Approve	Information	Prepare, Approve	n/a	Prepare, Approve	n/a
Major Change Orders (> 5% of Contract Amount or > \$500K whichever is greater)	Prepare	Approve	Prepare, Approve	n/a	Prepare, Approve	n/a
Materials Certification	Prepare, Approve	Information	Prepare, Approve	Information	n/a	n/a
Progress Estimate	Prepare	Information	Prepare	n/a	Prepare	n/a
Recovery Act Project Reports	Prepare	Concur	Prepare	Concur	Prepare	Concur
Experimental Features (pilot and Demo)	Prepare	Approve	Prepare	Approve	Prepare, Approve	n/a
Form FHWA 1446C	Prepare, Approve	Information	Prepare, Approve	Information	Prepare, Approve	Information
Final Construction Payment, Project History (full package)	Prepare, Approve	Information	Prepare, Approve	Information	Prepare, Approve	n/a
Letter of Project Completion	Prepare, Approve	Information	Prepare, Approve	Information	Prepare, Approve	Information
ER Damage Assessment Reports [23 CFR 668, 23 USC 120 and 125]	Prepare	Approve	Prepare	Approve	Prepare	Approve

"Available" Document Addresses

- ¹ http://www.dot.state.ak.us/apps/contracts?ACTION=BIDCAL®ION_CODE=ALL
- ² <http://www.dot.state.ak.us/procurement/bidding/results/index.shtml>
- ³ http://dot.alaska.gov/stwdplng/projectinfo/ser/PROJECT_STATUS/Assets/SER_CON.pdf

is an Action unique to HP Projects

Appendix C: List of Measures (currently under separate file)

Appendix C - Performance Indicators/Measures

ID	PERFORMANCE INDICATOR/ MEASURE	GOAL	AGREED/ PROPOSED (REPORT CYCLE)	LEAD REPORTING AUTHORITY	SUPPORTING JUSTIFICATION FOR PERFORMANCE INDICATOR/MEASURE AND OTHER COMMENTS
PROJECT DELIVERY					
1	EA Scheduling -Percent of EA projects with a Schedule of NEPA activities completed within 3 months of ATP through Environmental Document.	100%	Quarterly	Environmental (FHWA)	The purpose of this measure is to determine whether and encourage project to develop a reasonable project schedule, track delays, and to negotiate timeframes.
2	EIS Scheduling -Percent of EIS projects with a Schedule of NEPA activities completed within 2 months of Completion of Environmental Scoping.	100%	Quarterly	Environmental (FHWA)	The purpose of this measure is to determine whether and encourage project to develop a reasonable project schedule, track delays, and to negotiate timeframes.
3	NEPA Document Schedule - Ratio of actual document completion time to scheduled document completion time	<1.20	Quarterly	Environmental (FHWA)	The purpose of this measure is to improve FHWA/ADOT&PF Nepa Document completion scheduling. In accordance with Environmental Procedures, the schedule will identify concurrence points on document sections and dates for concurrence.
4	NEPA Document Cost - Percent cost increase for preparing EA/EIS documents. (Initial ATP Estimate Thru EDA vs Actual Obligated Amount through EDA - identified in ATP thru Final Design)	<20%	Quarterly	Environmental (FHWA)	The purpose of this measure is to track how well we are estimated cost to prepare environmental documents, scoping, and managing contractors. The initial ATP the is baseline.
5	Preliminary Engineering Cost - Ratio of Final PE cost to initial PE cost estimate. (Final PE = PDA from EDA to Bid Award; PE Cost Estimate from PMP)	< 1.20	Quarterly	FHWA	Assesses the ability to estimate actual PE cost.
6	Engineer's Estimate : Percent of projects with low bid within +/- 10% of Engineer's Estimate. (Contract Award vs ATA Estimate)	65%	Quarterly	FHWA	The purpose of this measure is to assess the accuracy of the low bid vs. Engineer's Estimate. FHWA's guidance states that low bid should be within +/- 10% of the Engineer's Estimate for at least 50% of the projects.
7	Construction Schedule Management : Contract Completion Date vs Actual Construction Completion Date (Notice of Project Completion).	On time or early	Quarterly	FHWA	Assesses the ability to predict project completion dates, taking into account work windows, working days, weather and work type. This serves the public by completing projects on predicted date.

Appendix C - Performance Indicators/Measures

ID	PERFORMANCE INDICATOR/ MEASURE	GOAL	AGREED/ PROPOSED (REPORT CYCLE)	LEAD REPORTING AUTHORITY	SUPPORTING JUSTIFICATION FOR PERFORMANCE INDICATOR/MEASURE AND OTHER COMMENTS
8	Construction Cost Management: -The ratio of total Final Contractor Payment to the total Contract Award amount.	≤1.10	Quarterly	FHWA	Assesses the quality of the design, PS&E, and effective project management. Data source:
9	Federal Highway Obligation Schedule: Obligation Authority used by April 30th.	>75%	Quarterly	ADOT - Program Development	Use all available Federal Obligation Authority, which would otherwise lapse, prior to the end of the Federal fiscal year.
ENVIRONMENT					
10	6004 - ADOT Responsibility for Categorical Exclusions: Percent of complete and accurate quarterly reports submitted by fiscal quarterly due dates.	100%	Quarterly	FHWA	The purpose of this measure is to determine if quarterly reports are submitted on time per the 6004 MOU. Complete is defined as no missing information. Accuracy is determined by comparing submitted report to project documentation.
11	6004: Percent of notifications of changes in regulation and any new guidance and/or policy submitted to DOT&PF within 10 days .	100%	Quarterly	FHWA	The purpose of this measure is to determine if FHWA is informing the DOT of changes in a timely manner per the 6004 MOU.
BRIDGE ASSET MANAGEMENT					
11	Bridge Management - Percentage of bridge deck classified as structurally deficient or functionally obsolete. Goal is to reduce deficient deck area by 5% annually. A five year trend is the best representation.	>5% <u>Reduction</u>	Annually	ADOT - Bridge	The intent of the HBP is to reduce the number of deficient bridges on the NBI. This information is already being collected by ADOT&PF and is a State Performance Goal.
CIVIL RIGHTS					
12	DBE: ADOT&PF is operating a race neutral program pending resolution of legal actions. This measure will be added pending resolution of legal actions.				
FINANCE					
13	Project Authorization Responsiveness - Percent of Project authorization/modifications completed within 7 calendar days of receipt of supporting documentation	< 7 days	(Annual)	FHWA	This is an FHWA measure, for which AKDOT&PF will provide supporting documentation. FHWA provides timely customer service on all project authorization/modification reviews and approvals (excluding final vouchers).

Appendix C - Performance Indicators/Measures

ID	PERFORMANCE INDICATOR/ MEASURE	GOAL	AGREED/ PROPOSED (REPORT CYCLE)	LEAD REPORTING AUTHORITY	SUPPORTING JUSTIFICATION FOR PERFORMANCE INDICATOR/MEASURE AND OTHER COMMENTS
14	Annual Financial Statement Audit. Percent of corrective actions addressed by requested deadline.	100%	(Annual)	Accounting	Chief Financial Officer Act of 1990 requires Federal agencies to establish a plan for improving financial management and DOT Order 8000.1C, Office of Inspector General Audit and Investigation Report Findings, Recommendations, and Follow-up Action, establishes reporting requirements.
15	Responses to requests for current bill documentation are received by FHWA within 10 business days.	< 10 days	(Annual)	Accounting	Improper Payments Information Act of 2002, FHWA Order 4560.1A, ensures timely completion of billing reviews.
PLANNING & PROGRAMMING					
16	Programming Consistency. Percentage of all Federally funded projects obligated annually compared to those programmed.	50%	Annually	ADOT&PF - Program Development	Measures the effectiveness of the programming process. Are the programmed projects being obligated? This measure would require MPOs to report on non-Federally funded regionally significant projects in non-attainment areas.
17	STIP Schedule - FHWA Responsive Time for Approval of STIP and Amendments	< 21 days	Annually	ADOT&PF - Program Development	Measures the effectiveness of the programming process.
SAFETY & OPERATIONS					
18	Highway Fatality Count - Fatality trend on State and Local Roads - # of fatalities (5-year trend:% decrease/increase)	Decrease 3% Annually	Monthly	Traffic Operations/Local Assistance	Fundamental indicator of effectiveness of AKDOT&PF Traffic Safety Program.
19	Fatality Rate Trend - on State and Local Roads - # of fatalities per 100 MVMT (5-year Annual trend:% decrease/increase)	Decrease 2% Annually	Monthly	Traffic Operations/Local Assistance	Fundamental indicator of effectiveness of AKDOT&PF Traffic Safety Program.
20	Delivery of Safety Projects: Percent of Highway Safety Improvement (HSIP) funding obligated.	95%	Monthly	Traffic Operations	Indicator of effectiveness of AKDOT&PF expediting safety projects. Requires coordination with Project Delivery.
21	Highway Safety - Percent of state road land miles that meet ADOT&PF Standards	Decrease 1% Annually	Annually	ADOT&PF	State Performance Goal to increase to 90% the percentage of National Highway System routes that meet ADOT&PF standards.

Appendix C - Performance Indicators/Measures

ID	PERFORMANCE INDICATOR/ MEASURE	GOAL	AGREED/ PROPOSED (REPORT CYCLE)	LEAD REPORTING AUTHORITY	SUPPORTING JUSTIFICATION FOR PERFORMANCE INDICATOR/MEASURE AND OTHER COMMENTS
22	Benefit/Cost Ratio of HSIP Post Construction projects	>1.2	Annually	Traffic Operations	Evaluate 5 year trend in HSIP Post Construction Benefit Cost ratio. Evaluates performance of on-going program.
23	Run-Off-Road: # of fatalities (5-year Annual trend:% decrease/increase) SHS Only	Decrease 3% Annually	Monthly	Traffic Operations	Indicator of effectiveness of AKDOT&PF Traffic Safety Program by one of the most frequent crash types.
24	Intersection: # of fatalities (5-year Annual trend: % decrease/increase) SHS Only	Decrease 3% Annually	Monthly	Traffic Operations	Indicator of effectiveness of AKDOT&PF Traffic Safety Program by one of the most frequent crash types.
25	Pedestrian: # of fatalities (5-year Annual trend (% decrease/increase) SHS Only	Decrease 3% Annually	Monthly	Traffic Operations	Indicator of effectiveness of AKDOT&PF Traffic Safety Program by one of the most frequent crash types.

Appendix D: List of Acronyms

ADA	Americans with Disabilities Act of 1990
BMS	Bridge Management System
CE	Categorical Exclusion
CFR	Code of Federal Regulations
CMAQ	Congestion Mitigation and Air Quality Improvement Program
DBE	Disadvantaged Business Enterprise
DEIS	Draft Environmental Impact Statement
DOT	Department of Transportation
EA	Environmental Assessment
EEO	Equal Employment Opportunity
EIS	Environmental Impact Statement
EPA	Environmental Protection Agency
ER	Emergency Relief
FAHP	Federal-aid Highway Program
FAPG	Federal-aid Policy Guide
FEIS	Final Environmental Impact Statement
FHWA	Federal Highway Administration
FIRE	Financial Integrity Review and Evaluation Program
FTA	Federal Transit Administration
GARVEE	Grant Anticipation Revenue Vehicle
HBP	Highway Bridge Program
HPMS	Highway Performance Monitoring System
ITS	Intelligent Transportation Systems
LTAP	Local Technical Assistance Program
METS	Materials Engineering and Testing Services
MOU	Memorandum of Understanding
MPO	Metropolitan Planning Organization
MTP	Metropolitan Transportation Plan
NBIS	National Bridge Inspection Standards
NEPA	National Environmental Policy Act
NHS	National Highway System
OJT	On-the-Job Training
OMB	Office of Management and Budget
OTS	Office of Traffic Safety
OWP	Overall Work Program
PD&E	Project Development and Environment
PIF	Public Interest Finding
PMS	Pavement Management System
PS&E	Plans, Specifications and Estimate
ROW	Right-of-Way
SAFETEA-LU	The Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A

	Legacy for Users
SEP	Special Experimental Project
SHSP	Strategic Highway Safety Plan
SPR	State Planning and Research
SSO	Strategic Stewardship and Oversight
STIP	Statewide Transportation Improvement Plan
TEA-21	Transportation Equity Act for the 21 st Century
TIFIA	Transportation Infrastructure Finance & Innovation Act
TIP	Transportation Improvement Plan
TMA	Transportation Management Area
TMP	Transportation Management Plan
TSI	Transportation System Information
UA	Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended
USC	United States Code