



**Federal Highway Administration (FHWA) and
California Department of Transportation (Caltrans)**

Joint Stewardship and Oversight Agreement

2007

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INTRODUCTION

Overview

The United States Congress (Congress) has charged the Federal Highway Administration (FHWA) with administering the Federal-Aid Highway Program (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. The FHWA and the California Department of Transportation (Caltrans) have jointly administered the FAHP for many years. 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 has 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.

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

Stewardship and oversight, as outlined in this document, are exercised through program management and project level activities. The FHWA and Caltrans 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. Stewardship is a joint responsibility for the development and implementation of the federal highway programs. It involves all the FHWA activities in delivering the federal highway program, such as leadership, technology deployment, technical assistance, problem solving, program administration and oversight. Stewardship activities include continuous process improvement initiatives, technology assistance, technology deployment, performance measurement, project involvement activities, and sharing best practices. Stewardship can be considered “how” we meet program goals.

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

Caltrans and the FHWA will work in partnership to deliver the FAHP to ensure integrity, value, and quality for system stakeholders and all of its customers. In order to meet this desired outcome, the agencies will implement effective strategies, and employ a variety of tools to assess and continuously monitor the overall health of the FAHP to enhance the transportation system within the State of California.

Purpose

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

The Agreement also defines how Caltrans and the FHWA will utilize a Comprehensive Risk-Based Approach to manage the FAHP. The approach includes a Joint Strategic Planning Process, Strategic Stewardship and Oversight, performance indicators/measures and the development of the FHWA Multi-Year Plan. All together, these tools help minimize program risks and develop strategies in managing the FAHP, in an effort to effectively and efficiently utilize resources. This innovative way of doing business represents a paradigm shift in the joint and collaborative management of the FAHP.

AGENCY ROLES AND RESPONSIBILITIES

Overview

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

Roles and Responsibilities

Federal Highway Administration

The 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 and 6005 (23 USC 326 and 327).¹ In addition, the FHWA is ultimately responsible for ensuring financial integrity and compliance with applicable federal laws and regulations. The 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 Caltrans. The FHWA maintains authority for the actions and approvals in the following categories:

¹ Sections 6004 and 6005 of SAFETEA-LU are codified in 23 USC 326 and 327, respectively. For convenience, they are referred to here as Section 6004 and 6005.

- Addition and modification of access points on the Interstate System;
- Civil Rights Act of 1964;
- Mandatory design exceptions on the Interstate (relating to the 13 controlling criteria);
- Environmental approvals not specifically assigned under Sections 6004 and 6005 of SAFETEA-LU;
- Federal air quality conformity determinations required by the Clean Air Act;
- 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);
- Use of Interstate airspace for non-highway related purposes;
- 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 Caltrans are not subject to further approvals by the FHWA, unless it is jointly agreed. However, the FHWA reserves the right to perform reviews of all programs and projects at any time, while maintaining a focus on efficient project delivery. The reviews may include projects or programs with unique features, high-risk elements, unusual circumstances, and those included in process reviews.

California Department of Transportation

Caltrans, through the specific delegation allowed under federal law, has authority for monitoring, reviewing, and/or approving activities that are eligible for FAHP funds. Caltrans, in conformance with 23 USC 106, accepts responsibilities for the delegated duties in this Agreement. Additionally, per SAFETEA-LU Sections 6004 and 6005, Caltrans has been assigned the 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 Memoranda of Understanding (MOUs) for these delegations and assignments.

Caltrans is responsible for administering the FAHP in a manner that ensures efficient and effective use of the FAHP funds and compliance with federal laws and regulations. Caltrans 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;
- Continually 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 MOUs assigning federal responsibilities and supporting all required reviews and audits of activities under SAFETEA-LU Sections 6004 and 6005.

Caltrans will exercise its FHWA delegated authority by further delegating federal authority to local agencies to the greatest extent possible for those federal-aid projects that are located off of the State Highway System, as outlined in the Caltrans Local Assistance Procedures Manual. Caltrans is responsible and accountable to the FHWA for locally administered federal-aid projects including delegated activities. In addition, Caltrans is responsible to the FHWA for assuring that local agencies have adequate project delivery systems in place and sufficient accounting controls to properly manage FAHP funds. For those projects advertised, awarded, and administered by the local agencies on the State Highway System, Caltrans will ensure that state standards and project development procedures are followed.

Caltrans will provide the necessary review and approval to assure that locally administered federal-aid projects, as delegated by Caltrans, comply with federal requirements. Caltrans will achieve this by:

- Providing local agencies with accurate federal-aid project development procedures and program guidelines;
- Conducting prioritized Process Reviews, Maintenance Reviews, Plans, Specifications and Estimates (PS&E) Reviews, Field Reviews including project verification on all projects by Caltrans on or after final inspection by local agency, and special audits;
- Providing continuous federal-aid project training;
- Participating in formal program audits;
- Implementing quality assurance measures over those quality control activities delegated to local agencies; and,
- Holding statewide meetings and conferences, such as the City-County-State-Federal Co-Op Committee meeting, to receive local agency and Caltrans district feedback.

Joint Roles and Responsibilities

Caltrans and the 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 overall health of the FAHP in California 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. Caltrans and the FHWA will work together to:

- Enable decisions that will achieve broad national and state transportation goals;

- Manage financial resources to assure full and efficient use of federal apportionments, allocations and obligation authority;
- Implement joint business processes to assure timely reviews, approvals, and decisions to efficiently deliver products;
- Review and maintain existing Caltrans manuals and other guidance to assure project compliance with federal applicable laws, regulations, directives, and standards; and,
- Work together and with other stakeholders, as appropriate, to develop innovative methods for efficient delivery of the FAHP.

COMPREHENSIVE RISK-BASED APPROACH

Overview

The FHWA and Caltrans 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 Caltrans initiatives to improve quality, cost, and the FHWA level of confidence in oversight mechanisms and activities. This process should result in a mixture of initiatives to achieve strategic goals, meet customer needs and expectations, yield high benefits or pay-offs, result in systemic improvement, deploy innovative technology, provide technical assistance, and to ensure that the FAHP is being delivered consistent with laws, regulations, policies and strategic goals.

This Agreement, therefore, implements a comprehensive 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 four distinctive, yet inter-dependent methodologies:

1. Joint Strategic Planning Process,
2. Strategic Stewardship and Oversight (SSO),
3. Performance Measures/Indicators, and
4. FHWA's Multi-Year Plan.

Joint Strategic Planning Process

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

Each year Caltrans and FHWA staff will jointly assess various elements within the FAHP to ensure that program elements are being managed effectively and efficiently, and 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

SSO includes methods and activities by which Caltrans and the 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 California; and, 2) monitor and maintain compliance with all required federal laws and regulations. These methods develop into the Joint Strategic Planning Process and also serve as a venue for implementing strategies that effectively manage risk and provide the framework for the FHWA's Multi-Year Plan.

SSO is achieved through effective program management of the responsibilities, including those listed in Appendix A. Program management refers to the daily stewardship of these programs and activities within the FAHP. Effective management means ensuring that all requirements are met while proactively seeking opportunities to add to and improve the program through:

- Conducting routine approval actions;
- Performing continuous 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.

Caltrans and the FHWA will conduct Program Analyses and implement principles of Risk Management in assessing the health of the FAHP. Principles of Risk Management include assessing risk, prioritizing risk events and statements, and implementing response strategies to effectively manage risk. This will be accomplished by performing an Annual Program Analysis and Risk Assessment in core program areas. The Program Analysis will identify initiatives that could be accomplished to “close the gap” between the effectiveness of the current state of the program and the program vision of where it should be in three years. In order to accomplish this, a Risk Assessment will be conducted to identify future risk events or elements that may affect the program. 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 may include training, program reviews, updating manuals/guidance, and providing technology transfer/technical assistance. Each year both

agencies will update the program analysis and risk assessment to reflect the most current information, while maintaining a focus on the program vision.

Program assessments may be prompted by national requirements or initiatives or the desire to strive for continual improvement. These may also include FHWA review and verification of selected project level approval activities in order to verify their compliance with laws and regulations. These activities will be selected strategically based on findings from program assessments, reviews, or performance measures, while maintaining a focus on efficient project delivery.

Program Reviews

Program reviews analyze key program components and the processes employed by Caltrans and the FHWA in managing the program. Program reviews can be conducted by individuals or teams from the FHWA and Caltrans 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 exemplary practices;
- Identify areas that need attention and make recommendations for improvement; and,
- Follow up to ensure that recommendations have been implemented.

Program reviews include those that are conducted through the Financial Integrity Review and Evaluation (FIRE) Program. This is a review and oversight program in support of the FHWA's annual certification of internal and financial controls.

Caltrans will perform program reviews on the environmental responsibilities it has assumed under Sections 6004 and 6005 of SAFETEA-LU.

Strategic Project Oversight

On September 30, 1997, 23 USC 106(b) permitted the States to approve, on a project-by-project basis, plans, specifications, and estimates for projects to resurface, restore, and rehabilitate highways on the National Highway System (NHS), and further permitted the States to request that the U.S. Secretary of Transportation no longer review and approve highway projects on the NHS with an estimated construction cost of less than \$1,000,000. Additionally, the FHWA issued guidance on February 22, 2007, that allows for removal of the \$1,000,000 threshold and shifting responsibilities to the States for inherently low risk projects on the Interstate.

It is mutually desirable to both the FHWA and Caltrans to streamline the approval process for routine and inherently low risk projects. Through this Agreement, the FHWA agrees to delegate to Caltrans 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 Caltrans 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 Caltrans, the 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 Caltrans will be responsible for approval of project level activities for low risk projects, the FHWA will maintain project level approval for High Profile projects. This risk-based approach to project oversight will be conducted in two steps: 1) selecting the projects that traditionally pose a risk to the health of the FAHP (High Profile projects), and 2) within the High Profile projects, further delegating approval authorities in activities that pose a low risk to the individual projects.

First, Caltrans and the 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 at the District level in conjunction with FHWA. Appendix D further explains each criterion and provides examples. The criteria include:

- Controversial and Congressional Interest projects
- Demonstration (demo) and pilot projects
- Executive Order 13274 projects
- Interstate Projects:
 - Projects with design exceptions relating to the 13 controlling criteria
 - New or modified access points
 - Innovative contracting method projects with federal funds
- Invitational projects
- Major Intelligent Transportation Systems (ITS) projects
- Major Projects (>\$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

Secondly, the risk-based approach will be carried one step further by highlighting activities on the project responsibilities list that can be further delegated on High Profile projects. The FHWA's intent is to have approval authority in activities that cannot be delegated and activities that may pose a risk to individual projects.

High Profile determinations will be a joint, cooperative effort and will be made on a project-by-project basis. For each High Profile determination, the FHWA and Caltrans will establish which project responsibilities will be retained by the FHWA and which project responsibilities will be delegated to Caltrans for the project. Highlighted boxes on the Project Responsibilities list (Appendix B) will be designated as either the FHWA or Caltrans and signed and dated by both agencies. The agreement may also include a general summary of other involvement, including attending regular meetings, conducting project inspections, etc. Any other project that does not

have a completed, signed and dated Project Responsibilities List will be designated as a delegated project. For these projects, the FHWA and Caltrans will have project level approval authorities as indicated in the delegated projects column.

The Strategic Project Oversight Selection Process is outlined in Appendix E, which identifies the critical phases of project development, criteria to be considered, decisions to be made and the outcome of the decisions. This diagram guides the decision makers through the process so as to identify the potential High Profile projects as early as possible. All projects, regardless of level of delegation, will be administered in accordance with the Project Responsibilities List.

The FHWA has the ultimate responsibility for meeting federal requirements with respect to all projects delivered with FAHP funds. Therefore, the FHWA's delegation of low risk project level approval to Caltrans only functions as long as those activities remain low risk. If SSO methods reveal concerns with Caltrans approval process for delegated activities, these activities would have the potential to become high risk, and therefore could eventually alter the FHWA's involvement in their approval. Caltrans and the 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 the FHWA and Caltrans to continuously monitor program performance and proactively implement corrective actions when needed. Performance indicators/measures consist of a series of predetermined assessments made at routine intervals and covering all core programs in the 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 the FHWA and Caltrans 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. At a minimum, the indicators/measures will be used to cover the core program areas and will be arranged by the FHWA, and utilized by both agencies, in a dashboard format that will be updated monthly, quarterly, or annually, depending on the indicator/measure. Results from these additional assessments can provide information on best practices or suggest strategies for improving program performance.

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 Caltrans and will not by themselves warrant a change to this Agreement. However, if other changes need to be made to the agreement, the latest list of measures will be placed in Appendix C.

Collaborative Multi-Year Plan

The FHWA will develop a comprehensive Multi-Year Plan, which encompasses all elements of the collaborative efforts by both agencies in implementing the Comprehensive Risk-Based Approach. These methods will clearly capture the outcome of the Strategic Planning Process and will develop implementation strategies for the next three years. The Multi-Year Plan will identify the actions that the agencies will take separately or jointly to assure the success and improvement of the program elements. This plan will allow both agencies to effectively utilize resources, while focusing on strategic goals and objectives. In addition, this plan will provide a roadmap for enhancing program improvement and risk management. The plan will be updated on an annual basis to incorporate up-to-date strategies for managing risk to positively influence the health of the FAHP. It will include a three-year outlook discussing the following elements:

- risk statements for the current year;
- list of program reviews/initiatives for the current year;
- current list of High Profile projects depicting the FHWA's level of involvement;
- implementation strategies for future years; and,
- significant accomplishments.

INDIVIDUAL PROGRAM OVERVIEWS

Air Quality

The purpose of the air quality program is to ensure that, in areas that are classified as maintenance or non-attainment of the nation's air quality standards, transportation planning and proposed projects are consistent with the air quality goals of the Clean Air Act. This is accomplished through the transportation conformity process. The air quality program has three primary components: regional conformity, project-level conformity and the Congestion Mitigation and Air Quality (CMAQ) funding program.

Bridges, Other Structures, Hydraulics and Geotechnical

The purpose of the bridge program is to assure that publicly accessible vehicle bridges are in good repair and safe for the traveling public. This is accomplished through two key components of the federal-aid highway bridge program: the National Bridge Inspection Program, which encompasses the National Bridge Inspection Standards (NBIS) and the National Bridge Inventory. The NBIS covers the minimum requirements for inspection programs, including such items as frequency of inspection and minimum qualifications for bridge inspection personnel. The Highway Bridge Program (HBP), formerly known as the Highway Bridge Replacement and Rehabilitation Program, is used to improve the conditions of the nation's existing bridges, including preventive maintenance to extend the useful life of bridges. The bridge program also

encourages and promotes the use of a systematic process, such as a Bridge Management System (BMS), in determining cost-effective preventive maintenance activities to extend the service life of existing bridges.

In regard to the design and construction of all transportation projects, the purpose of the areas listed in this subpart is to assure that work done on the federal-aid system or funded through the FAHP is designed and constructed in accordance with approved standards. The hydraulics and geotechnical areas support bridge and roadway design, construction, and maintenance activities.

Civil Rights

The purpose of the civil rights program is to protect the rights of those employed in, benefiting from, or affected by the FHWA or the programs, policies and activities of its recipients, sub-recipients, or contractors. The seven major program areas include: Equal Employment Opportunity (EEO) Contractor Compliance; State Department of Transportation (DOT) Internal EEO; Disadvantaged Business Enterprise (DBE); Title VI of the Civil Rights Act; On-the-Job Training Supportive Services (OJT/SS); Disadvantaged Business Enterprise Supportive Services (DBE/SS); and Americans with Disabilities Act (ADA)/Section 504 of the Rehabilitation Act.

Construction

The purpose of the construction program is to facilitate the FHWA's evaluation of the State's use of federal-aid funds to assure effective quality controls and to verify that the project is completed in accordance with the plans, specifications, special provisions, and contracting requirements. In addition, the program focuses on the efficient and effective delivery of projects related to time, budget, and quality. For the purpose of construction program management, the term construction pertains primarily to all post-award activities (such as, but not limited to: Quality Control and Improvement, Contract Claims, Change Orders, Payment to Contractor). The main contract administration components include: Advertising, Competitive Bidding, Letting and Award of Contract, Project Construction Authorization, Quality of Materials (materials sampling and testing), Buy America Provisions, and Labor and Davis-Bacon.

Design

The purpose of the design program is to provide program level and project level federal oversight of design. The design phase is a part of the project development process that spans a period of time that begins with feasibility studies and ends with the completion of PS&E, resulting in a product that is buildable and biddable. The major components at the program level are the development and implementation of state design policies (such as Applications of Design Standards, Value Engineering, Interstate access control, context sensitive solutions) and standards (such as the Highway Design Manual, roundabouts, ADA, and all standard specifications) and assistance in the consistent application of those policies and standards on projects from inception through construction. The major components at the project level are review and approval of Interstate access requests and design exceptions, detailed design reviews and approval of PS&Es.

Emergency Relief

The purpose of the emergency relief (ER) program is to provide funds to the state for the repair or reconstruction of federal-aid highways that have sustained serious damage resulting from natural disasters or catastrophic failures from an external cause. Natural disasters such as floods, hurricanes, earthquakes, tornadoes, tsunamis, severe storms or landslides all potentially qualify under the program. Catastrophic failure refers to the sudden and complete failure of a major element or segment of the highway system that causes a disastrous impact on transportation. Regulations currently define eligible disasters as those where the cost of damage would exceed \$700,000 in program assistance per year.

Environment

The purpose of the environmental program is to provide for a single, unified, environmental review process that results in effective and sound transportation decisions as called for by the NEPA of 1969. The key components of the environmental review process include the assessment of the social, economic, and environmental impacts of a proposed action or project; an analysis of a range of reasonable alternatives to the proposed project, based on the applicant's defined purpose and need for the project; the consideration of appropriate impact mitigation; interagency participation, coordination and consultation; public involvement including opportunities to participate and comment; and documentation and disclosure.

For projects using FAHP funds or requiring federal action, the FHWA is the lead federal agency. However, the FHWA and Caltrans have entered into two MOUs that assign many of the project-level environmental review process authorities and responsibilities to Caltrans. Caltrans and the FHWA California Division agreed to the assignment of responsibilities to Caltrans for categorical exclusions (CEs) under Section 6004 of SAFETEA-LU. This assignment is described in the Section 6004 MOU dated June 2, 2007. Caltrans has also taken full advantage of the NEPA assignment allowed by Section 6005 of SAFETEA-LU. The Section 6005 MOU dated June 29, 2007, details the scope of this assignment of responsibilities to Caltrans. Pursuant to the assignment of responsibilities under Sections 6004 and 6005, Caltrans serves as the lead federal agency. However, the FHWA remains the lead federal agency for specific projects and certain categories of projects listed in the Section 6005 MOU as being exempt from this assignment.

Finance

The purpose of the finance program is to provide financial oversight for the FAHP to ensure the most effective and efficient use of FAHP funds; ensure that funds are utilized consistent with transportation and appropriations laws, regulations and policies; and provide reasonable assurance of accurate and reliable financial statements. The program also includes innovative financing tools, such as Grant Anticipation Revenue Vehicle (GARVEE), Advanced Construction, Flexible Match, Tapered Match, Transportation Infrastructure Finance & Innovation Act (TIFIA) loans, SEP-14 and SEP-15.

Intelligent Transportation Systems

The purpose of the ITS program is to provide project oversight and approval responsibilities for ITS software/hardware system developments that affect regional integration. Only the technical review and approval of the systems engineering products is affected for these types of projects. All ITS projects require a Systems Engineering Review Form. A Systems Engineering Management Plan is also required for all ITS system developments before system design begins.

Additionally, the Transportation Equity Act for the 21st Century (TEA-21) ITS Integration earmark projects are still a large part of the ITS program in California, even though SAFETEA-LU did not continue this TEA-21 program. These earmark projects require pre-award activities to ensure that the projects being pursued meet program purposes, non-federal match, and other requirements.

Planning

The purpose of the planning program is to ensure that Caltrans, the metropolitan planning organizations (MPOs) and public transportation operators carry out a continuing, comprehensive and coordinated transportation planning and programming process in the state and metropolitan areas. Program components include the Overall Work Program (OWP) prepared annually by each MPO; the Statewide Long Range Transportation Plan developed by Caltrans; the Statewide Transportation Improvement Program (STIP) that contains all projects to be funded by the FHWA and the Federal Transit Administration (FTA) for a four-year period; the MPO long-range transportation plans and Transportation Improvement Programs (TIPs); and, the federal certification reviews of Transportation Management Areas (TMAs). The planning program is administered jointly with the FTA in accordance with the MOU between the two federal agencies dated July 15, 2004.

Research, Development and Technology

The purpose of the federal-aid research program, also known as the State Planning and Research (SPR) Part 2, is to solve problems identified by the states. State Departments of Transportation are encouraged to develop, establish, and implement research, development and technology transfer programs that anticipate and address transportation concerns before they become critical problems.

Right-Of-Way

The purpose of the right-of-way (ROW) program is to provide for the acquisition of property, relocation of people, replacement housing, business relocation and accommodation, and adjustment and relocation of utilities in accordance with federal laws and regulations. The program consists of four core elements: 1) acquisition and appraisal, 2) relocation assistance, 3) program management, and 4) Highway Beautification Act implementation. From planning through fencing, signing and lighting, ROW functions play critical roles.

Safety

The purpose of the safety program is to assure the development, implementation and effectiveness of the California Strategic Highway Safety Plan (SHSP) through continual interaction with safety stakeholders. The SHSP is a statewide-coordinated safety plan that provides a comprehensive framework for data-driven decision making with specific goals and objectives for reducing highway fatalities and serious injuries on all public roads. The SHSP integrates the 4Es—engineering, education, enforcement and emergency medical services. It strategically establishes statewide goals, objectives, and key emphasis areas developed in consultation with federal, state, local and private sector safety stakeholders.

Traffic Operations

The purpose of traffic operations is to provide critical engineering analysis of vehicle and pedestrian movements that are needed to produce sound project level decisions affecting safe and efficient highway operations. It is also an area that contributes heavily to the operations and physical maintenance of highway facilities by providing techniques, procedures, management practices/systems and inventory tools. Other key areas within traffic operations are Traffic Incident Management Systems, Work Zone Traffic Control, Freeway and Arterial Management Operations, and Traffic Control and Standards.

Transportation System Preservation

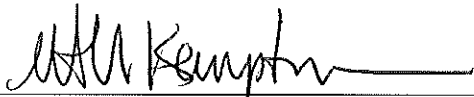
The purposes of the system preservation program are to manage and improve the condition of the pavement and bridges and to ensure the structural integrity and cost effectiveness of the transportation system. The program consists of five major program areas: Pavement Management System (PMS); BMS; rehabilitation monitoring program; Highway Performance Monitoring System (HPMS); and, asset management.

IMPROVEMENTS TO THE AGREEMENT

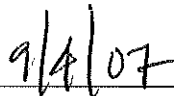
It is anticipated that during its implementation there will be instances when both agencies agree that improvements can be made to the terms of this Agreement. In order to facilitate any such changes, each agency agrees to appoint a Stewardship and Oversight Agreement manager who will be the principal contact for assuring that the Agreement is kept current, and will coordinate the negotiation of any changes. The Stewardship and Oversight Agreement managers will make the final recommendations to the Caltrans Director and the FHWA Division Administrator, who will have approval authority for any such changes.

EXECUTION OF DOCUMENT

The FHWA and Caltrans 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 Caltrans acknowledge delegation of responsibilities for stewardship and oversight under the provisions of SAFETEA-LU.



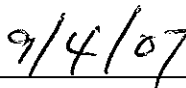
**Will Kempton, Director
California Department of Transportation**



Date



**Gene Fong, Division Administrator
Federal Highway Administration**



Date

APPENDIX A: PROGRAM RESPONSIBILITIES LIST

Overview

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 Caltrans contact information. In addition to the contacts below, Caltrans Federal Resources Office within Budgets Division will be copied on all interagency letters. Effective management of these activities contributes to the overall health of the FAHP.

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

ACTIVITY	Authority	Frequency / Due	Caltrans Contact	FHWA Contact	Remarks
MPO Self-certification (Non-TMAs)	23 CFR 450.334(a)	At least every 4 years, with submittal of TIP as part of the STIP	Programming/ Planning	Planning Team	
MTP in Non-attainment and Maintenance Areas	23 CFR 450.322	Every 4 yrs	Planning	Planning Team	Developed by MPOs
Participation Plans	23 CFR 450.316	As needed or revised by MPOs	Planning	Planning Team	Developed by MPOs
TIP	23 CFR 450.324; 23 CFR 450.328	At least every 4 years	Programming	Planning Team	
TIP Amendments	23 CFR 450.326; 23 CFR 450.328	As submitted by MPOs	Programming	Planning Team	
Unified Planning Work Programs	23 CFR 450.306	Annually by May 15	Planning	Planning Team	Developed by MPOs; Joint FHWA and FTA approval. Referred to as OWP in CA.
Air Quality					
CMAQ Funds Report	04/28/99 HQ CMAQ guidance memo	Annually by Feb 1	Programming	Planning Team	
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	Planning	Planning Team	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	Planning	Planning Team	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	Planning Team/Project Development and Environment (PD&E)	In consultation with EPA
ROW					
Acquisitions, Appraisals, and Relocations	49 CFR 24, The UA	As needed	ROW	ROW Team	
Early Acquisitions	23 CFR 710.501	As needed	Planning	ROW Team	
Local Public Agency Oversight	49 CFR 24.4(b); 23 CFR 710.201(h)	As needed	Local Assistance/ ROW	ROW Team	Caltrans has oversight of local public agencies.
Outdoor Advertising Policies and Procedures	23 CFR 750.304	As needed or submitted by State	Traffic Operations	ROW Program Manager	
Railroad Agreement Alternate Procedure	23 CFR 646.220	One time	ROW	ROW Program Manager	
Requests for Waivers	49 CFR 24.204(b); 49 CFR 24.7	As submitted by State	ROW	ROW Program Manager	
State ROW Manual	23 CFR 710.201	Jan. 1, 2001 & every 3 years thereafter	ROW	ROW Program Manager	
Uniform Relocation Assistance and Real Property Acquisition Report – [Office of Management and Budget	49 CFR 24.9(c) and Appendix B	Annually by no later than November 15	ROW	ROW Team	Submitted to FHWA Headquarters (HQ)

ACTIVITY	Authority	Frequency / Due	Caltrans Contact	FHWA Contact	Remarks
(OMB) Form 2125-0030]					
Utility Accommodation Policy	23 CFR 645.215	When changes occur	ROW	ROW Program Manager	
Utility Agreement Alternate Procedure	23 CFR 645.119	One time	ROW	ROW Program Manager	
Highway Information					
Functional classification of highways/streets	23 CFR 105(b)	As needed or as revised by State	Transportation System Information (TSI)	Engineering Services/ Field Operations	
HPMS Data Submission and Review	FHWA HPMS Field Manual & CFR 420.105(b)	Submission by June 15; Review by November 1	TSI	Data Analyst	Submission by Caltrans; Review by FHWA Division
Interstate additions & revisions	23 CFR 470.111, 115(a)	As requested by State	TSI	Engineering Services/ Field Operations	Approved by HQ - Office Director
NHS revisions	23 CFR 470.113, 115(a)	As requested by State	TSI	Engineering Services/ Field Operations	Approved by HQ - Office Director
Public road mileage certification	23 CFR 460.3 & FAPG NS 23 CFR 460	Annually by June 1	TSI	Data Analyst	Approved by Governor or designee
Urban area boundaries	23 CFR 470.105(a)	As needed or as revised by State	TSI	Planning Team	
Environment					
Audits on Section 6005 Pilot Program MOU	SAFETEA-LU Section 6005; MOU	Semiannually for first 2 years of pilot program, annually thereafter until program terminates	Pilot Program Manager	PD&E	Third-party audit to be conducted by FHWA HQ
Bicycle Transportation and Pedestrian Walkways	23 USC 217	As needed or requested by State	Design/Local Assistance	PD&E/Planning Team	
Environmental Justice	FHWA Order 6640.23	As needed or required	Environment	PD&E	
Environmental Review Process	SAFETEA-LU Section 6002	As required for EISs and as needed for EAs	Environment	PD&E	
NEPA Procedures, including Section 4(f)	23 CFR 771; 23 CFR 774; SAFETEA-LU 6007 & 6009	As needed or required	Environment	PD&E	
Noise Abatement	23 CFR 772; 06/12/95 HQ memo	As needed or required	Environment/ Design	PD&E	FHWA approves Caltrans' noise abatement policy
Performance Measures for Section 6005 Pilot Program	SAFETEA-LU Section 6005 FHWA/Caltrans MOU	As outlined in MOU	Pilot Program Manager	PD&E	Caltrans to report to FHWA on measures
Planning and Environmental Linkages	23 CFR 450.212; 23 CFR 450.318; Appendix A to 23 CFR 450	As needed	Planning/ Environment	PD&E/Planning Team	

ACTIVITY	Authority	Frequency / Due	Caltrans Contact	FHWA Contact	Remarks
Process Reviews on Section 6004 MOU	SAFETEA-LU Section 6004; MOU	At least every 15 months		PD&E	
Public involvement/Public Hearing Program	23 CFR 771.111(h)(1)	As revised by State	Environment/ Design/Project Management	PD&E Director	Program is in place
Section 106 of the National Historic Preservation Act	23 CFR 800	As needed or required	Environment	PD&E	
Section 404 of the Clean Water Act	23 CFR 777; NEPA/404 MOU	As needed or required	Environment	PD&E	
Section 6(f) of the Land and Water Conservation Fund Act	36 CFR 59	As needed or required	Environment	PD&E	
Section 7 of the Endangered Species Act	50 CFR 402; Dispute Resolution Process	As needed or required	Environment	PD&E	
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	PD&E	
Tribal Government Consultation	36 CFR 800.16(m)	As needed or required	Planning/ Environment	PD&E	
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 Program Manager	Division reviews and comments
ADA complaint reports of investigation	28 CFR 35.190	As requested by FHWA	Civil Rights	Field Operations/Civil Rights Program Manager	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 Program Manager	Division reviews and submits to FHWA HQ
DBE Program Plan accomplishments and next year's goals	49 CFR 26.11	Annually by Oct. 1	Civil Rights	Civil Rights Program Manager	Division reviews and comments
DBE Program revisions	49 CFR 26.21(b)(2)	As needed	Civil Rights	Civil Rights Program Manager	
EEO Contract Compliance review reports	23 CFR 230.409, 230.413(b)(1)(i)(D)	Upon completion by State	Civil Rights	Civil Rights Program Manager	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 Program Manager	Division reviews and comments
Historically Black College & University / Minority Institutions of Higher Learning / Tribal Colleges and Universities Report	EO 12876	Annually by Nov 1	Civil Rights	Civil Rights Program Manager	Division reviews and submits to FHWA HQ
OJT goals & accomplishments	23 CFR 230.111(b)	Annually by Jan 30	Civil Rights	Civil Rights Program Manager	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 Program Manager	Division reviews and comments

ACTIVITY	Authority	Frequency / Due	Caltrans Contact	FHWA Contact	Remarks
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 Program Manager	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 Program Manager	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 Program Manager	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 Program Manager	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 Program Manager	Division reviews and comments
Title VI Plan revisions	23 CFR 200.9	As needed	Civil Rights	Civil Rights Program Manager	
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 Program Manager	Division reviews and submits to FHWA HQ
ITS and Traffic Operations					
Hybrid/High Occupancy Vehicle Lanes	SAFETEA-LU 1121, 23 CFR 656	As needed	Traffic Operations	Field Operations	
Incident Management	23 CFR 500	As needed	Traffic Operations	Engineering Services	
National Manual on Uniform Traffic Control Devices Compliance	23 CFR 655	within 2 years of most recent national MUTCD edition	Traffic Operations	Engineering Services	
National Network Modifications	23 CFR 658.11	As requested by State	Traffic Operations	Planning Team	
Regional ITS Architecture Maintenance	23 CFR 940.9	As needed	Planning	Engineering Services	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 Services	
Systems Engineering Analysis Implementation	23 CFR 940.11	Until fully integrated	Planning	Engineering Services	
Vehicle Size & Weight enforcement certification	23 CFR 657.13	Annually by Jan 1	Traffic Operations	Engineering Services	
Vehicle Size & Weight enforcement plan	23 CFR 657.11	Annually by Oct 1	Traffic Operations	Engineering Services	
Research, Development and Technology					
Local Technical Assistance Program (LTAP) Centers Work Plan and Budget	FHWA LTAP Field Manual	Annually by March 31	Local Assistance	Engineering Services	FHWA HQ approval
SPR (Part 2) Work Program	23 CFR 420.111	Annually by June 30	Research & Innovation	Engineering Services	
Safety					
402 Highway Safety Plan	12/22/99 guidelines, TEA-21, 2001	Annual	N/A	Engineering Services	The California Office of Traffic Safety coordinates with the National Highway Traffic Safety Administration for review and approval; no Caltrans

ACTIVITY	Authority	Frequency / Due	Caltrans Contact	FHWA Contact	Remarks
					involvement
5% Report	23 USC 148(c)(1)(D)	Annually by August 31	Traffic Operations/ Local Assistance	Engineering Services	
Drug offender driver's license suspension law & enforcement certification	23 USC 159, 23 CFR 192.5	Annually by Jan 1	N/A	Engineering Services	The Department of Motor Vehicles coordinates with Governor's office for certification; no Caltrans involvement
High Risk Rural Road Safety	SAFETEA-LU 1401, 23 USC 148	Annually by August 31	Local Assistance/ Traffic Operations	Engineering Services	
Highway Safety Improvement Program	SAFETEA-LU, 23 USC 148	Annually by August 31	Traffic Operations/ Local Assistance	Engineering Services	
Pedestrian and Bicycle Safety Program	23 CFR 652	As needed	Traffic Operations	Engineering Services	
Project crash data	23 CFR 630.1010	Continuous	Traffic Operations/ Local Assistance	Engineering Services	
Repeat Offender	23 CFR 1275; 23 USC 164	Annually by October 1	N/A	Engineering Services	The OTS coordinates with Caltrans on annual transfer.
Roadside Hardware	FHWA July 25, 1997 Policy Memo re: NCHRP Report 350	As needed	Traffic Operations	Engineering Services	
SHSP	SAFETEA-LU, 23 USC 148	As needed	Traffic Operations	Engineering Services	
Work Zone Safety and Mobility Final Rule compliance	23 CFR 630	October 12, 2007	Construction/ Traffic Operations	Engineering Services	Caltrans 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	Engineering Services	Engineering Services	
BMS	23 CFR 500.107	As needed	Maintenance/SMI	Engineering Services	
Bridge/Structural Design Review	23 CFR 650	As needed	Engineering Services	Engineering Services	
HBP Unit Cost submittal	23 CFR 650 Subpart D	Annually by April 1	Engineering Services	Engineering Services	
NBIS Review Statewide report	23 CFR 650 Subpart C	Annually (date determined by Division)	Maintenance/ Structure Maintenance and Investigations	Engineering Services	Division performs review and prepares annual report
Design, Construction, & Maintenance					
3R Program	23 CFR 625	As needed	Design/ Maintenance	Engineering Services	Design responsible for 3R Guidelines (Design Information Bulletin 79)

ACTIVITY	Authority	Frequency / Due	Caltrans Contact	FHWA Contact	Remarks
Construction Inspections	23 USC 114	Quarterly	Construction	Field Operations	
Contracting Procedures Consultant Selection	23 CFR 172.5 & 172.9	As updated	DEPAC/ Engineering Services / Local Assistance	Field Operations	
Convict Produced Materials	23 CFR 635.417	As needed	Construction Engineering	Field Operations	
Defense Access Roads	23 CFR 660 Part E	As needed	Local Assistance	Field Operations	
Design Exception Policy	23 625.3	As needed	Design	Engineering Services	
Design Standards	23 CFR 625	When changes occur	Design	Engineering Services	
ER Process	23 CFR 635.204	As requested	Maintenance/ Design/ Construction	Field Operations	
Experimental Project Work Plans	FHWA LTAP Field Manual	Project by project	Construction	Field Operations	This includes items such as pilot and demonstration programs.
Highway Facility Relinquishment	23 CFR 620.203	As needed	Design/ROW	ROW	
Interstate Access Policy	23 CFR 470.111, 470.115	As needed	Design	Engineering Services	
Labor Compliance Policy	23 CFR 635.118, Davis-Bacon Act	As needed	Office Engineers	Field Operations	
Liquidated Damages	23 CFR 635.127	Every 2 years	Engineering Services	Field Operations	
Local Public Agency Oversight Policies & procedures	FAPG 23 CFR 635.105	As updated	Local Assistance/ Project Development	Field Operations	
Public Agency Furnished Material	23 CFR 635.407	As needed	Contract Administration	Field Operations	
Standard Specifications and Plans	23 CFR 625.4	As Needed	Engineering Services / Construction/ Design	Field Operations	
Warranties	23 CFR 635.413	As needed	Construction/ Engineering Services	Field Operations	
Year-end Value Engineering Report	FAPG G 6011.9	Annually by Nov. 22	Design	Engineering Services	FHWA HQ publishes national report
Transportation System Preservation					
Independent Assurance Annual Report	23 CFR 637.207	Annually by March 1	Materials Engineering and Testing Services (METS)	Field Operations	
Materials Acceptance – Quality Control/Quality Acceptance Program	Federal-aid Policy Guide (FAPG) 23 CFR 637B	As updated	Construction	Field Operations	

ACTIVITY	Authority	Frequency / Due	Caltrans Contact	FHWA Contact	Remarks
Materials Certifications	23 CFR 637 Appendix A	As needed on federal-aid projects	Construction/ METS	Field Operations	Certifications provide data for program updates.
Pavement Condition Surveys	23 USC 116	Every two years	Maintenance	Field Operations	Surveys are completed on the entire system.
Pavement Design Policy	23 CFR 626.3	As needed	Design	Field Operations	Design responsible for drainage & pavement design
PMS	23 CFR 500.106	As needed	Maintenance	Field Operations	
Preventive Maintenance Report	N/A	Annual	Maintenance	Field Operations	Report on number of lane miles receiving preventive maintenance.
Financial Management					
Alternate Fuel Report	Exec Order 13031	Annually by Oct. 1	Budgets	Financial Services	
Appropriations, Allotments, Obligations	31 USC 1341(a)(1)(A) & (B); 31 USC 1517(a); 23 USC 188(b)	As needed	Budgets	Financial Services	
Audit Coordination	CFO Act of 1990; DOT Order 8000.1C	As needed	Audits & Investigations	Financial Services	
Caltrans External Audit Reviews	OMB A-87, 123, GAAP	As needed	External Auditors	Financial Services	
Caltrans Internal Audit Reviews	OMB A-87, 123, GAAP	Annually	Internal Auditors	Financial Services	
FHWA Financial Statement Audit	FMFIA, OMB A-123, 127, GAAP	Annually	Accounting	Financial Services	
Fed-aid Billing Reimbursement of Eligible Expenditures	23 CFR 140 and 635.122	Weekly	Accounting	Financial Services	
FIRE Program	FHWA Order 4560.1A	Ongoing	Budgets & Accounting	Financial Services	
Indirect Cost Allocation Plans	49 CFR Part 18; 2 CFR Part 225 (OMB A-87); ASMBC-10	As needed	Accounting	Financial Services	
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	Budgets	Financial Services	
Quality Financial Management Initiative	Memo HFS-40, 12/01/97	Continuous	Budgets	Financial Services	
Transfer of Funds as Requested by State	23 USC 104(c) and 119(f) and 126	As needed	Budgets & Accounting	Financial Services	
Discretionary and Other Funding Programs					
Border Infrastructure Program/State Border Safety Inspection Facilities Program	2002 USDOT Appropriations Act; 2003 Consolidated	Varies	District 11	Planning Team/Field Operations	FHWA administers the program with the Federal Motor Carrier Safety Administration.

ACTIVITY	Authority	Frequency / Due	Caltrans Contact	FHWA Contact	Remarks
	Appropriations Resolution				
Border Technology Exchange Program	23 USC 506	Annually	District 11/ Planning	Financial Services	Grant program administered by FHWA, Office of International Programs
CMAQ	SAFETEA-LU Sections 1101(a)(5), 1103(d), & 1808	As needed	Programming/ Local Assistance	Planning Team	
Coordinated Border Infrastructure Program	SAFETEA-LU Sections 1101(a)(11) & 1303	As needed	Budgets/Planning	Financial Services/ Planning Team	FHWA recommends action to FHWA HQ
Ferry Boats and Ferry Terminal Facilities	SAFETEA-LU Sections 1101(a)(13) & 1801	As needed	Budgets	Financial Services	
Freight Intermodal Distribution Pilot Grant Program	SAFETEA-LU Section 1306	As needed	Budgets	Financial Services	
High Priority Corridors on the NHS	SAFETEA-LU Section 1304	As needed	Local Assistance	Financial Services	
High Priority Projects Program	SAFETEA-LU 1701-1702	As needed	Budgets/DLA	Financial Services	
HBP	23 CFR 650 Subpart D	As needed	Local Assistance/ Budgets	Engineering Services	Division makes eligibility determinations
Highways For Life	SAFETEA-LU Section 1502	As needed	Budgets	Engineering Services/ Field Operations	FHWA HQ approval
Innovative Bridge Research and Deployment Program	23 USC 503(b)	Annually (date varies)	Local Assistance	Engineering Services	Division makes eligibility determinations
Interstate Maintenance Discretionary	23 USC 118; SAFETEA-LU Section 1111(a)	Annually (date varies)	Budgets	Financial Services	
ITS Integration Program	TEA-21 Section 5208	Quarterly and Annual Reports	Local Assistance	Engineering Services	Program also requires FHWA qualitative assessments of adequacy of project descriptions and evaluation reports and timely submittal of reports by Caltrans.
ITS Deployment Program	TEA-21 Section 5208 and 5209	As needed	Local Assistance	Engineering Services	
MAGLEV (Magnetic Levitation)	SAFETEA-LU Section 1307	As needed	Budgets	Financial Services	
National Corridor Infrastructure Improvement Program	SAFETEA-LU Section 1302	As needed	Budgets	Financial Services	
National Corridor Planning and Development Program	TEA-21 1118, 1119	As needed	Planning	Planning Team	Division recommends action to FHWA HQ
Nonmotorized Transportation Pilot Program	SAFETEA-LU Section 1807	As needed	Local Assistance	Engineering Services	
Projects of National and Regional Significance	SAFETEA-LU Section 1301	As needed	Budgets	Financial Services	

ACTIVITY	Authority	Frequency / Due	Caltrans Contact	FHWA Contact	Remarks
Public Lands Highway Discretionary	SAFETEA-LU Section 1101(a)(9)(D)	As needed	Budgets	Planning Team	Division recommends action to FHWA HQ
Railroad-Highway Crossings	SAFETEA-LU Section 1401	Annually by August 31	Rail	Engineering Services	
Recreational Trails Program	SAFETEA-LU Sections 1101(a)(8) & 1109	As submitted by State	Local Assistance	PD&E	Program administered by the CA Department of Parks and Recreation
Safe Routes to School	SAFETEA-LU Sections 1101 & 1404	Varies	Local Assistance	Engineering Services	
Scenic Byways Discretionary Program	SAFETEA-LU Sections 1101 & 1605	Annually	Landscape Architecture	PD&E	FHWA division recommends action to FHWA HQ
Transportation Enhancements Program	SAFETEA-LU Sections 1113, 1122, & 6003; TE Guidance dated January 19, 2006	As needed	Transportation Enhancements Coordinators	PD&E	FHWA provides program guidance and technical assistance
Transportation, Community, and System Preservation Program	SAFETEA-LU Section 1117	As needed	Budgets	Financial Services	
Truck Parking Facility Grants	SAFETEA-LU Section 1305; 23 CFR 658, 810, 1235	Annually	Landscape Architecture	Engineering Services	Division reviews and submits to FHWA HQ for approval
Value Pricing Program	SAFETEA-LU Section 1604	Annually	Traffic Operations	Engineering Services	Division reviews and submits to FHWA HQ for approval
Emergency Preparedness					
FHWA Emergency Preparedness Program	Executive Order 12656 and FHWA Order 1910.2C	Continuously	Maintenance	Engineering Services	
State Manuals Approved by FHWA for Use on Federal-Aid Projects					
ADA/Section 504 Program Plan	N/A	As Needed	Design	Civil Rights	
Annual Overall DBE Goal	N/A	As Needed	Civil Rights	Civil Rights	
Bridge Construction Manual	N/A	As Needed	Engineering Services	Engineering Services	
Bridge Design Manual	N/A	As Needed	Engineering Services	Engineering Services	
Caltrans A&E Consultant Contract Administration Handbook	N/A	As Needed	Procurement and Contracts	Field Operations	
Construction Manual	N/A	As Needed	Construction	Field Operations	
DBE Program Plan	N/A	As Needed	Civil Rights	Civil Rights	
EEO Contractor Compliance Program Plan	N/A	As Needed	Civil Rights	Civil Rights	
Highway Design Manual	N/A	As Needed	Design	Engineering Services	

ACTIVITY	Authority	Frequency / Due	Caltrans Contact	FHWA Contact	Remarks
Internal EEO Program Plan	N/A	As Needed	Civil Rights	Civil Rights	
Local Assistance Procedures Manual	N/A	As Needed	Local Assistance	Field Operations	Local Agency Program Manager may be FHWA contact in the future.
Local Assistance Program Guidelines	N/A	As Needed	Local Assistance	Field Operations	Local Agency Program Manager may be FHWA contact in the future.
Pavement Design Guide, Policy and Procedures	N/A	As Needed	Design	Field Operations	
ROW Manual	N/A	As Needed	ROW	ROW Program Manager	
Standard Plans	N/A	As Needed	Design	Engineering Services	
Standard Special Provisions	N/A	As Needed	Design	Field Operations	
Standard Specifications	N/A	As Needed	Design	Field Operations	
Title VI Program Plan	N/A	As Needed	Civil Rights	Civil Rights	
Unified Certification Program MOU	N/A	As Needed	Civil Rights	Civil Rights	

APPENDIX B: PROJECT RESPONSIBILITIES LIST

Overview

The Project Responsibility List identifies the responsible agency for project level actions. It is organized by columns listed as High Profile and Delegated Projects. Within each column, activities are listed and the appropriate Approval Authority (FHWA or Caltrans) is identified. The FHWA will maintain approval authority for activities that cannot be delegated and activities that may pose a risk to individual projects. The activities with highlighted () cells under the High Profile projects column, which show FHWA, may be delegated to Caltrans if the particular activity is of low risk to the project or the FAHP.

APPROVAL ACTION	Approval Authority	
	High Profile Projects	Delegated Projects NHS/Non-NHS
ADMINISTRATION		
Financial Management		
All Vouchers (progress payments and final)	FHWA	FHWA
Federal-aid Project Agreement and Modification—Preliminary Engineering through Construction [23 CFR 630.110]	FHWA	FHWA
Funding Eligibility Determinations	FHWA	Caltrans (4)
Obligate funds	FHWA	FHWA
Section 1.9 Waiver [23 CFR Section 1.9]	FHWA	FHWA
PROJECT DEVELOPMENT		
ROW		
Accept ROW certificate 3 as a condition of PS&E approval [23 CFR 635.309(c)(3)]	FHWA	FHWA
Accept ROW certificates 1 and 2 as a condition of PS&E approval [23 CFR 635.309(c)(1)&(2)]	FHWA	Caltrans
Air space agreements / Non-highway use and occupancy not on the Interstate [23 CFR 710.405]	FHWA	Caltrans
Air space agreements / Non-highway use and occupancy on the Interstate [23 CFR 710.405]	FHWA	FHWA
Control of Access [23 CFR 620.203(h)]	FHWA	FHWA
Functional Replacement [23 CFR 710.509]	FHWA	FHWA
Junkyard Control [23 CFR 751.25]	FHWA	FHWA
Outdoor Advertising Sign Removal Projects [23 CFR 750.307]	FHWA	FHWA
Protective Buying and Hardship Acquisition [23 CFR 710.307, 503]	FHWA	FHWA
Public Interest Finding (PIF) - Disposal of federally funded ROW [23 CFR 710.403, 409]	FHWA	FHWA
Railroad Agreement [23 CFR 646.216 (3)(d)]	FHWA	Caltrans
Relinquishment of a Highway Facility for continued highway purposes [23 CFR 620.201, 202, 203]	FHWA	FHWA
Request for Credits for Early Acquisition of ROW [23 CFR 710.501]	FHWA	FHWA
Request for Direct Federal Acquisition [23 CFR 710.603]	FHWA	FHWA

APPROVAL ACTION	Approval Authority	
	High Profile Projects	Delegated Projects
		NHS/Non-NHS
Request for Federal Land Transfer [23 CFR 710.601]	FHWA	FHWA
Request for Waivers [49 CFR 24.204(b)]	FHWA	FHWA
Utility Agreement [23 CFR 645.113, 119]	Caltrans	Caltrans
Utility Relocation [23 CFR 645 subparts A and B]	FHWA	Caltrans
Withholding of Payments [23 CFR 710.203(c), 23 CFR 1.36]	FHWA	FHWA
Environment		
Categorical Exclusion (CE) [23 CFR 771.117 (c) and (d): SAFETEA-LU 6004; 23 CFR 771.117 all other CEs: SAFETEA-LU 6005]	Caltrans (1)	Caltrans (1)
Certification of Public Hearing [23 CFR 771.111(h)(2)(vi)]	Caltrans	Caltrans
Draft Environmental Impact Statement (DEIS) [23 CFR 771.123; 23 CFR 771.123 (e); SAFETEA-LU 6005]	Caltrans (1)	Caltrans (1)
Environmental Assessment (EA) Availability to the Public [23 CFR 771.1199(c); SAFETEA-LU 6005]	Caltrans (1)	Caltrans (1)
Final Environmental Impact Statement (FEIS) [23 CFR 771.125; 23 CFR 771.125(c); SAFETEA-LU 6005]	Caltrans (1)	Caltrans (1)
FEIS Legal Sufficiency [23 CFR 771.125(b); SAFETEA-LU 6005]	Caltrans (1)	Caltrans (1)
Finding of No Significant Impact [23 CFR 771.121; SAFETEA-LU 6005]	Caltrans (1)	Caltrans (1)
Noise Abatement [23 CFR 772]	Caltrans	Caltrans
Project-Level Transportation Conformity for CE processed under SAFETEA-LU 6004 MOU [40 CFR 93]	Caltrans (1)	Caltrans (1)
Project-Level Transportation Conformity for CE, EA and Environmental Impact Statement (EIS) processed under SAFETEA-LU 6005 MOU [40 CFR 93]	FHWA	FHWA
Record of Decision [23 CFR 771.127; SAFETEA-LU 6005]	Caltrans (1)	Caltrans (1)
Re-evaluation on Approved Environmental Documents [23 CFR 771.129; SAFETEA-LU 6004 & 6005]	Caltrans (1)	Caltrans (1)
Section 4(f) <i>De Minimis</i> Determination [SAFETEA-LU 6004, 6005 & 6009, 49 USC 303]	Caltrans (1)	Caltrans (1)
Section 4(f) Individual [23 CFR 771.135; SAFETEA-LU 6004 & 6005]	Caltrans (1)	Caltrans (1)
Section 4(f) Programmatic [23 CFR 771.135; SAFETEA-LU 6004 & 6005]	Caltrans (1)	Caltrans (1)
Supplemental EIS [23 CFR 771.130; SAFETEA-LU 6005]	Caltrans (1)	Caltrans (1)
Preliminary Design		
Consultant Selection [23CFR 172.5]	FHWA	Caltrans (2)
Financial Plans for projects from \$100M to \$499M [SAFETEA-LU 1904]	Caltrans	Caltrans
Major ITS Project Development [23 CFR 940.11]	FHWA	FHWA
Major Projects and TIFIA Loan Projects - Project Management Plan and Financial Plan Approval [SAFETEA-LU 1904]	FHWA	FHWA
Minor ITS Project Development [23 CFR 940.11]	Caltrans	Caltrans

APPROVAL ACTION	Approval Authority	
	High Profile Projects	Delegated Projects
		NHS/Non-NHS
New/Modified Interstate Access Determination of Engineering and Operations Acceptability [Feb 1998 Federal Register, Vol#28 - (minor access changes delegated to Caltrans, see letter dated September 15, 1994]	FHWA (Caltrans)	FHWA (Caltrans) / N/A
PIF – Airspace Clearance FAA [CFR 620.104]	FHWA	FHWA / N/A
PIF - Use of Negotiated Consultant Contracts [23 CFR 172.5(3)]	FHWA	Caltrans
Detailed Design		
Approve preliminary plans for major and unusual structures	FHWA	Caltrans
Design Exceptions, non-Interstate (all other projects) [23 CFR 625.3]	Caltrans	Caltrans/ Local (3)
Design Exceptions on the Interstate (13 controlling Criteria) [23 CFR 625.3]	FHWA	FHWA/NA
Experimental Features (Pilot and Demo) aka CEWP, design/sequencing	FHWA	FHWA
New/Modified Interstate Access Control Change - Final Approval [Feb 1998 Federal Register, Vol#28]	FHWA	FHWA
PIF – Statewide and project specific use of proprietary products and processes [23 CFR 635.411]. If statewide, FHWA approval.	FHWA	Caltrans
PIF and Cost Justification Letter - Statewide and Project Specific - Concur in use of publicly furnished materials and expenses [23 CFR 635.407]. If statewide, FHWA approval.	FHWA	Caltrans
ROW encroachments - Use and occupancy of acquired ROW [23 CFR 710.401, HDM 504.8]	FHWA	FHWA
Value Engineering [23 CFR 627, SAFETEA-LU 1904]	Caltrans	Caltrans/ Local (3)
PS&E and Advertising		
Authorize advertising for bids [23 CFR 635.112]	FHWA	Caltrans
Authorize utility or railroad force account work [23 CFR 645.113 & 646.216]	FHWA	Caltrans
Bid Analysis (Engineer Estimates)	FHWA	Caltrans (2)
Consultant Agreements [23 CFR 172.7 - 172.9]	FHWA	Caltrans (2)
Exempt bridge from Coast Guard permit requirements [23 CFR 650.805]	FHWA	FHWA
Hiring of consultant to serve in a "management" role [23 CFR 172.9(d)]	FHWA	Caltrans
Noise - Reasonable and Feasible Determination for PS&E approval [23 CFR 772.11(g)]	Caltrans (1)	Caltrans
PIF - Advertising period less than three weeks [23 CFR 635.112]	FHWA	Caltrans
PIF - Use of contracting method other than competitive bidding [23 CFR 635.104 & 204]	FHWA	Caltrans
PIF - Use of Force Account [23 CFR 635.204, 205]	FHWA	Caltrans
PIF - Use of Mandatory Borrow/Disposal Sites [23 CFR 635.407]	FHWA	Caltrans
PIF - Use of Publicly Owned Equipment [23 CFR 635.106]	FHWA	Caltrans
PS&E [23 CFR 630.205, 23 USC 106]	FHWA	Caltrans (2)
Supplemental Work Item Justification	FHWA	Caltrans

APPROVAL ACTION	Approval Authority	
	High Profile Projects	Delegated Projects
		NHS/Non-NHS
Utility and railroad agreements [23 CFR 645.113 & 646.216]	FHWA	Caltrans (2)
Warranties [23 CFR 635.413]	FHWA	FHWA
Construction		
Accept Materials Certification [23 CFR 637.207]	FHWA	Caltrans (2)
Addenda during advertising period [23 CFR 635.112(c)]	FHWA	Caltrans (2)
Buy America Waiver [23 CFR 635.410, ISTE A Sec. 1041(a) & 1048(a), 41 CFR 10 (a-d)] Submit to HQ if >\$50K.	FHWA	FHWA
Concur in award of contract [23 CFR 635.114]	FHWA	Caltrans (2)
Concur in rejection of all bids [23 CFR 635.114]	FHWA	Caltrans (2)
Concur in settlement of contract claims [23 CFR 635.124; C&M Manual, Chapter 2]	FHWA	Caltrans (2)
Concur in termination of contracts [23 CFR 635.125]	FHWA	Caltrans (2)
Construction engineering by local agency [23 CFR 635.105]	FHWA	Caltrans
Contract time extensions [23 CFR 635.120 & 121]	FHWA	Caltrans (2)
Final inspection/acceptance of completed work [23 USC 114(a)]	FHWA	Caltrans (2)
Incentive/Disincentive Amount Justification [23 CFR 635.127]	FHWA	Caltrans (2)
Innovative Contracting Requirements [SEP 14 & 15]	FHWA	FHWA
Liquidated Damages (rates subject to FHWA approval) [23 CFR 635.127]	FHWA	Caltrans
Major changes and extra work [23 CFR 635.120]	FHWA	Caltrans
Minor changes and extra work [23 CFR 635.120]	FHWA	Caltrans (2)
Subcontracting Requirements [23 CFR 635.116(b)]	FHWA	Caltrans (2)
Research		
Experimental Features [FAPG Ch. 6, Sect G 6042.4]	FHWA	FHWA
Emergency Relief		
ER Damage Assessments and Reports on the SHS [23 CFR 668, 23 USC 120 and 125]	FHWA	FHWA
ER Damage Assessments and Reports off the SHS [23 CFR 668; 23 USC 120 and 125; ER Q&A, Question #5 Revised DAF and #8 Coordination with Other Agencies]	FHWA/ Caltrans	Caltrans
<p>(1) Caltrans has assumed responsibility for these items under the Section 6004 and 6005 MOUs. The FHWA will reassume responsibility should any of the applicable agreements be terminated or expire. Additionally, the FHWA remains responsible for several projects that have been excluded from the assumption of NEPA responsibilities by Caltrans.</p> <p>(2) Activity is delegated to the local agency.</p> <p>(3) Caltrans approval for On-Federal Aid system, local agency approval for Off-Federal Aid system.</p> <p>(4) Subject to the FHWA's Random Sampling Verification Process.</p>		

APPENDIX C: LIST OF MEASURES

ID	PERFORMANCE INDICATOR/ MEASURE	GOAL	PHASED IMPLEMENTATION*	AGREED/ PROPOSED (REPORT CYCLE)	CURRENTLY IN PLACE? (ADD'L COST/IMPL. TIME)		LEAD REPORTING AUTHORITY	SUPPORTING JUSTIFICATION FOR PERFORMANCE INDICATOR/MEASURE AND OTHER COMMENTS
					PROJECTS ON SHS (CALTRANS)	PROJECTS OFF SHS (LOCAL)		
LOCAL ASSISTANCE								
1	Use of Obligational Authority on Local Agency Projects	100%	1	Agreed (Monthly)	Not Applicable	Yes	Local Assistance	On Local Agency projects on or off the State Highway System
PROJECT DELIVERY								
2	Time Growth: The ratio of total number of actual working days to the total planned number of working days. On State administered contracts only.	≤110%	1	Agreed (Quarterly)	Yes	Not Available	Construction	Assesses the ability to predict the number of days needed for the work itself, assumes 95 percent design quality. Data source: Construction Contract Administration System (CAS).
3	Time administration: Percent of Planned Construction Contract Acceptance (CCA) vs Actual CCA date as included in Caltrans CTC report. On State administered contracts only.	≥95%	1	Agreed - (Quarterly)	Yes	Not Available	Construction	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. Data source: Project Management Database for Delivery.
4	Cost Growth:-The ratio of total construction capital costs to the total original contract allotments. On State administered contracts only.	≤100	1	Agreed - (Quarterly)	Yes	Not Available	Construction	Assesses the quality of the design relative to accounting for site conditions and the planned work. Data source: CAS.
5	Materials: Percent of contracts that comply with minimum testing frequencies. On State administered contracts only.	≥100%	2	Agreed - (Quarterly, starting December 2009)	No \$450K/4PY one time + \$75,000/1.5PY ongoing	Not Available	Construction	This is a compliance indicator, as federal aid projects need to meet the minimum sampling and testing requirements. Construction will submit BCP for 2008/9 FY to finance the development and support of the system. After funding is secured, will take approximately 9 months to develop and implement.
6	Engineer's Estimate: Percent of projects with low bid within +/- 10% of Engineer's Estimate; Percent of projects within low bid > 10% of Engineer's Estimate. On State administered contracts only.	50%	1	Agreed - (Quarterly)	Yes	Not Available	Engineering Services	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	CCO's: Total \$ and number broken down by CCO category. On State administered contracts only.	Not Applicable	2	Agreed - (Annually-Beginning FY 08)	No (60 days to complete after end of State FY)	Not Available	Construction	The purpose of this annual analysis is to assess cost increases related to types of change. Further review could indicate needed changes in plans and specifications and may lend itself to the quality of the PS&E package.
8	Current total project cost of Major Projects > \$500 Million (forecast) vs. Latest approved budget vs. Baseline budget. Reasons for and deviations from the approved budget.	No Growth	1	Agreed (Quarterly)	No (Part of project cost)	No (Assumed by Project Management)	Project Management	The purpose of this measure is to monitor the costs of Major Projects. This will allow for proactive efforts by FHWA to help keep projects within budget. Reference: SAFETEA-LU Section 1904 and FHWA Guidance for Major Projects.
9	Current schedule of Major Projects > \$500 Million vs. latest approved project schedule.	No Delays	1	Agreed (Quarterly)	No (Part of project cost)	No (Assumed by Project Management)	Project Management	The purpose of this measure is to monitor the schedule of Major Projects. This will allow for proactive efforts by FHWA to help keep projects within budget. Reference: SAFETEA-LU Section 1904 and FHWA Guidance for Major Projects.
10	FHWA approval/disapproval of Federal Finance Plan and Project Management Plans on Major Projects > \$500 Million are submitted within 30 days of receipt by Caltrans.	< 30 days	1	Agreed	Defer to FHWA: This is a measure of FHWA performance.	Defer to FHWA: This is a measure of FHWA performance.	FHWA	SAFETEA-LU, Sec 1904(a); 23 U.S.C. 106(h); FHWA Finance Plan Guidance Ensures timely review of plan by FHWA enabling proactive management of major projects.
11	Percentage of State Highway System planned delivery contract Ready-to-List (RTL) milestone vs actual RTL milestone date as included in Caltrans CTC report.	100%	1	Agreed (Quarterly)	Yes	Not Available	Project Management	Caltrans reports this quarterly to the Transportation Commission (CTC). Caltrans proposes to provide the same report to the FHWA. The report is only for State Highway projects.
12	Cost of project development for all state transportation improvement (STIP) projects awarded in a fiscal year expressed in support/capital. "Project development" includes all non-capital costs incurred by the Department from completion of the Project Study Report through the award of the construction contract (also known as PE costs).	3 year average < 20%	1	Annual (FY) as required in Govt Code Section 14524.16	Yes	Yes	Project Management	

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ID	PERFORMANCE INDICATOR/ MEASURE	GOAL	PHASED IMPLEMENTATION*	AGREED/ PROPOSED (REPORT CYCLE)	CURRENTLY IN PLACE? (ADD'L COST/IMPL. TIME)		LEAD REPORTING AUTHORITY	SUPPORTING JUSTIFICATION FOR PERFORMANCE INDICATOR/MEASURE AND OTHER COMMENTS
					PROJECTS ON SHS (CALTRANS)	PROJECTS OFF SHS (LOCAL)		
13	Number of projects with completed Constructability Reviews (CRs) plus Number of CR exception waivers vs. number of projects requiring CRs on State Highway projects only.	100%	1	Agreed (Annual)	No*	No	Design	Caltrans Policy requirement for projects on SHS. Available once RTL Cert Form is updated; will report # of CRs completed and # of exceptions granted.
14	Number of Value Engineering Studies performed (\$25 million and \$20 million bridge projects) vs. required on State Highway projects only.	100%	3	Agreed (Annual)	Yes	No	Design	Federal law requirement and currently being tracked and reported for projects on SHS.
15	Number of Value Engineering Studies performed under \$25 million on State Highway projects only.	Not Applicable	3	Agreed (Annual)	Yes	No	Design	Data currently being tracked by Design (Office of Special Projects) for projects on SHS.
16	Number of Value Engineering recommendations proposed and # and % of Value Engineering recommendations adopted into project design (broken down by District) on State Highway projects only.	Not Applicable	3	Agreed (Annual)	Yes	No	Design	Data to be used to support VA program in both FHWA and Caltrans. Data is tracked for projects on SHS.
17	Value of approved VE recommendations/estimated capital cost of projects on State Highway projects only.	5% reduction	1	Agreed (Annual)	Yes	No	Design	Industry 10% and Federal Aid 5%. Data is tracked for projects on SHS.
18	Median time to complete NEPA documents a. For EISs (NOI to ROD) ¹ b. For EAs (initiation of technical studies ² to FONSI)	100% done in < national median times ³	2	Agreed (Annual)	No (track EIRs and NDs but not EIS/FONSI)	Yes	Environmental Analysis	This measure directly supports FHWA's Vital Few Environmental Streamlining and Stewardship goal. Improved timeliness will demonstrate our ability to help reduce project delays. The measure will also help assess how timeliness is affected under NEPA assignment. Note 1: NOIs may be used to convene participating agencies during early planning. If used to do so, the date for the initiation of technical studies for the project level analysis would be used. Note 2: Inside of Caltrans the date used would be "Maps to Environmental." For Local Assistance projects, the signing of the PES form would set the start date. Note 3: The national median times are 72 months for an EIS and 34 months for a FONSI. The national goal for FHWA and a desired goal for Caltrans is 36 months for an EIS and 12 months for a FONSI. FHWA California Division and Caltrans Division of Environmental Analysis would work on developing a strategy to achieve these times, such as substantial changes to laws, regulations, and processes.
19	Percent of NEPA documents approved within the anticipated completion date a. For EISs b. For EAs	100%	1	Agreed (Annual)	Yes	Yes	Environmental Analysis	This measure directly supports FHWA's Vital Few Environmental Streamlining and Stewardship goal. Improved timeliness will demonstrate our ability to help reduce project delays. The measure will also help assess how timeliness is affected under NEPA assignment.
20	Percent of projects that have an Environmental Commitment Record (ECR) when the project goes to RTL (step 1 of 2) Percent of ECRs completed/filled out at Construction Contract Acceptance (CCA).	100% for Both	1	Agreed (Annual)	Yes	Yes Initiated 03/07	Environmental Analysis	This is a compliance measure geared at assessing how well required environmental mitigation for projects is being implemented (23 CFR 635.309). It is supported by Caltrans' June 10, 2005, memorandum from Richard Land, Chief Engineer, stating that "each district shall establish and maintain an Environmental Commitments Record (ECR) for each project."
21	Ratio of wetlands mitigated.	1.5/1 (statewide avg)	2	Agreed (Annual)	Yes	Yes Initiated 03/07	Environmental Analysis	This is a compliance measure that supports FHWA's policy on wetlands. In 1998, the Federal Clear Water Action Plan (CWAP) was issued, which in part, committed FHWA to achieving a net increase in wetland acreage resulting from federal-aid highway projects. FHWA has been collecting annual wetland mitigation data since 1996 in support of this policy.
22	Percent of Biological Opinions received within 135 days from US FWS, US NOAA (Compliance Indicator)	100%	2	Agreed (Annual)	Yes	Yes Initiated 03/07	USFWS	This is a streamlining measure designed to draw attention to the importance of effective and continuous consultation with resource agencies. It also helps FHWA and Caltrans assess how well the Dispute Resolution Process is working.
23	Percentage of "Cert 1s & 2s" compared to the total number of Certifications issued by the Division	>90%	1	Agreed (Quarterly)	Yes	No	Right of Way	Low frequency could identify problems such as: inadequate lead time to clear R/W; high R/W cost; unfair treatment of property owners and occupants contrary to law, or could indicate a need to revisit FHWA Certification policy.
24	Percentage of ROW projects closed/final vouchered within 12 months of construction contract acceptance (CCA)	80%	1	Agreed (Annual)	No (Nominal \$ & Nominal time)	No	Right of Way	Measurement of proper administration of funds.
BRIDGE ASSET MANAGEMENT								
25	Percentage of California bridges classified as structurally deficient or functionally obsolete.	TBD	1	Agreed (Annual)	Yes	Yes	Maintenance (Structures Maintenance)	The intent of the HBP is to reduce the number of deficient bridges on the NBI. This information is already being collected.

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ID	PERFORMANCE INDICATOR/ MEASURE	GOAL	PHASED IMPLEMENTATION*	AGREED/ PROPOSED (REPORT CYCLE)	CURRENTLY IN PLACE? (ADD'L COST/IMPL. TIME)		LEAD REPORTING AUTHORITY	SUPPORTING JUSTIFICATION FOR PERFORMANCE INDICATOR/MEASURE AND OTHER COMMENTS
					PROJECTS ON SHS (CALTRANS)	PROJECTS OFF SHS (LOCAL)		
26	Percentage of scour critical bridges on both the state and local system	TBD	1	Agreed (Annual)	Yes	Yes	Maintenance (Structures Maintenance)	Every bridge included on the NBI is required to have a scour plan of action. Additionally, this information will provide information about bridge safety. This data is already being tracked.
27	Scour critical bridge monitoring per federal mandate. Maintain monitoring systems and inspect all scour-critical bridges on a regular basis.	100% compliance	2	Agreed (Annual)	Yes	Yes	Engineering Services & Maintenance (Structures Maintenance)	SM&I maintain a list of scour-critical bridges. All bridges have some form of monitoring procedure or system in place. These bridges are also inspected on a regular (annual or two-year cycle) to evaluate the effects on any scour.
28	NBIS: Inspect bridge inventory. Appraisal of the Nation's Bridges	100% compliance	2	Agreed (Annual)	Yes	Yes	Maintenance (Structures Maintenance)	Inspect each bridge at the defined interval in the CFR. For routine, in-depth, fracture critical member, underwater, damage and special inspections enter the SI&A data into the State or Federal agency inventory within 90 days of the date of inspection for State or Federal agency bridges and within 180 days of the date of inspection for all other bridges. For existing bridge modifications that after recorded data and for new bridges, enter the SI&A data into the State or Federal agency bridges and within 90 days after the completion of the work. To inspect all state bridges and all local agency bridges on regular basis as set forth in 23 CFR 650 Part C and Report the data using FHWA established procedures as outlined in the Recording and Coding Guide for the Structure Inventory.
CIVIL RIGHTS								
29	Tally of DBE awards/commitments for SHS and non-SHS projects (June 1 and December 1)	Annual DBE Goal varies	3	Agreed	Yes	Yes	Civil Rights / Local Assistance	Data needed to run constitutionally narrowly tailored program. See 49 CFR 26.51(f)(2).
30	Percentage of UCP DBE certification applications pending more than 90 days after receipt of all required information	Annual DBE Goal varies	2	Agreed (Quarterly)	Yes	Not Applicable	Civil Rights	Measure of attaining regulatory requirement. Encourages cooperation & coordination of UCP members.
31	Percentage of Caltrans programs that analyze and monitor impacts and benefits by race and national origin of participants in and beneficiaries of Caltrans programs. Annually report the findings of one Title VI process review of six sub-recipients per year that would include their responsibilities in 49 CFR Part 21 and 23 CFR Part 200.	Annual DBE Goal varies	1	Agreed (Annual)	Yes	Not Applicable	Civil Rights	Measure of data needed to measure Title VI program objectives.
32	Percentage of sub-recipients with completed accessibility self-evaluations, up to date transition plans, ADA coordinators, published grievance procedures, and compliant design standards. Number and dollar value of updates to Caltrans' transition plan and number and dollar value of completed Caltrans transition plan items.	Annual DBE Goal varies	2	Agreed (Annual)	Yes	Not Applicable	Civil Rights	Local Assistance will have sub-recipients certify that they meet these sub-recipient requirements or they will meet all these requirements within two years or less (specify date), or they will justify why they will need more than two years to meet some requirements and when compliance will be met. Local Assistance will monitor and report progress annually to FHWA.
EMERGENCY RELIEF								
33	Percent of all Damage Assessment Forms (DAFs) submitted to FHWA and that are approved by FHWA in less than 7 calendar days.	100%	2	Agreed (Annual)	No	No	FHWA	Quality Measure for DAF preparation and effectiveness of communication. Compliance to existing guidelines for DAF development.
34	Percentage of Permanent Repair projects brought to construction obligation within 2 FY after the incident year.	80%	1	Agreed (Annual)	Yes	Yes	Budgets	Required to assess the timeliness of the completion of Permanent Repair work. Maintenance & Local Assistance involvement.
35	Time from the date of incident to allocation of ER funds	<12 months	1	Agreed (Annual)	No	No	FHWA/Budgets	Measures the Administration's responsiveness in funding federal disaster projects. FHWA to do. Maintenance & Local Assistance involvement
FINANCE								
36	Use all available Federal Obligation Authority, which would otherwise lapse, prior to the end of the Federal fiscal year.	100%	1	Agreed	Yes	Yes	Budgets	
37	FHWA provides timely customer service on all project authorization/modification reviews and approvals (excluding final vouchers). Project authorizations/modifications are completed within 7 calendar days of receipt of supporting documentation.	Within 7 days	1	Agreed	Yes	Yes	FHWA	This is an FHWA measure, for which Caltrans will provide supporting documentation.
38	Percent of inactive obligations vs annual apportionment. Combine all 3 tiers as defined by 23CFR630.106(a)(5) i, ii, and iii.	TBD	1	Agreed (Annual)	Yes	Yes	Budgets	23 CFR 630.106 Authorization to proceed and project monitoring. This review is performed to ensure compliance with Federal requirements and prudent obligation of Federal funds to ensure consistency and reliability in financial statement reporting and to support the FHWA annual

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ID	PERFORMANCE INDICATOR/ MEASURE	GOAL	PHASED IMPLEMENTATION*	AGREED/ PROPOSED (REPORT CYCLE)	CURRENTLY IN PLACE? (ADD'L COST/IMPL. TIME)		LEAD REPORTING AUTHORITY	SUPPORTING JUSTIFICATION FOR PERFORMANCE INDICATOR/MEASURE AND OTHER COMMENTS
					PROJECTS ON SHS (CALTRANS)	PROJECTS OFF SHS (LOCAL)		
								certification of internal and financial controls to support the financial statement. Should exclude projects that are not truly inactive.
39	Current Bill Submission. Caltrans submits each current bill to the FHWA California Division office for approval no later than 8:30 a.m.	100%	1	Agreed	Yes	Yes	Accounting	31 CFR Part 205. Timely submission and approval of the current bill is required to ensure compliance with the Cash Management Improvement Act which provides the general rules and procedures for the efficient transfer of Federal financial assistance between the Federal Government and the States.
40	Current Bill Approval. All current bills are approved by FHWA California Division no later than 9:00 a.m.	100%	1	Agreed	Yes	Yes	FHWA	31 CFR Part 205. Timely submission and approval of the current bill is required to ensure compliance with the Cash Management Improvement Act, which provides the general rules and procedures for the efficient transfer of Federal financial assistance between the Federal Government and the States.
41	Annual Financial Statement Audit All accruals are submitted and corrective actions are addressed by requested deadlines.	100%	1	Agreed	Yes	Yes	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.
42	Responses to requests for current bill documentation are received by FHWA within 10 business days.	< 10 days	1	Agreed	Yes	Yes	Accounting	Improper Payments Information Act of 2002, FHWA Order 4560.1A Ensures timely completion of billing reviews.
43	All in-eligible costs are credited and de-obligated within one month of issuance of Federal In-eligibility Notice.	< 1 mo	1	Agreed	Yes	Yes	Accounting/ Budgets	Improper Payments Information Act of 2002, FHWA Order 4560.1A CMIA 31 CFR Part 205. Timely submission and approval of the current bill is required to ensure compliance with the Cash Management Improvement Act, which provides the general rules and procedures for the efficient transfer of Federal financial assistance between the Federal Government and the States. Ensures timely repayment of Federal monies and facilitates funds management.
44	Innovative Finance: Responses to innovative financing requests, including approvals, disapprovals, and requests for additional information, are sent to Caltrans within 14 calendar days.	< 14 days	1	Agreed	Yes	Yes	FHWA	ISTEA, 1991; NHS Act, 1995; TEA-21, 1988 TIFIA Ensures timely approval of legitimate financing requests and ultimately, project authorization.
PLANNING & PROGRAMMING								
45	Percentage of all Federally funded and regionally significant projects obligated annually compared to those programmed.	TBD (after baseline established)	1 or 2	Agreed (At end of each FSTIP cycle, every two years)	Modifies existing reporting requirements to include non-Federal regionally significant projects.		Programming	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.
46	Kilograms of designated pollutants removed per CMAQ dollar spent; per project, per MPO	TBD (after baseline is established)	1 or 2	Agreed (Annual)	Yes	Yes	Programming	Measuring whether the most cost-effective projects for CMAQ funding. MPOs already report on annual CMAQ obligations. This measure would simply require that the MPOs include total CMAQ funding as part of that annual report.
47	Percentage of regionally significant projects that progress through the Long-range Plan timeline with each subsequent Plan revision, in non-attainment areas only, by MPO.	100%	2	Agreed Updated each Plan cycle	Not in place. Additional cost and time to implement is likely, not yet known.	Not in place. Additional cost and time to implement is likely, not yet known.	Planning	Determine whether the planning process is being used to identify implementable projects, or if the out years of the long-range Plan are for storage of wish-list projects. NOTE: With concurrence from FHWA this performance measure will be implemented beginning with the Regional Transportation Plans (RTPs) that are currently under development by the MPOs. DOTP staff will report on performance measure #57 beginning in January or February 2008.
48	Number of conformity lapses statewide per FSTIP cycle.	0	1	Agreed (4 year cycle)	Yes	Yes	Planning	Measuring whether MPOs are complying with Federal conformity requirements.
49	Statewide Transportation Plan updated and approved at least every 5 years (yes/no), reported annually based on the most recent Plan update.	Yes	1	Agreed (5 yrs)	Yes	Yes	Planning	Measuring whether the State is meeting the Federal Statewide Planning requirements.
RESEARCH								
50	A list of new technologies Caltrans has developed and/or deployed, and associated benefits.	Yes	1	Agreed	Not Applicable	Not Applicable	Research and Innovation	Technology deployment is an issue on national interest. Additionally, the collection of this information would aid in reporting to FHWA HQ. A systematic process of collecting this data would benefit both Caltrans and FHWA.
51	Submit SP&R Part II Annual Workplan.	Yes	1	Agreed	Not Applicable	Not Applicable	Research and Innovation	Required by 23 CFR 420
52	Deliver Annual SPR (Part II) Accomplishment Report	90% of the work plan complete	1	Agreed	Not Applicable	Not Applicable	Research and Innovation	Required by 23 CFR 420

***Phased Implementation**

1. Easily obtainable/available 2. Not readily available or more discussion needed 3. Unobtainable at this time, without considerable work

For measures already in place a small amount of one-time set up (approx 3 mo) and additional recurring resources (approx .02 PY annually) will be required for each measure to package and transmit to FHWA even when the measure is currently in place for Caltrans use (unless indicated otherwise)

ID	PERFORMANCE INDICATOR/ MEASURE	GOAL	PHASED IMPLEMENTATION*	AGREED/ PROPOSED (REPORT CYCLE)	CURRENTLY IN PLACE? (ADD'L COST/IMPL. TIME)		LEAD REPORTING AUTHORITY	SUPPORTING JUSTIFICATION FOR PERFORMANCE INDICATOR/MEASURE AND OTHER COMMENTS
					PROJECTS ON SHS (CALTRANS)	PROJECTS OFF SHS (LOCAL)		
TRAFFIC OPERATIONS/ITS & SAFETY								
53	Fatality trend on State and Local Roads - # of fatalities (3-year trend:% decrease/increase)	Varies	1	Agreed (Annual)	Yes	Yes	Traffic Operations/Local Assistance	Fundamental indicator of effectiveness of Caltrans Traffic Safety Program.
54	Fatality Rate trend on State and Local Roads - # of fatalities per 100 MVMT (3-year Annual trend:% decrease/increase)	1 per 100 MVMT	1	Agreed (Annual)	Yes	Yes	Traffic Operations/Local Assistance	Fundamental indicator of effectiveness of Caltrans Traffic Safety Program.
55	Delivery of safety projects: % of safety projects delivered on time State Highways only SHS Only	95%	1	Agreed (Annual)	Yes	No	Traffic Operations	Indicator of effectiveness of Caltrans expediting safety projects. Requires coordination with Project Delivery.
56	Total dollars spent on safety projects	Varies	3	Agreed (Annual)	Yes	No	Traffic Operations	Information available thru HSIP.
57	Total Federal Aid dollars on safety projects	Varies	3	Agreed (Annual)	No	Yes	Local Assistance	Information available thru HSIP.
58	MUTCD Compliance: California adopts latest National MUTCD within 2 years SHS Only. (Not a performance measure)	2 years	1	Agreed (one time)	Yes	Not Applicable	Traffic Operations	Caltrans requests this indicator.
59	Travel time on 20+ urban corridors with Corridor Management Plans underway and ongoing SHS Only	TBD	2	Agreed (Annual)	Yes	Not Available	Traffic Operations	Supports national congestion goal. Raw travel times and TTI's (Travel Time Index) will be provided from the Congestion Monitoring Report.
60	Incident Clearance Time for Major incidents only. To be expanded later State Highways only SHS Only	90 min	2	Agreed (Annual)	Yes	No	Traffic Operations	Supports national congestion goal.
61	Daily Vehicle Hour Delay for all urban freeways. SHS Only	TBD	2	Agreed (Annual)	Yes	No	Traffic Operations	Supports national congestion goal.
62	Incident Type and Delay Factor (future performance measure) SHS Only	TBD	2	Agreed (Annual)	No	No	Traffic Operations	Data not available at this time. Retained as an agreed to "place holder" performance measure to strive for in the future.
63	Run-Off-Road: # of fatalities (3-year Annual trend:% decrease/increase) SHS Only	+ or -Change	2	Agreed (Annual)	Yes	No	Traffic Operations	Indicator of effectiveness of Caltrans Traffic Safety Program by one of the most frequent crash types.
64	Intersection: # of fatalities (3-year Annual trend: % decrease/increase) SHS Only	+ or -Change	2	Agreed (Annual)	Yes	No	Traffic Operations	Indicator of effectiveness of Caltrans Traffic Safety Program by one of the most frequent crash types.
65	Pedestrian: # of fatalities (3-year Annual trend (% decrease/increase) SHS Only	+ or -Change	2	Agreed (Annual)	Yes	No	Traffic Operations	Indicator of effectiveness of Caltrans Traffic Safety Program by one of the most frequent crash types.
66	Work Zone: # of fatalities (3-year Annual trend:% decrease/increase) SHS Only	+ or -Change	2	Agreed (Annual)	Yes	No	Traffic Operations	Indicator of effectiveness of Caltrans Traffic Safety Program by one of the most frequent crash types. Requires coordination with Construction, Maintenance and Human Resources-Office of Safety & Health
67	Minor ITS Deployment Projects: Percent of projects with completed System Engineering Review Form (SERF). [Data collected - # ITS projects funded, # those same projects with no valid SERF on file.]	100% Compliance	2	Agreed (Annual)	No (2 PYs ongoing for Traffic Ops/ Planning)	No (\$50,000/1PY-one time; .5 PY ongoing)	FHWA/Planning/ Traffic Ops- SHS; FHWA/Local Assistance- Non-SHS	23 CFR 940(11) All ITS projects shall be based on a systems engineering analysis – compliance determination.
68	Major ITS Deployment Projects: Percent of projects with completed SERF and approved Systems Engineering Management Plan (SEMP). [Data collected - # ITS projects funded, # those same projects with no approved SEMP.]	100% Compliance	2	Agreed (Annual)			FHWA/Planning/ Traffic Ops- SHS; FHWA/Local Assistance- Non-SHS	23 CFR 940(11) All ITS projects shall be based on a systems engineering analysis – compliance determination.

***Phased Implementation**

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APPENDIX D: EXAMPLES OF HIGH PROFILE PROJECTS

Controversial and Congressional Interest projects – projects that are highly controversial or are of high congressional interest as determined by the FHWA.

Demonstration/Pilot projects – these are projects included in demonstration and pilot programs as established by Caltrans or the FHWA. Some examples of such programs are the Value Pricing Pilot Program, Express Lanes Demonstration Program, Caltrans' Design/Build Program, Caltrans' Design Sequencing Pilot Program, buses on shoulders, quiet pavements, and High Occupancy Toll lanes. All projects that receive a congressional earmark are not intended to be High Profile projects, although some High Profile projects may receive an earmark.

Executive Order 13274 projects – these projects are selected by the Secretary of Transportation to enhance environmental stewardship and streamline the environmental review and development of transportation infrastructure projects. An example of one such project is the Interstate 5 North Coast project.

Invitational projects – projects where Caltrans requests and establishes the FHWA's level of involvement.

Interstate Projects with design exceptions – projects that have non-standard design features relating to design speed, lane width, shoulder width, bridge width, horizontal alignment, vertical alignment, grade, stopping sight distance, cross slope, superelevation, horizontal clearance, vertical clearance or bridge structural capacity (i.e. the 13 controlling criteria for selection of design standards of primary importance for highway safety).

Major ITS projects – projects that are described under 23CFR Section 940, as any ITS project that implements part of a regional ITS initiative that is multi-jurisdictional, multi-modal, or otherwise affects regional integration of ITS systems.

Major Projects – projects whose cost (including preliminary engineering, ROW, and construction) exceeds \$500 million. These require Finance Plans and Project Management Plans.

Non-Traditional Revenue Sources projects – projects that are financed through non-traditional means. An example of this type of project is the TIFIA loan project.

Special Experimental Projects (SEP-14) – Alternative Contracting – The objective of SEP-14 process is to evaluate "project specific" innovative contracting practices undertaken by State highway agencies that have the potential to reduce the life cycle cost of projects, while at the same time, maintain product quality. SEP-14 projects follow a formal application process.

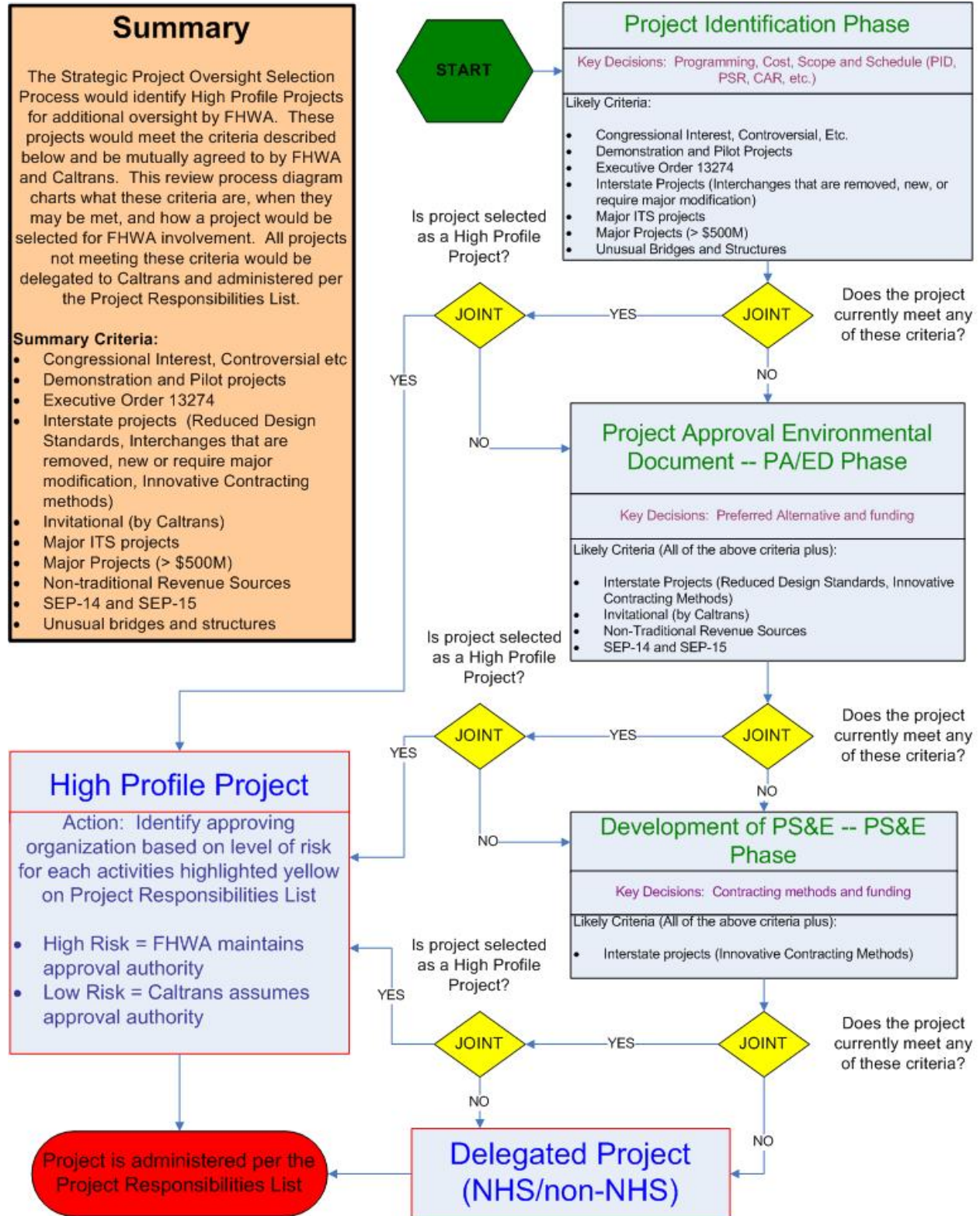
Special Experimental Projects (SEP-15) – Public Private Partnerships - SEP-15 is a new experimental process for the FHWA to identify, for trial evaluation, new public-private partnership approaches to project delivery. It is anticipated that these new approaches will allow the efficient delivery of transportation projects without impairing the FHWA's ability to carry out

its stewardship responsibilities to protect both the environment and American taxpayers. SEP-15 projects follow a formal application process.

Unusual Bridges – these projects include bridges with difficult or unique foundation problems; new or complex designs with unique operational or design features; bridges with exceptionally long spans (greater than 150 m); or bridges designed with procedures that depart from currently recognized acceptable practices. Examples of unusual bridges include cable-stayed, suspension, arch, segmental concrete, movable, or truss bridges; or bridges with major supporting elements of high performance or technologically advanced materials.

Unusual Structures – unusual structures are tunnels, geotechnical structures featuring new or complex wall systems or ground improvement systems, hydraulic structures that involve complex stream stability countermeasures, and structures using atypical or unique designs or design techniques.

APPENDIX E: STRATEGIC PROJECT OVERSIGHT SELECTION PROCESS



APPENDIX F: 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