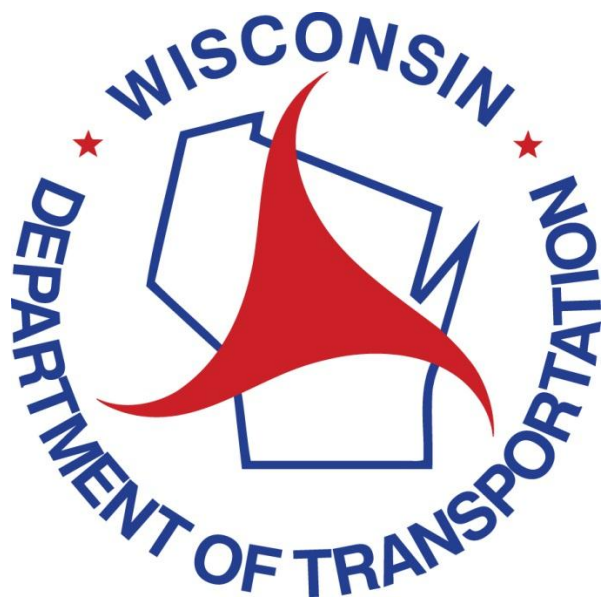


**Federal Highway Administration
and
Wisconsin Department of Transportation
Stewardship & Oversight Agreement**



U.S. Department
of Transportation

**Federal Highway
Administration**

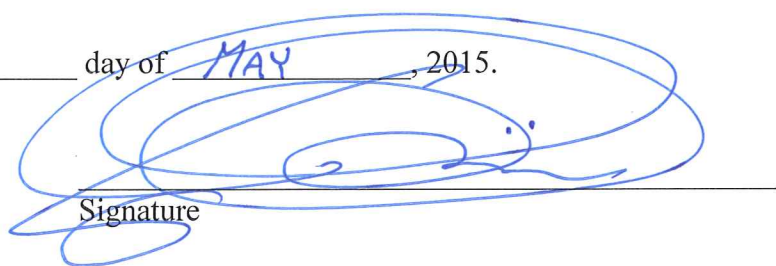


May 2015

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EXECUTION BY THE FHWA WISCONSIN DIVISION OFFICE

Executed this 26 day of MAY, 2015.



Signature

George R. Poirier, P.E.
Wisconsin Division Administrator

EXECUTION BY THE WISCONSIN DEPARTMENT OF TRANSPORTATION

Executed this 27 day of May, 2015.



Signature

Mark Gottlieb, P.E.
WisDOT Secretary of Transportation

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STEWARDSHIP AND OVERSIGHT AGREEMENT ON PROJECT ASSUMPTION AND PROGRAM OVERSIGHT BY AND BETWEEN FEDERAL HIGHWAY ADMINISTRATION, WISCONSIN DIVISION AND THE STATE OF WISCONSIN DEPARTMENT OF TRANSPORTATION

SECTION I. BACKGROUND AND INTRODUCTION

The Federal-aid Highway Program (FAHP) is a federally-assisted program of State-selected projects. The Federal Highway Administration (FHWA) and the State Departments of Transportation have long worked as partners to deliver the FAHP in accordance with Federal requirements. In enacting 23 U.S.C. 106(c), as amended, Congress recognized the need to give the States more authority to carry out project responsibilities traditionally handled by FHWA. Congress also recognized the importance of a risk-based approach to FHWA oversight of the FAHP, establishing requirements in 23 U.S.C. 106(g).

This S&O Agreement sets forth the agreement between the FHWA Division Office and the Wisconsin Department of Transportation (WisDOT) on the roles and responsibilities of FHWA and WisDOT with respect to Title 23 project approvals and related responsibilities, and FAHP oversight activities. This S&O Agreement has been developed in accordance with national guidance and is meant to provide a broad overview of FHWA and WisDOT roles and responsibilities in carrying out the requirements of the FAHP.

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

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

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

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

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

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

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

SECTION II. INTENT AND PURPOSE OF THE S&O AGREEMENT

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

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

Specific details relating to project-level stewardship and oversight are provided in the Division's "[FHWA and WisDOT Stewardship & Oversight of Projects through Implementation of a Risk-Based Approach](#)" Agreement. This supplemental Agreement is updated on an annual basis and includes:

- An outline of the FHWA Division's project risk assessment process
- An outline of the project selection process for Projects of Corporate Interest (PoCI) and Projects of Division Interest (PoDI)

- An outline of how the FHWA Division will carry out project-level, risk-based stewardship and oversight responsibilities
- A listing of current PoCI and PoDI projects
- Project approval responsibilities list (applicable to all non-major PoDI projects)
- Template for project-specific risk-based major (mega) project agreements

In order to fully comply and understand the application of the S&O Agreement, the following definitions are presented. Both Stewardship and Oversight activities will be used to fulfill the responsibilities included in this Agreement.

- Stewardship – The efficient and effective management of the public funds that have been entrusted to the Federal Highway Administration
- Oversight – The act of ensuring the Federal highway program is delivered consistent with applicable laws, policies, and regulations.

The FAHP administrative roles and responsibilities will be administered by both FHWA and WisDOT. This S&O Agreement describes both the State and Federal roles and responsibilities that apply to the following program areas:

- Civil Rights
- Construction and Contract Administration
- Roadway Design
- Environment
- Financial Management
- Traffic Operations / ITS
- Planning
- Small Program Administration (Transportation Alternatives, Ferry Boats, Federal Lands Access, and others)
- Right-of-Way (ROW)
- Safety
- Pavement and Materials
- Federal Major Projects (WisDOT Mega Projects greater than \$500M)
- Local Public Agencies (LPAs)
- Bridges and Structures

SECTION III. ASSUMPTION OF RESPONSIBILITIES FOR FEDERAL-AID PROJECTS ON THE NATIONAL HIGHWAY SYSTEM (NHS)

- A. WisDOT *may assume* the FHWA’s Title 23 responsibilities for design; plans, specifications, and estimates (PS&E); contract awards; and inspections, with respect to

Federal-aid projects on the National Highway System (NHS) if both WisDOT and FHWA determine that assumption of responsibilities is appropriate.

- B. Approvals and related activities for which WisDOT has assumed responsibility as shown in the Project Action Responsibility Matrix (**Attachment A**) will apply program wide unless project specific actions for which the Division will carry out the approval or related responsibilities are documented in accordance with the [“FHWA Project of Division Interest/Project of Corporate Interest Guide \(FHWA PoDI/PoCI Guide\).”](#)

For Division projects selected as either Projects of Corporate Interest (PoCIs) or Projects of Division Interest (PoDIs), project-level approval actions will be determined on a project-by-project basis. Details on the annual PoCI and PoDI identification process, risk analysis, and project-specific agreement development can be found in the Division’s [“FHWA and WisDOT Stewardship & Oversight of Projects through Implementation of a Risk-Based Approach”](#) Agreement.

- C. WisDOT may not assume responsibilities for Interstate projects that are in high risk categories (23 U.S.C. 106(c)(4)).
- D. WisDOT is to exercise any and all assumptions of the Secretary’s responsibilities for Federal-aid projects on the NHS in accordance with Federal laws, regulations and policies.

SECTION IV. ASSUMPTION OF RESPONSIBILITIES FOR FEDERAL-AID PROJECTS OFF THE NATIONAL HIGHWAY SYSTEM (NHS)

- A. WisDOT *shall assume* the FHWA’s Title 23 responsibilities for design, PS&Es, contract awards, and inspections, with respect to *Federal-aid projects off the NHS (non-NHS)* unless WisDOT determines that assumption of responsibilities is not appropriate (23 U.S.C. 106(c)(2)).
- B. Except as provided in 23 U.S.C.109(o), WisDOT is to exercise the Secretary’s approvals and related responsibilities on these projects in accordance with Federal laws.
- C. WisDOT, in its discretion, may request that FHWA carry out one or more non-NHS approvals or related responsibilities listed as “WisDOT” in **Attachment A** on a program-wide basis. For a project specific request, WisDOT may request that FHWA carry out any approval or related responsibility listed in **Attachment A** off the NHS. Such project-specific requests shall be documented in accordance with the Division’s [“FHWA and WisDOT Stewardship & Oversight of Projects through Implementation of a Risk-Based Approach”](#) Agreement.

- D. Pursuant to 23 U.S.C. 109(o), non-NHS projects shall be designed and constructed in accordance with State laws, regulations, directives, safety standards, design standards, and construction standards.

SECTION V. ASSUMPTION OF RESPONSIBILITIES FOR LOCALLY ADMINISTERED PROJECTS

WisDOT may permit local public agencies (LPAs) to carry out WisDOT's assumed responsibilities on locally administered projects. WisDOT is ultimately responsible and accountable for LPA compliance with all applicable Federal laws and requirements. *Section XI, Subpart B* contains specific information and references concerning how WisDOT will carry out these responsibilities to ensure LPAs are in compliance with all applicable Federal laws and requirements.

SECTION VI. PERMISSIBLE AREAS OF ASSUMPTION UNDER 23 U.S.C. 106(c)

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

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

SECTION VII. FEDERAL APPROVALS AND RELATED RESPONSIBILITIES THAT MAY NOT BE ASSUMED BY THE STATE DOT

- A. Any approval or related responsibility not listed in **Attachment A** cannot be assumed by WisDOT without prior concurrence by FHWA Headquarters. The following is a list of the most frequently-occurring approvals and related responsibilities that may not be assumed by WisDOT:
- Civil Rights Program approvals;
 - Environmental approvals, except those specifically assumed under other agreements. (23 U.S.C. 326 and 327; programmatic categorical exclusion agreements);
 - Federal air quality conformity determinations required by the Clean Air Act;
 - Approval of current bill and final vouchers;
 - Approval of federally-funded hardship acquisition, protective buying, and 23 U.S.C. 108(d) early acquisition;
 - Project agreements and modifications to project agreements and obligation of funds (including advance construction);
 - Planning and programming pursuant to 23 U.S.C. 134 and 135;
 - Special Experimental Projects (SEP-14 and SEP-15);
 - Use of Interstate airspace for non-highway-related purposes;
 - Any Federal agency approval or determination under the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (Uniform Act), as amended, and implementing regulations in 49 CFR Part 24;
 - Waivers to Buy America requirements;
 - Approval of Federal participation under 23 CFR 1.9(b);
 - Provide pre-approval for preventive maintenance project (until FHWA concurs with State DOT procedures);
 - Requests for credits toward the non-Federal share of construction costs for early acquisitions, donations, or other contributions applied to a project;
 - Functional replacement of property;
 - Approval of a time extension for preliminary engineering projects beyond the 10-year limit, in the event that actual construction or acquisition of right-of-way for a highway project has not commenced;
 - Approval of a time extension beyond the 20-year limit for right of way projects, in the event that actual construction of a road on the right-of-way is not undertaken;
 - Determine need for Coast Guard Permit;
 - Training Special Provision – Approval of New Project Training Programs; and
 - Any other approval or activity not specifically identified in Attachment A unless otherwise approved by the FHWA, including the Office of Chief Counsel.
- B. For all projects and programs, the WisDOT will comply with Title 23 and all applicable non-Title 23, U.S.C. Federal-aid program requirements, such as metropolitan and

statewide planning; environment; procurement of engineering and design related service contracts (except as provided in 23 U.S.C. 109(o)); Civil Rights including Title VI of the *Civil Rights Act*, and participation by Disadvantaged Business Enterprises; prevailing wage rates; and acquisition of right-of-way, etc.

- C. This Agreement does not modify FHWA’s non-Title 23 program approval and related responsibilities, such as approvals required under
- the Clean Air Act,
 - the National Environmental Policy Act,
 - the Executive Order on Environmental Justice (E.O. 12898) and other related environmental laws and statutes,
 - the Uniform Act, and
 - the Civil Rights Act of 1964 and related statutes.

SECTION VIII. PROJECT ACTION RESPONSIBILITY MATRIX

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

For Division projects selected as either Projects of Corporate Interest (PoCIs) or Projects of Division Interest (PoDIs), project-level approval actions will be determined on a project-by-project basis. Specific PoCI and PoDI project-level approval actions are documented in the [“FHWA and WisDOT Stewardship & Oversight of Projects through Implementation of a Risk-Based Approach”](#) Agreement in either the PoDI Project Approval Responsibilities List (Attachment 2) or the applicable project-specific Major (Mega) Project Agreement (Attachment 3).

SECTION IX. HIGH RISK CATEGORIES

- A. In 23 U.S.C. 106(c), Congress directs that the Secretary shall not assign any approvals or related responsibilities for projects on the Interstate System if the Secretary determines the project to be in a high risk category. Under 23 U.S.C. 106(c)(4)(b), the Secretary may define high risk categories on a national basis, State-by-State basis, or national and State-by-State basis.
- B. The Wisconsin Division has determined there are currently no high risk categories for the State of Wisconsin or for WisDOT. If a high risk area is identified, either on a national or statewide basis, this Stewardship Agreement will be updated to reflect this area.

SECTION X. FHWA OVERSIGHT PROGRAM UNDER 23 U.S.C. 106(g)

- A. In 23 U.S.C. 106(g), Congress directs that the Secretary shall establish an oversight program to monitor the effective and efficient use of funds authorized to carry out the FAHP. This program includes FHWA oversight of the State's processes and management practices, including those involved in carrying out the approvals and related responsibilities assumed by the State under 23 U.S.C. 106(c). Congress defines that, at a minimum, the oversight program shall be responsive to all areas relating to financial integrity and project delivery.
- B. The FHWA shall perform annual reviews that address elements of the State DOT's financial management system in accordance with 23 U.S.C. 106(g)(2)(A). FHWA will periodically review the State DOT's monitoring of sub-recipients pursuant to 23 U.S.C. 106(g)(4)(B). These reviews (as required) will be completed under, and in conformance with, the [Financial Integrity Review and Evaluation \(FIRE\) Program](#) and through the Grants Management Review requirements, along with the criteria listed in [SECTION XI \(B\)](#).
- C. The FHWA shall perform annual reviews that address elements of the project delivery systems of the State DOT, which elements include one or more activities that are involved in the life cycle of project from conception to completion of the project. This annual review element will be determined and scheduled through the annual risk assessment process completed by the Division near the beginning of each Calendar Year (CY) for the subsequent Performance Year (PY) that begins on June 1. This annual review element may include, but is not limited to, an assessment of the Financial, Environmental, Design, Construction, and/or Local Public Agencies (LPA) programs. This review will also be included in the Division's Unit Plan for each Performance Year.
- The FHWA will also evaluate the practices of the State DOT for estimating project costs, awarding contracts, and reducing costs covered under 23 U.S.C. 106(g)(2) and (3). This cost practice evaluation will be identified through the Division's annual risk assessment and also included in the Division's Unit Plan as identified.
- D. To carry out the requirements of 23 U.S.C. 106(g), the FHWA Division Office will employ a risk management framework to evaluate financial integrity and project delivery, and balance risk with staffing resources, available funding, and the State's transportation needs. This S&O Agreement will follow a risk-based approach to effectively and efficiently manage public funds and ensure the FAHP is delivered in accordance with laws, regulations, policies, and good business practices.

To accomplish this, a number of management tools will be used to monitor the health of the FAHP, including:

- Program Approvals, Assessments and/or Reviews,

- Process Reviews (including the Financial Integrity Review and Evaluation (FIRE) Program, the National Bridge Inspection (NBI) Compliance Review, and other tools),
- Cost Estimate Review (CER) for Mega (FHWA Major) Projects
- MPO Certification Reviews,
- Project Oversight (Projects of Corporate Interest (PoCIs), Projects of Division Interest (PoDIs), Compliance Assessment Program (CAP), and other tools)
- Performance Indicators,
- Participation on WisDOT & Industry Joint Committees,
- Inspections of Project Elements or Phases, and
- Other tools and methods as needed

These techniques will be carried out in a manner consistent with applicable Division Standard Operating Procedures (SOPs) or other control documents relating to program assessments and reviews, the FIRE program, CAP reviews, etc. These SOPs will be updated as needed to align with the most current FAHP laws and regulations, along with updates to conform to the most recent signed Stewardship & Oversight Agreement.

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

Annual Division Risk Assessment and Unit Plan Development

Near the beginning of each Calendar Year (CY), the Division Office will conduct an annual risk assessment for program and project areas included under the FAHP. This risk assessment will determine top risks and the program/project priorities that will be included in the Division Office annual Unit Plan for the upcoming Performance Year (PY) that begins on June 1. This risk assessment will delineate the focus of limited resources and time for the Division Office using a risk-based approach and identify the key activities needed to address both the annual FHWA Strategic Implementation Plan (SIP) and the highest Division risks.

PoCI, PoDI and CAP Process

The PoCIs and PoDIs will be identified on an annual basis. These projects will be selected in accordance with the “[FHWA and WisDOT Stewardship & Oversight of Projects through Implementation of a Risk-Based Approach](#)” Agreement and in conformance with the FHWA [PoCI and PoDI Identification process and risk assessment](#) guidance. In addition, PoCI and PoDI project reviews and inspections will be carried in conformance with this Agreement and guidance. The CAP projects will also be carried out in conformance with this Agreement and the FHWA [CAP project reviews & inspections](#) guidance.

Other Division Office Activities and Processes

1. The Division will prepare an Annual Construction Inspection Summary Report at the end of each construction season. This Summary Report will summarize the significant findings from the PoCI, PoDI and CAP reviews conducted and completed from the previous construction season. This Summary Report will also be evaluated as a part of the Risk Assessment and the Unit Plan development conducted for the subsequent Performance Year.
2. The Division will complete all annual FIRE activities in conformance with the FHWA [FIRE activities and reviews \(FHWA FIRE page link\)](#) and any related Division SOPs. The results and findings from these FIRE activities will be evaluated as a part of the Risk Assessment and the Unit Plan development conducted for the subsequent Performance Year.
3. The Division will conduct a semiannual Authorization Review for all initial construction authorizations in FMIS over a 6-month period (as outlined in the Division Project Authorization SOP). A random sample of projects will be selected (from the population of initial construction authorizations completed) and these projects will be reviewed to ensure all FMIS authorization requirements were satisfied and documented. The results and findings from this Authorization Review will be evaluated as a part of the Risk Assessment and the Unit Plan development conducted for the subsequent Performance Year.

E. Program Responsibility Matrix

Attachment B to this S&O Agreement is the Program Responsibility Matrix that identifies all relevant FHWA program actions, and Division and State DOT program contact offices.

F. Control Documents (Manuals and Operating Agreements)

State DOT manuals, agreements and other control documents that have been approved for use on Federal-aid projects are listed in **Attachment C** to this S&O Agreement. These control documents include standards, policies, and specifications that are acceptable to FHWA and WisDOT for application in Federal-aid projects. They also form the basis for WisDOT compliance with specific control standards.

G. Stewardship and Oversight Performance Indicators

The Division and State DOT may jointly establish Stewardship and Oversight Performance Indicators (Indicators). The Indicators should set targets, track trends, and implement countermeasures and actions when the data is moving away from the desired target direction. Indicators can provide documented evidence that the State DOT assumption of responsibilities is functioning appropriately.

The Stewardship and Oversight Performance Indicators should be submitted by WisDOT and be reviewed on an annual basis. The results and review of these Indicators will also

be included as part of the annual Division Office risk assessment process. If utilized, the Indicators shall be incorporated by reference to this S&O Agreement and are included in **Attachment D**.

SECTION XI. WisDOT OVERSIGHT AND REPORTING REQUIREMENTS

A. WisDOT Oversight and Reporting Requirements

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

1. Participate in joint WisDOT/FHWA Process Review activities as identified by FHWA and the Division Unit Plan, including recurring and annual reviews as required. WisDOT will address recommendations and improvement activities identified as documented in these reviews.
2. Participate with FHWA in the Annual Regional Work Zone Reviews and evaluate the results on an annual basis.
3. Participate with FHWA in reviews identified in the annual FHWA Strategic Implementation Plan and address recommendations and improvement activities as documented in these reviews.
4. Complete with FHWA all CAP project reviews on an annual basis and WisDOT will address any significant findings from these reviews. WisDOT and FHWA will discuss the findings from these reviews on an annual basis.
5. Continue to document their internal processes (including actions carried out on FHWA's behalf) in their [WisDOT Facilities Development Manual](#) (FDM). FHWA has approval authority for changes made in the FDM related to the FAHP.
6. Track and report as required in conformance with the Operating, Delegation and Cooperative Agreements listed in **Attachment C** to ensure the conditions included in the Agreements are being met and satisfied.
7. Provide FHWA access to several WisDOT online project development and delivery programs so FHWA may review project documentation and testing results. These programs may include, but not limited to, the following:
 - a. WisDOT PS&E TRAK System (PS&E and Contract Administration Development Tracking)
 - b. WisDOT Project Management Program PMP (Project Development and Scoping)
 - c. WisDOT Project Tracking Software (Change Order Reviews, Materials Records, Payment Status, DBE Goals)
 - d. WisDOT ATWOOD Software (Materials Tracking System and E-Guides)

- e. WisDOT FIIPS (Financial Status)
 - f. WisDOT Real Estate Automated data System (READS) and Outdoor Advertising Sign Inventory System (OASIS)
8. Make available their internal and external goals, measures and target/tracking performance indicators that can assist in determining a Program's health. Examples would include the WisDOT [MAPSS Performance Improvement Program](#) data, the additional measures collected under this program, and the target/tracking performance indicators included in **Attachment D**.

B. WisDOT Oversight of Locally Administered Federally Funded Projects

WisDOT has an extensive state funded program to support the transportation needs of Local Public Agencies (LPAs). Those state funded LPA programs are not covered under this Stewardship and Oversight Agreement.

[FHWA Order 5020.2](#) (Stewardship and Oversight of Federal-Aid Projects Administered by Local Public Agencies (LPA) dated August 14, 2014) concerns the stewardship and oversight of Federal-aid highway projects administered by local public agencies (LPAs). The Order defines the role of the State Transportation Agency (such as WisDOT), establishes a uniform method for assessing risk in the State's stewardship and oversight of LPA-administered projects, and creates a uniform method for ensuring compliance with Federal requirements on these projects. The FHWA Wisconsin Division Office has and will continue to implement the Order, and has determined that WisDOT performs adequate monitoring and review of Federal-aid funded LPA administered projects and that the level of risk for the LPA program in Wisconsin is characterized as moderate to low risk.

Federally funded rural, urban, and bridge projects involve LPAs but are primarily administered by WisDOT and are also let by WisDOT. FHWA has determined that WisDOT is in responsible charge of these projects, which follow the standard [WisDOT Facilities Development Manual](#) (FDM) requirements. Therefore, these projects fall under the same Stewardship and Oversight process as the State system projects covered in SECTION III.

The remaining Federal funded LPA projects, which WisDOT refers to as Non-Traditional Projects and which are local let, involve substantial LPA involvement. FHWA has determined that the LPA is in responsible charge of these projects. The remainder of this section is focused on these Federal funded LPA let Non-Traditional Projects.

WisDOT utilizes a unique combination of central office staff, Region Staff, and Management Consultants (MCs) to oversee the establishment and the delivery of these

Non-Traditional Projects. FHWA has approved the use of Region MCs to assist WisDOT in overseeing the delivery of these projects.

1. WisDOT will provide adequate oversight of Federal funded sub-recipients including oversight of any assumed responsibilities that WisDOT delegates to a LPA. This includes the solicitation and selection of projects, in addition to the delivery of the projects. The Region MCs provide the front line oversight of the delivery of projects, with a focus on compliance with Federal requirements.
2. Pursuant to 23 U.S.C. 106(g)(4), WisDOT is responsible for determining that sub-recipients of Federal funds have adequate project delivery systems for locally administered projects and sufficient accounting controls to properly manage such Federal-aid funds. This requirement will be included in the State Municipal Agreements between WisDOT and the LPA. WisDOT is also responsible for ensuring compliance with reporting and other requirements applicable to grantees making sub-awards, such as monthly reporting requirements under the Federal Funding Accountability and Transparency Act of 2006, PL 109-282 (as amended by PL 110-252).
3. WisDOT acknowledges that it is responsible for sub-recipient awareness of Federal grant requirements management of grant awards and sub-awards and is familiar with and comprehends pass through entity responsibilities (2 C.F.R. 200.331 Requirements for Pass-thru Entities). WisDOT will carry out these responsibilities using the following actions, programs, and processes:
 - a. WisDOT will publish on their website, under [Programs for Local Government](#), the program requirements and announcements for each Federal funded local program that will inform prospective grantees of the State and Federal requirements.
 - b. WisDOT will utilize on-line applications that will alert Locals to critical State and Federal requirements, in addition to identifying and correcting potential issues.
 - c. WisDOT will use and promote the [FHWA Essentials](#), which inform LPAs of the purpose of the main Federal requirements. FHWA will assist in the promotion of the [FHWA Essentials](#).

- d. WisDOT will maintain and publish a [*Sponsor's Guide to Non-Traditional Transportation Project Implementation*](#), which informs LPAs of the State and Federal requirements applicable to locally let Non-Traditional projects. FHWA will assist in the revision and review of the Sponsor's Guide.
 - e. WisDOT will conduct Certification Training for LPAs selected to receive and administer a Federal funded local program project. A completed and accepted certification form (by WisDOT) is required for each LPA that is in responsible charge of a Federal funded local program project.
 - f. WisDOT will maintain and publish a Real Estate Manual for LPAs. FHWA will assist in the review and revision of the manual.
 - g. WisDOT will use and enforce a State Municipal Agreement (SMA) that documents the State and Federal requirements applicable to each LPA for their Federally funded local program project.
4. WisDOT will assess whether a sub-recipient has adequate project delivery systems and sufficient accounting controls to properly manage projects, using the following actions, programs, and processes:

WisDOT will use the documents identified in B.3 (a) to (g) above to identify the required project delivery system and accounting controls. WisDOT will use the accepted certification to document the WisDOT determination that the local has adequate systems and sufficient controls to properly manage the project.

5. WisDOT will assess whether a sub-recipient is staffed and equipped to perform work satisfactorily and cost effectively, and that adequate staffing and supervision exists to manage the Federal project(s), by using the following actions, programs, and processes:
- a. WisDOT will use the documents identified in B.3 (a) to (g) above to identify the staffing and supervision requirements. WisDOT will use the accepted certification to document the WisDOT determination that the local is adequately staffed and equipped to manage the Federal project.

- b. When a local desires to use their own forces on a Federal project (Local Force Account), the DT2300 Form (Prequalification – Local Force Account Projects) will be used to document WisDOT review and acceptance.
 - c. When a local desires to perform construction oversight using LPA staff, the DT2060 Form (Prequalification – Local Performing Construction Engineering) will be used to document WisDOT review and acceptance.
 - d. The SMA for each Federal project will set forth the cost sharing percentages and limitations, in addition to delivery time requirements.

- 6. WisDOT will assess whether sub-recipient projects receive adequate inspection to ensure they are completed in conformance with approved plans and specifications, by using the following actions, programs, and processes:
 - a. WisDOT will use the documents identified in B.3 (a) to (g) above to identify the inspection and performance requirements.
 - b. WisDOT will use the Region Management Consultants as the front line resource to review and ensure that Federal projects are completed in conformance with approved plans and specifications.
 - c. For projects that are State let, WisDOT contracts with individual consulting firms, separate from the MCs, to provide Construction Project Leader (CPL) services to oversee the proper construction of Federal funded local program projects. The MCs train and oversee the CPLs to promote proper inspection and performance. The majority of Non-Traditional projects are local let, in which case the local will, if needed, select and contract for CPL services.

- 7. WisDOT will ensure that when LPAs elect to use consultants for engineering services, the LPA, as provided under 23 CFR 635.105(b), shall provide a full-time employee of the agency to be in responsible charge of the project. The WisDOT process to ensure compliance with this requirement is documented by the following actions, programs, and processes:

- a. WisDOT will use the documents identified in B.3 (a) to (g) above, along with Chapter 8 of the [WisDOT Facilities Development Manual](#) (FDM), to identify the requirement for LPAs to provide a full-time LPA employee to be in responsible charge of each Federal project, and for the requirements applicable for the solicitation and selection of consultants.
 - b. WisDOT will use the accepted certification to document the WisDOT determination that the local has identified and provided a full-time LPA employee to serve in responsible charge of each Federal project.
8. WisDOT will ensure that project actions will be administered in accordance with all applicable Federal laws and regulations. WisDOT will use the processes and required approvals on sub-recipient projects that are set forth in documents B.3 (a) to (g) above, along with the applicable provisions set forth in the WisDOT Facilities Development Manual (FDM), These actions and requirements pertaining to sub-recipient administered projects will include but are not limited to the following:
 - a. Consultant selection and management;
 - b. Environment;
 - c. Design;
 - d. Civil Rights;
 - e. Financial management including audits and indirect cost allocation plans;
 - f. Right-of-way;
 - g. Construction monitoring, including Quality Control/Quality Assurance (QC/QA); and
 - h. Contract administration including the State DOT's responsibility to approve a sub-recipient to pursue a contract procurement method other than competitive bidding.
9. WisDOT will document how it conducts its oversight activities for LPA-administered projects and the findings from such activities, and how it will share this information with FHWA.

The documents set forth in B.3 (a) to (g) above will establish the requirements for how WisDOT staff and MCs will evidence their oversight of Federal funded LPA administered Non-Traditional projects and related findings. In

particular, WisDOT will promote the development and use of standardized reports for Region MCs and Staff.

The FHWA Local Program Standard Operating Procedures (SOP) will be considered a joint document and will establish the methods on how WisDOT will report their findings and oversight documentation concerning WisDOT's oversight of Federal funded LPA administered local projects. Three key elements will include monthly WisDOT local program meetings, quarterly face-to-face WisDOT Staff and MC meetings, and MC evaluations.

SECTION XII. IMPLEMENTATION AND AMENDMENTS

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

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APPENDICES

APPENDIX A

Attachment A – Project Action Responsibility Matrix

Attachment B – Program Action Responsibility Matrix

Attachment C – FHWA/WisDOT Manuals and Operating Agreements

Attachment D – Wisconsin Stewardship & Oversight Indicators

APPENDIX B

Glossary & Acronyms

APPENDIX C

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

APPENDIX A

ATTACHMENT A: Project Action Responsibility Matrix

The following matrix identifies Federal-aid highway program (FAHP) project approvals and related responsibilities on a program-wide basis. The matrix specifies which actions are assumed by WisDOT under the provisions of 23 U.S.C. 106(c) or other statutory or regulatory authority, as well as those which are reserved to FHWA.

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

Projects classified as PoDI projects are not covered by the matrix, as those projects will be governed by a separate PoDI plan that specifies FHWA and State responsibilities for the project. If a project is identified as a PoCI or a PoDI, then refer to the matrix contained in “[FHWA and WisDOT Stewardship & Oversight of Projects through Implementation of a Risk-Based Approach](#)”. The project list of PoCIs and PoDIs in Wisconsin is evaluated and selected on an annual basis and is also contained in the document linked above.

PROJECT ACTION RESPONSIBILITY MATRIX (Excluding PoDIs, which are subject to separate PoDI Plans)

ACTION	AGENCY RESPONSIBLE (Excluding PoDIs, which are subject to separate PoDI plans)	
	PROJECTS ON THE NHS	PROJECTS OFF THE NHS
Ensure project is in the Statewide Transportation Improvement Program (STIP)/Transportation Improvement Program (TIP)	WisDOT	WisDOT
Identify proposed funding category	WisDOT (1)	WisDOT (1)
Obligate funds/approve Federal-aid project agreement, modifications, and project closures (project authorizations) (Note: this action cannot be assumed by WisDOT)	FHWA	FHWA
Authorize current bill (Note: this action cannot be assumed by WisDOT)	FHWA	FHWA
Review and Accept Financial Plan and Annual Updates for Federal Major Projects over \$500M [23 U.S.C. 106(h)] (Note: this action cannot be assumed by WisDOT)	FHWA	FHWA
Review Cost Estimates for Federal Major Projects over \$500M [23 U.S.C. 106(h)] (Note: this action cannot be assumed by WisDOT)	FHWA	FHWA
Develop Financial Plan for Federal Projects between \$100M and \$500M [23 U.S.C. 106(i)]	WisDOT	WisDOT
All EA/FONSI, EIS/ROD, 4(f), 106, 6(f) and other approval actions required by Federal environmental laws and regulations. (Note: this action cannot be assumed by WisDOT)	FHWA (2)	FHWA (2)

ACTION	AGENCY RESPONSIBLE (Excluding PoDIs, which are subject to separate PoDI plans)	
	PROJECTS ON THE NHS	PROJECTS OFF THE NHS
except under 23 U.S.C. 327)		
Categorical Exclusion approval actions (Note this action cannot be assumed by WisDOT except through an assignment under 23 U.S.C. 326 or 327, or through a programmatic agreement pursuant to Section 1318(d) of MAP-21 and 23 CFR 771.117(g))	FHWA (2)	FHWA (2)
Consultant Contract Selection	WisDOT (3)	WisDOT (3)
Sole source Consultant Contract Selection	WisDOT (3)	WisDOT (3)
Approve hiring of consultant to serve in a “management” role [23 CFR 172.9] (Note: this action cannot be assumed by WisDOT)	FHWA	FHWA
Approve consultant agreements and agreement revisions (Federal non-Major Projects) [23 CFR 172.9]	WisDOT	WisDOT
Approve consultant agreements and agreement revisions on Federal Major Projects [23 CFR 172.9] (Note: this action cannot be assumed by WisDOT)	FHWA	FHWA
Approve exceptions to design standards [23 CFR 625.3(f)]	WisDOT	WisDOT
Interstate System Access Change [23 USC 111] (Note: this action cannot be assumed by WisDOT)	FHWA	N/A
Interstate System Access Justification Report [23 USC 111] (Note: action may be assumed by WisDOT pursuant to 23 USC 111(e))	FHWA	N/A

ACTION	AGENCY RESPONSIBLE (Excluding PoDIs, which are subject to separate PoDI plans)	
	PROJECTS ON THE NHS	PROJECTS OFF THE NHS
Airport highway clearance coordination and respective public interest finding (if required) [23 CFR 620.104]	WisDOT	WisDOT
Approve Project Management Plan for Federal Major Projects over \$500M [23 USC 106(h)] (Note: this action cannot be assumed by WisDOT)	FHWA	FHWA
Approve innovative and Public-Private Partnership projects in accordance with SEP-14 and SEP-15 (Note: this action cannot be assumed by WisDOT)	FHWA	FHWA
Provide pre-approval for preventive maintenance project (until FHWA concurs with STATE procedures) (Note: this action cannot be assumed by WisDOT)	FHWA	FHWA
Provide approval of preliminary plans for unusual/complex bridges or structures on the Interstate. [23 USC 109(a) and FHWA Policy]	FHWA (4)	N/A
Provide approval of preliminary plans for unusual/complex bridges or structures (non-Interstate) [23 USC 109(a) and FHWA Policy]	WisDOT (4)	WisDOT
Approve retaining right-of-way encroachments [23 CFR 1.23 (b) & (c)]	WisDOT	WisDOT
Approve use of local force account agreements [23 CFR 635.104 & 204]	WisDOT	WisDOT
Approve use of publicly owned equipment [23 CFR 635.106]	WisDOT	WisDOT

ACTION	AGENCY RESPONSIBLE (Excluding PoDIs, which are subject to separate PoDI plans)	
	PROJECTS ON THE NHS	PROJECTS OFF THE NHS
Approve the use of proprietary products & processes [23 CFR 635.411]	WisDOT	WisDOT
Concur in use of publicly furnished materials [23 CFR 635.407]	WisDOT	WisDOT
Make feasibility/practicability determination for allowing authorization of construction prior to completion of ROW clearance, utility and railroad work [23 CFR 635.309(b)]	WisDOT	WisDOT
Make public interest finding on whether State may proceed with bid advertisement even though ROW acquisition/relocation activities are not complete for some parcels [23 CFR 635.309(c)(3)]	FHWA for Interstate WisDOT for Non-Interstate	WisDOT
Ensure compliant ROW certificate is in place [23 CFR 635.309(c)]	WisDOT	WisDOT
Approve Hardship and Protective Buying [23 CFR 710.503] (If a Federal-aid project) (Note: this action cannot be assumed by WisDOT)	FHWA	FHWA
Approve Interstate Real Property Interest Use Agreements [23 CFR 710.405] (Note: this action cannot be assumed by WisDOT)	FHWA	N/A
Approve non-highway use and occupancy [23 CFR 1.23(c)]	FHWA for Interstate WisDOT for Non-Interstate (3)	WisDOT (3)

ACTION	AGENCY RESPONSIBLE (Excluding PoDIs, which are subject to separate PoDI plans)	
	PROJECTS ON THE NHS	PROJECTS OFF THE NHS
Approve disposal at less than fair market value of federally funded right-of-way, including disposals of access control [23 U.S.C. 156] (Note: this action cannot be assumed by WisDOT)	FHWA	FHWA
Approve disposal at fair market value of federally funded right-of-way, including disposals of access control [23 CFR 710.409] (Note: 23 CFR 710.201 authorizes FHWA and WisDOT to agree to scope of property-related oversight and approvals for all actions except those on the Interstate System)	FHWA for Interstate WisDOT for Non-Interstate (3)	WisDOT (3)
Requests for credits toward the non-Federal share of construction costs for early acquisitions, donations or other contributions applied to a project (Note: this action cannot be assumed by WisDOT)	FHWA	FHWA
Federal land transfers [23 CFR 710, Subpart F] (Note: this action cannot be assumed by WisDOT)	FHWA	FHWA
Functional replacement of property [23 CFR 710.509] (Note: this action cannot be assumed by WisDOT)	FHWA	FHWA
Accept Transportation Management Plans (23 CFR 630.1012(b))	WisDOT	WisDOT
Approval of System Engineering Analysis (for ITS) [23 CFR 940.11]	WisDOT	WisDOT

ACTION	AGENCY RESPONSIBLE (Excluding PoDIs, which are subject to separate PoDI plans)	
	PROJECTS ON THE NHS	PROJECTS OFF THE NHS
Approve PS&E [23 CFR 630.201]	WisDOT	WisDOT
Authorize advance construction and conversions [23 CFR 630.703 & 709] (Note: this action cannot be assumed by WisDOT)	FHWA	FHWA
Approve utility or railroad force account work [23 CFR 645.113 & 646.216]	WisDOT	WisDOT
Approve utility and railroad agreements [23 CFR 645.113 & 646.216]	WisDOT	WisDOT
Approve use of consultants by utility companies [23 CFR 645.109(b)]	WisDOT	WisDOT
Approve exceptions to maximum railroad protective insurance limits [23 CFR 646.111]	WisDOT	WisDOT
Authorize (approve) advertising for bids [23 CFR 635.112, 309]	WisDOT	WisDOT
Approve cost-effectiveness determinations for construction work performed by force account or by contract awarded by other than competitive bidding [23 CFR 635.104 & .204]	WisDOT	WisDOT
Approve emergency determinations for contracts awarded by other than competitive bidding [23 CFR 635.104 & .204]	WisDOT	WisDOT
Approve construction engineering by local agency [23 CFR 635.105]	WisDOT	WisDOT
Approve advertising period less than 3 weeks [23 CFR 635.112]	WisDOT	WisDOT

ACTION	AGENCY RESPONSIBLE (Excluding PoDIs, which are subject to separate PoDI plans)	
	PROJECTS ON THE NHS	PROJECTS OFF THE NHS
Approve addenda during advertising period [23 CFR 635.112]	FHWA or WisDOT (whichever approved PS&E)	WisDOT
Concur in award of contract [23 CFR 635.114]	WisDOT	WisDOT
Concur in rejection of all bids [23 CFR 635.114]	WisDOT	WisDOT
Approval of Design-Build Requests-for-Proposals and Addenda [23 CFR 635.112]	WisDOT	WisDOT
Approve changes and extra work [23 CFR 635.120]	WisDOT	WisDOT
Approve contract time extensions [23 CFR 635.120]	WisDOT	WisDOT
Concur in use of mandatory borrow/disposal sites [23 CFR 635.407]	WisDOT	WisDOT
Accept materials certification [23 CFR 637.207]	WisDOT	WisDOT
Concur in settlement of contract claims [23 CFR 635.124]	WisDOT	WisDOT
Concur in termination of construction contracts [23 CFR 635.125]	WisDOT	WisDOT
Waive Buy America provisions [23 CFR 635.410] (Note: this action cannot be assumed by WisDOT)	FHWA	FHWA
Final inspection/acceptance of completed work [23 USC 114(a)]	WisDOT	WisDOT
Approval of Disadvantaged Business Enterprise (DBE) Project Contract Goal set by the State DOT under 49 CFR 26.51(d). [49 CFR 26.51(e)(3)]	WisDOT	WisDOT
Acceptance of Bidder's Good Faith Efforts to Meet Contract Goal [49 CFR 26.53] or of Prime Contractor's Good Faith	WisDOT	WisDOT

ACTION	AGENCY RESPONSIBLE (Excluding PoDIs, which are subject to separate PoDI plans)	
	PROJECTS ON THE NHS	PROJECTS OFF THE NHS
Efforts to Find Another DBE Subcontractor When a DBE Subcontractor is Terminated or Fails to Complete Its Work [49 CFR 26.53(g)] (Note: this action cannot be assumed by WisDOT)		
Equal Employment Opportunity (EEO) Contract Compliance Review [23 CFR Part 230, Subpart D]).	WisDOT	WisDOT
Training Special Provision – Approval of Project Goal for training slots or hours [23 CFR Part 230, Subpart A]	WisDOT	WisDOT
Training Special Provision – Approval of New Project Training Programs [23 CFR 230.111(d), (e)] (Note: this action cannot be assumed by WisDOT)	FHWA	FHWA

FOOTNOTES:

- (1) WisDOT is responsible for ensuring that all individual elements of the project are eligible. FHWA will check that the scope of the project as described in submitted project agreement is eligible for the category of funding sought. All final eligibility and participation determinations are retained by FHWA.
- (2) If there is a 23 U.S.C. 326 or 325 assignment or programmatic categorical exclusion (PCE) agreement, decisions are handled in accordance with those assignments or agreements.
- (3) WisDOT’s process and modifications to, or variation in process, require FHWA approval.
- (4) Unusual/Complex bridges and structures are those that the Division determines to have unique foundation problems, new or complex designs, exceptionally long spans, exceptionally large foundations, complex hydraulic elements, or that are designed with procedures that depart from currently recognized acceptable practices (i.e., cable-stay, suspension, arch, segmental concrete, moveable, truss, tunnels, or complex geotechnical walls or ground improvement systems).

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ATTACHMENT B: Program Action Responsibility Matrix

PROGRAM ACTION RESPONSIBILITY

The following matrix is a list of program actions. The Division should refer to <http://our.dot.gov/office/fhwa.hq/OfficeofInfrastructure/hipa/SO/Resources/> for the latest updated version which can be incorporated into the agreement or referenced as a control document. Modify the matrix to reflect the Division and State “Responsible Program Office.” For the State DOT, the primary office of contact should be listed, rather than an individual or the approving official.

The FHWA Wisconsin Division Office personnel structure, along with a listing of program and project responsibilities, can be found at: <http://www.fhwa.dot.gov/widiv/index.cfm>

The WisDOT homepage can be found at: <http://www.dot.wisconsin.gov>. In addition, the WisDOT organizational structure, along with the listing of all Executive Offices, Divisions, Bureaus and Regional Field Offices (and their abbreviations), can be found at: <http://www.dot.wisconsin.gov/about/docs/orgchart.pdf>

¹ All Finance actions taken on or after December 26, 2014, shall be governed by the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards in 2 CFR Part 200. Part 200 of 2 CFR supersedes 49 CFR Parts 18 and 19, and requirements from OMB Circulars A-21, A-87, A-110, and A-122 (which have been placed in OMB guidance); Circulars A-89, A-102, and A-133; and the guidance in Circular A-50 on Single Audit Act follow-up.

Program Action Responsibility Matrix

Activity (1)	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA WI Division Responsible Position	WisDOT Responsible Program Office	Remarks
Appropriations, Allotments, Obligations	31 USC 1341(a)(1)(A)& (B); 31 USC 1517(a); 23 USC 104(b)(1)(2)(3)(4)(5); 23 USC 118(b); 23 USC 121, 23 USC 213	As needed	Not Applicable	Office of Chief Financial Officer	Finance Manager Team Leader	DTIM / BSHP	State will monitor appropriations, allotments and obligations to ensure that all funding is used efficiently within each quarter and use all Obligation Authority (OA) by the end of the

Activity (1)	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA WI Division Responsible Position	WisDOT Responsible Program Office	Remarks
							year.
Approval of Indirect Cost Allocation Plans (ICAPs)	2 C.F.R. Part 200, Subpart E; ASMB-10	As needed	Not Applicable	Office of Chief Financial Officer	Finance Manager Team Leader	OPFI	The State will certify that the ICAP was prepared in accordance with 2 CFR 200 Subpart E.
FIRE Program Activities	FHWA Order 4560.1C (or as superseded)	Ongoing		Office of Chief Financial Officer	Finance Manager Team Leader	OPFI	State will continue to provide oversight and conduct reviews to ensure Federal-aid compliance. FHWA will review and monitor. State responsibilities include multiple tasks in support of risk assessments, conducting reviews and implementation of recommendations.
Audit Coordination/FHWA Financial Statement Audit/State External Audit Reviews/State Internal Audit Reviews	FMFIA, 2 C.F.R. Part 200, Subpart F; GAAP, CFO Act of 1990; DOT Order 8000.1C	As needed	Not Applicable	Office of Chief Financial Officer	Finance Manager Team Leader	OPFI	State assures corrective action is taken to resolve audit findings and FHWA will monitor activities to ensure implementation.
Improper Payments Review	Improper Payments Information Act of 2002, PL 107-300, Improper Payments Elimination and Recovery Act of 2010, PL 111-204, Improper Payments Elimination and Recovery Improvement Act of 2012, PL 112-248	Annually		Office of Chief Financial Officer	Financial Specialist	DBM / BBS	State will provide all information necessary to document sampled payments and FHWA offices will review and complete appropriate data submittal forms.

Activity (1)	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA WI Division Responsible Position	WisDOT Responsible Program Office	Remarks
Transfer of Funds between programs or to other FHWA offices or agencies as requested by State	23 USC 126; 23 USC 132, and FHWA Order 4551.1	As needed	Not Applicable	Office of Chief Financial Officer	Finance Manager Team Leader	DBM / BBS	State will submit requests for transfer and FHWA approves and processes the funding transfers between programs, to other States, to other agencies, and to FHWA HQ, Federal Lands, or Research offices.
Reviews of State Transportation Departments Financial Management Systems - Financial Integrity	23 USC 106(g)(2)(A)	Annually	Not Applicable	Office of Chief Financial Officer	Finance Manager Team Leader	OPFI	23 USC 106(g)(2)(A) states that the Secretary shall perform annual reviews that address elements of the State transportation departments' financial management systems that affect projects approved under subsection (a).
Review Adequacy of Sub-recipient Project Delivery Systems and Sufficient Accounting Controls to Manage Federal Funds	23 USC 106(g)(4)(A)(i)	As needed	Not Applicable	Office of Chief Financial Officer	Finance Manager Team Leader	DTIM / BSHP	
Periodic Reviews of States Monitoring of sub-recipients	23 USC 106(g)(4)(B)	As needed	Not Applicable	Office of Infrastructure	Financial Specialist	DTIM / BSHP	
Approval of Increased Federal Share Agreement (Sliding Scale)	23 USC 120(b)(2)	As determined by the Federal Share Agreement	Not Applicable	Office of Chief Financial Officer	Finance Manager Team Leader	DTIM / BSHP & DBM / BBS	A State must enter into an agreement with FHWA for use of the increased Federal share allowable under this section, which must be reviewed and updated periodically as agreed to in the agreement. States must demonstrate that they are in compliance with the statute and the agreement.

Activity (1)	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA WI Division Responsible Position	WisDOT Responsible Program Office	Remarks
Prepare / Review Title VI Plan Accomplishments and Next Year's Goals	23 CFR 200.9(b)(10)	Annually	1-Oct	Office of Civil Rights	Transportation Specialist	DTSD / OBOEC	Division office reviews and comments.
Prepare / EEO Contractor Compliance Plan accomplishments and next year's goals	23 CFR 230, Subpart C, Appendix A, Part I, III	Annually	1-Oct	Office of Civil Rights	Transportation Specialist	DTSD / OBOEC	Division office reviews and comments.
Prepare / Review State Internal EEO Affirmative Action Plan (Title VII) Accomplishments and Goals	23 CFR 230.311	Annually	1-Oct	Office of Civil Rights	Transportation Specialist	DBM / BHRS	Courtesy copy to HQ.
Review DBE Program Revisions	49 CFR 26.21(b)(2)	As needed	Not Applicable	Office of Civil Rights	Transportation Specialist	DTSD / OBOEC	Division sends to HCR for review and approval as
Prepare / DBE Uniform Awards and Commitment Report	49 CFR 26, Appendix B	Semi-Annual	June 1st December 1st	Office of Civil Rights	Transportation Specialist	DTSD / OBOEC	Division Office reviews and sends to HCR
Prepare / Annual Analysis and Corrective Action Plan (if necessary)	49 CFR 26.47(c)	Annual (as necessary)	December 31st	Office of Civil Rights	Transportation Specialist	DTSD / OBOEC	Division Office approves sends copy to HCR
Prepare / State DBE Program Goals	49 CFR 26.45(f)(1)	Triennial	August 1st	Office of Civil Rights	Transportation Specialist	DTSD / OBOEC	Division reviews and approves; HCC provides legal sufficiency review and approval sends copy to HCR
Prepare / Review On-the-Job-Training (OJT) goals & accomplishments	23 CFR 230.111(b)	Annually	TBA	Office of Civil Rights	Transportation Specialist	DTSD / OBOEC	Division office reviews and comments.
Approval of OJT and DBE Supportive Services fund requests	23 CFR 230.113 & 23 CFR 230.204	Annual	TBA	Office of Civil Rights	Transportation Specialist	DTSD / OBOEC	Division recommends approval submits to HCR for final approval
Return of any unused discretionary grant program funding	23 CFR 230.117(2)	Annual	TBA	Office of Civil Rights	Transportation Specialist	DTSD / OBOEC	Division works with HCR and CFO
Prepare / Review of Report on Supportive Services (OJT & DBE)	23 CFR 230.113(g), 230.121(e), 230.204(g)(6)	Quarterly		Office of Civil Rights	Transportation Specialist	DTSD / OBOEC	Division office reviews and comments.

Activity (1)	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA WI Division Responsible Position	WisDOT Responsible Program Office	Remarks
Prepare / Review Annual Contractor Employment Report (Construction Summary of Employment Data (Form PR-1392)	23 CFR 230.121(a); Appendix D to Subpart A, Part 230, General Information and Instructions	Annually	1-Dec	Office of Civil Rights	Transportation Specialist	DTSD / OBOEC	Recommendation sent to HQ for approval.
Prepare / Review State DOT Employment Statistical Data (EEO-4)	23 CFR, Subpart C, Appendix A	Biannual	1-Dec	Office of Civil Rights	Transportation Specialist	DBM / BHRS	Report sent to HQ quarterly for informational purposes and recommendation sent to HQ annually for approval.
Prepare / Review Annual Federal Projected Awards Reports - Historically Black Colleges & Universities/Tribal Colleges & Universities/Hispanic Serving Institutes, American Indian Alaskan Native, Asian Pacific & American Islander.	Presidential Executive Orders: 13230, 13256, 13270, 13361, 13515	Annual	TBA	Office of Civil Rights	Transportation Specialist	DBM / BHRS	Divisions submit data to HCR who prepares report for DOCR
Prepare / Review ADA Complaint Reports of Investigation	28 CFR 35.190	As needed	Not Applicable	Office of Civil Rights	Transportation Specialist	DBM / BHRS & DTSD / OBOEC	Division office reviews, FHWA HQ approves and issues finding.
Review Americans with Disabilities Act (ADA) /Sec. 504 Program Plan accomplishments and next year's goals	49 CFR 27.11(c), EO 12250	Annually	1-Oct	Office of Civil Rights	Transportation Specialist	DBM / BHRS & DTSD / OBOEC	Division office reviews and comments.
Return of unexpended funds used for Summer Transportation Institutes	23 CFR 230.117(2)	Annual	August 30; however, State procurement rules may govern	Office of Civil Rights	Transportation Specialist	DTSD / OBOEC	Divisions work with HCR and CFO
Prepare / Review Request for National Summer Transportation Institute (NSTI) Proposals (SOWs)	23 USC 140(b)	Annual	TBA	Office of Civil Rights	Transportation Specialist	DTSD / OBOEC	Divisions recommend approval. HCR gives final approval
Prepare / Review NSTI Report (questionnaire)	23 USC 140(b)	Annual	October 15th	Office of Civil Rights	Transportation Specialist	DTSD / OBOEC	Divisions provide to HCR

Activity (1)	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA WI Division Responsible Position	WisDOT Responsible Program Office	Remarks
Receipt of State Consultation Process with Tribal Governments	23 CFR 450.210(c)	As needed	Not Applicable	Office of Federal Lands Highway	Transportation Specialist	DTSD / OBOEC	Informational Purposes.
Approval of Contracting Procedures for Consultant Selection	23 CFR 172.5 & 172.9	As needed	Not Applicable	Office of Infrastructure	Transportation Specialist	DTIM / BSHP	FHWA Division Office Approval.
Determination of High Risk Categories - Limitation on Interstate Projects	23 USC 106(c)(4)(B)	As needed	Not Applicable	Office of Infrastructure	Division Administrator	DTSD / BPD	Office of Program Administration determines national categories and must concur on any State designations.
Approval of State 3R Program	23 CFR 625.4(a)(3), 23 USC 109(n)	As needed	Not Applicable	Office of Infrastructure	Projects Team Leader	DTIM / BSHP	FHWA Division Office Approval.
Verify adoption of Design Standards (National Highway System, including Interstate)	23 CFR 625, 23 USC 109(b), 23 USC 109(c)(2), 23 USC 109(o)	As needed	Not Applicable	Office of Infrastructure	Projects Team Leader	DTSD / BPD	FHWA HQ regulatory action to adopt NHS standards.
Approval of preliminary plans of Major and Unusual Bridges on the Interstate Highway System	(M1100.A)	As needed	Not Applicable	Office of Infrastructure	Bridge Engineer	DTSD / BOS	Director of HIBT has approval of preliminary plans of Major and Unusual Bridges on the Interstate Highway System (M1100.A)
Approval of State Standard Specifications	23 CFR 625.3	As needed	Not Applicable	Office of Infrastructure	Construction & Contract Engineer	DTSD / BPD	FHWA Division Office Approval.
Verify State Design Exception Policy complies with FHWA Policy	23 CFR 625.3	As needed	Not Applicable	Office of Infrastructure	Projects Team Leader	DTSD / BPD	FHWA Division Office Approval.
Approval of State Standard Detail Plans	23 CFR 625.3	As needed	Not Applicable	Office of Infrastructure	Projects Team Leader	DTSD / BPD	FHWA Division Office Approval.
Approval of Pavement Design Policy	23 CFR 626.3	As needed	Not Applicable	Office of Infrastructure	Pavement & Materials Engineer	DTSD / BTS	FHWA Division Office Approval.
Review of Value Engineering Policy and Procedures	23 CFR 627.1(b)&(c), 23 CFR 627.7 FHWA Order 1311.1B	As needed	Not Applicable	Office of Infrastructure	Field Operations Engineer	DTSD / BPD	FHWA Division Office Review.
Review of Value Engineering Annual Report	23 CFR 627.7, FHWA Order 1311.1B	Annual	Not Applicable	Office of Infrastructure	Field Operations Engineer	DTSD / BPD	FHWA Division Office collects, reviews, and submits to HQ for review and reporting.

Activity (1)	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA WI Division Responsible Position	WisDOT Responsible Program Office	Remarks
Review and Approval of Interstate Access Requests	23 USC 111, 23 CFR 710, 74 FR 43743-43746 (Aug. 27, 2009)	As needed	Not Applicable	Office of Infrastructure	Projects Team Leader	DTSD / BPD	FHWA Division Office approval with concurrence from HQ on more complex access requests.
Approval of Liquidated Damages Rate	23 CFR 635.127	Every 2 years	Not Applicable	Office of Infrastructure	Construction & Contract Engineer	DTSD / BPD	FHWA Division Office Approval.
Approval of Quality Assurance Program	23 CFR 637.205	As needed	Not Applicable	Office of Infrastructure	Pavement & Materials Engineer	DTSD / BTS	State administers, with programmatic agreement by the Division Office, as part of their materials testing and construction quality assurance/acceptance program.
Assure Central Laboratory accredited by AASHTO Accreditation Program or FHWA approved comparable program	23 CFR 637.209	As needed	Not Applicable	Office of Infrastructure	Pavement & Materials Engineer	DTSD / BTS	State administers, with programmatic agreement by the Division Office, as part of their materials testing and construction quality assurance/acceptance program.
Assure Non-STD designated lab performing Independent Assurance sampling and testing accredited by AASHTO Accreditation Program or FHWA approved comparable program	23 CFR 637.209	As needed	Not Applicable	Office of Infrastructure	Pavement & Materials Engineer	DTSD / BTS	State administers, with programmatic agreement by the Division Office, as part of their materials testing and construction quality assurance/acceptance program.
Assure Non-STD designated lab used in dispute resolution accredited by AASHTO Accreditation Program or FHWA approved comparable program	23 CFR 637.209	As needed	Not Applicable	Office of Infrastructure	Pavement & Materials Engineer	DTSD / BTS	State administers, with programmatic agreement by the Division Office, as part of their materials testing and construction quality assurance/acceptance program.

Activity (1)	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA WI Division Responsible Position	WisDOT Responsible Program Office	Remarks
Review Independent Assurance Annual Report	23 CFR 637.207	Annually	1-Mar	Office of Infrastructure	Pavement & Materials Engineer	DTSD / BTS	State administers, with programmatic agreement by the Division Office, as part of their materials testing and construction quality assurance/acceptance program.
Assure Labor Compliance - Prevailing Wage Rate	23 USC 113	As needed	Not Applicable	Office of Infrastructure	Construction & Contract Engineer	DTSD / OBOEC	FHWA Division Office Review and Approval
Determination of Eligible Preventive Maintenance Activity - Cost-Effective Means of Extending Useful Life Determination	23 USC 116(e)	As needed	Not Applicable	Office of Infrastructure	Pavement & Materials Engineer	DTSD / BHM & DTIM / BSHP	FHWA Division Office Approval
Approval of Utility Agreement / Alternate Procedure	23 CFR 645.119	As needed	Not Applicable	Office of Infrastructure	Construction & Contract Engineer	DTSD / BTS	FHWA Division Office Approval
Approval of Utility Accommodation Policy	23 CFR 645.215, 23 USC 109(l), 23 USC 123	As needed	Not Applicable	Office of Infrastructure	Construction & Contract Engineer	DTSD / BTS	FHWA Division Office Approval
Review Bridge Construction, Geotechnical, and Hydraulics	23 CFR 650	As needed	Not Applicable	Office of Infrastructure	Bridge Engineer	DTSD / BTS	
Review Plans of Corrective Action established to address NBIS compliance issues	23 CFR 650, 23 USC 144	Annually		Office of Infrastructure	Bridge Engineer	DTSD / BTS	Division office performs annual compliance review and reports results to HQ.
Review NBI Data Submittal	23 CFR 650 Subpart C, Annual Memo from HQ, 23 USC 144	Annually	1-Apr	Office of Infrastructure	Bridge Engineer	DTSD / BOS	Division resolve errors with States; States submit to HQ.
Review structurally deficient bridge construction Unit Cost submittal	23 USC 144	Annually	1-Apr	Office of Infrastructure	Bridge Engineer	DTSD / BOS	Submit to HQ.
Review Section 9 of the Rivers and Harbors Act Submittals (Bridge Permits)	23 CFR 650 Subpart H; 33 CFR 114 & 115	As needed	Not Applicable	Office of Infrastructure	Bridge Engineer	DTIM / BTLR	

Activity (1)	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA WI Division Responsible Position	WisDOT Responsible Program Office	Remarks
Approval for reduction of expenditures for off-system bridges	23 USC 133(g)(2)(B)	As needed	Not Applicable	Office of Infrastructure	Bridge Engineer	DTIM / BTLR	The FHWA Administrator may reduce the requirement for expenditures for off-system bridges if the FHWA Administrator determines that the State has inadequate needs to justify the expenditure.
Determination on Adequacy of State's Asset Management Plan	23 USC 119(5)	Annually beginning second fiscal year after establishment of the process		Office of Infrastructure	Assistant Division Administrator	DTIM / BSHP	
Certification and Recertification of States Process for Development of State Asset Management Plan	23 USC 119(6)	Recertification every four years after establishment of the process		Office of Infrastructure	Assistant Division Administrator	DTIM / BSHP	
Review Reporting on Performance Targets	23 USC 150(e)	Beginning four years after enactment of MAP-21 and biennially thereafter		Office of Infrastructure	Assistant Division Administrator	OPFI	
Review National Highway System Performance Achievement Plan for Actions to achieve the targets (when State does not achieve or make significant progress toward achieving)	23 USC 119(7)	Required if State does not achieve targets (or significant progress) for 2 consecutive reports		Office of Infrastructure	Assistant Division Administrator	OPFI	
States and sub-recipient failure to maintain projects - Notice and withholding Federal-aid Funds	23 USC 116(d)	As needed	Not Applicable	Office of Infrastructure	Assistant Division Administrator	DTIM / BSHP	
Emergency Relief (ER) Damage Assessments and Reports	23 CFR 668 23 USC 120 and 125	As needed	Not Applicable	Office of Infrastructure	Construction & Contract Engineer	DTSD / BHM	Perform with State.

Activity (1)	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA WI Division Responsible Position	WisDOT Responsible Program Office	Remarks
Toll Credit and Maintenance of Effort (MOE) Calculation and Agreement	23 USC 120(i)	Annually		Office of Infrastructure	Planning Team Leader	N/A	State will calculate the amount of eligible toll credit and submit for approval. FHWA will review and approve the request.
Local Public Agency (LPA) Oversight	2 CFR 200.331; 23 USC 106(g)(4)	As needed	Not Applicable	Office of Infrastructure	Transportation Specialist	DTSD / BPD	States are responsible to ensure that LPAs are aware of all the applicable Federal-aid Program requirements; States are responsible to ensure monitoring and oversight to assure compliance with Federal requirements. 23 USC further reinforces stressing accountability on "project delivery systems" and "accounting controls."
Approval to Sell, Lease or Otherwise Dispose of a Ferry Purchased with Federal-aid Funds	23 USC 129 (c)(6)	As needed	Not Applicable	Office of Infrastructure	Planning Team Leader	N/A	Division Office reviews and submits for Office of Program Administration for Administrator Approval
Territorial Highway Program - Approval of Territory Agreement	23 USC 165(c)(5)	Reviewed and Revised as needed every two years		Office of Infrastructure	Planning Team Leader	DTSD / OBOEC	Division Office works with Office of Program Administration and HCC
TIFIA Credit Program	23 USC 601-609	As needed	Not Applicable	Office of Innovative Program Delivery	Finance Manager Team Leader	OPFI	Project sponsors submit requests for credit assistance to the TIFIA JPO for review; approval by the Secretary
GARVEEs	23 USC 122; GARVEE Guidance 3/14	As needed	Not Applicable	Office of Innovative Program Delivery	Finance Manager Team Leader	OPFI	MOUs strongly suggested for each GARVEE issue. FM contacts OIPD for review/concurrence before final approval

Activity (1)	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA WI Division Responsible Position	WisDOT Responsible Program Office	Remarks
State Infrastructure Banks	NHS Act Section 308; 23 USC 610; SIB Guidance 3/14	Annual Report	Not Applicable	Office of Innovative Program Delivery	Finance Manager Team Leader	OPFI	Division sends copy of report to OIPD. SIB submits annual report to Division Office.
Section 129 Tolling Authority Requests	23 USC 129(a)	As needed	Not Applicable	Office of Innovative Program Delivery	Planning Team Leader	OPFI	At the option of the project sponsor, may execute a Tolling Eligibility MOU with the Division Office; HIN coordinates FHWA HQ review
Section 166 HOV/HOT Lanes Tolling Authority Requests	23 USC 166(d)	As needed	Not Applicable	Office of Innovative Program Delivery	Planning Team Leader	OPFI	At the option of the project sponsor, may execute a Tolling Eligibility MOU with the Division Office; HIN coordinates FHWA HQ review
Value Pricing Pilot Program Tolling Authority Requests	ISTEA Section 1012(b)	As needed	Not Applicable	Office of Innovative Program Delivery	Planning Team Leader	OPFI	Requests submitted to HIN to coordinate review; approval by the Administrator
Interstate System Reconstruction and Rehabilitation Pilot Program Tolling Authority Requests	TEA-21 Section 1216(b)	As needed	Not Applicable	Office of Innovative Program Delivery	Planning Team Leader	OPFI	Applications submitted to HIN to coordinate review; approval by the Administrator
Annual Audit of Toll Facility Records and Certification of Adequate Maintenance - Report Submittal	23 USC 129(a)(3)(B); TEA-21 Section 1216(b)(5)(B); SAFETEA-LU Section 1604(b)(3)(A); ISTEA Section 1012(b)(3)	Annually		Office of Innovative Program Delivery	Planning Team Leader	OPFI	Division Office to receive the reports.
Project Management Plan (Major Projects)	23 U.S.C. 106(h)(2)	Prior to first federal authorization of construction funds for a Major Project	Not Applicable	Office of Innovative Program Delivery	Division Office will conduct concurrent review with HQ Office of Innovative Program Delivery.	State DOT or Project Sponsor will prepare and submit Project Management Plan.	Division Office will provide approval after receiving concurrence from HQ Office of Innovative Program Delivery.

Activity (1)	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA WI Division Responsible Position	WisDOT Responsible Program Office	Remarks
Financial Plan (Major Projects)	23 U.S.C. 106(h)(3)	Prior to first federal authorization of construction funds for a Major Project and then annually.	Annually as noted in the approved Initial Financial Plan	Office of Innovative Program Delivery	Division Office will conduct concurrent review with HQ Office of Innovative Program Delivery.	State DOT or Project Sponsor will prepare and submit annual Financial Plans.	Division Office will provide approval after receiving concurrence from HQ Office of Innovative Program Delivery.
Financial Plan (Other Projects)	23 U.S.C. 106(i)	Prior to first federal authorization of construction funds for an Other Project and then annually.	Annually as noted in the approved Initial Financial Plan	Office of Innovative Program Delivery	Division Office will review and approve Financial Plans for Other Projects in accordance with its stewardship and oversight agreement with the State DOT or Project Sponsor.	State DOT or Project Sponsor will prepare and submit annual Financial Plans to the Division Office, only upon request.	Other Projects are defined as projects with an estimated total cost of \$100 million or more that have not been designated as Major Projects.
Review Designation and Re-designation of Primary Freight Network	23 USC 167(d)	One year after enactment of MAP-21 and every ten years thereafter		Office of Operations	Projects Team Leader	DTIM / BPED	Under development, initial PFN designation scheduled for Spring 2014 completion.
Review Development and Update of National Freight Strategic Plan	23 USC 167(f)	Three years after enactment of MAP-21 and every five years thereafter		Office of Operations	Projects Team Leader	DTIM / BPED	OST lead
Review Freight Transportation Conditions and Performance Report	23 USC 167(g)	Two years after enactment of MAP-21 and every two years thereafter		Office of Operations	Projects Team Leader	DTIM / BPED	OST lead
Review HOV Operations Report for Tolloed Use and Low-Emission and Energy-Efficient Vehicle Use	23 USC 166(d)	Annually		Office of Operations	Projects Team Leader	N/A	
Congestion Partnerships Assessment	Annual Memo from HQ	Annually	1-Jul	Office of Operations	Projects Team Leader	DTSD / BTO	Complete with partners and forward to HQ.

Activity (1)	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA WI Division Responsible Position	WisDOT Responsible Program Office	Remarks
Traffic Incident Management Self-Assessment	Annual Memo from HQ	Annually	1-Jul	Office of Operations	Projects Team Leader	DTSD / BTO	Complete with partners and forward to HQ.
Work Zone Self-Assessment	Annual Memo from HQ	Annually	7/1/2013, This project is currently on hiatus and has not been determined whether it will be reestablished or not.	Office of Operations	Safety Engineer	DTSD / BTO	Complete with partners and forward to HQ.
Approval of State-Prepared Manual on Uniform Traffic Control Devices - State Traffic Control Manuals	23 CFR 655.603, 23 USC 109(d)	As needed	Not Applicable	Office of Operations	Safety Engineer	DTSD / BTO	
Review Vehicle Size & Weight Enforcement Plan	23 CFR 657.11, 23 USC 127	Annually	1-Oct	Office of Operations	Projects Team Leader	DTSD / DSP or BHM	
Review Vehicle Size & Weight Enforcement Certification	23 CFR 657.13, 23 USC 141	Annually	1-Jan	Office of Operations	Projects Team Leader	DSP	
Approval of National Network Modifications	23 CFR 658.11	As needed	Not Applicable	Office of Operations	Projects Team Leader	DTIM / BSHP	
Intelligent Transportation System Architecture & Standards	23 CFR Part 940	As needed	Not Applicable	Office of Operations	Projects Team Leader	DTSD / BTO	
Approval of Work Zone Significant Project Determination	23 CFR 630.1010	As needed		Office of Operations	Safety Engineer	DTSD / BTO	

Activity (1)	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA WI Division Responsible Position	WisDOT Responsible Program Office	Remarks
Approval of Exceptions to Work Zone Procedures for Interstate Projects	23 CFR 630.1010	As needed		Office of Operations	Safety Engineer	DTSD / BTO	
Approval of Work Zone Policy and Procedures Conformance Review	23 CFR 630.1014	At appropriate intervals		Office of Operations	Safety Engineer	DTSD / BTO	
Process Review of Work Zone Safety and Mobility Procedures	23 CFR 630.1008, 23 USC 109(e)(2), 23 USC 112(g)	Every 2 years		Office of Operations	Safety Engineer	DTSD / BTO	
Approval of State Planning Work Program and Revisions (Part 1)	23 CFR 420.111, 23 CFR 420.115, and 23 CFR 420.209	Annually	Prior to Program Period	Office of Planning, Environment & Realty	Planning Team Leader	DTIM / BPED	FHWA Division Office Approval.
Approval of State Research and Development Work Program (Part 2)	23 CFR 420.111, 23 CFR 420.115, and 23 CFR 420.209	Annually	Prior to Program Period	Office of Planning, Environment & Realty	Bridge Engineer	OPFI	FHWA Division Office Approval.
Approval of State's Distribution of Planning Funds Formula - Allocation Formulas for PL Funds	23 CFR 420.109, 23 USC 104(d)(2)(A)(i)	When Revised	Not Applicable	Office of Planning, Environment & Realty	Planning Team Leader	DTIM / BPED	FHWA Division Office Approval.
Review of State Public Involvement Procedures	23 CFR 450.210(a)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning Team Leader	DTIM / BPED	FHWA Division Office Review to Assure Compliance.
Receipt of State Consultation Process for Non- metropolitan Local Officials	23 CFR 450.210(b)	As needed	Not Applicable	Office of Planning, Environment & Realty	Community Planner	DTIM / BPED	Informational Purposes.
Review of Long-range Statewide Transportation Plan	23 CFR 450.214	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning Team Leader	DTIM / BPED	FHWA Division Office Review to Assure Compliance.
Approval of Statewide Transportation Improvement Program (STIP)	23 CFR 450.216, 23 CFR 450.218(a) & (c), 23 USC 135(g)(7)	At least every 4 years	Not Applicable	Office of Planning, Environment & Realty	Planning Team Leader	DTIM / BPED	Joint FHWA and FTA approval.
Approval of STIP Amendments	23 CFR 450.218(a) & (c)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning Team Leader	DTIM / BPED	Joint FHWA and FTA approval.
Finding of Consistency of Planning Process with Section 134 and 135	23 USC 135(g)(8), 23 CFR 450.218(b)	Concurrent with STIP approval	Not Applicable	Office of Planning, Environment & Realty	Planning Team Leader	DTIM / BPED	FHWA and FTA issue a joint finding concurrent with STIP approval.

Activity (1)	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA WI Division Responsible Position	WisDOT Responsible Program Office	Remarks
Review of State Self-certification that Planning Process is in Accordance with Applicable Requirements	23 CFR 450.218(a)	Submitted with proposed STIP or STIP amendments	Not Applicable	Office of Planning, Environment & Realty	Planning Team Leader	DTIM / BPED	Received with STIP.
Approval of Transportation Management Area (TMA) MPO Unified Planning Work Programs (UPWP)	23 CFR 450.308(b) and 23 CFR 420 (Subpart A)	Prior to Program End	Not Applicable	Office of Planning, Environment & Realty	Planning Team Leader	DTIM / BPED	
Approval of Non-TMA UPWA	23 CFR 450.308(b) and 23 CFR 420 (Subpart A)	Prior to Program End	Not Applicable	Office of Planning, Environment & Realty	Planning Team Leader	DTIM / BPED	May use simplified work statement.
Approval of UPWP Revisions and Amendments (All MPO's)	23 CFR 420.115	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning Team Leader	DTIM / BPED	
Review of UPWP Performance and Expenditure Reports (All MPO's)	23 CFR 420.117(b)	Not more frequently than quarterly	Not Applicable	Office of Planning, Environment & Realty	Planning Team Leader	DTIM / BPED	
Approval of Report Before Publication (All MPO's)	23 CFR 420.117(e)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning Team Leader	DTIM / BPED	Waiver may be granted.
Approval to use Planning Funds outside Urbanized Areas for States Receiving Minimum Apportionment	23 USC 104(d)(1)(A)(ii)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning Team Leader	DTIM / BPED	
Review of Metropolitan Planning Area Boundary (Establishment and Changes)	23 CFR 450.312	As needed	Not Applicable	Office of Planning, Environment & Realty	Community Planner	DTIM / BPED	Approval by MPO and the Governor, shape files forwarded to HQ. (Comment: No action is required by FHWA/FTA).
Review of Metropolitan Transportation Planning Organizations (MPO) Designation and Re-designation	23 CFR 450.310	As needed	Not Applicable	Office of Planning, Environment & Realty	Community Planner	DTIM / BPED	Require agreement between Governor and local governments.

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

Activity (1)	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA WI Division Responsible Position	WisDOT Responsible Program Office	Remarks
Review of TIP Amendments	23 CFR 450.324(a); 23 CFR 450.328(b)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning Team Leader	DTIM / BPED	No succinct Federal approval action is required for the TIP. FHWA/FTA approval of the TIP is through the STIP approval process.
Approval of Air Quality Conformity Determination on TIP	23 CFR 450.326; 23 CFR 450.328	At least every 4 years, or when the TIP has been modified (unless exempt projects)	Not Applicable	Office of Planning, Environment & Realty	Planning Team Leader	DTSD / BTS	Applies to non-attainment and maintenance areas only. After receipt of MPO determination, joint determination with FTA (in cooperation with EPA).
Federal Finding of Consistency of Planning Process with Section 134 and 135	23 CFR 450.218(b); 23 CFR 450.334(a)	Concurrent with (S)TIP submittal	Not Applicable	Office of Planning, Environment & Realty	Planning Team Leader	DTIM / BPED	At least every four years, joint finding with FTA when TIP is submitted.
In Metropolitan Planning Areas, Review of State and MPO Self-certification that Planning Process is in Accordance with Applicable Requirements	23 CFR 450.334 (a), 23 CFR 218(a)	Annually or concurrent with the STIP/TIP cycle	Not Applicable	Office of Planning, Environment & Realty	Planning Team Leader	DTIM / BPED	Required for all MPO's. May be included in the STIP, TIP, or UPWP, at least every 4 years.
In TMA's, Certification that Planning Process is in Accordance with Applicable Requirements	23 CFR 450.334(b), 23 USC 134(k)(5)	Every 4 years		Office of Planning, Environment & Realty	Planning Team Leader	DTIM / BPED	Joint FHWA and FTA Certification.
Approval of Federal-Aid Urban Area Boundaries	23 CFR 470.105 (a), 23 USC 101(a)(33)	As needed	Not Applicable	Office of Planning, Environment & Realty	Community Planner	DTIM / BPED	
Approval of Revision of Functional Classification	23 CFR 470.105 (b)	As needed	Not Applicable	Office of Planning, Environment & Realty	Community Planner	DTIM / BPED	
Approval by Administrator of Interstate Additions & Revisions	23 USC 103(c)(1)(D), 23 CFR 470.111, 23CFR 470.115 (a)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planning Team Leader	DTIM / BSHP	Approval by HQ – Administrator.

Activity (1)	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA WI Division Responsible Position	WisDOT Responsible Program Office	Remarks
Approval by Office Director of National Highway System (NHS) Additions and Revisions	23 USC 103(b)(3), 23 CFR 470.113 and 470.115(a)	As needed	Not Applicable	Office of Planning, Environment & Realty	Community Planner	DTIM / BSHP	Approved by HQ - Office Director.
Review of CMAQ Annual Report	CMAQ Guidance Memo October 31, 2006	Annually	1-Mar	Office of Planning, Environment & Realty	Planning Team Leader	DTIM / BOPED	Division provides information on CMAQ projects including: amount of obligation, project description and location, and air quality benefits. The report must be submitted via the web-based CMAQ Tracking System.
Transportation Planning Excellence Awards		Annually	1-Feb	Office of Planning, Environment & Realty	Planning Team Leader	DTIM / BPED	Call for entries for the FHWA FTA Transportation Planning and Excellence Awards.
Approval of Local Technical Assistance Program (LTAP) Centers Work Plan and Budget	FHWA LTAP Field Manual	Annually	31-Mar	Office of Planning, Environment & Realty	Transportation Specialist	DTIM / BTLR	FHWA HQ approval.
Approval of Public Involvement Program Procedures	23 CFR 771.111(h), 23 USC 128	As needed	Not Applicable	Office of Planning, Environment & Realty	Environmental Program Manager	DTSD / BTS	
Approval of NEPA Procedures, including Section 4(f)	23 CFR 771; 23 CFR 774; SAFETEA-LU 6007 & 6009, 23 USC 109(h)	As needed	Not Applicable	Office of Planning, Environment & Realty	Environmental Program Manager	DTSD / BTS	
Approval of Noise Policies	23 CFR 772.7, 772.9, and 772.13, 23 USC 109(i)	As needed	Not Applicable	Office of Planning, Environment & Realty	Environmental Program Manager	DTSD / BTS	FHWA approves State' noise abatement policy.
EIS Status Updates	FHWA Strategic Goal - EIS Timeliness	Quarterly	(Fiscal Year - Oct, Jan, Apr, Jul)	Office of Planning, Environment & Realty	Environmental Program Manager	DTSD / BTS	Monitor time required to complete EIS's. Determine projects which have exceeded

Activity (1)	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA WI Division Responsible Position	WisDOT Responsible Program Office	Remarks
							recommended timeline (3 years). Identify projects which should be listed as dormant. Submit to HEPE.
Endangered Species Act Cost Report		Annually	1-Mar	Office of Planning, Environment & Realty	Environmental Program Manager	DTSD / BTS	
Exemplary Ecosystem Initiatives Applications		Annually	1-Apr	Office of Planning, Environment & Realty	Environmental Program Manager	DTSD / BTS	
Approval of Acquisitions, Appraisals, and Relocations Program and Procedures	49 CFR Part 24, The UA	As needed	Not Applicable	Office of Planning, Environment & Realty	Right-of-Way Manager	DTSD / BTS	
Early Acquisitions	23 CFR 710.501	As needed	Not Applicable	Office of Planning, Environment & Realty	Right-of-Way Manager	DTSD / BTS	
Local Public Agency Oversight	49 CFR 24.4(b); 23 CFR 710.201	As needed	Not Applicable	Office of Planning, Environment & Realty	Transportation Specialist	DTSD / BTD	
Approval of Highway Facility Relinquishment	23 CFR 620.203	As needed	Not Applicable	Office of Planning, Environment & Realty	Right-of-Way Manager	DTSD / BHM	
Approval of ROW Disposal Authorization Request	23 CFR 710.409	As needed	Not Applicable	Office of Planning, Environment & Realty	Right-of-Way Manager	DTSD / BTS	
Approval of ROW Operations Manual (Organization, Policies and Procedures), Updates, and Certification	23 CFR 710.201	January 1, 2001 and every 3 years thereafter or as required by changes in State law or Federal regulation or law	Not Applicable	Office of Planning, Environment & Realty	Right-of-Way Manager	DTSD / BTS	

Activity (1)	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA WI Division Responsible Position	WisDOT Responsible Program Office	Remarks
Approval of Exception to Charging Fair Market Value	23 CFR 710.403 and 23 CFR 710.409	As needed	Not Applicable	Office of Planning, Environment & Realty	Right-of-Way Manager	DTSD / BTS	
Approval of Interstate Real Property Use Agreements	23 CFR 710.405	As needed	Not Applicable	Office of Planning, Environment & Realty	Right-of-Way Manager	DTSD / BTS	
Approval of Request for Federal Land Transfer	23 CFR 710.601	As needed	Not Applicable	Office of Planning, Environment & Realty	Right-of-Way Manager	DTSD / BTS	
Approval of Request for Direct Federal Acquisition	23 CFR 710.603	As needed	Not Applicable	Office of Planning, Environment & Realty	Right-of-Way Manager	DTSD / BTS	
Approval of Outdoor Advertising Policies and Procedures, and Regulation and Procedure Approval	23 CFR 750.304, 23 CFR 750.705, 23 USC 131	As needed	Not Applicable	Office of Planning, Environment & Realty	Right-of-Way Manager	DTSD / BHM	
Approval of Requests to Exempt Certain Nonconforming Signs, Displays, and Devices	23 CFR 750.503	As needed	Not Applicable	Office of Planning, Environment & Realty	Right-of-Way Manager	DTSD / BHM	
Approval of Railroad Agreement Alternate Procedure	23 CFR 646.220	As needed	Not Applicable	Office of Planning, Environment & Realty	Safety Engineer	DTIM / BTLR	
Approval of Uniform Act Waivers and Waivers from Availability of Comparable Replacement Dwelling before Displacement	49 CFR 24.7, 49 CFR 24.204(b)	As needed	Not Applicable	Office of Planning, Environment & Realty	Right-of-Way Manager	DTSD / BTS	Requests reviewed and approved by HEPR Office Director.
Review of Uniform Relocation Assistance & Real Property Acquisition Report -(OMB Form 2125-0030)	49 CFR 24.9c & Appendix B 49 CFR 24.603	Annually	15-Nov	Office of Planning, Environment & Realty	Right-of-Way Manager	DTSD / BTS	Submitted to FHWA Headquarters (HQ).

Activity (1)	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA WI Division Responsible Position	WisDOT Responsible Program Office	Remarks
Review of Real Property Acquisition Statistical Report	FHWA Order 6540.1	Annually	15-Nov	Office of Planning, Environment & Realty	Right-of-Way Manager	DTSD / BTS	
Approval of Management Process and Project Selection Procedures and Certification for Research, Development & Technology Transfer Program and Revisions to Process	23 CFR 420.115 and 23 CFR 420.209	As needed	Not Applicable	Office of Planning, Environment & Realty	Bridge Engineer	OBFi	FHWA Division Office Approval.
Periodic Review of States Management Process of the Research, Development & Technology Transfer Program	23 CFR 420.209	Periodic	Not Applicable	Office of Planning, Environment & Realty	Bridge Engineer	OBFi	FHWA Division Office Periodic Review.
Approval of Performance and Expenditure Reports for SPR Research Work Programs	23 CFR 420.117	No less frequently than annual and no more frequently than quarterly	90 Days After End Of Period	Office of Planning, Environment & Realty	Bridge Engineer	OBFi	FHWA Division Office Approval.
Approval of SPR research reports	23 CFR 420.117	Prior to publication unless prior approval is waived	Not Applicable	Office of Planning, Environment & Realty	Bridge Engineer	OBFi	FHWA Division Office Approval unless waived.
Annual Traffic Reports	Traffic Monitoring Analysis System and Traffic Monitoring Guide reporting	When Published	As needed	Office of Highway Policy information	Safety Engineer	DTIM / BPED	When Published
Approval of Annual Field Review Report	HPMS Field Review Guidelines (June 2001) Continuous Process Improvement Model for HPMS(February 2003)	Annually	1-Nov	Office of Highway Policy information	Community Planner	DTIM / BSHP	Review memo to HQ.

Activity (1)	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA WI Division Responsible Position	WisDOT Responsible Program Office	Remarks
Approval of Certified Public Road Mileage	23 CFR 460.3(b)	Annually	1-Jun	Office of Highway Policy information	Community Planner	DTIM	Each year, the Governor of each State and territory or a designee must certify Public Road Mileage. FHWA division reviews the Mileage and sends to HQ with division review/concurrence. This is reported to NHTSA for Apportionment of Safety Funds.
Approval of Data Submittal	23 CFR 420.105(b), HPMS Field Manual	Annually	15-Jun	Office of Highway Policy information	Community Planner	DTIM	State DOT sends directly to Division Office and HQ.
Highway Statistics Reports	Guide to Reporting Highway Statistics			Office of Highway Policy information	Community Planner	DTIM / BSHO	State DOT of Division Office sends directly to HQ.
Motor Fuels Report	A Guide to Reporting Highway Statistics, Chapter 2	Due 60 days after end of each reporting month		Office of Highway Policy information	Community Planner	OPFI	
Vehicles and Drivers (561, 562, 566, and 571)	A Guide to Reporting Highway Statistics, Chapters 3, 4, 5, and 6	1-Apr	1-Apr	Office of Highway Policy information	Community Planner	DMV	
Finance (531, 532, 541, 542, and 543 (optional))	A Guide to Reporting Highway Statistics, Chapters 8 and 9	1-Apr	1-Apr	Office of Highway Policy information	Community Planner	OPFI	
Transportation Bond Referendums	A Guide to Reporting Highway Statistics, Chapter 9	When Published	When Published	Office of Highway Policy information	Community Planner	OPFI	

Activity (1)	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA WI Division Responsible Position	WisDOT Responsible Program Office	Remarks
State DOT / Toll Authority Audits and Published Annual Reports and Form 539 (optional)	A Guide to Reporting Highway Statistics, Chapter 10	When Published	When Published	Office of Highway Policy information	Community Planner	N/A	Annually, Due as soon as available.
Finance (536)	A Guide to Reporting Highway Statistics, Chapter 11	30-Sep	30-Sep	Office of Highway Policy information	Community Planner	OPFI	Biennially for odd-numbered years. Due nine months after end of reporting year
Finance (534)	A Guide to Reporting Highway Statistics, Chapter 12	15-Jun	15-Jun	Office of Highway Policy information	Community Planner	OPFI	Annually for State, Biennially for local
Highway Finance and Tax Legislation	A Guide to Reporting Highway Statistics, Chapter 13	When Published	When Published	Office of Highway Policy information	Community Planner	OPFI	
State DOT Budgets and Published Annual Reports	A Guide to Reporting Highway Statistics, Chapter 13	When Published	When Published	Office of Highway Policy information	Community Planner	DOA / OPFI	
Motor Fuel Oversight Review	July 24, 2001 HQ Memo	Initial baseline reports no later than December 31, 2003		Office of Highway Policy information	Community Planner	OPFI	Annual progress reports and statement of verification by June 30. Submitted via UPACS.
Review of Biennial - Toll Facilities in the United States	23 CFR 450.105(b) HPMS Field Manual	Biennially - Odd Years	June 15 (Odd Years)	Office of Highway Policy information	Planning Team Leader	DMV / OPFI	Division Office sends to HQ.
State Highway Maps (Tourist)		When Published	When Published	Office of Highway Policy information	Program Assistant	DTSD / BTS	Two copies to each Division Office and 100 copies to HQ.
Traffic Flow Maps		When Published		Office of Highway Policy information	Community Planner	DTIM / BPED	When Published.
Vehicle Classification Data	MAP-21, HPMS Field Manual, Traffic Monitoring Guide	15-Jun	15-Jun	Office of Highway Policy information	Community Planner	DTIM	Part of Annual HPMS submittal.
Highway Use Tax Evasion Grant Awards	23 USC 143	Annual	Not Applicable	Office of Highway Policy information	Community Planner	DOR	FHWA along with the Internal Revenue Service will review applications and select awardees for projects designed to reduce or eliminate fuel tax evasion. FHWA will

Activity (1)	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA WI Division Responsible Position	WisDOT Responsible Program Office	Remarks
							also review annual progress reports on projects.
Heavy Vehicle Use Tax (HVUT) – Certification of verifying proof-of-payment of HVUT	23 CFR 669.7	1-Jul	1-Jul	Office of Highway Policy information	Programs Team Leader	DMV	Each year, the Governor of each State, or a designee must certify that the State is verifying that the HVUT has been paid before they issue or renew registrations on vehicles over 55,000 lbs. The HVUT program is administered by the Internal Revenue Service.
Heavy Vehicle Use Tax (HVUT) – Certification of verifying proof-of-payment of HVUT	23 CFR 669	Annual	1-Jan	Office of Highway Policy information	Programs Team Leader	DMV	Each year, the Governor of each State, or a designee must certify that the State is verifying that the HVUT has been paid before they issue or renew registrations on vehicles over 55,000 lbs. The HVUT program is administered by the Internal Revenue Service.
Heavy Vehicle Use Tax (HVUT) – Triennial review of State program	23 CFR 669.21	Triennial	Not Applicable	Office of Highway Policy information	Programs Team Leader	DMV	Every 3 years, the local Division Office will perform a review of the State process for verifying that the HVUT has been paid before a registration can be issued or renewed for vehicles over 55,000 lbs. The HVUT program is administered by the Internal Revenue Service.

Activity (1)	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA WI Division Responsible Position	WisDOT Responsible Program Office	Remarks
Permanent ATR Data	Heavy Vehicle Travel Information System Field Manual	Monthly	Monthly	Office of Highway Policy information	Programs Team Leader	DTIM / BSHP	Submit monthly, within 20 days after the close of the month for which the data were collected.
Continuous Automatic Vehicle Classifier Data	Heavy Vehicle Travel Information System Field Manual	Monthly	Monthly	Office of Highway Policy information	Programs Team Leader	DTIM / BSHP	Send up to one week of data per quarter
Weight and Vehicle Classification Data Collected at Weigh-in-motion sites	Heavy Vehicle Travel Information System Field Manual	15-Jun	As needed	Office of Highway Policy information	Programs Team Leader	DSP	WIM data collected at non-continuous sites during a year should be submitted by June 15 of the following year. If continuous WIM data are available, then up to one week of data per quarter.
Approval of MAP-21 compliant SHSP update within the legislatively required timeframe.	23 U.S.C. 148 (d)(2)(B)	Non Recurring	By Aug. 1 of the fiscal year after the HSIP final rule is established	Office of Safety	Safety Engineer	DSP / BOTS	FHWA Division Offices provide copy of SHSP process approval letter to HQ.
Highway Safety Improvement Program (HSIP) and Railway-Highway Crossing Program (RHCP) Reports	23 USC 148(h), 23 CFR 924.15	Annually	31-Aug	Office of Safety	Safety Engineer	DTIM / BSHP	As per MAP-21 guidance, reports are due to FHWA Division Office by August 31st and to the Office of Safety by September 30.

Activity (1)	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA WI Division Responsible Position	WisDOT Responsible Program Office	Remarks
Transportation Performance Management (TPM) for Safety	23 USC 150, 23 USC 134, 23 USC 135, 23 USC 148(i)	Annually	31-Aug	Office of Safety	Safety Engineer	DTIM / DTSD	Per MAP-21, States and MPOs must set targets for established measures. Targets must be assessed for achievement
Review Drug Offender Driver's License Suspension Law & Enforcement Certification (Section 159)	23 USC 159 23, CFR 192.5	Annually	1-Jan	Office of Safety	Safety Engineer	DMV	Certifications due to the Division Office by January 1.
Section 154/164 Compliance Status - Funds Reservation	23 USC 154 and 23 USC 164	Annually	30-Oct	Office of Safety	Safety Engineer	DSP / BOTS	States must submit a Shift letter to the Division Office by Oct. 30 indicating how to apply the penalty. New penalty states have additional time. The Office of Safety processes the compilation of information in a memo to the CFO.
Review Safety Belt Compliance Status	23 USC 153, 23 CFR 1215.6	Annually	Annually	Office of Safety	Safety Engineer	DSP / BOTS	NHTSA
High Risk Rural Roads (HRRR) Special Rule	23 USC 148(g)(1)	Annually	Annually	Office of Safety	Safety Engineer	DTIM / BSHP	After the final FARS and HPMS data are available, FHWA HQ will inform the States if the HRRR Special Rule applies for the following FY.
Older Drivers and Pedestrians Special Rule	23 USC 148 (g)(2)	Annually	31-Aug	Office of Operations	Safety Engineer	DTIM / BSHP	States should include in their annual HSIP reports (due August 31st) the calculations performed, verifying whether the Older Driver Special Rule applies in the State. If the Special Rule applies to a State in a given year, the State must include in its subsequent SHSP

Activity (1)	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA WI Division Responsible Position	WisDOT Responsible Program Office	Remarks
							strategies to address the increases in the fatality and serious injury rates for drivers and pedestrians over the age of 65.
FHWA Emergency Preparedness Program	Executive Order 12656 and FHWA Order 1910.2C	As needed	Not Applicable	Office of Operations	Office of Operations	DTSD / BTO	National Programs.

ATTACHMENT C: FHWA/WisDOT Manuals and Operating Agreements

WisDOT Manuals and Operating, Delegation & Cooperative Agreements for use on Federal-aid Projects

For all control items listed below, WisDOT will submit proposed changes to FHWA for approval and will not proceed with execution or final publication until FHWA has provided formal approval of the changes. Changes to sections or chapters of policies and procedures not listed in the following table should be sent to FHWA for informational purposes.

For those items that are sent for review purposes only, WisDOT should submit changes at least 2 weeks prior to execution. If comments are not received within 2 weeks (or if an extension in time is not requested), WisDOT may proceed with execution or publication. FHWA input and comment may also be provided through participation and involvement in WisDOT Technical committees.

NOTE: Approval requirements listed here are based on current organization of Manuals. If the Manual chapters and/or Sections are removed or reorganized, the specified chapters and/or sections will still require FHWA review and approval and this Attachment reference will need to be updated to reflect these changes.

WisDOT Policy and/or Manual References

	WisDOT Policy and/or Manual	Update Cycle	Subject to FHWA approval or review?	Reference
Approval of Design and Materials Standards and Procedures is for	Program Management Manual (PMM)	Ongoing	Chapter 15: BBS Charging Policy Chapter 4: Sections 1 through 5	
	Facilities Development Manual (FDM)	Ongoing	Chapter 3: <i>Facilities Development Process</i> (all changes) Chapter 6: <i>Public Involvement Procedures</i> (all changes) Chapter 7: <i>Access Control, Interstate Access points, Addition or Revised Access to the Interstate Highway System (7-45-1)</i> only Chapter 8: <i>Consultant Contracting Process</i> (all changes)	23 CFR 630 23 USC 111 23 CFR 172

	WisDOT Policy and/or Manual	Update Cycle	Subject to FHWA approval or review?	Reference
			Chapter 11: <i>Geometric Design Elements</i> (all changes) Chapter 16: <i>Standard Detail Drawings</i> (all changes) Chapter 17: <i>Railroad Coordination</i> (policy, standard agreement forms & provisions, and administration / process procedures changes only) Chapter 19: <i>Determination of Contract Time</i> (19-10-30) and <i>Statewide Proprietary Products</i> (19-1-5) only Chapter 20: <i>Environmental Laws, Regulations, and Agreements</i> (all changes) Chapter 21: <i>Environmental Docs, Reports, and Permits</i> (all changes) Chapter 22: <i>Air Quality</i> (all changes) Chapter 23: <i>Noise</i> (all changes) Chapter 24: <i>Land and Water Resources Impacts</i> (all changes) Chapter 25: <i>Socio-Economic Factors</i> (all changes) Chapter 26: <i>Historic Preservation</i> (all changes)	23 CFR 625 23 CFR 625 23 CFR 625 23 CFR 635 23 CFR 771 23 CFR 771
	Real Estate Program Manual		All changes	23 CFR 710
	LPA Real Estate Acquisition Manual		All changes	23 CRR 710
	Outdoor Advertising Control Policy		All changes	
	Bridge Manual	Ongoing	All standard detail drawings	23 CFR 625
	WisDOT ER Guidance and FHWA Emergency Relief (ER) Procedures	As Needed	All changes proposed from FHWA ER Manual (May 31, 2013)	23 USC 125, 23 CFR 668

	WisDOT Policy and/or Manual	Update Cycle	Subject to FHWA approval or review?	Reference
	Developmental Specifications		Submit for review only	23 CFR 625, 630
	Standard / Additional Special Provisions	Ongoing	All changes	23 CFR 625, 630
	Standard Specifications	Annually	All changes	23 CFR 625, 630
	Material Quality Assurance Manual		All changes	23 CFR 637
	Construction & Materials Manual (CMM)	Quarterly	All changes	23 CFR 635, 637
	Independent Sampling and Testing Assurance Program	As Needed	All changes	23 CFR 637
	Wisconsin MUTCD	As Needed	All changes	23 CFR 625
	Sponsor's Guide for Non-Traditional Projects	As Needed.	Submit for review only	
	Wisconsin Utility Accommodation Policy (UAP)	As Needed	All changes	23 CFR 643
	Work Zone Safety and Mobility Policy / Guidance		All changes (including FDM 11-50s)	23 CFR 630
	Certification Program Guidance (LPAs? MPOs?)		All changes	
	Traffic Guidelines Manual		Submit for review only	23 CFR 630
	Regional ITS Architecture	As Needed	All changes	23 CFR 940.9
	Local Program Funding Guidance		Submit for review only	

Operating, Delegation and Cooperative Agreements

Title Topic: Concurrent NEPA/ 404 Processes for Transportation Projects

Description: NEPA and Clean Water Act Section 404 merger agreement. The agreement identifies three points for agency participation and concurrence during the NEPA process (purpose and need, range of alternatives, and preferred alternative). The agreement is intended to ensure that NEPA decisions will be consistent with regulatory requirements for CWA permits. In the recent past, the concurrence points have been combined with our process to comply with environmental coordination requirements under SAFETEA-LU 6002 (23 USC 139).

Signatories: FHWA, USACE, USEPA, USFWS

Date Issued/Revised: March 1994, (agreement is currently being revised and updated)

Title Topic: WisDOT Environmental Screening of Programmatic IIIA Categorical Exclusion Actions

Description: This agreement identifies five project types with a number of environmental impact thresholds that must not be exceeded for WisDOT to use the programmatic environmental report (PER) documentation and internal review and approval for certain categorical exclusion actions.

Signatories: FHWA and WisDOT

Date Issued/Revised: June 25, 1990, (agreement is currently being revised and updated)

Title Topic: Wetland Mitigation Banking Technical Guidelines for WisDOT Projects and Interagency Coordination Agreement

Description: Guidelines and cooperative agreement that guide WisDOT's implementation of wetland mitigation bank projects around the state of Wisconsin. WisDOT is currently making a significant update to the structure and content of these guidelines due to rule changes by USACE.

Signatories: FHWA, WisDOT, WDNR, USACE, USEPA, USFWS

Date Issued/Revised: July 20, 1993 with periodic updates, most recently on 3/8/02, (agreement is currently being revised and updated)

Title Topic: Partnership Agreement Between Wisconsin's Eleven Federally Recognized Tribes and FHWA and WisDOT

Description: Broad agreement that identifies the goal of collaboration in seven emphasis areas (partnership, transportation safety, economic development, building capacity of tribal run businesses, Native American labor development, training, and cultural resources). The agreement also identifies guiding principles and a dispute resolution process.

Signatories: FHWA, WisDOT, Bad River Band of Lake Superior Chippewa Indians, Forest County Potawatomi Community, Ho-Chunk Nation, Lac Courte Oreilles Band of Lake Superior Chippewa Indians, Lac Du Flambeau Band of Lake Superior Chippewa Indians, Menominee Indian Tribe of Wisconsin, Oneida Tribe of Indians of Wisconsin, Red Cliff Band of Lake Superior Chippewa Indians, Sokaogon Chippewa Community, St. Croix Band of Chippewa Indians, Stockbridge-Munsee Band of Mohican Indians
Date Issued/Revised: October 26, 2010

Title Topic: Programmatic Agreement for the Administration of Federal-aid Highway Projects in the State of Wisconsin

Description: Agreement delegates some of FHWA's responsibilities under Section 106 of the National Historic Preservation Act to WisDOT. WisDOT performs the identification of historic properties and evaluation of effects on historic properties. FHWA is reengaged on projects with adverse effects to resolve those adverse effects.

Signatories: FHWA, WisDOT, SHPO, ACHP

Date Issued/Revised: November 21, 1996

Title Topic: Programmatic Agreement among FHWA, WI SHPO, and ACHP Regarding Implementation of the Historic Preservation Plan for Bascule Bridges in Wisconsin

Description: Agreement identifies specific bascule bridges in Wisconsin for special historic preservation measures.

Signatories: FHWA, WisDOT, SHPO, ACHP, and City of Milwaukee

Date Issued/Revised: November 14, 1996, amended October 24, 2001

Title Topic: Wisconsin Karner Blue Butterfly Statewide Habitat Conservation Plan and Incidental Take Permit

Description: The HCP outlines a conservation program to avoid, minimize, mitigate, and monitor the "take" of the species. A total of 39 major land managers participate in the HCP as partners, including local, regional, and state agencies.

Signatories: WisDOT, WDNR, USFWS

Date Issued/Revised: September 27, 1999 (Permit)

Title Topic: Cooperative Agreement between WDNR and WisDOT

Description: The agreement defines the working relationship between WisDOT and WDNR and establishes WDNR liaisons to coordinate on WisDOT projects. The cooperative agreement results in earlier engagement and more consistent involvement by

WDNR in WisDOT project development. The agreement includes a number of attachments that address topical areas of coordination including threatened and endangered species, wetland impacts, erosion control and stormwater management, and visual impacts.

Signatories: WisDOT, WDNR

Date Issued/Revised: November 26, 2002

Title Topic: WisDOT and Wisconsin SHPO Partnering Agreement

Description: Mutual agreement between WisDOT and SHPO identifying the importance of timely, constructive coordination on projects. The agreement outlines roles and responsibilities of each agency, characteristics of productive communication, and a conflict resolution process.

Signatories: WisDOT, WI SHPO

Date Issued/Revised: August 1, 2007

Title Topic: FHWA and WisDOT Stewardship & Oversight of Projects through Implementation of a Risk-Based Approach

Description: PoCI & PoDI Project Selection Process & Project List / CAP Review Format

Signatories: FHWA and WisDOT

Date Issued/Revised: Annually by June 1

Title Topic: Interagency Transportation Air Quality Conformity MOA

Description: Air Quality

Signatories: FHWA, WisDOT, EPA, DNR, FTA, MPOs

Date Issued/Revised: Meets Quarterly since 2012

ATTACHMENT D: Wisconsin Stewardship and Oversight Performance Measures

There are two types of measures identified below in each table. These include (1) WisDOT Mobility, Accountability, Preservation, Safety & Service (MAPSS) Measures and (2) WisDOT Functional Measures. Each Measure Description below is noted as either a MAPSS Measure or a Functional Measure. The MAPSS Measures are available externally, while some of the Functional Measures may need to be obtained from WisDOT through their internal tracking and reporting systems.

WisDOT Operations Measures

Type of Measure	Measure Description	Target, Trend or Goal	Compiled By (WisDOT or FHWA)	Reported (Monthly, Quarterly, Annually)
Functional	Bridge Inspections	As Identified	WisDOT	Quarterly
MAPSS	Delay (Hours of Vehicle Delay)	As Identified	WisDOT	Quarterly
MAPSS	Incident Response	As Identified	WisDOT	Quarterly
MAPSS	State Highway Pavement Condition (Backbone)	As Identified	WisDOT	Quarterly
MAPSS	State Highway Pavement Condition (Non-Backbone)	As Identified	WisDOT	Quarterly
MAPSS	State Bridge Condition	As Identified	WisDOT	Quarterly
Functional	Signal Condition (State Trunk Highway)	As Identified	WisDOT	Quarterly
Functional	Signing Condition (State Trunk Highway)	As Identified	WisDOT	Quarterly
MAPSS	Winter Response	As Identified	WisDOT	Quarterly
MAPSS	Reliability (Planning Time Index for Congestion)	As Identified	WisDOT	Quarterly

WisDOT Project Development Section (PDS) Measures

Type of Indicator	Indicator Description	Target, Trend or Goal	Compiled By (WisDOT or FHWA)	Reported (Monthly, Quarterly, Annually)
Functional	Number & Type of Contract Addendums Issued	As Identified	WisDOT	Annually
Functional	Construction Quality Index (CQI)	As Identified	WisDOT	Annually
Functional	On-Budget Performance (Construction Change Orders)	As Identified	WisDOT	Annually
Functional (MAPSS Supp.)	Engineering Estimate Accuracy (Design On-Budget Index - DOBI)	As Identified	WisDOT	Monthly (Annually for MAPSS)
Functional (MAPSS Supp.)	Design On-Time Index (DOTI)	As Identified	WisDOT	Monthly (Annually for MAPSS)
Functional (MAPSS Supp.)	Design Quality Index(DQI)	As Identified	WisDOT	Annually
Functional	Construction Project Finals Time Tracking	As Identified	WisDOT	Monthly
Functional	Project Milestone Tracking (Mega, Majors, Health)	As Identified	WisDOT	Semi-Annually
MAPSS	On-Time Performance	As Identified	WisDOT	Annually
MAPSS	On-Budget Performance	As Identified	WisDOT	Annually
Functional	Project Proposals Advertised with Holds	As Identified	WisDOT	Monthly

WisDOT Planning (and Financial) Measures / Safety Measures

Type of Indicator	Indicator Description	Target, Trend or Goal	Compiled By (WisDOT or FHWA)	Reported (Monthly, Quarterly, Annually)
Functional	Inactive Obligations (Projects)	As Identified	WisDOT	Quarterly
MAPSS	Program Effectiveness Measure	As Identified	WisDOT	Quarterly
Functional	Scoping (\$s and Time) Accuracy (Change Management)	As Identified	WisDOT	Quarterly
MAPSS	Traffic Fatalities	As Identified	WisDOT	YTD
MAPSS	Traffic Injuries	As Identified	WisDOT	YTD
MAPSS	Traffic Crashes	As Identified	WisDOT	YTD
MAPSS	Seat Belt Usage	As Identified	WisDOT	Annually

WisDOT Technical Services Section (TSS) Measures

Type of Indicator	Indicator Description	Target, Trend or Goal	Compiled By (WisDOT or FHWA)	Reported (Monthly, Quarterly, Annually)
Functional	Achieving PS&E Milestones	As Identified	WisDOT	Quarterly
Functional	Materials Testing	As Identified	WisDOT	Annually
Functional	Number of Appeals & Litigation Tracking	As Identified	WisDOT	Semi-Annually
Functional	Section 106 MOA Commitments	As Identified	WisDOT	Quarterly
Functional	Tracking Environmental Document Reviews	As Identified	WisDOT	Quarterly

APPENDIX B: Glossary and Acronyms

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

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

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

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

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

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

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

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

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

Program Reviews – A thorough analysis of key program components and the processes employed by the State DOT in managing the program. The reviews are conducted to: 1) ensure compliance with Federal requirements; 2) identify areas in need of improvement; 3) identify opportunities for greater efficiencies and cost improvement to the program; and/or 4) identify exemplary practices.

Projects of Corporate Interest (PoCIs) – Projects deemed to be so significant that FHWA is willing to commit additional resources beyond those available in a single Division office to ensure successful delivery of the project. These projects are identified by both FHWA Headquarters Program Offices and Division Offices as requiring corporate investment for success or have been deemed to of special importance to FHWA’s strategic success.

Projects of Division Interest (PoDIs) – Projects that have an elevated risk, contain elements of higher risk, or present a meaningful opportunity for FHWA involvement to enhance meeting project objectives. For PoDIs, FHWA has made a risk-based decision to retain project approval actions or conduct stewardship and oversight activities for the project as provided for in 23 USC 106.

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

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

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

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

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

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

ACRONYMS

ACHP	Advisory Counsel for Historic Preservation
AASHTO	American Association of State Highway & Transportation Organization
CAP	Compliance Acceptance Program
CE	Categorical Exclusion
CFR	Code of Federal Regulations
CMAQ	Congestion Mitigation Air Quality
CMGC	Contract Manager General Contractor
DBE	Disadvantaged Business Enterprise
DEIS	Draft Environmental Impact Statements
EA	Environmental Assessment
EEO	Equal Employment Opportunity
EIS	Environmental Impact Statement
EO	Executive Order
EPA	Environmental Protection Agency
ER	Emergency Relief
FAHP	Federal Aid Highway Program
FAPG	Federal Aid Program Guide
FHWA	Federal Highway Administration
FIRE	Financial Integrity Review & Evaluation
FMIS	Financial Management Information System
FMT	Financial Management Team
FMV	Fair Market Value
FTA	Federal Transit Administration
FONSI	Finding of No Significant Impact
HBP	Highway Bridge Program
HPMS	Highway Performance Monitoring System
HSIP	Highway Safety Improvement Program
ITS	Intelligent Transportation Systems
LPA	Local Public Agency
LRFD	Load and Resistance Factor Design
MASH	Manual for Assessing Safety Hardware (AASHTO)

MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
MPO	Metropolitan Planning Organization
NBI	National Bridge Inventory
NBIS	National Bridge Inspection Standards
NEPA	National Environmental Policy Act
NPDES	National Pollution Discharge Elimination System
NHS	National Highway System
OJT	On-the-Job Training
PCE	Programmatic Categorical Exclusion
PoCI	Projects of Corporate Interest
PoDI	Projects of Division Interest
PS&E	Plans, Specifications & Estimates
QA	Quality Assurance
QC	Quality Control
RDM	Road Design Manual
RD&T	Research Development & Technology
RFP	Request for Proposals
ROD	Record of Decision
ROW	Right of Way
SEP	State Enforcement Plan
SHPO	State Historic Preservation Officer
SHSP	Strategic Highway Safety Plan
SOP	Standard Operating Procedure
SPR	Statewide Planning and Research
STA	State Transportation Agency
STIP	Statewide Transportation Improvement Program
TIP	Transportation Improvement Plan
TMA	Transportation Management Area
TMP	Traffic Management Plan
TS&L	Type, Size and Location
USC	United States Code
USACE	United States Army Corps of Engineers
WisDOT	Wisconsin Department of Transportation

APPENDIX C: Project Oversight Designation Requirements in the Fiscal Management Information System (FMIS)

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

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

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

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

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