



U.S. Department
of Transportation

**Federal Highway
Administration**



District Department of Transportation

October 1, 2013

Federal-aid Highway Program

Stewardship/Oversight Agreement

**Between the FHWA-DC Division and the
District Department of Transportation**

Approved:

Approved:

/s/ Terry Bellamy

/s/ Joseph C. Lawson

Terry Bellamy
Director
District Department of Transportation

Joseph C. Lawson
Division Administrator
District of Columbia Division
Federal Highway Administration

Date: 10/2/2013

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1. INTRODUCTION

1.1 BACKGROUND

The Moving Ahead for Progress in the 21st Century Act (MAP-21) of 2012 and the preceding surface transportation acts – the Intermodal Surface Transportation Efficiency Act (ISTEA) of 1991, the Transportation Equity Act for the 21st Century (TEA-21) of 1998, the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005 – provide flexibility to the States in how to ensure project actions are carried out in accordance with applicable laws, regulations, and policies. Title 23 section 106 of the United States Code (U.S.C.) requires that the Federal Highway Administration (FHWA) and the State enter into an agreement showing the extent of the State's assumption of the Transportation Secretary's responsibilities.

FHWA and the State departments of transportation (DOTs) and other highway program funds recipients have jointly administered the Federal-aid Highway Program (FAHP) for many years. These parties have been tasked with carrying out the FAHP efficiently and effectively to help accomplish national goals as well as mutual goals to maintain a national highway network, improve its operation and safety, and provide for national security while protecting and improving the environment. Stewardship efforts include oversight and approval actions, as well as many day-to-day actions that are routinely performed by either or both of the parties to ensure that the FAHP is administered in regulatory compliance and in ways that enhance the value of the program funds authorized by Congress.

1.2 PURPOSE

This Stewardship/Oversight Agreement is the written agreement between Federal Highway Administration- District of Columbia Division (FHWA DC Division) and the District Department of Transportation (DDOT) that formalizes the agency roles and responsibilities of both parties in implementing the FAHP. This Agreement supersedes the October 2010 DC Stewardship/Oversight Agreement.

By signing this Agreement, DDOT and FHWA agree to adhere to the provisions and responsibilities included herein.

1.3 AUTHORITY

1.3.1 FEDERAL:

- (1) Moving Ahead for Progress in the 21st Century Act (MAP-21), 2012
- (2) Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), 2005.
- (3) Transportation Equity Act for the 21st Century (TEA-21), 1998
- (4) Intermodal Surface Transportation Efficiency Act (ISTEA), 1991
- (5) 23 U.S.C. Section 106, 23 U.S.C. Section 117, and 23 C.F.R. Section 640, 49 C.F.R. Sections 18.36 and 18.42
- (6) 23 C.F.R. Section 771
- (7) 40 C.F.R. Parts 1500 - 1508

1.3.2 STATE:

The Director of the District Department of Transportation (DDOT), pursuant to the authority in sections 3(b) and 6(b) of the Department of Transportation Establishment Act of 2002 ("DDOT Establishment Act"), effective May 21, 2002 (D.C. Law 14-137; D.C. Official Code § 50-921.02(b), and § 50-921.05(b) (2009 Supp.)

1.4 DISPUTE RESOLUTION

The FHWA DC Division and DDOT work as partners in delivering the FAHP in the District of Columbia. It is recognized, however, that there may be times when consensus cannot be achieved between the two agencies. Whenever these situations arise, the FHWA DC Division and DDOT agree to work together to resolve disputes in a timely manner. In those cases where a solution cannot be identified, DDOT and the FHWA DC Division may elevate the issue to the next level in the "chain of command."

If for any reason DC Division Administrator and DDOT Director cannot reach consensus then only DDOT Director or Chief Engineer will make DDOT appeals to FHWA Headquarters concerning FHWA DC Division Office decisions.

1.5 STEWARDSHIP PERFORMANCE & REPORTING

This agreement is designed to enhance the performance of each organization in meeting the transportation needs of the users of the District's transportation system. FHWA and DDOT have reached an agreement on a broad set of stewardship/oversight indicators representing the identified program areas (Appendix C). It is anticipated that these performance indicators will be periodically evaluated and updated. Both agencies will identify a lead person to monitor each performance indicator.

At a minimum, this Stewardship/Oversight Agreement will be reviewed annually by DDOT and FHWA before August 15th to determine if changes are warranted due to new legislation, regulation, policy, priority or guidance. At the same time, DDOT will provide to FHWA a summary of the status of all performance indicators.

2. DDOT AND FHWA ROLES AND RESPONSIBILITIES

FHWA is ultimately accountable for all Federal-aid highway programs; however, the State may assume responsibility for project-level activities associated with Title 23 U.S.C. on certain National Highway System (NHS) projects and all non-NHS projects. This section of the agreement documents the roles and responsibilities of FHWA and DDOT. In addition, by accepting Federal-aid highway funds, DDOT agrees to follow all applicable project and program requirements on behalf of FHWA.

2.1 SELECTION OF FHWA OVERSIGHT PROJECTS & PROJECTS OF DIVISION OR CORPORATE INTEREST

Annually, FHWA and DDOT will negotiate which new federally funded projects will be selected for “FHWA oversight”. FHWA will have final determination on “FHWA oversight” project selection in consultation with DDOT. FHWA oversight projects will be selected from projects listed in the Statewide Transportation Improvement Program (STIP) to be approved by FHWA the following October 1st, and will include projects selected from all four years of the STIP. The projects should be selected using the risk-based approach described in Section 3, Methods of Oversight.

Projects of Division Interest (PoDIs) and Projects of Corporate Interest (PoCIs) will be selected based upon a consistent set of criteria and boundaries. In consultation with DDOT, FHWA will identify PoDIs through an assessment of risk (see Section 3, Methods of Oversight). PoCIs constitutes a national list of Projects of Corporate Interest and will be shared with the DDOT for any projects identified within the DC region. As needed, FHWA will coordinate and may modify the identified PoDIs and PoCIs based upon engagement with FHWA Director of Field Service(s). Any deviations from the identified list of PoDIs or PoCIs will be documented. Every PoDI and PoCI will receive a project-specific Stewardship & Oversight plan. All PoDI and PoCI projects will be considered “FHWA oversight” projects. A list of all PoDI and PoCI projects will be maintained by FHWA.

State-administered projects (delegated) may be selected for FHWA oversight by mutual agreement between FHWA & DDOT. The selection will be agreed upon by the FHWA Program Delivery Team Leader and the DDOT Chief Engineer. Examples of projects which may be selected:

- Complex and first-time Projects
- Emergency Relief Projects

Similarly, an FHWA oversight project may be delegated to DDOT by mutual agreement between FHWA & DDOT. The selection will be agreed upon by the FHWA Program Delivery Team Leader and the DDOT Chief Engineer. Examples of projects likely to be selected:

- Sidewalk Replacement Projects
- Citywide Streetlight Construction
- Traffic Signalization (i.e. signaling an intersection)

The following table defines oversight responsibility for Federal-Aid projects in the District.

Table 1: Oversight Responsibility

<i>DDOT Oversight</i>
Resurfacing/restoration projects, all routes
NHS (non-interstate) projects < \$10 million
Bridge projects on the Interstate and NHS routes, plus non-NHS routes with an estimated cost < \$10 million
All environmental planning actions covered by Programmatic Agreement.
All Intelligent Transportation Systems Projects < \$10 million
All non-location oriented projects (crash record project, sign management project, workzone policy project, etc.) < \$10 million
Indefinite Delivery / Indefinite Quantity (ID/IQ) contracts/projects < \$1 million that are not otherwise covered by this table
Non-NHS projects that are not otherwise covered by this table
<i>Exceptions to above: FHWA Oversight</i>
All projects that are included in the FHWA Projects of Corporate Interest list
All projects that are included in the FHWA Projects of Division Interest list
All actions with right of way acquisition or relocation.
All projects that utilize American Reinvestment and Recovery Act (ARRA) funding
All TIGER grants, controversial, and congressional interest projects
Demonstration and pilot projects
All projects utilizing innovative contracting methods (i.e. design build)
Special Experimental Projects (SEP): <ul style="list-style-type: none"> • Projects requiring SEP-14 approval for alternative contracting methods • Projects requiring SEP-15 approval for public-private partnerships

Note: NHS-projects are defined by system, irrespective of Federal funding source.

2.2 MAJOR PROJECTS

FHWA will retain “FHWA oversight” of all major projects. Title 23 U.S.C. Section 106(h), amended by section 1503 of MAP-21, requires Project Management Plans, an Annual Financial Plan, and phasing plans when applicable for projects with an estimated cost of \$500 million and greater. In addition, MAP-21 requires that Annual Financial Plans be prepared by the state and available for review for projects with an estimated cost from \$100 million to \$500 million.

FHWA review and approval of the initial Financial Plan for projects of \$500 million or greater is required prior to authorization of Federal-aid funds (i.e. before right of way acquisition or construction authorizations). DDOT is required to provide annual updates to the Financial Plans. FHWA will review and approve the Financial Plan annual updates. For projects above \$500 million the NEPA document

must be approved and a cost estimate must be performed by FHWA HQ Major Projects Team before the initial financial plan can be approved. The cost estimate typically occurs 3 months prior to a NEPA decision.

For major projects, DDOT will prepare a Project Management Plan (PMP) prior to issuing the record of decision (ROD), finding of no significant impact (FONSI), or other type NEPA decision. DDOT will update the PMP at the beginning of each major phase of work (i.e. beginning of design and beginning of construction). FHWA will review/approve the PMP.

2.3 NON-TITLE 23 RESPONSIBILITY

FHWA will continue to assume responsibility for Federal Actions required under laws outside of Title 23. All federally funded projects must comply with applicable non-Title 23 U.S.C. requirements which include, but are not limited to:

- National Environmental Policy Act (NEPA) of 1969 (42 U.S.C. Chapter 55)
- Section 4(f) of the DOT Act of 1966 (49 U.S.C. 303)
- Civil Rights Act of 1964 (42 U.S.C. Chapter 21)
- Uniform Relocation Assistance and Real Properties Act of 1970 (42 U.S.C.)
- Clean Air Act Amendments of 1990 (42 U.S.C. Chapter 85)

2.4 SUITABLY EQUIPPED

A transportation agency that receives federal aid funds must be suitably equipped to discharge the duties and responsibilities required by Title 23 U.S.C. and 49 U.S.C. DDOT agrees to devote an appropriate level of funding and resources to maintain adequate project and program oversight and be in responsible charge.

3. METHODS OF OVERSIGHT

This Agreement documents the key processes used by FHWA and DDOT for managing the FAHP. FHWA and DDOT will jointly administer and manage the FAHP through methods of oversight that are risk-based, data-driven, value-added, and ensure a consistent approach to program and project level actions throughout the District.

3.1 PROGRAM LEVEL RISK-BASED APPROACH METHODS

3.1.1 FHWA Required Program Level Actions & Reviews

The typical method of oversight is through FHWA's program management efforts. Program management refers to FHWA's daily stewardship of the FAHP including project and program oversight, and program assistance. Program management ensures Federal program requirements are met while proactively seeking opportunities to add value by:

1. Fulfilling FHWA actions that cannot be delegated as prescribed by Federal Law
2. Promoting new initiatives and concepts
3. Continually assessing the Program through routine involvement in program and project level activities including inspections
4. Conducting routine program and project approval actions
5. Participating on joint taskforces, partnering reviews, joint committees, and joint quality improvement teams
6. Assisting transportation stakeholders by providing technical assistance on any aspect of an eligible Title 23 project, including intermodal transportation projects.

These actions are described under Section 5 of this Agreement.

3.1.2 Division's Strategic Program Stewardship

The Division's strategic program stewardship involves methods to meet agency strategic goals and objectives. These efforts involve strategic program involvement within the District of Columbia to meet agency strategic goals and objectives (e.g. Every Day Counts initiative). Annually, the Division office develops a Unit Performance Plan that outlines performance objectives, measures, and activities as well as identifies FHWA's Program Reviews. The Unit Performance Plan effort is led by FHWA Division office and requires support from DDOT to accomplish its goals.

3.1.3 Risk-Based Program Involvement: Risk Assessment, Program Assessment, Program Reviews, and Program Oversight Initiatives

Risk-based program involvement provides for program engagement based upon the identified risks (threats or opportunities) to ensure programs are advanced in reasonable compliance with requirements as well as to identify opportunities for improvement. These risk-based program involvement methods are accomplished through risk assessments, program assessments, program reviews, and program oversight initiatives.

3.1.3.1 Risk Assessments

An annual assessment performed by FHWA staff and identifies the level of risk (high, medium, and low) and impact of risks to the FAHP. Results of the risk assessment will result in risk response strategies that

are incorporated into the Unit Performance Plan. Results will be shared with DDOT and transportation partners.

3.1.3.2 Program Assessments

Program assessments provide an avenue to determine the performance of the FAHP. Assessments include joint assessments, self-assessments, and certification reviews. These tools are based on the common concepts of identifying strengths, areas of concerns, opportunities, and sharing “successful” practices to continually improve the programs. Program assessments may be triggered by national requirements/initiatives.

3.1.3.3 Program Reviews

FHWA and DDOT will manage the program through analysis of program components and processes. Program reviews are often triggered by risk assessments or performance indicators/measures that suggest a need for improvement or further clarification. Individuals or teams from FHWA, DDOT, and/or other stakeholder groups or organizations can conduct reviews. The reviews will:

- Ensure compliance with Federal requirements;
- Identify opportunities for greater efficiencies and improvements to the program;
- Identify exemplary practices; and
- Identify areas that need attention and make recommendations for improvement.

3.1.3.4 Peer Reviews

The peer review is designed to have an outside team meet with the host agency (DDOT) to discuss and review its management processes/practices in a particular program area. Information on the host agency and team members’ policies and procedures are exchanged with the intent to improve the overall program process. The information gathered from the exchange is presented to agency management for process improvement.

3.2 PROJECT LEVEL RISK-BASED APPROACH METHODS

3.2.1 FHWA Required Actions

As stated above under Section 3.1.1, Program management refers to FHWA’s daily stewardship of the FAHP, including project and program oversight, and program assistance. Project management ensures Federal project and program requirements are met while proactively seeking opportunities to add value by:

1. Fulfilling FHWA actions that cannot be delegated as prescribed by Federal Law
2. Promoting new initiatives and concepts
3. Continually assessing the program through routine involvement in program and project level activities including inspections
4. Conducting routine program and project approval actions
5. Participating on joint taskforces, partnering reviews, joint committees, and joint quality improvement teams
6. Assisting transportation stakeholders by providing technical assistance on any aspect of an eligible Title 23 project, including intermodal transportation projects.

On FHWA oversight projects, the FHWA DC Division office will review and approve project designs; approve plans, specifications, and estimates; concur in award; approve contract changes (change orders, supplemental agreements, time extensions, claims, etc.); and conduct project inspections. For specific required FHWA approval actions see Section 5 of this Agreement.

3.2.2 Data-Driven Compliance Assurance

The Compliance Assurance Program (CAP) is designed to ensure the delivery of Federal-aid projects that meet applicable requirements as well as to highlight opportunities for improvement. CAP reviews are performed on an annual basis and projects are selected by the FHWA Program Management Improvement Team. CAP review findings will be shared with both DDOT and FHWA Headquarters. Documents are maintained by FHWA.

3.2.3 Risk-Based Project Involvement: PoCIs and PoDIs

Projects of Corporate Interest (PoCI) and Projects of Division Interest (PoDI) are selected through a defined set of criteria. Both will identify federally funded projects in the District of Columbia. However, PoCIs will have increased involvement of FHWA Headquarters and will be considered FHWA oversight projects throughout the delivery of the project and its completion. PoDIs will have FHWA oversight at specific phases throughout the project as identified by the project-specific Stewardship & Oversight Plan.

4. CONTROL STANDARDS/DOCUMENTS

Control documents include standards, policies, and specifications that are acceptable to FHWA and DDOT for application in Federal-aid projects. In assuming certain program and project-level responsibilities under Title 23 U.S.C. Section 106 (as amended by Section 1503 of MAP-21), DDOT agrees to comply with FHWA-approved standards in accordance with 23 C.F.R. Sections 625.4, 655.603, and related federal regulations and policies. FHWA shall approve required DDOT policies or standards that expand on, amplify, or amend these documents.

Appendix B contains a list of key DDOT policies, standards, manuals and procedures applicable to the FAHP.

4.1 APPROVAL PROCESS

DDOT will submit a cover letter, accompanied by one hard copy and one electronic copy of DDOT policy/standard/manual seeking approval. FHWA will acknowledge, via email or letter, the receipt of DDOT letter and attachments. FHWA will review and, if necessary, provide comments/feedback on the document(s). Once the document(s) are finalized, FHWA will compose an official letter approving the policy/standard/manual.

5. PROGRAM AREAS ACTIONS AND OVERSIGHT

This Agreement clearly identifies the stewardship responsibilities of FHWA and DDOT for each program area and related program and/or project approval actions. It includes Federal and state references, required program and/or project actions, and responsible party information.

5.1 PROJECT ACTION OVERSIGHT MATRICES

This matrix compiles a list of key project approval actions for delivering of a project from concept to completion in the District. The matrix illustrates both agencies responsibilities on projects on and off of the National Highway System based upon who is performing the oversight (i.e. FHWA or DDOT). This list is not all inclusive.

Approval Action	AGENCY RESPONSIBLE			
	PROJECTS ON THE NHS		PROJECTS OFF THE NHS	
	FHWA Administered	DDOT Administered	FHWA Administered	DDOT Administered
Financial Management (All phases)				
Obligate funds / approve Federal-aid project agreement (project authorizations)	FHWA	FHWA	FHWA	FHWA
Authorize current bill	FHWA	FHWA	FHWA	FHWA
Review and Accept Financial Plan and Annual Updates for Federal Major Projects over \$500 million [23 U.S.C. 106(h)]	FHWA	N/A	FHWA	N/A
Review Cost Estimates for Federal Major Projects over \$500 million [23 U.S.C. 106(h)]	FHWA	N/A	FHWA	N/A
Develop Financial Plan for Federal Projects between \$100m to \$500 m [23 U.S.C. 106(i)]	DDOT	DDOT	DDOT	DDOT
Environment (All phases)				
All EA/FONSI, EIS/ROD, 4(f), 106, 6(f) and other approval actions required by Federal laws and regulations.	FHWA	FHWA	FHWA	FHWA
Programmatic Agreement Report 1. Categorical Exclusion 2. Section 106	DDOT	DDOT	DDOT	DDOT
Design Phase				
Preliminary Design				
Feasibility Report	DDOT	DDOT	DDOT	DDOT
Consultant Contract Selection	DDOT	DDOT	DDOT	DDOT
Sole source Consultant Contract Selection	FHWA	FHWA	FHWA	DDOT
Approve hiring of consultant to serve in a "management" role [23 CFR 172.9]	FHWA	DDOT	FHWA	DDOT
Approve consultant agreements (Federal non-Major projects) [23 CFR 172.9]	DDOT	DDOT	DDOT	DDOT

PROGRAM AREAS ACTIONS AND OVERSIGHT: Project Action Oversight matrices

Approval Action	AGENCY RESPONSIBLE			
	PROJECTS ON THE NHS		PROJECTS OFF THE NHS	
	FHWA Administered	DDOT Administered	FHWA Administered	DDOT Administered
Approve consultant agreements and agreement revisions on Federal Major projects [23 CFR 172.9]	FHWA	N/A	N/A	N/A
Approve exceptions to design standards [23 CFR 625.3(f)]	FHWA	FHWA	FHWA	FHWA
Interstate System Access Change [23 USC 111]	FHWA	FHWA	N/A	N/A
Design Study Report	DDOT	DDOT	DDOT	DDOT
Approve Project Management Plan for Federal Major Projects over \$500 million [23 USC 106(h)]	FHWA	N/A	FHWA	N/A
Approve innovative and Public-Private Partnership projects in accordance with SEP-14 and SEP-15 (except those Design-Build projects that conform with 23 CFR 636)	FHWA	FHWA	FHWA	FHWA
Provide pre-approval for preventive maintenance project (Division Office Policy until FHWA concurs with DDOT procedures) (23 USC 116 e)	FHWA	FHWA	FHWA	FHWA
Detailed/Final Design				
Approve preliminary plans for unusual structures [23 USC 109(a) and FHWA Policy]	FHWA	FHWA	FHWA	DDOT
Approve retaining right-of-way encroachments [23 CFR 1.23 (b) & (c)]	FHWA	DDOT	FHWA	DDOT
Approve use of local force account agreements [23 CFR 635.104 & 204]	FHWA	FHWA	FHWA	DDOT
Approve use of publicly owned equipment [23 CFR 635.106]	FHWA	DDOT	FHWA	DDOT
Approve the use of proprietary products, processes [23 CFR 635.411]	FHWA	FHWA	FHWA	FHWA
Concur in use of publicly furnished materials [23 CFR 635.407]	FHWA	FHWA	FHWA	FHWA
PS&E/Advertising				
Approve plans, specifications, and estimates [23 CFR 630.205]	FHWA	DDOT	FHWA	DDOT
Authorize advertising for physical construction of bids or force account construction [23 CFR 635.112 & 309]	FHWA	FHWA	FHWA	FHWA
Approve addenda for major changes to PS&E or design build RFP (23 CFR 635.112)	FHWA	DDOT	FHWA	DDOT

Approval Action	AGENCY RESPONSIBLE			
	PROJECTS ON THE NHS		PROJECTS OFF THE NHS	
	FHWA Administered	DDOT Administered	FHWA Administered	DDOT Administered
ITS (Design phase)				
Accept Transportation Management Plans	FHWA	DDOT	FHWA	DDOT
Approval of System Engineering Analysis (for ITS) [CFR 940.11]	FHWA	DDOT	FHWA	DDOT
Construction Phase				
Approve changes and extra work [23 CFR 635.120]	FHWA	DDOT	FHWA	DDOT
Approve contract time extensions [23 CFR 635.120]	FHWA	DDOT	FHWA	DDOT
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]	FHWA	DDOT	FHWA	DDOT
Approve emergency determinations for contracts awarded by other than competitive bidding [23 CFR 635.104 &.204]	FHWA	DDOT	FHWA	DDOT
Approve advertising period less than three weeks [23 CFR 635.112]	FHWA	DDOT	FHWA	DDOT
Approve addenda during advertising period [23 CFR 635.112]	FHWA	DDOT	FHWA	DDOT
Concur in award of contract [23 CFR 635.114]	FHWA	DDOT	FHWA	DDOT
Concur in rejection of all bids [23 CFR 635.114]	FHWA	DDOT	FHWA	DDOT
Concur in use of mandatory borrow/disposal sites [23 CFR 635.407]	FHWA	DDOT	FHWA	DDOT
Accept materials certification [23 CFR 637.207]	FHWA	DDOT	FHWA	DDOT
Concur in settlement of contract claims [23 CFR 635.124]	FHWA	DDOT	FHWA	DDOT
Concur in termination of construction contracts [23 CFR 635.125]	FHWA	DDOT	FHWA	DDOT
Waive Buy America provisions [23 CFR 635.410]	FHWA	FHWA	FHWA	FHWA
Conduct Construction Inspections (also includes Final inspection)/ Acceptance of completed work [23 USC 114(a)]	FHWA	DDOT	FHWA	DDOT
Maintenance (Post-Construction)				
Resurfacing/Restoration Projects	DDOT	DDOT	DDOT	DDOT
Preventative Maintenance	DDOT	DDOT	DDOT	DDOT

5.2 PROGRAM SUMMARY TABLES

The table below summarizes responsibilities for certain work activities that involve both DDOT (or the DC Office of the Chief Financial Officer) and FHWA. This list is not all inclusive but provides a summary of key activities.

WORK ACTIVITY	DDOT/OCFO ACTION	FHWA ACTION	OUTCOME
Current Billing	Submits electronic request via RASPS for federal reimbursement as often as desired in coordination with FHWA	Review and electronically approves RASPS billing as coordinated with FHWA	Electronic Financial Transfer payment posted to DDOT's account
Project Authorization/ Agreement	Submits electronic authorization request via FMIS.	Review project agreement in accordance with current standard operating procedure	Electronic approval of project agreement
Funds Transfer Requests	Review and recommend approval of transfer request to FHWA/FTA.	Reviews, approves, and forwards funds transfer request to appropriate HQ personnel to adjust funding records.	Funds transferred as requested and determined eligible.
Project Funds Management and or Monitoring of Inactive Obligations	Compliance with Final Rule, 23 C.F.R. § 630. Review inactive projects for potential release of funds	Review balance of unexpended obligations on inactive projects.	Balance of unexpended obligations on inactive projects at or below 4% of annual apportionments
FHWA Audit Findings	Ensure transportation-relevant audit findings are resolved.	Monitor activities to ensure corrective actions are taken.	Audit findings are resolved timely.
Major Projects	Submit annual Financial Plans for major projects to FHWA.	Review and forward financial plan to FHWA Office of Infrastructure for concurrence. (30 business days)	Plan approved by the DC Division.
Improper Payments	Assure that adequate controls are in place to detect improper payments	Conduct review of billing transactions in accordance with the FIRE program.	Improper payments detected. Only allowable costs billed.
Final vouchers for State administered projects	Submit via FMIS	No documentation required by FHWA.	Complete project close out
Random review of supporting documentation of final vouchers for State Administered projects	No action	FHWA to randomly review supporting documentation of final vouchers for State Administered projects within 90 business days of closing	
FIRE Inactive Projects - Reduce Unexpended Balances on Inactive Projects	Reduce the unexpended balances of projects with no expenditure changes for 1-year, with emphasis on unexpended balances of \$500,000 or more	Establish a base line each FY, as well as quarterly for inactive projects over \$500,000 or more.	Reduction in unexpended Balances on Inactive Projects
PE projects which are approaching the 10 year limitation	Identify and inform FHWA of PE projects which are approaching the 10 year limitation by March 31 Fiscal Year	Provide technical assistance and project follow-up activities	No project will exceed the 10 year limitation

Table 5.2. Planning, Programming, and Air Quality Conformity Program Summary Table			
WORK ACTIVITY	DDOT ACTION	FHWA ACTION	OUTCOME
Statewide 20 Year Multi-Modal Long Range Transportation Plan	Prepare as outlined in 23 C.F.R. §450.214 and Forward to FHWA and FTA	Use as basis for STIP approval per 23 C.F.R. §450.216	STIP development is based on this official plan
State Certification of their planning process	Prepare as outlined in 23 CFR 450.218	Approves with every STIP /Amendments	Statewide Planning Finding
Approval for STIP Approval	In coordination with the Transportation Planning Board's TIP development process, review and certify planning process in accordance with Federal requirements by August 31 st of TIP development years (every 2 years).	Review and jointly approve with FTA (as part of STIP approval per 23 U.S.C. §135 and 23 C.F.R. §450 Subparts A,B, and C) by 9/30 or within 30 days of receipt.	DDOT is able to proceed with authorization of Federal-aid projects
STIP Amendments	Prepare monthly STIP amendment package as needed. with specific justification for changes; and net dollar change amount for each project.	Joint approval with FTA, if needed. Amendments are processed no later than 30 working days.	DDOT is able to proceed with authorization of Federal-aid projects
State Planning and Research (SPR)	Prepare and Submit Annual Work Program Draft - submitted by July Final - submitted by 9/01	Review within 15 calendar days, no later than 6/30. Approval of program before 10/01	Annual Program Begins on 10/01
SPR Work Program Amendments	Prepare and Submit with Cost Over runs and /or Under runs as needed	Review, comment, and make determination (30 days)	Approval Action
HPMS Data Submittal/Process Review	Prepare and Submit per HPMS field manual; Conduct Annual Review; Conduct 3-year review. Data submitted by 6/15	Review apportionment data and make approval recommendation. FHWA report by 12/15	Future year Federal fund apportionments and needs study input
500 Series Finance Reports/Process Review	Prepare and Submit per A Guide to Reporting Highway Statistics; Conduct Annual Review; Conduct 3-year review	Review and forward information. Certification of fuel data annually	Annual Highway Statistics booklet and future apportionment factors
FHWA Grant and Specialty Programs (i.e.) TIGER and TCSP Scenic Byways	Apply for and administer funds.	Review and approve grant applications. Submit to DDOT identified lists of funded projects. Administer and authorize projects and obligate funds.	Approved grant and specialty program projects
Public Road Mileage Certification	Prepare and submit certification annually by June 1, as outlined in 23 C.F.R. §460.3	Review and recommend acceptance then forward to HQ	Apportionment of funds under 23 U.S.C. §402(c)
Metropolitan Unified Planning Work Program (UPWP) SPR & PL funded work programs; Unified Planning Work Program for Transportation Management Areas	Cooperate with MPO in plan preparation, review and comment on adopted plan, recommend approval and forward to FHWA Draft - March 20 Final - June 1	Review and make determination UPWPs per 23 C.F.R. §450.314. Approval by June 30	FHWA responds to DDOT's request for approval of PL funds and authorizes program
Unified Planning Work Program Amendments	Forward the MPO amendment and	Make determination within 10 days.	Amended UPWP Budget or program scope can be

WORK ACTIVITY	DDOT ACTION	FHWA ACTION	OUTCOME
	recommendation for approval		authorized
Annual DOT / MPO Certification of the Metropolitan Transportation Planning Process	Coordinate with MPO in certification preparation, provide comments and recommendations, Review and recommend approval per 23 C.F.R. §450.334 when UPWPs submitted to FHWA	Concur with DDOT's recommendation for approval of self-certification.	Certified MPO and planning finding
Congestion Management Process (CMP) in TMA areas	Participate with TMA in the development and implementation of CMP. Per 23 C.F.R. §450.320.	Review for compliance during certification review and LRTP review.	Full range of TDM and operational and system management strategies are considered.
Highway Systems (NHS) Functional Classification, and Urban Area Boundary Changes)	Prepare and Submit per 23 C.F.R. §470	Review and make determination (30 days) Submit to HQ	Designation of routes on Federal-aid highway system
Traffic Monitoring System	Verify and Update System Components	Review and recommend improvements	Continued Operations of this system
Heavy Vehicle Use Tax Payment Certification	Review Proof of Payment	Approved and submit to HQ.	Annually by July 1, as per 23 CFR 669.7

Table 5.3. Environment Program Summary Table

WORK ACTIVITY	DDOT ACTION	FHWA ACTION	OUTCOME
Programmatic level-1 and level -2 Categorical Exclusion	Prepare and approve	Annual Report	Approved CE
Programmatic (level 3) & Other Documented Categorical Exclusions	Prepare and submit for FHWA review and approval	Review and make determination (30 business days)	Approved CE and Location Design Concept Acceptance
Environmental Assessment (EA)	Prepare and submit to FHWA for approval	Review and make determination (30 business days)	Approved EA for public availability
Finding of No Significant Impact (FONSI)	Prepare and submit to FHWA for approval including Public Hearing transcript	Review and make determination (30 business days)	Approved and Issued FONSI
Notice of Intent	Prepare draft Notice of Intent and forward to FHWA	Review and revise Notice of Intent and forward for publication in the Federal Register (30 business days)	Publication in Federal Register
Draft Environmental Impact Statement (DEIS)	Prepare and submit to FHWA for approval	Review and make determination DEIS (30 business days)	DEIS approved for public availability
Final Environmental Impact Statement (FEIS)	Prepare and submit to FHWA for approval including Public Hearing transcript	Review and make determination (30 business days)	FEIS approved
Record of Decision (ROD)	Prepare ROD and Forward to FHWA	Review, Revise, and Issue ROD (30 business days)	ROD Issued
Cooperating Agency Review of Draft Environmental Impact Statement	Prepare and submit to Cooperating Agency for review. Suggest review within 30 days	Request Legal Sufficiency review (30 business days)	Cooperating Agency Comments and Legal Sufficiency Review
Draft Environmental Impact Statement (DEIS)	Prepare and submit to FHWA for approval	Review and make determination DEIS (45	DEIS approved for public availability

PROGRAM AREAS ACTIONS AND OVERSIGHT: Program Summary Tables

Table 5.3. Environment Program Summary Table			
WORK ACTIVITY	DDOT ACTION	FHWA ACTION	OUTCOME
Programmatic level-1 and level -2 Categorical Exclusion	Prepare and approve	Annual Report business days)	Approved CE
Final Environmental Impact Statement (FEIS)	Prepare and submit to FHWA for approval including Public Hearing transcript	Review and make determination (30 business days)	FEIS approved
Record of Decision (ROD)	Prepare ROD and Forward to FHWA	Review, Revise, and Issue ROD (30 business days)	ROD and Location Design Concept Acceptance
Draft Section 4 (f) Evaluation	Prepare and submit to FHWA for review and circulation	Review Draft Sec 4 (f) Evaluation (30 business days). Distribute to Dept. of Interior for comment	Comments on Draft Sec 4 (f) Evaluation
Final Section 4 (f) Evaluation	Prepare and submit to FHWA for approval	Review Draft Sec 4 (f) Evaluation (30 business days). Distribute to Dept. of Interior for comment if needed.	Final Section 4 (f) Evaluation
Section 106 Adverse Effect Determination	Prepare the draft and submit to FHWA	Make determination and forward to the State Historic Preservation Office (30 business days)	Adverse Effect Determination
Reevaluation Process	After consultation with FHWA, prepare and submit to FHWA as appropriate	Review and make determination for project reevaluation (30 business days)	Approval for project to advance to next phase
Environmental Commitment Compliance	Identify and monitor implementation	Review and periodic PR	Commitments included in PS&E

Table 5.4. ROW Program Summary Table			
WORK ACTIVITY	DDOT ACTION	FHWA ACTION	OUTCOME
ROW Authorizations and Agreements (23 C.F.R. §710.203)	Requests	Electronic Signature – All Projects (5 business days)	ROW Authorization and Agreement
ROW Certification (23 C.F.R. §§ 710.311 and 635.309}	Request (Interstate) Approve (non-Interstate)	Review and make determination Interstate projects (5 business days)	ROW Certificate
Air Rights (23 C.F.R. 710.405)	Request (Interstate) Approve (non-Interstate)	Review and make determination for Interstate (10 business days)	Airspace Agreement
Leases/Joint Use agreements (23 C.F.R. §710.407)	Request (Interstate) Approve (non-Interstate)	Review and make determination for Interstate (10 business days)	Lease/Joint Use Agreement
Disposal of Excess ROW (23 C.F.R. § 710.409)	Request (Interstate and less than FMV) Approve (non-Interstate)	Review and make determination Interstate and less than FMV (10 business days)	Property Sale and Revenue for Title 23 U.S.C. eligible projects
Access Control – Disposal or Changes (23 C.F.R. §710.401)	Request (Interstate) Approve (Non-Interstate)	Review and make determination Interstate (10 business days)	Access Control Disposal or Change
Federal Land Transfer (23 C.F.R. §710.601)	File application with FHWA if federal agency lacks authority to grant real property interests.	Review and make determination (120 business days)	Executed Deed for Conveyance
Advanced Acquisition - Hardship Acquisition and	Request (Interstate) Approve (non-Interstate)	Review, approve, and authorize (Interstate) (10	Property Ownership

Table 5.4. ROW Program Summary Table			
WORK ACTIVITY	DDOT ACTION	FHWA ACTION	OUTCOME
Protective Buying (23 C.F.R. § 710.503)		business days)	
ROW Policies and Procedures Manual (23 C.F.R. §710.201(c))	Submit manual or changes	Review and make determination (10 business days)	Approved Manual or changes

Table 5.5. Maintenance Program Summary Table			
WORK ACTIVITY	DDOT ACTION	FHWA ACTION	OUTCOME
Routine & Preventative Maintenance Of Federal-aid highways (23 USC 116)	Adequately maintain highways	Conduct windshield and PR/PE reviews and in-depth inspections	FHWA DC Division will provide all findings to appropriate DDOT personnel
Preventative Maintenance Technology Transfer	Identify and Propose technology transfer activities	Assist DDOT in identification, marketing, and implementation	Improved PM program

Table 5.6. Emergency Relief Program Summary Table			
WORK ACTIVITY	DDOT ACTION	FHWA ACTION	OUTCOME
Identify need for emergency relief funds in the event of a natural disaster or catastrophic event	Document intent to apply for federal emergency relief funds by submitting written request to FHWA	Acknowledge DDOT application letter and notify FHWA HQ of initial damage estimate	DDOT request will register on FHWA HQ list of states requiring federal emergency relief funds
Document damage via formal damage survey report and DDIRs	Perform damage survey of affected sites to prepare final estimate for funding request	Perform damage survey and review DDOT request; determine emergency relief eligibility of sites	Send final estimate needed for emergency repairs to FHWA HQ; list of emergency-eligible and permanent repair projects generated
Reimbursement of emergency repair work projects	Ensure federal regulation compliance and provision of supporting documentation for emergency relief project invoices	Review of reimbursement invoices and supporting documentation for compliance with federal regulations	Timely and complete reimbursement payments to DDOT

Table 5.7. Safety Programs Summary Table			
WORK ACTIVITY	DDOT ACTION	FHWA ACTION	OUTCOME
HSIP Report (including Rail-Highway Crossing Report) 5 Percent Report	Prepare annual program and report, and Submit to FHWA (no later than by 8/31 annually)	Review and comment on the program and annual report. Submit to HQ by Sept. 30	HSIP Program Approval and Report
23 U.S.C. §159 Certification (Drug Offender's License Suspension Certification)	Prepare annual certification and Send to FHWA (no later than Jan 1)	Review certification, and Forward to FHWA HQ. Take appropriate action	Law enacted, opposition stated, or funds withheld
Work Zone Safety and Mobility Process Review	Conduct Process Review every two years	Conduct review for conformance of 23 C.F.R. §630 Subpart J Final Rule	Assessment of work zone procedures
National Cooperative Highway Research Program(NCHRP) 350 (NCHRP 350 Testing Criteria)	Comply with NCHRP 350 and AASHTO/FHWA agreement	Actions and Process reviews	Crashworthy devices installed
MUTCD (Traffic Control Devices on all public roads)	DDOT practices comply with MUTCD	Actions and Review of MUTCD issues ongoing	Uniformity of Traffic Control Devices
MUTCD Requests to	Submit experimental work	Review, if acceptable forward	Acceptable request to

Table 5.7. Safety Programs Summary Table			
WORK ACTIVITY	DDOT ACTION	FHWA ACTION	OUTCOME
Experiment	plan to FHWA Division	with recommendation to FHWA Headquarters. (10 business days to review)	experiment leading to a MUTCD change
Crash data reporting	Quarterly to FHWA (monthly upon the complete installation of the new accident record system)	Update the Unit Performance Plan tracking sheet and report to the Director of Field Services at least once quarterly (by 12/31, 3/31, 6/30, 9/30).	Accurate and on time crash data

Table 5.8. Bridge Program Summary Table			
WORK ACTIVITY	DDOT ACTION	FHWA ACTION	OUTCOME
NBI Annual update (23 CFR 630.315)	DDOT will submit annual NBI to FHWA Headquarters Bridge Office by April 1st.	Review data	accuracy
NBIP Annual review (23 CFR § 650.305 ;§ 650.307; § 650.309; § 650.311; § 650.313)	DDOT participates in review	Determine compliance	Compliance.
Submit 30%, 65%, 90% and 100% plans and specifications	DDOT will submit.	FHWA Division review and comment.	Maintain quality of bridge plans

Table 5.9. Intelligent Transportation System Process Summary Table			
WORK ACTIVITY	DDOT ACTION	FHWA ACTION	OUTCOME
Systems Engineering Analysis Report	FHWA Oversight: Prepare/review and Submit State Administered: Prepare and Approve	FHWA Federal Oversight: Approve (10 business days) State Administered: None	Analysis Report
Regional ITS Architectures (All)	Prepare and Approve Ready for use	Concurrence as Ready for Use (45 business days)	Regional ITS Architecture
Update of Regional Architecture (All)	Prepare and Approve Ready for Use	Concurrence (15 business days)	Updated Regional Architecture
ITS Planning	Develop ITS Implementation Plans and Spending Plans and submit for approval	Review and Approve	ITS Master Plan; Communication Master Plan
ITS Design and Implementation	Prepare ITS design documents (e.g., PS&E, ConOps, Functional Requirements) and submit for approval	Review and approve the design documents; Approve the grant application for implementation	ITS PS&E Package; ITS Concept of Operations; ITS Functional Requirements;
Signal and ITS Maintenance and Operations	Identify the areas for maintenance; fix the problems if any	Approve the funds for signal and ITS maintenance and operations	Make the Signal System and ITS Systems operational all time
Signal System Engineering	Prepare signal timing plans; Perform signal system upgrade; Apply for federal funds for the signal system engineering	Review the project deliverables; approve the request of obligation for federal funds	An efficient traffic signal system
Traffic Management Center and Roadway Patrol Operations	Perform daily traffic operations and incident management; Provide user needs and comments for ITS	Monitor the performance of TMC operation and patrol operation; Approve funds for necessary system upgrade	Improved and efficient traffic operations

Table 5.9. Intelligent Transportation System Process Summary Table			
WORK ACTIVITY	DDOT ACTION	FHWA ACTION	OUTCOME
	design and integration		

Table 5.10. Research, Development and Technology Program Summary Table			
WORK ACTIVITY	DDOT ACTION	FHWA ACTION	OUTCOME
Citywide Research Work Program (23 CFR § 420.207)	Develop, Prepare, and Submit Annual Program Draft – submitted by 8/01 Final – submitted by 9/01	Approved within 30 business days, no later than October 1 st	Authorized and Funded Program
SPR Work Program Amendments	Submit to FHWA as needed	Review, comment, and approve (10 business days)	Addition/reduction of contributions to existing projects and participation in new projects
DDOT Research Manual (23 CFR § 420.209 (b))	Prepares in coordination with FHWA as noted in 23 C.F.R. §420.209	Review, comment (if appropriate), and approve (20 business days)	Documentation that describes the management, process, and procedures for selecting and implementing RD&T activities
Regional Pooled Fund Program (23 CFR § 420.207)	Participation in Pooled Fund Study	Transfers DDOT federal aid funding to lead state DOT to conduct Pooled Fund Study	Pooled Fund deliverables – usually a report.
Peer Exchange every 5 years	DDOT facilitates peer exchange of research program	Participates in peer exchange	Improved DDOT research process
TRID database use (23 CFR § 420.209)	DDOT uses TRID database for program development, reporting of current RD&T activities, and input of the final report information	Ensures TRID is being used as required	Prevention of duplication of research effort and in coordination of efforts among various agencies interested in the same topic
DDOT represents the Agency to provide liaison with TRB	DDOT assigns TRB representative		The representative informs the Agency of TRB activities, receives all TRB publications
Projects Using Experimental Features	DDOT ensures that the installations conform to the accepted principles for experimental projects	Compiles a list of all these reports, from all state DOTs, and makes the list available annually	Evaluation and implementation of new technologies

Table 5.11. Pavement & Materials Acceptance Program Summary Table			
WORK ACTIVITY	DDOT ACTION	FHWA ACTION	OUTCOME
Quality Assurance Program	Prepare Develop, implement, monitor and revise	Approve	Quality Assurance Procedure for Construction
Laboratory Manual	Prepare and revise	Approve	
AASHTO accreditation inspection reports	Maintain accreditation, Submit inspection report, Approve outside testing facility	Review for acceptable results and file comments as necessary	
Independent Assurance Program	Prepare and revise	Approve	

Table 5.12. Civil Rights Program Summary Table			
WORK ACTIVITY	DDOT ACTION	FHWA ACTION	OUTCOME
ADA Transition Plan	Prepare, review for accuracy,	Review and approve.	Plan accurately includes

Table 5.12. Civil Rights Program Summary Table			
WORK ACTIVITY	DDOT ACTION	FHWA ACTION	OUTCOME
(including inventory, schedule, and budget)	signature of Official confirming accuracy, and submit		regulatory requirements and reflects DDOT's actual implementation
Annual Contractor Employment Report – PR 1392 and accompanying data spreadsheets	Prepare, review for accuracy, signature of Official confirming accuracy and submit and submit (no later than August 30)	Review and File. Submit to FHWA HQ (when requested)	Annual report is accurate, complete and timely.
Contractor Compliance Plan (Program document) include DBE and OJT goal monitoring plan	Prepare, review for accuracy, signature of Official confirming accuracy and submit Annually	Review, comment, approve	Report is accurate, complete and timely.
DBE Program Goals and Methodology and accompanying data spreadsheets	Prepare, review for accuracy, signature of Official confirming accuracy and submit (No later than August 1) Every three years	Review and make determination. Submit to FHWA HQ	Goals incorporate appropriate statistical analysis and are based on complete, accurate data.
DBE Program Plan and Update	Prepare, review for accuracy, signature of Official confirming accuracy and submit	Review and make determination. Submit to FHWA HQ	Updates accurately reflect appropriate program changes.
DBE/SS Statement of Work (SOW) funding request	Prepare, review for accuracy, signature of Official confirming accuracy and submit <u>annually</u>	Review and approve. Submit to FHWA HQ for funding approval. Advise DDOT of funding decision.	Ensure program is accomplishing measures reflected in SOW
Historically Black College/Minority Institution of Higher Education Plan/Report	Collaborate with FHWA. Prepare, review for accuracy, signature of Official confirming accuracy and submit, when requested	Review, augment, and submit to FHWA HQ	Report reflects positive relationships with educational institutions.
On-the Job Training (OJT) Goals and accompanying data spreadsheets	Prepare, review for accuracy, signature of Official confirming accuracy and submit	Review and make determination	OJT goal is based on appropriate projection of construction program and is timely submitted.
On-the-Job Training Program Plan	Prepare, review for accuracy, signature of Official confirming accuracy and submit annually	Review and approve.	Ensure programs meet regulatory requirements, ensure consistency/uniformity of implementation, data collection, and analysis
On-the-Job Training Supportive Services Statement of Works (SOW)	Prepare, review for accuracy, signature of Official confirming accuracy and submit annually	Review and approve. Submit to FHWA HQ for funding approval. Advise DDOT of funding decision.	Requests are adequately supported by data and appropriately submitted.
State Internal EEO Affirmative Action Accomplishment Reports: goals and accomplishment reports	Prepare, review for accuracy, signature of Official confirming accuracy and submit Annually	Review, comment.	Report is accurate, complete and timely.
State Internal EEO Affirmative Action Plan and accompanying data spreadsheets	Prepare, review for accuracy, signature of Official confirming accuracy and submit Annually	Review and make determination.	Plan is accurate, complete and timely.

Table 5.12. Civil Rights Program Summary Table			
WORK ACTIVITY	DDOT ACTION	FHWA ACTION	OUTCOME
State Internal Employment Practice EEO-4 Report and accompanying data spreadsheets	Prepare, review for accuracy, signature of Official confirming accuracy and submit	Review and file. Submit to FHWA HQ	Report is accurate, complete and timely.
Title VI/Non-discrimination Plan	Prepare, review for accuracy, signature of Official confirming accuracy and submit	Review and approve	Updates accurately reflect DDOT's Title VI/Nondiscrimination Program.

Table 5.13. Professional Services Program Summary Table			
WORK ACTIVITY	DDOT ACTION	FHWA ACTION	OUTCOME
DDOT Consultant Selection Process (23 CFR § 172)	Submit for FHWA approval when procedures are changed	Review for consistency with 23 C.F.R. §172 and 49 C.F.R. §18. and Approve (30 business days)	Approved procedure for state wide use on Federal - aid projects
Consultant contracts on FHWA oversight projects (23 CFR § 172)	Submit copy of executed contracts to FHWA Engineer.	Review for conformance and file	Consultant contracts meeting requirements
Consultant contracts on major projects (>\$500 million) or for consultant performing in a management role.	Prepare and submit draft contract and cost estimate for FHWA review	Review and approve or comment to DDOT (10 business days)	Draft contract approved for execution
Funds approval for all type contracts (oversight, major project, delegated projects, task assignment)	Request funds in FMIS	Request funds in FMIS Approve funds (7 business days)	Executed and funded contract

Table 5.14. Utilities Program Summary Table			
WORK ACTIVITY	DDOT ACTION	FHWA ACTION	OUTCOME
Utility Authorizations (23 C.F.R. §645.113)	Request (Oversight) Approve (non-oversight)	Review and make determination (Transportation Engineer)	Utility Authorization
Utility Accommodation Manual (23 C.F.R. §645.211)	Submit manual or changes	Review and make determination	Approved manual or changes
Utility Master Agreement forms	Submit forms or changes	Review and make determination	Approved forms or changes

Table 5.15. Training Program Summary Table			
WORK ACTIVITY	DDOT ACTION	FHWA ACTION	OUTCOME
Agency-wide annual Training plan	Prepare and Submit Annual Program Draft – submitted by 9/30 Final – submitted by 10/01	Approved within 30 calendar days, no later than 10/30	Authorized and Funded Program
Training Plan Amendments	Submit to FHWA as needed	Review, comment, and approve (10 days)	Addition/reduction of contributions to existing projects and participation in new projects
DDOT Training Manual	Prepares in coordination with FHWA of 23 U.S.C. Section	Review, comment (if appropriate)	Documentation that describes the management,

Table 5.15. Training Program Summary Table			
WORK ACTIVITY	DDOT ACTION	FHWA ACTION	OUTCOME
	504		process, and procedures for selecting and implementing RD&T activities
Final acceptance and close-out of program activities	Prepare fiscal year close-out report with SPR Work Plan submittal (by 9/30)	Review, comment, and approve with SPR Work Plan (by 9/30)	Compliance with 23 U.S.C. Section 504

APPENDICES

APPENDIX A: GLOSSARY

AASHTO – American Association of State Highway and Transportation Officials

ADA – Americans with Disabilities Act

C.F.R. - Code of Federal Regulations

CAP – Compliance Assurance Program

CE – Categorical exclusion

Control Document – Applicable standards, policies, and standard specifications that are acceptable to FHWA for application in the geometric and structural design of highways.

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

DBE - Disadvantage Business Enterprise

DDOT - District Department of Transportation

DEIS – Draft Environmental Impact Statement

Delegated Projects – Projects that do not require FHWA to review and approve actions pertaining to design, plans, specifications, estimates, right-of-way certification statements, contract awards, inspections, and final acceptance of Federal-aid projects on a project by project basis.

DOT – Department of Transportation

EA – Environmental Assessment

EEO – Equal Employment Opportunity

EIS – Environmental Impact Statement

FAHP - Federal-Aid Highway Program

FEIS – Final Environmental Impact Statement

FHWA - Federal Highway Administration

FHWA Oversight Projects – Projects that require FHWA to review and approve actions pertaining to design, plans, specifications, estimates, right-of-way certification statements, contract awards, inspections, and final acceptance of Federal-aid projects on a project by project basis.

FHWA oversight Projects – Projects that require FHWA to review and approve actions pertaining to design, plans, specifications, estimates, right-of-way certification statements, contract awards, inspections, and final acceptance of Federal-aid projects on a project by project basis. ***These projects were previously known as FULL OVERSIGHT projects.***

ID/IQ – Indefinite Delivery/Indefinite Quantity, a type of contracting vehicle for procuring services.

FIRE - Financial Integrity Review and Evaluation

FMFIA - Federal Managers' Financial Integrity Act

FMIS - Financial Management Information System

FONSI – Finding of No Significant Impact

FTA – Federal Transit Administration

GFE – Good Faith Efforts

HPMS – Highway Performance Monitoring System

HSIP – Highway Safety Improvement Program

ISTEA - Intermodal Surface Transportation Efficiency Act of 1991.

ITS - Intelligent Transportation Systems is an umbrella term for a range of technologies including processing, control, communication and electronics, that are applied to a transportation system. It also includes an advanced approach to traffic management.

Major Projects – Projects with an estimated total cost greater than \$500 million, or projects approaching \$500 million with a high level of interest by the public, Congress, or the Administration.

Map MAP-21 – Moving Ahead for Progress in the 21st Century Act (of 2012)

MPO – Metropolitan Planning Organization; the Transportation Planning Board is the MPO for the Washington, DC metropolitan region

MUTCD – Manual on Uniform Traffic Control Devices

NBI – National Bridge Inventory

NBIP – National Bridge Inspection Program

NCHRP – National Cooperative Highway Research Program

NEPA - National Environmental Policy Act

NHS - National Highway System

OJT – On-the-job training

APPENDICES: Appendix A: Glossary

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

Performance/Compliance Indicators - These indicators track performance trends, health of the Federal-aid Highway Program, and compliance with Federal requirements.

PL – metropolitan planning funds

PMP – Project management plan

PoCI – Project of Corporate Interest- PoCIs that are identified by FHWA’s HQs and Division offices that require additional resources at a corporate level because of their impact on FHWA’s performance.

PoDI – Project of Division Interest- PoDIs are projects identified by FHWA DC Division that have an elevated level of risk (threat or opportunity) to the Division’s successful delivery of the federal-aid program. This will allow Division’s to concentrate resources on project phases or areas that add the most value on important projects to the Division.

PS&E - Plans, Specifications, & Estimates

PS&E – Plans, Specifications, and Estimates

QA/QC - Quality Assurance / Quality Control

Resurfacing/Restoration - Resurfacing and restoration projects typically involve the milling of the pavement surface and the placement of several inches of new bituminous concrete pavement (without widening), repair of localized concrete or aggregate base/sub-base failure, rehabilitation of drainage, and associated landscaping, sidewalks, lighting, curbs, markings, signs, etc.

RD&T – Research, Development, & Technology Transfer

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

ROD – Record of Decision

ROW – Right of way

SAFETEA-LU - Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users of 2005.

SEP – Special Experimental Project

SOW – Statement of Work

SPR – State Planning and Research

SS – Supportive Services

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

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

STIP – Statewide Transportation Improvement Program

TCSP – Transportation and Community System Preservation grant program

TEA-21 - Transportation Equity Act for the 21st Century of 1998.

TIGER – Transportation Investment Generating Economic Recovery grant program

TRB – Transportation Research Board

TRID – Transportation Research International Documentation

U.S.C. - U.S. Code

UPWP – Unified Planning Work Program

WASA - DC Water and Sewer Authority

APPENDIX B: CONTROL DOCUMENTS - MANUALS AND OPERATING PROCEDURES

DDOT Manuals and Guidelines

The following documents are reviewed and approved by FHWA:

- Construction Management Manual, May 2010
- Consultant Selection Process
- Context Sensitive Design Guidelines
- DC Federal Project Billing Module (for FHWA bills)
- DC Streetlight Policy and Guidelines, February 2013
- DDOT Budget Team Business Processes Manual (includes FMIS obligation process)
- DDOT V8 CAD Standards Manual
- Design and Engineering Manual, April 2009
- Disadvantaged Business Enterprise (DBE) Plan
- DDOT Environmental Manual, 2nd Edition, June 2012
- Guideline for Independence Assurance Program
- Highway Safety Improvement Program,
- Pedestrian Safety and Work Zone Standards, December 2007
- Policy for New or Revised Access to the District of Columbia Interstate and Freeway System, July 2010
- Quality Assurance Manual
- Right of Way Policies and Procedures Manual, June 2011
- Standard Drawings for Highways and Structures
- Standard Specifications for Highways and Structures
- Streetscape Manual
- Supplemental Specifications, 2007
- Temporary Traffic Control Manual, July 2006
- Title VI/Nondiscrimination Plan
- Work Zone Safety and Mobility Policy, October 2007
- Bridge Inspection Manual of Procedures, June 2012
- EEO Contract Compliance Plan – Title VII, Part I (External)
- EEO Title VII Internal Process/Affirmative Action Plan

Other controlling documents, not approved by FHWA

- DC PASS Manual (procurement)
- DC PeopleSoft Manual (human resources and payroll)
- DC SOAR Manual (general ledger)

APPENDIX C: PERFORMANCE INDICATORS

Program Area	Performance Indicator(s)
Finance, Accounting, & Auditing	<ul style="list-style-type: none"> • Less than 4 percent unexpended obligation balance on inactive projects. • 100% usage of annual obligation authority by the end of the fiscal year. • No funds lapsing at the end of the fiscal year. • No project exceeding 10 year limitation.
Planning, Programming, & Air Quality Conformity	<ul style="list-style-type: none"> • % of projects in STIP advanced • % of projects bid versus planned • Days of delay from planned data and reporting submission dates
Environment	<ul style="list-style-type: none"> • 95% of CEs completed within 6 months of start of the CE process • 90% of EAs completed within 12 months of start of the EA process • 90% of FEIS-ROD completed within 30 months of NOI
Right of Way	<ul style="list-style-type: none"> • Percent of Federal-aid ROW projects supported by ROW cost estimate in the STIP
Design	<ul style="list-style-type: none"> • Construction change orders attributed to design • Value engineering savings • FHWA response time for PS&E approval
Construction	<ul style="list-style-type: none"> • Percent of projects completed on time • Number of claims
Maintenance	<ul style="list-style-type: none"> • IRI rating
Emergency Relief	<ul style="list-style-type: none"> • Unexpended dollar balance of emergency relief projects previously authorized in prior years.
Safety	<ul style="list-style-type: none"> • Percent of HSIP funds obligated
Bridge	<ul style="list-style-type: none"> • NBIP report completed on time • DDOT is in compliance or substantial compliance with the NBIP. • Less than ten percent of the structurally deficient bridge deck area is present on the NHS.
ITS & Traffic Operations	<ul style="list-style-type: none"> • DDOT participation in Traffic Incident Management training program • ITS architecture in place.
Research and Technology Transfer	<ul style="list-style-type: none"> • Peer review completed every 5 years • Research annual work plan is approved before October 1 of each FY
Pavement and Materials	<ul style="list-style-type: none"> • Approved QA program in place
Civil Rights	<ul style="list-style-type: none"> • DBE project goal vs actual payment • Number of ADA formal complaints • Number of Title VI complaints • EEO compliance reviews completed
Professional Services (Consultant) Contracting	<ul style="list-style-type: none"> • Number of consultant contracts executed versus planned. Target is 95% of planned contracts executed.
Utilities	<ul style="list-style-type: none"> • Percent of Federal-aid projects with no utility-related schedule delays
Training	<ul style="list-style-type: none"> • Overall number of learning instances being offered • Assessment of employees completing training • Number and percent of employees enrolling for the training courses

APPENDIX D: CONCURRENCE-IN-AWARD CHECKLIST

(23 CFR 635.114)

1. Statement of Non-Collusion on file with DDOT or a copy of executed Non-Collusion Certificate:
2. Apparent low bidder listed on GSA List of Parties Excluded from Federal Procurement and Non-Procurement Programs (<http://www.arnet.gov/epls/>):
3. Low bidder prequalified?
4. Low bid % below/above Engineer's Estimate.
5. Bid prices in reasonable conformance with estimated prices?
6. Right of Way clear?
7. If money exceeds amount authorized, funds available determination from Fiscal:
8. Federal-aid participation ratio current?
9. Bids previously received and rejected?
10. Bid opening report checked for irregularities?
11. If request is to award to other than the lowest responsible bidder, explain in comments:
12. If the request is to reject all bids, explain in comments:
13. DBE Utilization [Equal Opp. Spec. ()]:
14. Low bid exclusive of employee training: \$
15. Employee training: Number of hours cost \$
16. Inspection Data: Inspection frequency goal for major phases to be inspected
17. Comments: