

**STEWARDSHIP AND OVERSIGHT AGREEMENT  
ON PROJECT ASSUMPTION AND PROGRAM OVERSIGHT  
BY AND BETWEEN  
FEDERAL HIGHWAY ADMINISTRATION, NEW JERSEY DIVISION  
AND THE  
STATE OF NEW JERSEY 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 Stewardship and Oversight (S&O) Agreement sets forth the agreement between the FHWA and the State of New Jersey Department of Transportation (State DOT) on the roles and responsibilities of the FHWA and the State DOT with respect to Title 23 project approvals and related responsibilities, and FAHP oversight activities.

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

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

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

awards, and inspections with respect to the projects unless the Secretary determines that the assumption is not appropriate. (23 U.S.C. 106(c)(1)) For projects under Title 23, U.S.C. that are not on the NHS, the State shall assume the responsibilities for design, plans, specifications, estimates, contract awards, and inspections unless the State determines that such assumption is not appropriate. (23 U.S.C. 106(c)(2))

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

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

Section 106(c)(3) requires FHWA and the State DOT to enter into an agreement relating to the extent to which the State DOT assumes project responsibilities. This Stewardship and Oversight Agreement (S&O Agreement), includes information on specific project approvals and related responsibilities, and provides 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 S&O AGREEMENT**

The intent and purpose of this S&O Agreement is to document the roles and responsibilities of the FHWA's New Jersey Division Office (FHWA or Division) and the New Jersey Department of Transportation (State DOT) 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.

### **SECTION III. ASSUMPTION OF RESPONSIBILITIES FOR FEDERAL-AID PROJECTS ON THE NATIONAL HIGHWAY SYSTEM**

- A. The State DOT *may assume* the FHWA’s Title 23 responsibilities for design; plans, specifications, and estimates (PS&E); contract awards; and inspections, with respect to *Federal-aid projects on the National Highway System (NHS)* if both the *State DOT* and *FHWA* determine that assumption of responsibilities is appropriate.
- B. Approvals and related activities for which the State DOT has assumed responsibilities as shown in Attachment A will apply program wide unless project specific actions for which the Division will carry out the approval or related responsibilities are documented in accordance with the Annual Update for Project-Level Oversight located at:  
<http://www.fhwa.dot.gov/federalaid/stewardship/>
- C. The State DOT may not assume responsibilities for Interstate projects that are in high risk categories. (23 U.S.C. 106(c)(1))
- D. The State DOT is to exercise any and all assumptions of the Secretary responsibilities for Federal-aid projects on the NHS in accordance with Federal laws, regulations and policies.

### **SECTION IV. ASSUMPTION OF RESPONSIBILITIES FOR FEDERAL-AID PROJECTS OFF THE NATIONAL HIGHWAY SYSTEM**

- A. The State DOT *shall assume* the FHWA’s Title 23 responsibilities for design, PS&Es, contract awards, and inspections, with respect to *Federal-aid projects off the NHS (non-NHS)* unless the *State DOT* 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), the State DOT is to exercise the Secretary’s approvals and related responsibilities on these projects in accordance with Federal laws.
- C. The State DOT, in its discretion, may request FHWA carry out one or more non-NHS approvals or related responsibilities listed as “State” in Attachment A on a program-wide basis. For a project specific request, the State may request FHWA carry out any approval or related responsibility listed in Attachment A off the NHS. Such project-specific requests shall be documented in accordance with the Annual Update for Project-Level Oversight.

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

**SECTION V. ASSUMPTION OF RESPONSIBILITIES FOR LOCALLY ADMINISTERED PROJECTS**

The State DOT may permit local public agencies (LPAs) to carry out the State DOT's assumed responsibilities on locally administered projects. The State DOT is responsible and accountable for LPA 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 the State 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 the State DOT:
  - 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 State DOT will comply with Title 23 and all applicable non-Title 23, U.S.C. Federal-aid program requirements, such as metropolitan and statewide planning; environment; procurement of engineering and design related service contracts (except as provided in 23 U.S.C. 109(o)); Civil Rights including Title VI of the *Civil Rights Act*, and participation by Disadvantaged Business Enterprises; prevailing wage rates; and acquisition of right-of-way, etc.
- C. This Agreement does not modify the FHWA’s non-Title 23 program approval and related responsibilities, such as approvals required under the Clean Air Act; National Environmental Policy Act, Executive Order on Environmental Justice (E.O. 12898), and other related environmental laws and statutes; the Uniform Act; and the Civil Rights Act of 1964 and related statutes.

## **SECTION VIII. PROJECT ACTION RESPONSIBILITY MATRIX**

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

## **SECTION IX. HIGH RISK CATEGORIES**

- A. In 23 U.S.C. 106(c), Congress directs that the Secretary shall not assign any approvals or related responsibilities for projects on the Interstate System if the Secretary determines the project to be in a high risk category. Under 23 U.S.C. 106(c)(4)(B), the Secretary may define high risk categories on a national basis, State-by-State basis, or national and State-by-State basis.
- B. The Division has determined there are no high risk categories.

## **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).
- 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. The FHWA will also evaluate the practices of the State DOT for estimating project costs, awarding contracts, and reducing costs. 23 U.S.C. 106(g)(2) and (3).
- D. To carry out the requirements of 23 U.S.C. 106(g), the FHWA will employ a risk management framework to evaluate financial integrity and project delivery, and balance

risk with staffing resources, available funding, and the State's transportation needs. The FHWA may work collaboratively with the State DOT to assess the risks inherent with the FAHP and funds management, and how that assessment will be used to align resources to develop appropriate risk response strategies

Techniques the Division and State DOT may use to identify and analyze risks and develop response strategies include the following:

- Program Assessments;
- FIRE Reviews;
- Program Reviews;
- Certification Reviews;
- Recurring or periodic reviews such as the Compliance Assessment Program (CAP); and
- Inspections of project elements or phases.

These techniques will be carried out in a manner consistent with applicable Division Standard Operating Procedures or other control documents relating to program assessments, FIRE, program reviews, CAP, etc.

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

FHWA New Jersey Division conducts a risk assessment annually to identify the Division's high risk areas and determine response strategies for those risks. The Division's risk assessment process is being revised and will be appropriately documented. Once the risks are identified, response strategies are developed to address the high risk areas. The techniques and processes used to mitigate risk could include, but are not limited to: conducting reviews, revising processes, monitoring processes, and developing programmatic agreements.

At the project level, the FHWA NJ Division will annually determine which projects have a high level of Division Interest. The Projects of Division Interest (PoDI) process is documented in the Annual Update for Project-Level Risk Based Stewardship and Oversight (Annual Update), which is incorporated by reference into this Agreement, including amendments (issued annually in May). Each project will have an individual project plan that will describe the risk-based activities that will be overseen by FHWA. All current and future PoDI plans are incorporated by reference into this Agreement.

As part of the RBSO program, Compliance Assessment Program (CAP) reviews are performed annually on a sample of projects. The CAP review process is also described in



the Annual Update. CAP projects are listed in the document as well. The Division has an internal procedure for conducting and documenting the results of CAP reviews.

The New Jersey Division office maintains a Program and Process Review Procedure, which is incorporated by reference into the Agreement, including amendments.

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. 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 of this S&O Agreement.

G. Stewardship and Oversight Indicators

The Division and State DOT may jointly establish Stewardship and Oversight 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. Stewardship and Oversight Indicators should be reviewed on an annual basis. If utilized, the Indicators shall be incorporated by reference to this S&O Agreement.

## **SECTION XI. STATE DOT OVERSIGHT AND REPORTING REQUIREMENTS**

A. State DOT Oversight and Reporting Requirements

The State DOT is responsible for demonstrating to the FHWA how it is carrying out its responsibilities in accordance with this S&O Agreement. In order to fulfill this responsibility, the State DOT will use the Project Development Process described below and manuals, standards, and documents for administering the program contained in Attachment C.

### **NJDOT's Project Development Process**

The NJDOT delivers transportation projects using its Capital Project Delivery (CPD) Process. This process defines the method by which the NJDOT evaluates, plans, designs and constructs projects. The formal CPD process is needed to obtain approval of Federal funding and also aligns with FHWA's regulations and controls. The NJDOT uses two distinct delivery methods; the Standard CPD process to address extensive transportation problems and the Limited Scope (LS) CPD process to address transportation problems with specific needs and minimal impacts.

The CPD process begins with the Problem Screening Phase. In this Phase, the NJDOT evaluates potential transportation problems in order to have a clear understanding of the problem and its impact and determines how important that problem is relevant to other transportation problems. Problems are then ranked based on priority and importance. A primary goal of NJDOT is to address those problems that, when fixed, will have the most positive impact to the transportation system. Before leaving this phase, the problem statement is validated and the preliminary project scope is determined. Key products that are produced in this Phase may include Tier 1 documentation, Screening Reports, and Charter.

The next CPD Phase is Concept Development (CD). During this Phase, the NJDOT considers alternatives to solve the transportation problem. A best alternative, formally called the Preliminary Preferred Alternative (PPA), is selected based on several factors, including environmental impacts, constructability, cost effectiveness, and if the project can be constructed in a timely manner. Along with the PPA, key products that are produced in this Phase include the Purpose and Need Statement, the National Environmental Policy Act (NEPA) Classification, and the Concept Development Report. Confirmation of the delivery method to be used and consistency with the STIP is determined in this phase. Division engineering staff are invited to core group (scoping) meetings for relevant projects. Additionally, the Division and Metropolitan Planning Organizations (MPOs) are invited to attend Capital Project Screening Committee and Capital Project Committee Meetings where the NJDOT formally advances projects from the Problem Screening and Concept Development phases into and through the later design phases.

The Preliminary Engineering Phase begins the Department's effort to develop the PPA utilizing industry standards and practices. During this Phase, the Department conducts an environmental analysis of the PPA, and initiates geometrics, geotechnical studies, utilities and drainage design, as necessary, in support of the environmental document. Key products are the Project Management Plan, the Preliminary Engineering Report, Design Exceptions (if any), and the Approved Environmental Document. No PE phase is needed

for the LS delivery approach as the key delivery products are completed within the CD and FD Phases.

Next is the Final Design (FD) Phase. In this Phase, a set of detailed construction plans and specifications are developed for construction of the project. One of the Department's primary goals is to ensure that a quality design is developed so that during construction, a quality product can be built. In addition to having the detailed plans and specifications, the Department also obtains the necessary environmental permits, Right of Way (ROW), and utility agreement to begin construction of the project. The Key Final Design Phase products are the Final Design Submission and the Plans, Specifications and Estimate (PS&E) package.

The Construction Phase is the final phase in the PDP. The Construction Phase begins with advertising (PS&E), bidding and award of contract. During construction, the Department focuses on ensuring minimal impacts to the existing infrastructure and the traveling public and that all work adheres to state and federal regulations. The Department also ensures that the contractor is building the project in accordance with the contract plans and specifications.

The Department uses the Project Delivery Process to guide work on transportation projects from the identification of a transportation related problem through final acceptance of construction. This process is the primary means that NJDOT uses to demonstrate to Federal and State Agencies that the Department is capable of managing projects and utilizing resources as good stewards of Federal-aid funds. There are a number of other mechanisms that the Department supports to enable the Division to track project status and provide input. These include monthly Capital Project Status Reports (for projects in CD through Construction), monthly Construction Awards Reports, Quarterly Construction Claims Reports, Change Control Board Meetings for major project changes, Bid Notification email distribution lists, up-to-date advertising schedules, regular meetings with FHWA and NJDOT Capital Program Management senior managers, and others.

- B. State DOT Oversight of Locally Administered Projects
1. State DOT's are required to provide adequate oversight of sub-recipients including oversight of any assumed responsibilities the State DOT delegates to a LPA.
  2. Pursuant to 23 U.S.C. 106(g)(4), the State DOT shall be responsible for determining that sub-recipients of Federal funds have adequate project delivery systems for locally administered projects and sufficient accounting controls to properly manage such Federal-aid funds. The State DOT 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. The State DOT acknowledges that it is responsible for sub-recipient awareness of Federal grant requirements, management of grant awards and sub-awards, and is familiar with and comprehends pass through entity responsibilities (2 C.F.R 200.331 Requirements for Pass-thru Entities). The State DOT shall carry out these responsibilities using the following actions, programs, and processes:

The New Jersey Department of Transportation Division of Local Aid and Economic Development uses the standards set forth in the regulations to assess the adequacy of a potential Federal-aid recipient's accounting controls and administrative and project management systems. Local Aid uses the "Federal Aid Highway Program Administrative Questionnaire" to ensure that an organization has accounting controls and administrative and project management systems that fully comply with the requirements identified above. Corrective action may be necessary to comply with the Federal requirements as a condition for receipt of Federal-aid funds.

4. The State DOT shall assess whether a sub-recipient has adequate project delivery systems and sufficient accounting controls to properly manage projects, using the following actions, programs, and processes:

NJDOT Local Aid adopted policy and procedure 010.00 on February 5, 2013, to assess the sub-recipients' project delivery system and their accounting controls. The evaluation process of the sub-recipients is accomplished through 2 steps:

- Local Aid uses the "Federal Aid Highway Program Administrative Questionnaire" to assess financial controls;
- An eligibility assessment interview is conducted by Local Aid Districts with their respective LPA's utilizing an established Assessment Interview Form. The purpose of the interview is to assess the LPA's organizational structure, staffing levels, and the LPA's administration and project management systems and internal controls. The interview includes an assessment of the LPA's written policies and procedures for administering federal aid projects.

5. The State DOT shall assess whether a sub-recipient is staffed and equipped to perform work satisfactorily and cost effectively, and that adequate staffing and supervision exists to manage the Federal project(s), by using the following actions, programs, and processes:

Local Aid uses policy and procedure 010.00 and the Assessment Interview Form to verify the 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). In the interview, the organizational charts and levels of responsibilities are reviewed to determine the sufficiency of staffing and ability of assigned individuals.

6. The State DOT shall assess whether sub-recipient projects receive adequate inspection to ensure they are completed in conformance with approved plans and specifications, by using the following actions, programs, and processes:

NJDOT Local Aid adopted policy and procedure 011.00 on September 11, 2013, titled “Construction Oversight and Inspection for Federal-Aid Highway Projects.” The policy establishes the process for the Division of Local Aid to ensure compliance with applicable federal laws and regulations. The process requires the Division to conduct inspections at 10% to 15% of the project completion and as frequent as the project duration allows. A “Federal Aid Construction Oversight Inspection Checklist” was created to assess the sub-recipient compliance to various Federal requirements during these inspections.

7. The State DOT shall 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 State DOT’s process to ensure compliance with this requirement is documented by the following actions, programs, and processes:

Policies No 010.00 and 011.00 clearly define what responsible charge is pursuant to the 23 CFR 635.105(a) (4). During the eligibility interview, the sub-recipient is informed of the requirements for responsible charge. Once the project starts, the inspection P&P, checks that the assigned responsible charge is meeting federal requirement through the life of the project. Local Aid with Rutgers LTAP established the Federal Aid Requirements and LPA Stewardship to provide an overall overview of federal requirements to LPA’s with emphasis on issues like the role of the responsible charge.

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

NJDOT Local Aid makes use of subject matter experts within the Department to address compliance with topics such as environment, civil rights, financial management, and right of way. Consultant selection follows the federal Brooks Act and compliance is assured

through Local Aid Division review of the consultant selection process. The design is reviewed by Local Aid district project managers and comments are provided for corrections, Local Aid may use NJDOT SMEs if needed. Construction monitoring is achieved through policy and procedure 011.00.

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

Local Aid systematically tracks and records all inspections conducted by the Division on LPA administered projects to monitor trends, findings and general compliance with inspection policy and procedure No 011.00. A quarterly report can be provided to FHWA to report findings and frequency of inspections.

## **SECTION XII. IMPLEMENTATION AND AMENDMENTS**

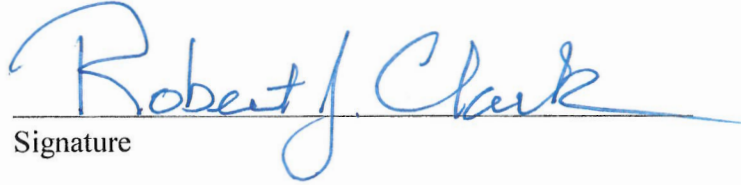
- A. This S&O Agreement will take effect as of the effective date of the signature of the FHWA New Jersey Division Administrator, who shall sign this S&O Agreement last.
- B. The Division and State DOT agree that updates to this Agreement will be considered periodically on a case-by-case basis or when:
  - 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 State DOT or FHWA; or
  - Priorities shift as a result of audits, public perception, or changes in staffing at either the State DOT or Division Office.
- C. The Division and State DOT agree that changes may occur to the contents of the Attachments to this S&O Agreement and documents incorporated by reference into the S&O Agreement. Except as provided in paragraph XII.D. and E., changes to the Attachments and documents incorporated by reference will not require the Division and State DOT to amend this S&O Agreement. The effective date of any revisions to one of these documents shall be clearly visible in the header of the document. This Agreement and any revised document shall be posted on the Division's S&O Agreement internet site within five (5) business days of the effective date.
- D. Any changes to the high risk categories must be documented by an amendment to this S&O Agreement.

- E. Any changes to the Project Action Responsibility Matrix must be approved by the FHWA Office of Infrastructure in writing and documented by an amendment to this S&O Agreement.

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**EXECUTION BY THE FHWA NEW JERSEY DIVISION OFFICE**

Executed this 16<sup>th</sup> day of JUNE, 2015.

  
Signature

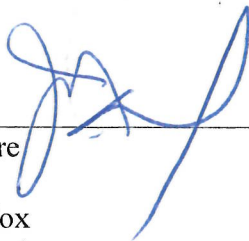
Robert Clark  
Division Administrator



**EXECUTION BY THE NEW JERSEY DEPARTMENT OF TRANSPORTATION**

Executed this 10<sup>th</sup> day of June, 2015.

Signature



Jamie Fox  
Commissioner

**ATTACHMENT A**  
**PROJECT ACTION RESPONSIBILITY MATRIX**  
**(As of February 6, 2015)**

The following matrix identifies Federal-aid highway program (FAHP) project approvals and related responsibilities on a program-wide basis. The matrix specifies which actions are assumed by the State under the provisions of 23 U.S.C. 106(c) or other statutory or regulatory authority, as well as those which are reserved to FHWA. Projects classified as Projects of Division Interest (PoDI) are not covered by the matrix, as those projects will be governed by a separate PoDI plan that specifies FHWA and State responsibilities for the project.

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

The State DOT 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.

<b>PROJECT ACTION RESPONSIBILITY MATRIX (Excluding PoDIs, which are subject to separate PoDI Plans)</b>		
<b>ACTION</b>	<b>AGENCY RESPONSIBLE</b>	
	<b>PROJECTS ON THE NHS</b>	<b>PROJECTS OFF THE NHS</b>
<b>PROGRAMMING (All phases)</b>		
Ensure project in Statewide Transportation Improvement Program (STIP)/Transportation Improvement Program (TIP)	STATE	STATE
Identify proposed funding category	STATE(1)	STATE(1)
<b>FINANCIAL MANAGMENT (All phases)</b>		
Obligate funds/approve Federal-aid project agreement, modifications, and project closures (project authorizations) (Note: this action cannot be assumed by State)	FHWA	FHWA
Authorize current bill (Note: this action cannot be assumed by State)	FHWA	FHWA

<b>PROJECT ACTION RESPONSIBILITY MATRIX (Excluding PoDIs, which are subject to separate PoDI Plans)</b>		
<b>ACTION</b>	<b>AGENCY RESPONSIBLE</b>	
	<b>PROJECTS ON THE NHS</b>	<b>PROJECTS OFF THE NHS</b>
Review and Accept Financial Plan and Annual Updates for Federal Major Projects over \$500 million [23 U.S.C. 106(h)] (Note: this action cannot be assumed by State)	FHWA	FHWA
Review Cost Estimates for Federal Major Projects over \$500 million [23 U.S.C. 106(h)] (Note: this action cannot be assumed by State)	FHWA	FHWA
Develop Financial Plan for Federal Projects between \$100 million and \$500 million. [23 U.S.C. 106(i)]	STATE	STATE
<b>ENVIRONMENT (All phases)</b>		
All EA/FONSI, EIS/ROD, 4(f), 106, 6(f) and other approval actions required by Federal environmental laws and regulations. (Note: this action cannot be assumed by STATE except under 23 U.S.C. 327)	FHWA(2)	FHWA(2)
Categorical Exclusion approval actions (Note this action cannot be assumed by the State except through an assignment under 23 U.S.C. 326 or 327, or through a programmatic agreement pursuant to Section 1318(d) of MAP-21 and 23 CFR 771.117(g))	FHWA(2)	FHWA(2)
<b>PRELIMINARY DESIGN (Design Phase)</b>		
Consultant Contract Selection	STATE (3)	STATE (3)
Sole source Consultant Contract Selection	STATE (3)	STATE (3)

<b>PROJECT ACTION RESPONSIBILITY MATRIX (Excluding PoDIs, which are subject to separate PoDI Plans)</b>		
<b>ACTION</b>	<b>AGENCY RESPONSIBLE</b>	
	<b>PROJECTS ON THE NHS</b>	<b>PROJECTS OFF THE NHS</b>
Approve hiring of consultant to serve in a “management” role (Note: this action cannot be assumed by State) [23 CFR 172.9]	FHWA	FHWA
Approve consultant agreements and agreement revisions (Federal non-Major Projects)(23 CFR 172.9)	STATE	STATE
Approve consultant agreements and agreement revisions on Federal Major Projects [23 CFR 172.9] (Note: this action cannot be assumed by State)	FHWA	FHWA
Approve exceptions to design standards [23 CFR 625.3(f)]	FHWA for Interstate* STATE for non-Interstate	STATE
Interstate System Access Change [23 USC 111] (Note: this action cannot be assumed by State)	FHWA	N/A
Interstate System Access Justification Report [23 USC 111] (Note: action may be assumed by State pursuant to 23 USC 111(e))	STATE	N/A
Airport highway clearance coordination and respective public interest finding (if required)[23 CFR 620.104]	STATE (5)	STATE (5)
Approve Project Management Plan for Federal Major Projects over \$500 million [23 USC 106(h)] (Note: this action cannot be assumed by State)	FHWA	FHWA

<b>PROJECT ACTION RESPONSIBILITY MATRIX (Excluding PoDIs, which are subject to separate PoDI Plans)</b>		
<b>ACTION</b>	<b>AGENCY RESPONSIBLE</b>	
	<b>PROJECTS ON THE NHS</b>	<b>PROJECTS OFF THE NHS</b>
Approve innovative and Public-Private Partnership projects in accordance with SEP-14 and SEP-15 (Note: this action cannot be assumed by State)	FHWA	FHWA
Provide pre-approval for preventive maintenance project (until FHWA concurs with STATE procedures) (Note: this action cannot be assumed State)	FHWA	FHWA
<b>DETAILED / FINAL DESIGN (Design Phase)</b>		
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]	STATE (4)	STATE
Approve retaining right-of-way encroachments [23 CFR 1.23 (b) & (c)]	STATE	STATE
Approve use of local force account agreements [23 CFR 635.104 & 204]	STATE	STATE
Approve use of publicly owned equipment [23 CFR 635.106]	STATE	STATE
Approve the use of proprietary products, processes [23 CFR 635.411]	FHWA*	STATE
Concur in use of publicly furnished materials [23 CFR 635.407]	STATE	STATE
<b>RIGHT-OF-WAY (Design and Operational Phases)</b>		

<b>PROJECT ACTION RESPONSIBILITY MATRIX (Excluding PoDIs, which are subject to separate PoDI Plans)</b>		
<b>ACTION</b>	<b>AGENCY RESPONSIBLE</b>	
	<b>PROJECTS ON THE NHS</b>	<b>PROJECTS OFF THE NHS</b>
Make feasibility/practicability determination for allowing authorization of construction prior to completion of ROW clearance, utility and railroad work [23 CFR 635.309(b)]	STATE	STATE
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 STATE for Non-Interstate	STATE
Ensure compliant ROW certificate is in place [23 CFR 635.309(c)]	STATE	STATE
Approve Hardship and Protective Buying [23 CFR 710.503] (If a Federal-aid project) (Note: this action cannot be assumed by State)	FHWA	FHWA
Approve Interstate Real Property Interest Use Agreements [23 CFR 710.405] (Note: this action cannot be assumed by State)	FHWA	N/A
Approve non-highway use and occupancy [23 CFR 1.23(c)]	FHWA for Interstate STATE for Non-Interstate (3)	STATE (3)

<b>PROJECT ACTION RESPONSIBILITY MATRIX (Excluding PoDIs, which are subject to separate PoDI Plans)</b>		
<b>ACTION</b>	<b>AGENCY RESPONSIBLE</b>	
	<b>PROJECTS ON THE NHS</b>	<b>PROJECTS OFF THE NHS</b>
Approve disposal at less than fair market value of federally funded right-of-way, including disposals of access control [23 U.S.C. 156] (Note: this action cannot be assumed by State)	FHWA	FHWA
Approve disposal at fair market value of federally funded right-of-way, including disposals of access control [23 CFR 710.409] (Note: 23 CFR 710.201 authorizes FHWA and STATE to agree to scope of property-related oversight and approvals for all actions except those on the Interstate System)	FHWA for Interstate STATE for Non-Interstate (3)	STATE (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 State)	FHWA	FHWA
Federal land transfers [23 CFR 710, Subpart F] (Note: this action cannot be assumed by State)	FHWA	FHWA
Functional replacement of property [23 CFR 710.509] (Note: this action cannot be assumed by State)	FHWA	FHWA
<b>SYSTEM OPERATIONS AND PRESERVATION (Design Phase)</b>		
Accept Transportation Management Plans (23 CFR 630.1012(b))	STATE	STATE
Approval of System Engineering Analysis (for ITS) [23 CFR 940.11]	STATE	STATE
<b>PS&amp;E AND ADVERTISING (Design Phase)</b>		
Approve PS&E [23 CFR	STATE	STATE

<b>PROJECT ACTION RESPONSIBILITY MATRIX (Excluding PoDIs, which are subject to separate PoDI Plans)</b>		
<b>ACTION</b>	<b>AGENCY RESPONSIBLE</b>	
	<b>PROJECTS ON THE NHS</b>	<b>PROJECTS OFF THE NHS</b>
630.201]		
Authorize advance construction and conversions [23 CFR 630.703 & 709] (Note: this action cannot be assumed by State)	FHWA	FHWA
Approve utility or railroad force account work [23 CFR 645.113 & 646.216]	STATE	STATE
Approve utility and railroad agreements [23 CFR 645.113 & 646.216]	STATE	STATE
Approve use of consultants by utility companies [23 CFR 645.109(b)]	STATE	STATE
Approve exceptions to maximum railroad protective insurance limits [23 CFR 646.111]	STATE	STATE
Authorize (approve) advertising for bids [23 CFR 635.112, 309]	STATE	STATE
<b>CONTRACT ADVERTISEMENT AND AWARD (Design Phase)</b>		
<b>All contracts to be done by competitive bidding unless otherwise authorized by law</b>		
Approve cost-effectiveness determinations for construction work performed by force account or by contract awarded by other than competitive bidding [23 CFR 635.104 & .204]	STATE	STATE
Approve emergency determinations for contracts awarded by other than competitive bidding [23 CFR 635.104 & .204]	STATE	STATE
Approve construction engineering by local agency [23 CFR 635.105]	STATE	STATE



<b>PROJECT ACTION RESPONSIBILITY MATRIX (Excluding PoDIs, which are subject to separate PoDI Plans)</b>		
<b>ACTION</b>	<b>AGENCY RESPONSIBLE</b>	
	<b>PROJECTS ON THE NHS</b>	<b>PROJECTS OFF THE NHS</b>
Approve advertising period less than 3 weeks [23 CFR 635.112]	STATE	STATE
Approve addenda during advertising period [23 CFR 635.112]	STATE	STATE
Concur in award of contract [23 CFR 635.114]	STATE	STATE
Concur in rejection of all bids [23 CFR 635.114]	STATE	STATE
Approval of Design-Build Requests-for-Proposals and Addenda [23 CFR 635.112]	STATE	STATE
<b>CONSTRUCTION (Construction Phase)</b>		
Approve changes and extra work [23 CFR 635.120]	STATE	STATE
Approve contract time extensions [23 CFR 635.120]	STATE	STATE
Concur in use of mandatory borrow/disposal sites [23 CFR 635.407]	STATE	STATE
Accept materials certification [23 CFR 637.207]	STATE	STATE
Concur in settlement of contract claims [23 CFR 635.124]	FHWA*	STATE
Concur in termination of construction contracts [23 CFR 635.125]	STATE	STATE
Waive Buy America provisions [23 CFR 635.410] (Note: this action cannot be assumed by State)	FHWA	FHWA
Final inspection/acceptance of completed work [23 USC 114(a)]	STATE	STATE

<b>PROJECT ACTION RESPONSIBILITY MATRIX (Excluding PoDIs, which are subject to separate PoDI Plans)</b>		
<b>ACTION</b>	<b>AGENCY RESPONSIBLE</b>	
	<b>PROJECTS ON THE NHS</b>	<b>PROJECTS OFF THE NHS</b>
<b>CIVIL RIGHTS (All phases)</b>		
Approval of Disadvantaged Business Enterprise (DBE) Project Contract Goal set by the State DOT under 49 CFR 26.51(d). [49 CFR 26.51(e)(3)]	STATE	STATE
Acceptance of Bidder's Good Faith Efforts to Meet Contract Goal [49 CFR 26.53] or of Prime Contractor's Good Faith Efforts to Find Another DBE Subcontractor When a DBE Subcontractor is Terminated or Fails to Complete Its Work [49 CFR 26.53(g)] (Note: this action cannot be performed by the FHWA)	STATE	STATE
Equal Employment Opportunity (EEO) Contract Compliance Review [23 CFR Part 230, Subpart D]).	STATE	STATE
Training Special Provision – Approval of Project Goal for training slots or hours [23 CFR Part 230, Subpart A]	STATE	STATE
Training Special Provision – Approval of New Project Training Programs (Note: this action cannot be assumed by State) [23 CFR 230.111(d), (e)]	FHWA	FHWA
<b>FOOTNOTES:</b>		

<b>PROJECT ACTION RESPONSIBILITY MATRIX (Excluding PoDIs, which are subject to separate PoDI Plans)</b>		
<b>ACTION</b>	<b>AGENCY RESPONSIBLE</b>	
	<b>PROJECTS ON THE NHS</b>	<b>PROJECTS OFF THE NHS</b>
<p>(1) State is responsible for ensuring that all individual elements of the project are eligible. FHWA will check that the scope of the project as described in submitted project agreement is eligible for the category of funding sought. All final eligibility and participation determinations are retained by FHWA.</p> <p>(2) If there is a 23 U.S.C. 326 or 325 assignment or PCE agreement, decisions are handled in accordance with those assignments or agreements.</p> <p>(3) State's process and modifications to, or variation in process, require FHWA approval.</p> <p>(4) Unusual/Complex bridges and structures are those that the Division determines to have unique foundation problems, new or complex designs, exceptionally long spans, exceptionally large foundations, complex hydrologic (including climate change and extreme weather events) aspects, complex hydraulic elements or scour related elements, or that are designed with procedures that depart from currently recognized acceptable practices (i.e., cable-stay, suspension, arch, segmental concrete, moveable, truss, tunnels, or complex geotechnical walls or ground improvement systems)</p> <p>(5) This activity requires coordination with the Federal Aviation Administration.</p>		

**ATTACHMENT B**  
**PROGRAM RESPONSIBILITY MATRIX**

Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Appropriations, Allotments, Obligations	31 USC 1341(a)(1)(A) & (B); 31 USC 1517(a); 23 USC 118(b), 23 USC 121	As needed	Not Applicable	Office of Chief Financial Officer	<b>HAM-NJ</b>	Capital Investment, Planning & Development	State will monitor appropriations, allotments and obligations to ensure that all funding is used efficiently within each quarter and use all Obligation Authority (OA) by the end of the year.
Approval of Indirect Cost Allocation Plans (ICAPs)	2 CFR Part 200 Subpart E; ASMBC-10	As needed	Not Applicable	Office of Chief Financial Officer	<b>HAM-NJ</b>	Budget	The State will certify that the ICAP was prepared in accordance with OMB A-87 and that they have not modified their calculation procedures and provide a summary of information for the calculation and reconciliation purposed.
FIRE Program Activities	FHWA Order 4560.1C	Ongoing		Office of Chief Financial Officer	<b>HAM-NJ</b>	Accounting and Auditing	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.

Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Audit Coordination/FHWA Financial Statement Audit/State External Audit Reviews/State Internal Audit Reviews	FMFIA, 2 CFR 200 Subpart F, GAAP, CFO Act of 1990;DOT Order 8000.1C	As needed	Not Applicable	Office of Chief Financial Officer	<b>HAM-NJ</b>	Accounting and Auditing	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	<b>HAM-NJ</b>	Accounting and Auditing	State will provide all information necessary to document sampled payments and FHWA offices will review and complete appropriate data submittal forms.
Transfer of Funds between programs or to other FHWA offices or agencies as requested by State	23 USC 126, 23 USC 132, and FHWA Order 4551.1	As needed	Not Applicable	Office of Chief Financial Officer	<b>HAM-NJ</b>	Capital Investment, Planning & Development	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	<b>HAM-NJ</b>	Accounting and Auditing	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

Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
							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	HAM-NJ	Local Aid & Economic Development	
Periodic Reviews of States Monitoring of sub-recipients	23 USC 106(g)(4)(B)	As needed	Not Applicable	Office of Infrastructure	HAM-NJ	Local Aid & Economic Development	
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	HAM-NJ	Capital Investment, Planning & Development	A State must enter into an agreement with FHWA for use of the increased Federal share allowable under this section, which must be reviewed and updated periodically as agreed to in the agreement. States must demonstrate that they are in compliance with the statute and the agreement.
Prepare / Review Title VI Plan Accomplishments and Next Year's Goals	23 CFR 200.9(b)(10)	Annually	1-Oct	Office of Civil Rights	HPL-NJ	Civil Rights and Affirmative Action/EEO	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	HPL-NJ	Civil Rights and Affirmative Action/EEO	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	HPL-NJ	Civil Rights and Affirmative Action/EEO	Courtesy copy to HQ.

Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Review DBE Program Revisions	49 CFR 26.21(b)(2)	As needed	Not Applicable	Office of Civil Rights	HPL-NJ	Civil Rights and Affirmative Action/EEO	
Prepare / DBE Uniform Awards and Commitment Report	49 CFR 26, Appendix B	Semi-Annual	June 1st December 1st	Office of Civil Rights	HPL-NJ	Civil Rights and Affirmative Action/EEO	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	HPL-NJ	Civil Rights and Affirmative Action/EEO	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	HPL-NJ	Civil Rights and Affirmative Action/EEO	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	HPL-NJ	Civil Rights and Affirmative Action/EEO	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	HPL-NJ	Civil Rights and Affirmative Action/EEO	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	HPL-NJ	Civil Rights and Affirmative Action/EEO	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	HPL-NJ	Civil Rights and Affirmative Action/EEO	Division office reviews and comments.
Prepare / Review Annual Contractor Employment Report (Construction Summary of Employment Data (Form PR-1392)	23 CFR 230.121(a); Appendix D to Subpart A, Part 230, General Information and Instructions	Annually	1-Dec	Office of Civil Rights	HPL-NJ	Civil Rights and Affirmative Action/EEO	Recommendation sent to HQ for approval.



Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Prepare / Review State DOT Employment Statistical Data (EEO-4)	23 CFR, Subpart C, Appendix A	Biannual	1-Dec	Office of Civil Rights	HPL-NJ	Civil Rights and Affirmative Action/EEO	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	HPL-NJ	Civil Rights and Affirmative Action/EEO (NJDOT Bureau of Research prepares report)	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	HPL-NJ	Civil Rights and Affirmative Action/EEO	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	HPL-NJ	Civil Rights and Affirmative Action/EEO	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	HPL-NJ	Civil Rights and Affirmative Action/EEO	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	HPL-NJ	Civil Rights and Affirmative Action/EEO	Divisions recommend approval. HCR gives final approval

Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Prepare / Review NSTI Report (questionnaire)	23 USC 140(b)	Annual	October 15th	Office of Civil Rights	HPL-NJ	Civil Rights and Affirmative Action/EEO	Divisions provide to HCR
Receipt of State Consultation Process with Tribal Governments	23 CFR 450.210(c)	As needed	Not Applicable	Office of Federal Lands Highway	HPL-NJ	N/A	This activity does not apply for NJ.
Approval of Contracting Procedures for Consultant Selection	23 CFR 172.5 & 172.9	As needed	Not Applicable	Office of Infrastructure	HPD-NJ	Procurement	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	HPD-NJ	Project Management	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	HPD-NJ	Capital Program Support	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	HPD-NJ	Capital Program Support	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	HPD-NJ	Project Management	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	HDA-NJ*	Capital Program Support	FHWA Division Office Approval.
Verify State Design Exception Policy complies with FHWA Policy	23 CFR 625.3	As needed	Not Applicable	Office of Infrastructure	HPD-NJ	Capital Program Support	FHWA Division Office Approval.

Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Approval of State Standard Detail Plans	23 CFR 625.3	As needed	Not Applicable	Office of Infrastructure	HDA-NJ*	Capital Program Support	FHWA Division Office Approval.
Approval of Pavement Design Policy	23 CFR 626.3	As needed	Not Applicable	Office of Infrastructure	HDA-NJ*	Bridge Engineering and Infrastructure Management	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	HPD-NJ	Capital Program Support	FHWA Division Office Review.
Review of Value Engineering Annual Report	23 CFR 627.7, FHWA Order 1311.1B	Annual	Not Applicable	Office of Infrastructure	HPD-NJ	Capital Program Support	FHWA Division Office collects, reviews, and submits to HQ for review and reporting.
Review and Approval of Interstate Access Requests	23 USC 111, 23 CFR 710, 74 FR 43743-43746 (Aug. 27, 2009)	As needed	Not Applicable	Office of Infrastructure	HPD-NJ	Project Management	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	HPD-NJ	Project Management	FHWA Division Office Review and Approval.
Approval of Quality Assurance Program	23 CFR 637.205	As needed	Not Applicable	Office of Infrastructure	HDA-NJ*	Construction Services & Materials	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	HDA-NJ*	Construction Services & Materials	State administers, with programmatic agreement by the Division Office, as part of their materials testing and construction quality assurance/acceptance program.

Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
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	HDA-NJ*	Construction Services & Materials	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	HDA-NJ*	Construction Services & Materials	State administers, with programmatic agreement by the Division Office, as part of their materials testing and construction quality assurance/acceptance program.
Review Independent Assurance Annual Report	23 CFR 637.207	Annually	1-Mar	Office of Infrastructure	HDA-NJ*	N/A	This activity does not apply for NJ.
Assure Labor Compliance - Prevailing Wage Rate	23 USC 113	As needed	Not Applicable	Office of Infrastructure	HPL-NJ	Civil Rights and Affirmative Action/EEO	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	HTS-NJ	Operations	FHWA Division Office Approval
Approval of Utility Agreement / Alternate Procedure	23 CFR 645.119	As needed	Not Applicable	Office of Infrastructure	HPD-NJ	Capital Program Support	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	HPD-NJ	Capital Program Support	FHWA Division Office Approval

Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Review Bridge Construction, Geotechnical, and Hydraulics	23 CFR 650	As needed	Not Applicable	Office of Infrastructure	HTS-NJ	Bridge Engineering & Infrastructure Management/Capital Program Support for Hydraulics	
Review Plans of Corrective Action established to address NBIS compliance issues	23 CFR 650, 23 USC 144	Annually		Office of Infrastructure	HTS-NJ	Bridge Engineering & Infrastructure Management	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	HTS-NJ	Bridge Engineering & Infrastructure Management	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	HTS-NJ	Bridge Engineering & Infrastructure Management	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	HPD-NJ	Project Management	
Approval for reduction of expenditures for off-system bridges	23 USC 133(g)(2)(B)	As needed	Not Applicable	Office of Infrastructure	HTS-NJ	Bridge Engineering & Infrastructure Management	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	HPL-NJ	Capital Investment, Planning & Development	

Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
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	HPL-NJ	Capital Investment, Planning & Development	
Review Reporting on Performance Targets	23 USC 150(e)	Beginning four years after enactment of MAP-21 and biennially thereafter		Office of Infrastructure	HPL-NJ	Capital Investment, Planning & Development	
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	HPL-NJ	Capital Investment, Planning & Development	
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	HDA-NJ	Capital Investment, Planning & Development	
Emergency Relief (ER) Damage Assessments and Reports	23 CFR 668 23 USC 120 and 125	As needed	Not Applicable	Office of Infrastructure	HTS-NJ	Operations	Perform with State.
Toll Credit and Maintenance of Effort (MOE) Calculation and Agreement	23 USC 120(i)	Annually		Office of Infrastructure	HAM-NJ	Capital Investment Planning and Development and Accounting and Auditing	State will calculate the amount of eligible toll credit and submit for approval. FHWA will review and approve the request.

Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Local Public Agency (LPA) Oversight	2 CFR 200.331;; 23 USC 106(g)(4)	As needed	Not Applicable	Office of Infrastructure	HPD-NJ	Local Aid & Economic Development	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	HAM-NJ	Multimodal Planning and Development	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	HDA-NJ	N/A	This activity does not apply for NJ.
TIFIA Credit Program	23 USC 601-609	As needed	Not Applicable	Office of Innovative Program Delivery	HAM-NJ	Chief Financial Office	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	HAM-NJ	Capital Investment, Planning & Development	MOUs strongly suggested for each GARVEE issue. FM contacts OIPD for review/concurrence before final approval

Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT 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	HDA-NJ	Chief Financial Office	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	HDA-NJ	Capital Investment, Planning and Development	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	HDA-NJ	Capital Investment, Planning and Development	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	HDA-NJ	Capital Investment, Planning and Development	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	HDA-NJ	Capital Investment, Planning and Development	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	HAM-NJ	Capital Investment, Planning and Development and Accounting and Auditing	Division Office to receive the reports.



Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
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	<b>HPD-NJ Division Office will conduct concurrent review with HQ Office of Innovative Program Delivery.</b>	Project Management State DOT or Project Sponsor will prepare and submit Project Management Plan.	Division Office will provide approval after receiving concurrence from HQ Office of Innovative Program Delivery.
Financial Plan (Major Projects)	23 U.S.C. 106(h)(3)	Prior to first federal authorization of construction funds for a Major Project and then annually.	Annually as noted in the approved Initial Financial Plan	Office of Innovative Program Delivery	<b>HPD-NJ Division Office will conduct concurrent review with HQ Office of Innovative Program Delivery.</b>	Project Management 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	<b>HPD-NJ 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.</b>	Project Management 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	<b>HPL-NJ</b>	Multimodal Planning and Development	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	<b>HPL-NJ</b>	Multimodal Planning and Development	OST lead

Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
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	HPL-NJ	Multimodal Planning and Development	OST lead
Review HOV Operations Report for Tolled Use and Low-Emission and Energy-Efficient Vehicle Use	23 USC 166(d)	Annually		Office of Operations	HTS-NJ	Mobility & Systems Engineering	
Congestion Partnerships Assessment	Annual Memo from HQ	Annually	1-Jul	Office of Operations	HPL-NJ	Traffic Safety Management	Complete with partners and forward to HQ.
Traffic Incident Management Self-Assessment	Annual Memo from HQ	Annually	1-Jul	Office of Operations	HTS-NJ	Traffic Operations	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	HTS-NJ	Construction Services & Materials	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	HTS-NJ	Highway & Traffic Design	
Review Vehicle Size & Weight Enforcement Plan	23 CFR 657.11, 23 USC 127	Annually	1-Oct	Office of Operations	HPL-NJ	Multimodal Planning and Development	Complete
Review Vehicle Size & Weight Enforcement Certification	23 CFR 657.13, 23 USC 141	Annually	1-Jan	Office of Operations	HPL-NJ	Multimodal Planning and Development	Complete
Approval of National Network Modifications	23 CFR 658.11	As needed	Not Applicable	Office of Operations	HPL-NJ	Multimodal Planning and Development	

Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Intelligent Transportation System Architecture & Standards	23 CFR Part 940	As needed	Not Applicable	Office of Operations	HTS-NJ	Mobility & Systems Engineering	
Approval of Work Zone Significant Project Determination	23 CFR 630.1010	As needed		Office of Operations	HTS-NJ	Capital Program Support	
Approval of Exceptions to Work Zone Procedures for Interstate Projects	23 CFR 630.1010	As needed		Office of Operations	HTS-NJ	Highway and Traffic Design	
Approval of Work Zone Policy and Procedures Conformance Review	23 CFR 630.1014	At appropriate intervals		Office of Operations	HTS-NJ	Highway and Traffic Design	
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	HTS-NJ	Capital Program Support	
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	HPL-NJ	Capital Investment, Planning & Development	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	HPL-NJ	Capital Investment, Planning & Development	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	HPL-NJ	Statewide Planning	FHWA Division Office Approval.
Review of State Public Involvement Procedures	23 CFR 450.210(a)	As needed	Not Applicable	Office of Planning, Environment & Realty	HPL-NJ	Statewide Planning	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	HPL-NJ	Statewide Planning	Informational Purposes.

Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Review of Long-range Statewide Transportation Plan	23 CFR 450.214	As needed	Not Applicable	Office of Planning, Environment & Realty	HPL-NJ	Statewide Planning	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	HPL-NJ	Statewide Planning	Joint FHWA and FTA approval.
Approval of STIP Amendments	23 CFR 450.218(a) & (c)	As needed	Not Applicable	Office of Planning, Environment & Realty	HPL-NJ	Capital Investment, Planning & Development	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	HPL-NJ	Statewide Planning	FHWA and FTA issue a joint finding concurrent with STIP approval.
Review of State Self-certification that Planning Process is in Accordance with Applicable Requirements	23 CFR 450.218(a)	Submitted with proposed STIP or STIP amendments	Not Applicable	Office of Planning, Environment & Realty	HPL-NJ	Statewide Planning	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	HPL-NJ	Statewide Planning	
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	HPL-NJ	Statewide Planning	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	HPL-NJ	Statewide Planning	
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	HPL-NJ	Statewide Planning	

Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Approval of Report Before Publication (All MPO's)	23 CFR 420.117(e)	As needed	Not Applicable	Office of Planning, Environment & Realty	HPL-NJ	Capital Investment, Planning & Development	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	HPL-NJ	Statewide Planning	
Review of Metropolitan Planning Area Boundary (Establishment and Changes)	23 CFR 450.312	As needed	Not Applicable	Office of Planning, Environment & Realty	HPL-NJ	Statewide Planning	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	HPL-NJ	Statewide Planning	Require agreement between Governor and local governments.
Review of Metropolitan Planning Agreements (MPA) for Attainment or Entire Nonattainment Area	23 CFR 450.314(a)	When Completed	Not Applicable	Office of Planning, Environment & Realty	HPL-NJ	Statewide Planning	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	HPL-NJ		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	HPL-NJ	Statewide Planning	Must be developed and published.
Review of Metropolitan Transportation Plan (MTP) in Attainment Areas (and Updates)	23 CFR 450.322	Every 4 yrs	Not Applicable	Office of Planning, Environment & Realty	HPL-NJ	Statewide Planning	

Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Review of MTP in Non-Attainment and Maintenance Areas (and Updates)	23 CFR 450.322	Every 5 yrs	Not Applicable	Office of Planning, Environment & Realty	HPL-NJ	Statewide Planning	
Review of MTP Amendments	23 CFR 450.322(c)	As Needed	Not Applicable	Office of Planning, Environment & Realty	HPL-NJ		
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	HPL-NJ	Capital Investment, Planning & Development	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	HPL-NJ	Capital Investment, Planning & Development	No succinct Federal approval action is required for the TIP. FHWA/FTA approval of the TIP is through the STIP approval process.
Review of TIP Amendments	23 CFR 450.324(a); 23 CFR 450.328(b)	As needed	Not Applicable	Office of Planning, Environment & Realty	HPL-NJ	Capital Investment, Planning & Development	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	HPL-NJ	Capital Investment, Planning & Development	Applies to non-attainment and maintenance areas only. After receipt of MPO determination, joint determination with FTA (in cooperation with EPA).

Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
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	HPL-NJ	Capital Investment, Planning & Development	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	HPL-NJ	Capital Investment, Planning & Development	Required for all MPO's. May be included in the STIP, TIP, or UPWP, at least every 4 years.
In TMA's, Certification that Planning Process is in Accordance with Applicable Requirements	23 CFR 450.334(b), 23 USC 134(k)(5)	Every 4 yrs		Office of Planning, Environment & Realty	HPL-NJ	Capital Investment, Planning & Development	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	HPL-NJ	Capital Investment, Planning & Development	
Approval of Revision of Functional Classification	23 CFR 470.105 (b)	As needed	Not Applicable	Office of Planning, Environment & Realty	HPL-NJ	Statewide Planning	
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	HPL-NJ	Statewide Planning	Approval by HQ – Administrator.
Approval by Office Director of National Highway System (NHS) Additions and Revisions	23 USC 103(b)(3), 23 CFR 470.113 and 470.115(a)	As needed	Not Applicable	Office of Planning, Environment & Realty	HPL-NJ	Statewide Planning	Approved by HQ - Office Director.

Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Review of CMAQ Annual Report	CMAQ Guidance Memo October 31, 2006	Annually	1-Mar	Office of Planning, Environment & Realty	HPL-NJ	Capital Investment Planning and Development and Statewide Planning	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	HPL-NJ	Statewide Planning	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	HPL-NJ	Statewide Planning	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	HPL-NJ	Government and Community Relations	
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	HPL-NJ	Environmental Resources	
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	HPL-NJ	Environmental Resources	FHWA approves State' noise abatement policy.



Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
EIS Status Updates	FHWA Strategic Goal - EIS Timeliness	Quarterly	(Fiscal Year - Oct, Jan, Apr, Jul)	Office of Planning, Environment & Realty	HPL-NJ	Environmental Resources	Monitor time required to complete EIS's. Determine projects which have exceeded recommended timeline (3 years). Identify projects which should be listed as dormant. Submit to HEPE.
Endangered Species Act Cost Report		Annually	1-Mar	Office of Planning, Environment & Realty	HPL-NJ	Environmental Resources	
Exemplary Ecosystem Initiatives Applications		Annually	1-Apr	Office of Planning, Environment & Realty	HPL-NJ	Environmental Resources	
Approval of Acquisitions, Appraisals, and Relocations Program and Procedures	49 CFR Part 24, The UA	As needed	Not Applicable	Office of Planning, Environment & Realty	HPL-NJ	Right of Way and Access Management	
Early Acquisitions	23 CFR 710.501	As needed	Not Applicable	Office of Planning, Environment & Realty	HPL-NJ	Right of Way and Access Management	
Approval of Highway Facility Relinquishment	23 CFR 620.203	As needed	Not Applicable	Office of Planning, Environment & Realty	HPL-NJ	Right of Way and Access Management	
Approval of ROW Disposal Authorization Request	23 CFR 710.409	As needed	Not Applicable	Office of Planning, Environment & Realty	HPL-NJ	Right of Way and Access Management	

Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
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	HPL-NJ	Right of Way and Access Management	
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	HPL-NJ	Right of Way and Access Management	
Approval of Interstate Real Property Use Agreements	23 CFR 710.405	As needed	Not Applicable	Office of Planning, Environment & Realty	HPL-NJ	Right of Way and Access Management	
Approval of Request for Federal Land Transfer	23 CFR 710.601	As needed	Not Applicable	Office of Planning, Environment & Realty	HPL-NJ	Right of Way and Access Management	
Approval of Request for Direct Federal Acquisition	23 CFR 710.603	As needed	Not Applicable	Office of Planning, Environment & Realty	HPL-NJ	Right of Way and Access Management	
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	HPL-NJ	Right of Way and Access Management	
Approval of Requests to Exempt Certain Nonconforming Signs, Displays, and Devices	23 CFR 750.503	As needed	Not Applicable	Office of Planning, Environment & Realty	HPL-NJ	Right of Way and Access Management	

Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Approval of Railroad Agreement Alternate Procedure	23 CFR 646.220	As needed	Not Applicable	Office of Planning, Environment & Realty	HPL-NJ	Right of Way and Access Management	
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	HPL-NJ	Right of Way and Access Management	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	HPL-NJ	Right of Way and Access Management	Submitted to FHWA Headquarters (HQ).
Review of Real Property Acquisition Statistical Report	FHWA Order 6540.1	Annually	15-Nov	Office of Planning, Environment & Realty	HPL-NJ	Right of Way and Access Management	
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	HPL-NJ	Capital Investment, Planning & Development	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	HPL-NJ	Capital Investment, Planning & Development	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	HPL-NJ	Statewide Planning	FHWA Division Office Approval.

Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Approval of SPR research reports	23 CFR 420.117	Prior to publication unless prior approval is waved	Not Applicable	Office of Planning, Environment & Realty	HPL-NJ	Statewide Planning	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	HPL-NJ	Multimodal Planning and Development	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	HPL-NJ	Statewide Planning	Review memo to HQ
Approval of Certified Public Road Mileage	23 CFR 460.3(b)	Annually	1-Jun	Office of Highway Policy information	HPL-NJ	Statewide Planning	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	HPL-NJ	Statewide Planning	State DOT sends directly to Division Office and HQ.
Highway Statistics Reports	Guide to Reporting Highway Statistics			Office of Highway Policy Information	HPL-NJ	Statewide Planning	State DOT of Division Office sends directly to HQ.

Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
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	HAM-NJ	Accounting and Auditing	
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	HAM-NJ	Accounting and Auditing	
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	HAM-NJ	Accounting and Auditing	
Finance (534)	A Guide to Reporting Highway Statistics, Chapter 12	15-Jun	15-Jun	Office of Highway Policy Information	HAM-NJ	Accounting and Auditing	Annually for State, Biennially for local.
Finance (536)	A Guide to Reporting Highway Statistics, Chapter 11	30-Sep	30-Sep	Office of Highway Policy Information	HAM-NJ	Accounting and Auditing	Biennially for odd-numbered years. Due nine months after end of reporting year.
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	HAM-NJ	Accounting and Auditing	Annually, Due as soon as available.
State DOT Budgets and Published Annual Reports	A Guide to Reporting Highway Statistics, Chapter 13	When Published	When Published	Office of Highway Policy Information	HAM-NJ	Budget	
Transportation Bond Referendums	A Guide to Reporting Highway Statistics, Chapter 9	When Published	When Published	Office of Highway Policy Information	HAM-NJ	N/A	This activity does not apply for NJ.

Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Highway Finance and Tax Legislation	A Guide to Reporting Highway Statistics, Chapter 13	When Published	When Published	Office of Highway Policy Information	HAM-NJ	Legislative, Administrative & Regulatory Actions	
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	HPL-NJ		Division Office sends to HQ.
State Highway Maps (Tourist)		When Published	When Published	Office of Highway Policy information	HPL-NJ	Budget	Two copies to each Division Office and 100 copies to HQ.
Traffic Flow Maps		When Published		Office of Highway Policy information	HPL-NJ	Multimodal Planning and Development	When Published.
Vehicle Classification Data	MAP-21, HPMS Field Manual, Traffic Monitoring Guide	15-Jun	15-Jun	Office of Highway Policy Information	HPL-NJ	Multimodal Planning and Development	Part of Annual HPMS submittal.
Permanent ATR Data	Heavy Vehicle Travel Information System Field Manual	Monthly	Monthly	Office of Highway Policy Information	HPL-NJ	Multimodal Planning and Development	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	HPL-NJ	Multimodal Planning and Development	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	HPL-NJ	Multimodal Planning and Development	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.

Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Motor Fuel Oversight Review	July 24, 2001 HQ Memo	Initial baseline reports no later than December 31, 2003		Office of Highway Policy Information	<b>HAM-NJ</b>	Accounting and Auditing	Annual progress reports and statement of verification by June 30. Submitted via UPACS.
Highway Use Tax Evasion Grant Awards	23 USC 143	Annual	Not Applicable	Office of Highway Policy Information	<b>HAM-NJ</b>	N/A	This activity does not apply for NJ.
Heavy Vehicle Use Tax (HVUT) – Certification of verifying proof-of-payment of HVUT	23 CFR 669.7	Annual	1- Jul	Office of Highway Policy Information	<b>HAM-NJ</b>	Chief Administrator, NJ Motor Vehicle Commission	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	<b>HAM-NJ</b>	Chief Administrator, NJ Motor Vehicle Commission	Each year, the Governor of each State, or a designee must certify that the State is verifying that the HVUT has been paid before they issue or renew registrations on vehicles over 55,000 lbs. The HVUT program is administered by the Internal Revenue Service.

Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Heavy Vehicle Use Tax (HVUT) – Triennial review of State program	23 CFR 669.21	Triennial	Not Applicable	Office of Highway Policy Information	<b>HAM-NJ</b>	Chief Administrator, NJ Motor Vehicle Commission	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.
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	<b>HTS-NJ</b>	Multimodal Planning and Development	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	<b>HTS-NJ</b>	Multimodal Planning and Development	As per MAP-21 guidance, reports are due to FHWA Division Office by August 31st and to the Office of Safety by September 30.
Transportation Performance Management (TPM) for Safety	23 USC 150, 23 USC 134, 23 USC 135, 23 USC 148(i)	Annually	31-Aug	Office of Safety	<b>HTS-NJ</b>	Multimodal Planning and Development	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	<b>HTS-NJ</b>	Legislative, Administrative and Regulatory Actions	Certifications due to the Division Office by January 1.



Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Section 154/164 Compliance Status - Funds Reservation	23 USC 154 and 23 USC 164	Annually	30-Oct	Office of Safety	HTS-NJ	Multimodal Planning and Development	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	HTS-NJ	Multimodal Planning and Development	NHTSA
High Risk Rural Roads (HRRR) Special Rule	23 USC 148(g)(1)	Annually	Annually	Office of Safety	HTS-NJ	Multimodal Planning and Development	After the final FARS and HPMS data are available, FHWA HQ will inform the States if the HRRR Special Rule applies for the following FY.
Older Drivers and Pedestrians Special Rule	23 USC 148 (g)(2)	Annually	31-Aug	Office of Safety	HTS-NJ	Multimodal Planning and Development	States should include in their annual HSIP reports (due August 31st) the calculations performed, verifying whether the Older Driver Special Rule applies in the State. If the Special Rule applies to a State in a given year, the State must include in its subsequent SHSP strategies to address the increases in the fatality and serious injury rates for drivers and pedestrians over the age of 65.

Activity	Authority	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
FHWA Emergency Preparedness Program	Executive Order 12656 and FHWA Order 1910.2C	As needed	Not Applicable	Office of Operations	HTS-NJ	Operations	National Programs.

FHWA Team Legend

Team	Name
HAM-NJ	Finance Team
HPL-NJ	Planning & Environment Team
HPD-NJ	Project and Program Delivery Team
HTS-NJ	Technical Services Team
HDA-NJ	Division Administrator

\*The Performance Manager/Engineering Coordinator is responsible for Pavement and Materials, standards and specifications.

**ATTACHMENT C**  
**MANUALS AND OPERATING AGREEMENTS**

**AASHTO**

1. Highway Definitions
2. Roadside Design Guide
3. A Policy on Design Standards- Interstate Systems
4. A Policy on U-Turn Median Openings on Freeways
5. AASHTO Guide for the Design of Pavement Structures
6. AASHTO- An Informational Guide for Roadway Lighting
7. AASHTO LRFD Bridge Design Specifications
8. AASHTO Standard Specifications for Highway Bridges
9. AASHTO LRFD Moveable Highway Bridges Design Specifications
10. AASHTO Standard Specifications for Structural Supports for Highway Signs, Luminaires and Traffic Signals
11. AASHTO Manual on Foundation Investigations
12. AASHTO/AWS Bridge Welding Code
13. AASHTO Guide Specifications for Horizontally Curved Highway Bridges
14. AASHTO Guide Specifications for Fracture Critical Non-redundant Steel Bridge Members
15. AASHTO Guide for the Development of Bicycle Facilities
16. AASHTO Guide for the Planning, Design and Operation of Pedestrian Facilities
17. AASHTO Highway Safety Manual

**NJDOT**

1. Roadway Design Manual
2. Bridges & Structures Design Manual
3. Road User Cost Manual
4. Design Exceptions Manual
5. Survey Manual
6. New Jersey State Highway Access Management Code
7. Procedure: Designer Requirements for Revocations, Modifications and Adjustments of Access, dated April 2001, Office of Access Design
8. Maintenance Manual
9. Pavement Design Manual (AASHTO Companion)
10. Soil Erosion and Sediment Control Standards
11. Standard Specifications for Road and Bridge Construction
12. Electrical Material Specifications
13. Standard Roadway Construction/Traffic Control! Electrical/Bridge Construction Details
14. Sample Plans

15. CADD Manual
16. Context Sensitive Design Policy- Document#200113, October4, 2001
17. Context Sensitive Design Training Manual
18. Capital Project Delivery Website
19. Construction Procedures Handbook
20. Construction Schedule Manual
21. All required Baseline Document Changes, Corrective Action Notices and Quality Improvement Advisories
22. NJ Utility Accommodation Policy NJAC 16:25
23. Right of Way Manual
24. Diagnostic Team Leader Manual for Highway Rail Grade Crossing Diagnostic Team Process
25. NJDOT Complete Streets Policy
26. NJDOT Pedestrian Compatible Planning and Design Guidelines
27. NJDOT Bicycle Compatible Planning and Design Guidelines
28. NJDOT Traffic Monitoring Program

#### **OTHERS**

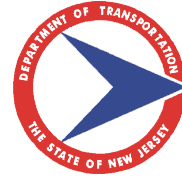
1. AREMA Manual for Railway Engineering
2. TRB Highway Capacity Manual
3. Manual on Uniform Traffic Control Devices
4. FHWA Roadway Lighting Handbook
5. ITE Handbook
6. Illuminating Engineering Society (IES) Lighting Handbook
7. NFPA National Electric Code (NEC)
8. National Electrical Manufacturers Association (NEMA)
9. American Society for Testing and Materials (ASTM)
10. Underwriters Laboratories (UL)
11. Occupational Safety and Health Administration (OSHA)
12. FHWA Federal Aid Policy Guide (FAPG)
13. Hydraulic Engineering Circular No. 19, Hydrology
14. Hydraulic Engineering Circular No. 12, Drainage of Highway Pavements
15. Hydraulic Engineering Circular No. 22, Urban Drainage Design Manual
16. Hydraulic Design Series No.5, Hydraulic Design of Highway Culverts
17. NJDEP Technical Manual for Stream Encroachment Permits
18. HEC 1, Flood Hydrograph Package
19. HEC 2, Water Surface Profile
20. HEC RAS, River Analysis System
21. HEC 18 Evaluating Scour at Bridges
22. HEC 20 Stream Stability at Highway Structures
23. HEC 23 Bridge Scour and Stream Instability Countermeasures

24. HY 8, FHWA Culvert Analysis
25. R 20, Project Formulation, Hydrology
26. TR 55, Urban Hydrology for Small Watersheds
27. Hydrain Drainage Analysis
28. American Standard for Nursery Stock, American Association of Nurserymen, Inc.
29. Hortus III
30. NACTO Urban Street Design Guide
31. FHWA Traffic Monitoring Guide (2013)
32. Highway Performance Monitoring System (HPMS) Field Manual (2014)
33. Highway Functional Classification Concepts, Criteria & Procedure

# ATTACHMENT D



## **FHWA-NJ / NJDOT** **MUTUAL SERVICE AGREEMENT**



In an effort to establish expectation levels of each agency, to assist in meeting goals, and to deliver our mutual services for the benefit of the public, the Federal Highway Administration New Jersey Division (FHWA-NJ) and New Jersey Department of Transportation (NJDOT) have jointly developed the following goals. This agreement does not supercede any of the requirements of Title 23, United States Code or its implementing regulations.

### **Joint Service Standard**

Both agencies agree that the goal is to deliver each element of projects and programs in a balanced, predictable manner (i.e., without major changes in the approved program). A “balanced” program addresses the full range of projects and program needs for the citizens of New Jersey.

All authorization requests or other types of approval requests by the NJDOT to the FHWA-NJ will be complete in every aspect, will be in accordance with existing policies and procedures, will be submitted on schedule, within budget, and will result in projects or other provided services that meet the requirements of each of the parties. The resultant projects or provided services will be efficient and of sufficient quality to meet the purpose and need of the goal to be accomplished.

The Department’s Project Manager or other NJDOT official in responsible charge of the project or program, and the FHWA-NJ’s Engineer or other FHWA-NJ official, shall be authorized to discuss and enter into the resolution of any project issues. Overall coordination, decision making or any issues that are encountered will be discussed and resolved at the lowest responsible staff level. If the need arises for escalation, it should be carried out as defined within each organization’s delegation of authority. Any unresolved issues will be elevated by both staffs within two weeks if agreement cannot be reached. If the unresolved issue requires an accelerated decision, the two week timeframe noted will be reduced and coordinated. It is the goal of both agencies to resolve differences quickly and efficiently, in a professional manner and without personal confrontations.

**Project & Program Delivery** - All projects and programs should follow NJDOT's official approved processes and any deviations from a standards process or procedure shall be coordinated and fully disclosed to the FHWA-NJ either prior to the submission, or in the opening overview of the submission.

**General Requests for Information** – FHWA-NJ periodically may request program and project level information in accordance with Federal requirements and/or to assist in addressing requests from agencies such as OIG, GAO, etc. FHWA-NJ will provide a clear outline of the information required and a timeframe. NJDOT provides the required information within the requested timeframe 100% of the time if reasonable, and the information is complete and accurate at a 90% level. NJDOT periodically may request program and project level information from FHWA. First point of Contact between the two agencies will be between NJDOT and the FHWA New Jersey Division.

**Recurring and Required Program Reviews** – FHWA-NJ program staff will provide NJDOT with the appropriate notice of the required actions in accordance with Appendix B - Program Responsibility Matrix. The notice will provide a clear outline of the information required and a timeframe. NJDOT provides the required information within the requested timeframe 100% of the time and the information is complete and accurate at a 90% level.

**Program Review Recommendations** – FHWA-NJ will initiate all program reviews with a letter to the appropriate Assistant Commissioner. FHWA-NJ will provide the scope of each review and overall schedule. At the conclusion of the review FHWA-NJ, in coordination with NJDOT review team members, will provide a final report that may contain recommendations. FHWA-NJ will conduct program review closeouts as necessary. NJDOT will respond to all program review initiation letters with NJDOT staff assigned to participate in the review. NJDOT will provide cooperation and participation throughout the course of the review. All findings and recommendations made by FHWA-NJ for each program review are responded to within 30 days and addressed within agreed upon timeframes.

**Oversight Determinations** - All projects follow the process outlined in the [6/21/2017 Clark-Bertoni letter](#). FHWA-NJ attends CPSC meetings and makes project oversight determinations in coordination with NJDOT counterparts. NJDOT provides advance copies of CPSC agenda. No projects should advance to CPC without following the prescribed process or coordinating with FHWA point of contact prior to advancing.

**Change Control Board** – FHWA-NJ is invited to Change Control Board Meetings and provides appropriate project guidance for Federally Funded Projects. NJDOT provides a detailed description and supporting documentation of the project changes prior to the CCB meeting. NJDOT provides FHWA-NJ with a copy of the final CCB action.

**Environmental Documents** – FHWA-NJ approval of all environmental documents (EA/FONSI, EIS/ROD, non-self-certified CED, 4(f), 106, 6(f) etc.) are required by Federal laws and regulations. Submission and review times/standards will differ based on magnitude of document, starting with 14 day approval for CEDs and graduating from there. The NJDOT will submit all environmental documents, with exception of self-certified CEDs and ERs that do not require approval, to FHWA-NJ for review.

**Proprietary products** – In accordance with 23 CFR 635.411, the NJDOT will submit all requests for public interest findings or experimental requests on the NHS for approval. FHWA-NJ will provide approval/comment of all public interest findings or experimental requests for proprietary products within 14 days. NJDOT will provide all delegated Proprietary product approvals by the NJDOT to the FHWA-NJ Engineering Coordinator for record.

### **Joint Service Standards - Projects**

**Delegated Projects (Non-PoDIs)** - Delegated Projects are defined by the Risk Based Stewardship and Oversight process (Non-PoDI) and further outlined within Attachment A. The NJDOT is responsible for ensuring all authorization requests or other types of requests will be complete in every aspect, will be in accordance with existing policies, procedures, all federal requirements and will be submitted on schedule and within budget.

**Projects of Division Interest (PoDIs)** – Both agencies to follow the required oversight elements and reviews as agreed to within each projects Individual Project Plan (IPP). The NJDOT is responsible for ensuring all authorization requests or other types of requests will be complete in every aspect, will be in accordance with existing policies and procedures, and will be submitted on schedule, within budget. The FHWA-NJ is responsible for ensuring all authorization requests or other types of requests are complete in every aspect, and authorized in accordance with existing policies, procedures and all Federal requirements.



## **Joint Service Standards – Work Programs**

The NJDOT is responsible for ensuring all authorization requests or other types of requests will be complete in every aspect, will be in accordance with existing policies and procedures, and will be submitted on schedule, within budget. Programs include all annual submissions of work programs in accordance with the approved STIP from all NJDOT Units, including but not limited to Traffic Operations, Mobility & Systems Engineering, Bridge Engineering & Infrastructure Management and Operations.

### **Schedule/Preparation of Work Programs between FHWA-NJ & NJDOT**

- |                    |   |
|--------------------|---|
| <b>October 15</b>  | NJDOT will develop a draft version of all work programs and submit to the FHWA-NJ by October 15th of each year – Goal is 95% acceptable |
| <b>October 31</b>  | FHWA-NJ will review a draft copy of the work program and advise NJDOT of any necessary revisions by October 31st of each year           |
| <b>November 15</b> | FHWA-NJ to notify NJDOT of any unresolved issues with the work program if any exist   |
| <b>November 24</b> | If there are unresolved issues, a meeting will be scheduled between FHWA-NJ and NJDOT.  |
| <b>December 1</b>  | NJDOT will submit the final version of the work program to FHWA-NJ by December 1st of each year   |
| <b>December 15</b> | FHWA-NJ finalizes review and approves work program  |
| <b>April 15</b>    | NJDOT submits final acceptance/project close out request for all works programs authorized from the previous year                       |

Note: Traffic Operations, Mobility & Systems Engineering (NJDOT - TSM) annual work programs require April 15 for final acceptance requests to allow for the payment of purchase orders and close out of projects properly during the first quarter of the year.

## Joint Service Standards - Financial Transactions

1. **FMIS Project Module Transactions.** NJDOT FMIS5 project authorization or modification requests will be complete, correctly coded, and when related to a PoDI project be submitted only after pre-approval by the area engineer or subject matter expert. All supporting documents referenced in non-PoDI transactions will be maintained by NJDOT's Bureau of Program Coordination and be available for on-site inspection. FHWA-NJ will process transactions meeting this requirement on average within 5 working days with none exceeding 10 working days.
2. **FMIS Current Billing Transactions.** NJDOT will prepare justifications for any credit transaction exceeding \$25,000 and submit such justification when the bill is posted in FMIS5. FHWA-NJ will process Current Bill transactions within 2 working days of receipt.
3. **Inactive Obligations.** NJDOT will submit justifications for the quarterly FIRE Workbook list of projects within 60 days of quarter end. Each justification will answer why the project became inactive, provide a current cost estimate, provide a current status, and describe when the project is expected to become active again. In those instances where the current obligation exceeds the current cost estimate the obligation will be reduced no later than end of that quarter. FHWA-NJ will advise NJDOT of any inadequate justifications with 15 calendar days of receipt.
4. **Indirect Cost Allocation Plan.** NJDOT will submit its annual Indirect Cost Allocation Plan by no later than January 1<sup>st</sup> each year including CFO certification and all supporting accounting reports referenced in the plan. FHWA-NJ will approve or disapprove the plan no later than April 1 each year.
5. **Toll Credit Accounting.** NJDOT will submit its annual Toll Credit Accounting for the previous state fiscal year by no later than January 1 each year including a maintenance of effort calculated and full accounting for toll credits earned and used during the period. FHWA-NJ will approve or disapprove the calculations no later than April 1 each year.
6. **Transfers.** NJDOT will submit transfer of funding requests which includes documentation showing the amount of apportionments that are available by fiscal year for the program code being used. FHWA-NJ will approve or disapprove the transfer requests no later than 5 working days of receipt. For planning purposes NJDOT should allow at least 3 weeks for FHWA-CFO to approve the transfer.

## **Joint Service Standards – Preparation of SPR Programs**

- July 1** FHWA to provide early guidance for SPR program.
- September 1** NJDOT to prepare and submit a complete, accurate draft SPR Planning/Traffic Monitoring work program to FHWA and the 3 MPOs.
- September 15** NJDOT to prepare and submit to FHWA draft budget of all SPR/Management Systems Work Program.
- October 1** 3 MPOs to provide comments to NJDOT.
- October 18** NJDOT evaluates MPO comments and submits comments and revisions to FHWA.
- October 27** FHWA to review and send comments (Goal is 95% accepted). Written comments from FHWA will be forwarded to NJDOT contact person (Manager, Statewide Planning Strategies) requesting resolution.
- November 9** On or before 10/31, NJDOT to provide FHWA with identified additional information or corrections.
- November 17** FHWA to notify NJDOT of any unresolved issues. If there are no further issues, NJDOT will prepare the authorization request with final adjusted budget.
- December 1** After final resolution of issues, NJDOT will submit an authorization request with the finalized SPR program, including final budget and resolution summary (where/how comments were addressed).
- December 5** FHWA finalizes review and authorizes the program with an effective start date of January 1.

**FY 2018 – 2021 STIP**  
**Work Program Schedule**  
**as of 6/27/2017**

- June 20**      Constrained draft STIP to MPOs (database)
- June 30**      Draft STIP to MPOs for public process (STIP document)
- June 30**      Draft STIP to FHWA & FTA for comment (STIP document)
- August 11**    FHWA & FTA final comments on draft STIP
- August 25**    NJDOT & NJ Transit reply to federal agencies
- September 8**   Draft STIP database closed
- September 15** Final STIP database to MPOs
- September 25** SJTPO adopt TIP, Conformity
- October 26**    DVRPC adopt TIP, LRP, Conformity
- November 13** NJTPA adopt TIP, LRP, Conformity
- December 1**    MPO TIPs & conformity determinations to NJDOT
- December 8**    Submit MPO TIPs & conformity determinations to FHWA, FTA & EPA
- January 1**      FHWA, FTA, EPA approval of MPO TIPs & conformity determinations
- January 1**      FHWA & FTA approval of STIP
- January 1**      FY 2018-2021 STIP effective