

Tribal Transportation Program Delivery Guide - 2020

A Guide for Tribes with an FHWA
Tribal Transportation Program Agreement



April 24, 2020

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Acronyms

AA	Associate Administrator
AASHTO	American Association of State Highway and Transportation Officials
ACH	Automated Clearing House
ADA	Americans with Disabilities Act
AADT	Annual Average Daily Traffic
ADT	Average Daily Traffic
ANCSA	Alaska Native Claims Settlement Act
BIA	Bureau of Indian Affairs
BIADOT	Bureau of Indian Affairs Division of Transportation
BLM	Bureau of Land Management
CE	Categorical Exclusion
CEQ	Council on Environmental Quality
CFL	Central Federal Lands
CFR or C.F.R.	Code of Federal Regulations
CM	Contract Modification
CPA	Certified Public Accountant
DOI	Department of Interior
DOT	Department of Transportation
DUNS	Data Universal Numbering System
EA	Environmental Assessment
EFL	Eastern Federal Lands
EIS	Environmental Impact Statement
ERFO	Emergency Relief for Federally Owned Roads
FAC	Federal Audit Clearinghouse
FAST Act	Fixing America's Surface Transportation Act
FHWA	Federal Highway Administration
FLH	FHWA Office of Federal Lands Highway
FONSI	Finding of No Significant Impact
FTA	Federal Transit Administration, Department of Transportation
FY	Fiscal Year
HRRRP	High Risk Rural Roads Program
HSIP	Highway Safety Improvement Program
IBC	Interior Business Center of the U.S. Department of Interior
ICR	Indirect Cost Rate
IRR	Indian Reservation Roads
ISDEAA	Indian Self-Determination and Education Assistance Act
LRTP	Long Range Transportation Plan
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
MPO	Metropolitan Planning Organization
MSHA	Mine Safety and Health Administration
MUTCD	Manual on Uniform Traffic Control Devices

Acronyms (cont'd.)

NACE	National Association of County Engineers
NEPA	National Environmental Policy Act
NHTSA	National Highway Traffic Safety Administration
NMFS	National Marine Fisheries Service
NTTFI	National Tribal Transportation Facility Inventory
OIG	Office of Inspector General
OMB	Office of Management and Budget
OSG	Office of Self Governance
OSHA	Occupational Safety and Health Administration
OTT	FLH Office of Tribal Transportation
PA	Program Agreement; also known as a TTPA
PDDM	Project Development and Design Manual
PFSA	Program, Functions, Services, and Activities
P.L.	Public Law
POC	Point of Contact
PORT	Program Online Reporting Tool
PS&E	Plans, Specifications, and Estimates
RFA	Referenced Funding Agreement
RIFDS	Road Inventory Field Data System
ROD	Record of Decision
ROW	Right-of-Way
SAFETEA- LU	Safe, Accountable, Flexible, Efficient Transportation Equity Act
SRTS	Safe Routes to School
STIP	State Transportation Improvement Program
TC	Tribal Coordinator (employee of FHWA)
TERO	Tribal Employment Rights Ordinance
TFMMS	Transportation Facilities Maintenance Management System
TOSR	Tribal On-Site Representative
TRB	Transportation Research Board
TSR	Title Status Reports
TTAP	Tribal Technical Assistance Program
TTIP	Tribal Transportation Improvement Program
TTP	Tribal Transportation Program
TTPA	Tribal Transportation Program Agreement
TTPSF	Tribal Transportation Program Safety Funding
TTPTIP	Tribal Transportation Program Transportation Improvement Program
US or U.S.	United States
USC or U.S.C.	The Code of Laws of the United States of America
USFWS	United States Fish and Wildlife Service
WFL	Western Federal Lands

Forward

The TTP, originally known as the IRR Program, was established by the Surface Transportation Assistance Act of 1982, and addresses transportation needs of the 573 federally recognized Indian Tribes and Alaska Native Villages by providing funds for planning, designing, construction, and maintenance activities. The program is jointly administered by the FHWA and the BIA in accordance with a memorandum of understanding. The regulations for carrying out the TTP are in 25 CFR Part 170.

Under the FAST Act, the TTP is authorized at \$465 million in FY 2016 with annual increases of \$10 million/FY through FY 2020. Other than a 5% set aside for BIA and FHWA to conduct program management and oversight, and an obligation limit that may be set by Congress, all funding is made available to Tribes either as Tribal shares or through set-asides for planning, and safety and bridge projects and activities. The Tribal shares are determined via a statutory funding formula defined in USC § 202(b).

Any transportation facility that provides access to or is located within Tribal lands may be eligible for inclusion in the NTTFI. These roads, trails and other facilities provide transportation and public access to, within, and through Indian reservations and native communities for Native Americans, visitors, recreational users, resource users, and others, while contributing to the health, safety and economic development of Native American communities. There are currently more than 161,000 miles of roads in the NTTFI. Approximately 31,500 miles are BIA roads and another 27,000 are Tribal roads. All of the remaining mileage is owned by others including States, counties, townships, boroughs, or other Federal agencies.

SAFETEA- LU (P.L. 109-59 (2005)) gave Tribes the option of working directly with FHWA in the administration of their IRR program. This option has continued through subsequent highway authorizations.

The *IRR Program Delivery Guide* was first developed in 2008 to assist Tribes in the management of their IRR program. It was intended to explain the IRR Program Agreements while providing relevant technical assistance. The *Tribal Transportation Program Delivery Guide - 2020* is an updated version of the guide, and is intended for use by Tribes with FHWA Program Agreements. The *Tribal Transportation Program Delivery Guide - 2020* is an important reference and it provides assistance in delivering the Tribal Transportation Program.

Roads, bridges, trails and other facilities are vital transportation links, and are of particular importance in Indian Country. FHWA looks forward to working with Tribes in the successful delivery of this important program.

Timothy Hess
Associate Administrator
Office of Federal Lands Highway
Federal Highway Administration

I. Purpose of the Program Delivery Guide

The fundamental purpose of this document is to provide guidance to eligible Tribes ¹ entering into, or already having, a TTPA with FHWA.

The *Tribal Transportation Program Delivery Guide - 2020* clarifies the terms, roles and responsibilities, and provisions for the Tribes and FHWA as outlined in the TTPA. It assists Tribal governments in the administration of the TTP, and sets out the processes and procedures used by FHWA to carry out its program management and oversight responsibilities.

In addition, the *Tribal Transportation Program Delivery Guide - 2020* may serve as a technical resource for Tribal governments, Federal agencies, and State and local governments.

Additional information on the TTP can be obtained from these websites:

- Office of Federal Lands Highway's Tribal Transportation Program at <https://highways.dot.gov/federal-lands/programs-tribal>
- The BIA Division of Transportation at <https://www.bia.gov/bia/ois/division-transportation>

¹ Wherever “**Tribe**” appears in this document, “**Consortium**” also applies. FHWA will work with a Tribal Consortium the same as a Tribe.

II. Tribal Transportation Program (TTP)

2.1 Overview

The TTP is an important component of a Tribe's overall infrastructure investment strategy. The TTP is a Federal program, with requirements and responsibilities that each Tribe needs to fully understand.

A. Statutory/Regulatory Requirements. In administering its TTP, a Tribal government is required to comply with the provisions of Title 23 of the United States Code, 25 CFR 170, and P.L. 114-94 (the FAST Act). A Tribal government is also required to comply with the terms of its most current executed TTPA with FHWA. See 25 CFR §§170.170.2 through 170.4 for policies and requirements that apply to the TTP.

Federal law gives hiring and training preferences to Indians for all work performed under the TTP (25 CFR §§ 170.911-170.914). Under 25 U.S.C. § 5307(b), Indian organizations and Indian-owned economic enterprises are entitled to a preference in the award of contracts, subcontracts, and subgrants for all work performed under the TTP.

The following is a list of key statutes and regulations related to the implementation and oversight of the TTP:

- 25 CFR § 170 – TTP at [25 CFR 170](#)
- 23 U.S.C. § 202 – Tribal Transportation Program
- 23 CFR § 625 – Design Standards for Highways
- 23 CFR § 630 – Preconstruction Procedures
- 23 CFR § 650 – Bridges, Structures, and Hydraulics
- 23 CFR § 661 – Indian Reservation Road Bridge Program
- 23 CFR § 710 – Right-of-Way
- 23 CFR § 771 – Environmental Impact and Related Procedures
- 29 CFR § 1910 – Occupational Safety and Health Standards
- 25 U.S.C. § 5307(b) – Wage and Labor Standards

B. Federal Agencies which administer the TTP. Federal agencies must work cooperatively together in a government-to-government relationship with Tribes to administer the TTP. Below is a short description of the two Federal agencies which administer the TTP.

1. FHWA. The FHWA has the broad responsibility of ensuring that America's roads and highways continue to be safe and efficient. Although State, local, and Tribal governments own most of the Nation's highways, FHWA provides financial and technical support for constructing, improving, and preserving the highway system. The FHWA's funding is divided between two programs areas: (1) Federal-aid funding to State and local governments; and (2) FLH funding for the TTP and for transportation systems in National Parks, National Forests, Indian lands, and other land under Federal stewardship.

a. Federal-aid Program. There are 52 Federal-aid division offices (one in each State, the District of Columbia, and Puerto Rico), located in the same city as the State Department of Transportation, usually the State capital. Federal-aid division offices provide Federal-aid program delivery and technical assistance to partners and customers in the highway transportation industry.

b. Federal Lands Highway Program. There are three FLH Divisions: EFL, CFL, and WFL, providing engineering related services (design, environmental, contract advertisement and

award, and construction management), and engineering technology information to Federal, State, and local agencies/governments, and Tribes.

- **EFL** is located in Sterling, Virginia serves the eastern United States, Puerto Rico, and the Virgin Islands.
- **CFL** is located in Lakewood, Colorado serves the central United States, Hawaii, and American Samoa.
- **WFL** is located in Vancouver, Washington serves the northwestern United States and Alaska.

The OTT is also included in FLH and is responsible for administration of the TTP.

Information on FLH is at <https://highways.dot.gov/federal-lands>

FHWA contact information and other TTP related information is at <https://highways.dot.gov/federal-lands/programs-tribal/contact-info>

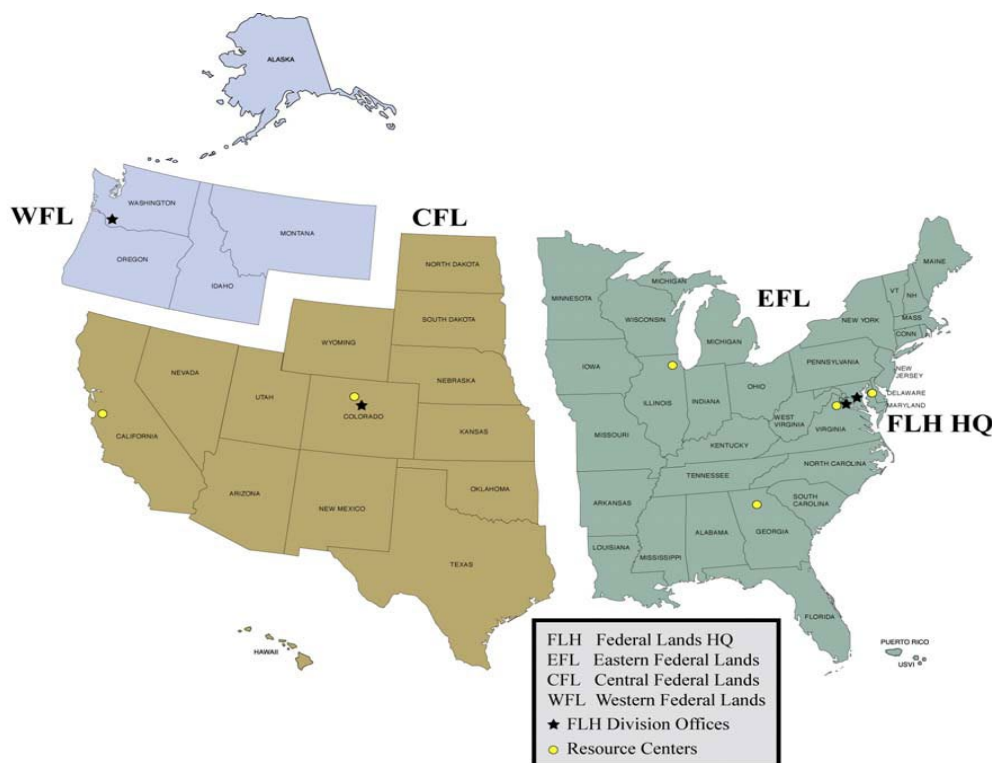


Figure 2.1: Locations of the three FLH Divisions' service areas

2. **The BIA.** The BIA is an agency of the United States DOI, under the Assistant Secretary of Indian Affairs, with the primary responsibility for the administration and management of approximately 66 million acres of land held in trust by the United States for American Indians, Indian Tribes, and Alaska Natives. The BIA is organized into 12 Regions, each with a TTP component that provides engineering, construction, and road maintenance services for roads on or leading to Reservations and Tribal lands or villages. See **Figure 2.2** for a map of the BIA Regions.
 - a. **BIADOT** is the Division of BIA overseeing the road maintenance and road construction programs for the TTP. BIADOT has two central offices (Washington, DC and

Albuquerque, NM) that are responsible for policy coordination and budgeting. Staff members at BIADOT support the BIA Tribal Transportation Program.

BIA contact information and other TTP related information is at

<https://www.bia.gov/bia/ois/division-transportation>



Figure 2.2: Locations of BIA Regional Offices and boundaries

3. **OSG.** The OSG is also a part of the DOI and is under the Assistant Secretary of Indian Affairs. The office is responsible for implementing the Tribal Self-Governance Act, the Indian Self-Determination and Education Assistance Act (P.L. 93-638), and Joint Funding Simplification Act (P.L. 95-510) as it pertains to Indian Self-Determination. The Office develops and implements regulations, policies, and guidance in support of the Self-Governance initiatives; facilitate the negotiation of annual funding agreements with eligible Tribes and consortia; coordinates the collection of budget and performance data from Self-Governance Tribes; and resolves issues that are identified in financial and program audits of Self-Governance operations.

C. TTP Coordinating Committee (See 25 CFR §§ 170.135 through 170.137). The TTP Coordinating Committee consists of 24 Tribal representatives (two from each BIA Region), and two non-voting Federal representatives (from FHWA and BIA). The principal duties of the Committee are:

- Provides input and recommendations to BIA and FHWA in developing TTP regulations, policies and procedures; and
- Supplements government-to-government consultation by coordinating with and obtaining input from Tribes, BIA, and FHWA.

2.2. Allowable Uses of TTP Funds

- A. TTP Funding - Overview.** The calculation and distribution of annual TTP funding shares to individual Tribes is described in 25 CFR §§ 170.200 through 170.205.
- B. Allowable Uses of TTP Funds.** TTP funds are Federal funds that Tribes can spend only on allowable activities. See 25 CFR §§ 170.111, 170.112. Also, TTP funds provided to Tribes can only be spent on eligible projects and activities identified in an FHWA-approved TIP (see 25 CFR § 170.204).

Allowable uses of TTP funds are described in 25 CFR 170 Appendix A to Subpart B, 25 CFR 170 Subpart G, 25 CFR Part 170 Appendix to Subpart G, 25 CFR §§ 170.132-134, and 25 CFR § 170.607.

The most common allowable activities for Tribes to spend TTP funds on are:

1. Planning and Design Activities:

- Indirect general and administrative costs include, but are not limited to, computers, software, office furniture, and other equipment needed to administer the TTP. See the section on [Indirect Cost](#) in Chapter IV - TTP Reporting Responsibilities.
- Transportation-related planning and programming activities (including but not limited to roadway, trails, transit, and safety planning and programming, and planning for tourism and recreational travel).
- Identification and evaluation of accident prone locations.
- Planning and design of Tribal transportation facilities.
- Engineering support studies (i.e. geotechnical, hydraulic, etc.)
- Environmental studies, evaluations, and compliance activities.
- Planning and design of mitigation for impacts to environmental resources (i.e. wildlife and their habitat, wetlands, cultural resources, water quality, air quality, etc.).
- Architectural and landscape engineering services including lighting.
- Inspection of bridges and structures.
- Public meetings and public involvement activities.
- TERO fees.

2. Construction and Maintenance activities:

- Construction, reconstruction, rehabilitation, resurfacing, restoration, and operational improvements of TTP facilities (i.e. roads, trails, bridges, structures, pedestrian and bicycle facilities, transit facilities, ferry facilities, rest areas, parking areas, etc.).
- Use of a Tribe's allocation of TTP funds for contract support costs.
- Road sealing and chip sealing.
- ADA improvements.
- Seasonal transportation routes including, but not limited to, snowmobile trails, ice roads, and overland winter roads (also see 25 CFR § 170.117).
- Mitigation activities required by Tribal, State, or Federal regulatory agencies, and 42 U.S.C. § 4321 *et seq.*, NEPA. See 25 CFR Part 170 Appendix A to Subpart B for other environmental related allowable costs.
- TERO fees.

- Maintenance of TTP facilities identified in the NTTFI (25 CFR § 170.805). Not more than 25% or \$500,000, whichever is greater, of the TTP funds allocated to a Tribe may be expended for the purpose of maintenance. This funding limit does not apply to road sealing (25 CFR § 170.800(c)). See [Chapter XI - Maintenance of Transportation Facilities](#).
- Development and negotiation of Tribal-State road maintenance agreements.
- Purchasing, leasing or rental of construction and/or maintenance equipment. See [Chapter X - Construction and Construction Engineering](#) and [Chapter XI - Maintenance of Transportation Facilities](#).

C. Spending Limits on TTP Funds. The amounts of TTP funds that Tribes can spend on particular TTP activities have limits placed on them. The spending limits are:

- Planning – Up to 100% of Tribe’s TTP funds (25 CFR § 170.403) if identified as a priority on the FHWA-approved TTIP.
- Preliminary Engineering – Up to 100% of Tribe’s total fiscal year TTP allocation minus any amounts from other areas (25 CFR § 170.138).
- Construction – Up to 100% of Tribe’s total fiscal year TTP allocation minus any amounts from other areas (25 CFR 170 Appendix A to Subpart B).
- Construction Engineering – Up to 100% of Tribe’s total fiscal year TTP allocation minus any amounts from other areas (25 CFR 170 Appendix A to Subpart B).
- Transit – Up to 100% of Tribe’s total fiscal year TTP allocation minus any amounts from other areas (25 CFR 170 Appendix A to Subpart B).
- Maintenance (including purchase of maintenance equipment) – Up to 25% or \$500,000, whichever is greater, of Tribe’s total fiscal year TTP Tribal allocation (23 U.S.C. § (a)(8), and 25 CFR § 170.800). See [Chapter XI - Maintenance of Transportation Facilities](#).

D. Other Requirements on Use of TTP Funds. See [Section C. Funding in Chapter III, Tribal Transportation Program Agreement \(TTPA\)](#) and 25 CFR §§ 170.117 through 170.230.

E. How can a Tribe Determine if a New Use of Funds is Allowable? A Tribe can propose to FHWA or BIA a new use of TTP funds that is not listed in 25 CFR 170. See 25 CFR § 170.113 for the process to follow.

F. TTP Coordinating Committee Recommendations (see 25 CFR § 170 (a)(33)). The TTP Coordinating Committee may recommend other activities not listed in 25 CFR § 170 to become an allowable use of TTP funds. These recommendations must be approved by the appropriate Secretary (of Interior or Transportation) to become an allowable use of TTP funds.

G. Requirements on Tribe’s Management of NTTFI Facilities. See 25 CFR §§ 170.114 through 170.117.

III. Tribal Transportation Program Agreement (TTPA)

A. Overview. Prior to SAFETEA-LU, Indian Tribal governments worked directly with the BIA or the DOI, Assistant Secretary of Indian Affairs in implementing the TTP

Since SAFETEA-LU, Indian Tribal governments have a choice in administration of the TTP. In accordance with 23 U.S.C. § 202(a)(2), the Secretary of Transportation is authorized to enter into a TTPA with an Indian Tribal government to carry out a transportation program and projects. This allows Tribes the option of working directly with the FHWA in the administration of their TTP. See **Figure 3.1** below.

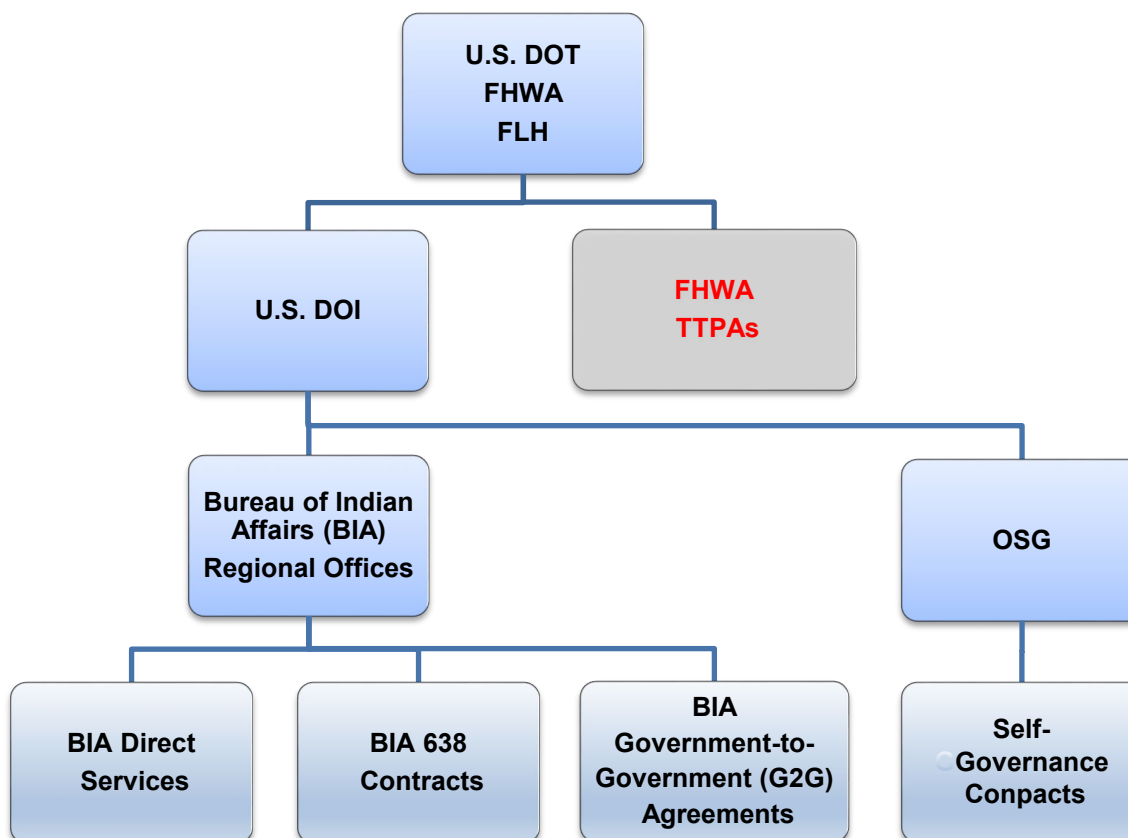


Figure 3.1: TTP Delivery Options Available to Tribal Governments

A Tribe with a TTPA administers its own TTP as authorized by Chapter 2 of Title 23, as amended by: P.L. 114-94, FAST Act; and, P.L. 109-59, *Safe*, SAFETEA-LU.

The purpose of a TTPA is to:

- Transfer to the Tribe all the functions and duties that the Secretary of the Interior would have performed with respect to a program or project under Chapter 2 of Title 23, other than those that cannot be legally transferred.
- To carry out the statutory requirements pursuant to the FAST Act.
- To provide the Tribe or its designee, under an RFA, its share of TTP funds pursuant to the FAST Act and 25 CFR 170.

TTP activities transferred to a Tribe through a TTPA may include:

- Transportation Planning
- Construction Management
- Program Administration
- Design
- Construction
- Road Maintenance (25% of TTP funds or \$500,000, whichever is greater)
- Develop Tribal-State Maintenance Agreements
- Other TTP-eligible activities (including TTP Safety and Bridge)

B. Beginning and ending dates of the TTPA. The TTPA is put into effect on the date that it is approved and executed by the authorized representatives of the Tribe and FHWA.

When a new Federal Transportation Authorization is approved, FHWA will begin negotiations with a Tribe for a new TTPA to replace the Tribe's existing TTPA.

Until that occurs, a Tribe's TTPA remains in effect unless:

- **The TTPA is amended in writing** and signed by authorized representatives of the Tribe and FHWA. See Article V, Section 11 of the TTPA. After the TTPA with a Tribe is approved and executed, it may be amended later by FHWA to address changed program conditions or other factors. A TTPA amendment goes through the same review, signature by the Tribe and agency, and approval process as the initial TTPA.
- **The TTPA is terminated** by the Tribe or FHWA. See Article V, Section 9 of the TTPA. Upon termination of a TTPA, FHWA will allocate the funds to the Secretary of the Interior.

The two ways a TTPA may be terminated are:

- **Voluntary termination.** A Tribe which already has a TTPA with FHWA may voluntarily terminate its TTPA (23 U.S.C. § 202 (b)(7)(J)). The Tribe submits to its TC a request contained in a letter signed by the Tribal signatory or a Tribal resolution, to terminate the Tribe's TTPA with FHWA. FHWA uses the "Off-boarding" letter template shown in Appendix B - [Exhibit 3.7](#) to acknowledge receipt of the Tribe's letter/Tribal resolution.
- **Involuntary termination.** FHWA may terminate a TTPA if FHWA determines a Tribe is no longer eligible to receive TTP funds (Article V, Section 9 of the TTPA). Termination of a TTPA may be one outcome of the Remedial Action Process described in [Chapter IV – TTP Reporting Responsibilities](#). Generally, a Tribe that has a TTPA involuntarily terminated would not be eligible for a TTPA with another agency at that time.

C. Funding. TTP funding provided through a TTPA is sent to the Tribe as a single annual lump sum payment, subject to the availability of funding and as identified in the RFA. See [Chapter 3.2 - Referenced Funding Agreements \(RFAs\)](#).

TTP funds obtained by a Tribe through a TTPA are subject to the following requirements:

- Funds shall be used by the Tribe as permitted under 23 U.S.C. § 202(a)(1), the FAST Act, 25 CFR 170, other applicable laws, and as authorized under the TTPA. See [Chapter 2.2 – Allowable Uses of Tribal Transportation Program \(TTP\) Funds](#).
- The Tribe may reallocate funds among eligible projects and activities identified on the FHWA approved Tribal Transportation Improvement Program (TTIP) (see 25 CFR § 170.204).
- Funds may not be reprogrammed for other purposes. Funds shall be placed in a savings, checking or investment account and tracked independently (see TTPA–Article II, Section 2).

- Savings and checking accounts must be insured by an agency or instrumentality of the U.S., or fully collateralized to ensure protection of the funds, even in the event of a bank failure (see TTPA–Article II, Section 2).
- If the Tribe invests these funds, they shall be invested only in the following types of accounts: obligations of the U.S; obligations or securities guaranteed or insured by the U.S.; or mutual (or other) funds (see TTPA–Article II, Section 2).
- The Tribe may accumulate multiple allocations of funds, and shall deposit these in savings, checking, or investment accounts subject to the above requirements. Funds not expended by the Tribe within the fiscal year in which they were allocated shall remain in the custody of the Tribe and used for the purposes authorized under the TTPA (see TTPA–Article II, Section 2).
- Interest and investment income that accrue on the funds become the property of the Tribe in accordance with the provisions of 25 U.S.C. § 5324(b) and may be used on projects identified on the FHWA approved TTIP (see TTPA–Article II, Section 2).
- A Tribe can use flexible financing for TTP projects according to 25 CFR §§ 170.227 through 170.230. These include:
 - Issue bonds or enter into other debt financing instruments (see 25 CFR § 170.227(a) and TTPA–Article II, Section 2).
 - Obtain agreement of the Secretary of Transportation for secured loans or lines of credit for TTP projects meeting the requirements in 23 USC (see 25 § CFR 170.227(b))
 - Use TTP funds as collateral for loans or bonds to finance TTP projects (see 25 CFR § 170.227(c)).
 - Use TTP funds to leverage other funds (see 25 CFR §§ 170.228(a))
 - Pay back loans or other finance instruments for a project (see 25 CFR § 170.228(b) and TTPA–Article II, Section 2).
- The Tribe may use TTP funds to meet matching or cost participation requirements for any Federal or non-Federal transit grant or program (see 25 CFR § 170.133, and TTPA–Article II, Section 2) with one known exception – the Nationally Significant Federal Lands and Tribal Projects Program.

D. Powers / Dispute Resolution / Construction of Agreement.

- Tribes shall have all the powers the Secretary of the Interior would have in administering the TTP funds provided to the Tribe under a TTPA, except for powers that cannot be legally transferred (see TTPA–Article II, Section 3).
- In the event of a dispute, the Tribe and FHWA agree to use mediation, conciliation, arbitration, and other dispute resolution procedures authorized under 25 CFR § 170.934 (see TTPA–Article II, Section 4).
- The TTPA shall be construed to facilitate and enable the transfer of programs authorized by 23 USC § 202, as amended by the FAST Act (see TTPA–Article II, Section 5).

E. Limitation of Costs (see TTPA–Article II, Section 7).

- A Tribe will not be required to continue performance under the TTPA if it requires an expenditure of funds greater than that awarded under the TTPA or RFA.
- If the Tribe believes this to be the case, the Tribe shall provide reasonable notice to FHWA.
- If FHWA does not increase the amount of funds, the Tribe may suspend performance under the TTPA until such time as additional funds are made available.

3.1 Tribal On-Boarding Process for TTPAs

- A. Overview.** The Tribal on-boarding Process is the procedure for a Tribe to request and potentially gain approval for a TTPA with FHWA.

The same process is followed for a Tribal consortium.

- B. Steps in the On-Boarding process.** The following are the steps that a Tribe and FHWA follow during the On-Boarding process:

Step 1. Tribe learns about the TTPA: FHWA provides information to help a Tribe answer these questions: "What is a TTPA?"; and "Is a TTPA the right program delivery method for my Tribe's Tribal Transportation Program?"

Step 2. Tribe submits a Notice of Intent. After reviewing the information provided, the Tribe may decide to pursue a TTPA for the administration of its Tribal Transportation Program. If so, the Tribe submits a **Notice of Intent** to FHWA, which is an official letter or Tribal resolution from the Tribal government notifying FHWA of its desire to enter into a TTPA with FHWA. See Appendix B - [Exhibit 3.2](#) for a Tribal resolution template that a Tribe may choose to use. Tribes submit the Notice of Intent to an FHWA TC. FHWA assigns a TC to work through the on-boarding process with the Tribe. The designated FHWA TC notifies the BIA Regional Road Engineer of the Tribe's intent to enter into a TTPA with FHWA.

Step 3. FHWA sends to the Tribal government an e-mail response or letter (copied to the Tribe's Transportation Director or similar position). The letter may be in the format shown in Appendix B - [Exhibit 3.6](#). The e-mail response or letter will usually contain the following information:

- Confirmation of receipt of the Notice of Intent.
- A description of the On-Boarding process steps.
- A copy of the TTPA template (see Appendix B - [Exhibit 3.1](#)).
- A copy of the Referenced Funding Agreement template (see Appendix B - [Exhibit 3.3](#)).
- A copy of the FHWA TTPA Orientation presentation.
- A copy of the FHWA on-boarding orientation checklist (see Appendix B - [Exhibit 3.8](#)).
- The internet link to the *Tribal Transportation Program Delivery Guide - 2020*.

Step 4. Tribe provides additional material (see 23 U.S.C. § 202(b)(7)(F)). If the Tribe wishes to continue to pursue a TTPA, FHWA requests the following documentation that the Tribe must provide (also listed in the letter format in Appendix B - [Exhibit 3.6](#)):

- **Notice of Intent**, if not previously submitted by the Tribe. FHWA may provide the Tribe with a Sample Tribal Resolution which expresses the desire of a Tribe to enter into a TTPA (see Appendix B - [Exhibit 3.2](#)).
- **Audits:**
 - o Copies of the Tribe's Single Audits covering the past three fiscal years if the Tribe expended \$750,000 or more of Federal funding during each of those years (see [Chapter IV – TTP Reporting Responsibilities, Section C](#)). Although FHWA doesn't necessarily need the full audit report, any findings and discussions related to the Tribe's DOT program, as well as for its other Federal programs should be included. Copies of auditor's letters attesting to any internal controls or compliance findings or lack thereof should also be

included. The Tribe should also include corrective action plans/implementation schedules that were developed for any material findings identified in the Single Audits.

- If the Tribe expended less than \$750,000 of Federal funding during a Tribal fiscal year, the Single Audit requirement does not apply. In these cases, FHWA asks the Tribe to provide copies of any internal or external financial review/audits that may have taken place over the past three fiscal years as well as any corrective action plans and implementation schedules that were developed. If audits were not carried out, the Tribe should provide copies of the “Certification of Non-Audit Requirements letter” that was previously provided to the BIA for the past three fiscal years.
- The Tribe’s organizational charts for their Transportation and Financial Departments; and
- Copies of the Tribe’s written Financial, Procurement, and Property Management Procedures, if available.

Step 5. FHWA reviews the material submitted in Step 4, to determine any issues related to:

- financial and procurement management;
- reporting;
- program administration;
- contract deliverables or sanctions; and
- historic construction project performance.

Step 6. FHWA performs a Risk Assessment. The purpose of the Risk Assessment is to determine a Tribe's eligibility to enter into the TTPA. See 23 USC § 202(b)(7)(F).

Step 7. FHWA determines Tribe’s eligibility for a TTPA.

- **If the Tribe is disapproved** by FHWA for a TTPA, FHWA sends a letter to the Tribe describing the reasons for denial, and recommended actions for future approval to enter into a TTPA.
- **If the Tribe is approved** by FHWA for a TTPA, the Tribe is notified. The approval may include stipulations that may include alternative reporting schedules, additional monitoring activities, limits on distribution of funding, or other stipulations.

Step 8. If the Tribe has been approved for a TTPA, FHWA conducts a webinar/conference call with the Tribe’s representatives The intent of this contact will be to discuss with the Tribe the orientation presentation; review the language of the TTPA template (including each party’s roles and responsibilities, and remedial actions for non-performance); establish a primary POC for future correspondence; and answer any questions that the Tribe may have regarding the On-boarding process or the Tribal Transportation Program. If the webinar/conference call is conducted by FHWA, the FHWA representative completes the On-Boarding orientation checklist (see Appendix B – [Exhibit 3.8](#)) to document this discussion.

Step 9. The TTPA document is prepared. FHWA prepares the TTPA (see Appendix B – [Exhibit 3.1](#)). The TTPA is the official record of the programmatic agreement between the Tribe and the U.S. government.

Changes to the standard TTPA template should only be made to address issues identified during the Risk Assessment process, or for other circumstances of the Tribe that need to be addressed.

When the TTPA is completed, FHWA emails it and an **ACH Banking Form (SF 3881)** to the Tribe for completion and signature by the Tribal leadership. The **ACH Banking Form (SF 3881)** includes the Tribe's bank account information for its TTPA account (See Appendix B - [Exhibit 3.5 –ACH Banking Form](#)). The ACH form can be obtained at <http://www.gsa.gov/portal/forms/download/116290>.

The Tribe must have an active DUNS number. The Tribe should verify that its DUNS number is active when completing the ACH Form.

Step 10. The Tribe returns the signed TTPA and completed ACH Form to FHWA.

Step 11. FHWA signs the TTPA and a copy of the executed TTPA is provided to the Tribe.

Step 12. A TC is assigned by FHWA as the primary point of contact for future TTP coordination.

Step 13. The newly assigned TC coordinates with the Tribe, the BIA Regional Office (or OSG), and the Operations Team Supervisor to determine:

- What are the prior years and current year TTP funds currently held by the Tribe; and
- What are the prior years and current year TTP funds that are currently held by the BIA (e.g. through 638 contracts or direct service agreements)?

If 638 contracts exist, the Tribe (in coordination with the FHWA TC and BIA) decides whether to continue through completion or close out the contracts. The information gathered in this Step will be used to develop the first RFA under the TTPA. See [Chapter 3.2 - Referenced Funding Agreements \(RFAs\)](#).

3.2 Referenced Funding Agreements (RFAs)

- A. Payment Process.** This section describes the steps for obligation and payment of TTP (and other) funds to Tribes with an approved TTPA.

Step 1. FHWA Prepares an RFA. The RFA sets forth specific conditions for Fiscal Year funding under the TTPA, and identifies the specific PFSAs to be performed, the funds to be provided, the time and method of payment, and other provisions to which the Tribe and the agency agree. See RFA templates in Appendix B - [Exhibit 3.3](#).

Each FY FHWA prepares a new RFA for each Tribe that has a TTPA. FHWA may also need to prepare RFA Amendments (see Appendix B - [Exhibit 3.4](#)). These amendments will be needed as portions of TTP funding become available during the FY, or to convey to the Tribe funding from other allowable sources (see **Section B** below).

A Consortium will be addressed the same way as if working with one Tribe: one RFA is used for the Consortium. The Tribes in the Consortium do not have individual RFAs.

Step 2. The TC forwards the RFA to the Tribe for their signature. The Tribe should have already completed and submitted the ACH Form. It is recommended that the Tribe also check that the account and the DUNS number are active when it signs the RFA. FHWA cannot obligate funding to the Tribe until it has completed these activities.

Prior to approval of the RFA, the Tribe must have an FHWA-approved TTIP. Tribes recently on-boarded with FHWA may still have TTIP(s) approved while they were with BIA that remain valid until a new TTIP is approved by FHWA.

Step 3. The Tribe returns a signed copy of the RFA to the RFA email address at TTPRFA@dot.govTC.

Step 4. FHWA approves (“executes”) the RFA. The RFA (or RFA Amendment), previously signed by the Tribe, is signed and approved by FHWA.

The RFA may not be approved if the Tribe does not have a current FHWA-approved TIP (see [Chapter V-Transportation Planning](#)). If the Tribe has an FHWA-approved TIP that addresses the planned TTP expenditures for the upcoming fiscal year, the Tribe is not required to submit an updated TIP with their signed RFA. However, if the Tribe's current TIP does not include all of the projects and activities covered by the new RFA, then the Tribe is required to submit a new TIP and obtain FHWA approval before the RFA will be signed. If a Tribe is unsure about whether it should submit a new TTIP, the Tribe should contact its TC for guidance.

Step 5. The funds shown on the RFA are paid. The Federal government electronically deposits the funds shown on the approved RFA into the Tribe's bank account. The Tribe can now fund projects and activities in its FHWA-approved TTIP(s) using the funding provided through the RFA.

B. Types of Funding that may be Included in an RFA.

- 1. TTP funding.** This amount includes TTP Funds and TTP Transportation Planning Funds (2%), and is based on the current FY Tribal shares. TTP funding from previous FYs not yet conveyed to the Tribe may also be included on the RFA.

TTP funding is available for obligation in the FY for which it is authorized plus three additional FYs. After that point, the funds lapse and are no longer available. When the funds are provided to the Tribe through the RFA, the funds are deemed obligated and do not lapse.

2. **TTP Bridge Program Funds.**
3. **Tribal Transportation Program Safety Funding.**
4. **202(a)(9) Fund Transfers.**

Overview. State, county, or local transportation-related funds may be transferred from the State to FHWA, and then from FHWA to a Tribe through an RFA. See 23 USC § 202(a)(9), 23 USC § 104(f)(3)(A), and 25 CFR § 170.627. For additional information, see the FHWA information sheet at <https://highways.dot.gov/federal-lands/programs-tribal/finance>

Requirements for the 202(a)(9) fund transfer:

- **Funds to be transferred must be for a specific project.**
- **The project must be eligible under the initial source of funding.** The transferred funds must be used for the purpose originally agreed to between the State and the Tribe.
- **Funds shall retain their match requirements.** The transferred funds keep the match requirements from the original funding source or program.
- **The State is relieved of oversight responsibilities.** FHWA assumes oversight. The Tribe administers the project in accordance with the transfer agreement and TTP provisions.
- An **Intergovernmental Fund Transfer Agreement** shall be developed by the Tribe, in coordination with the State and the FHWA TC. When finalized to the satisfaction of all the signatories, the **Agreement** shall be signed by the Tribe, State, and FHWA. See Appendix B – [Exhibit 3.9](#) for the template to use for the **Agreement**. In some cases, other templates may be used according to the State the project is located in. Portions of this document will need to be modified further by FHWA if non-Federal funds are being transferred.
- The **Addendum to the Intergovernmental Fund Transfer Agreement** shall be developed by the Tribe in coordination with the State and the FHWA TC. This identifies the project, funding, expectations, roles and responsibilities, etc. The **Addendum** shall be attached to the **Intergovernmental Fund Transfer Agreement**. See Appendix B - [Exhibit 3.10](#) for the required template to use for the **Addendum**. Portions of this document will need to be modified further by FHWA if non-Federal funds are being transferred.
- **Complete Form FHWA-1576.** The State DOT shall complete and submit this form to the FHWA Division Office in the respective State, in order to transfer the funds to FLH Headquarters. The information entered on **Form FHWA-1576** shall include the following:
 - Clearly define the type of funds being transferred;
 - Specify that the funds are transferred to FLH Headquarters for the TTP in accordance with 23 U.S.C. § 202(a)(9);
 - Identify the purpose (a specific project) for which the funds are being transferred, the name of the receiving Tribe; the specific project.

Attach supporting Agreements with the Tribe, or other related documentation.

Form FHWA-1576 is available for download at

<https://www.fhwa.dot.gov/legisregs/directives/policy/atl1c.xls>

- **The transferred funds must be obligated in same Federal FY as the transfer.** The transferred funding (and associated obligation limitation) will be obligated through the same process as TTP funding. The TTP formula obligation limitation is available for a single FY. Therefore, if the transfer is of apportioned funds and formula obligation limitation, the funds and formula obligation limitation must be obligated within the FY of the transfer.
- **Funds tracked separate from TTP funds.** FLH should track the transferred funds separately from the Tribe's TTP funds, to ensure that obligation deadlines are met. The Tribe should also track the funds separately from their TTP funds to satisfy the terms of the transfer agreement.
- **Unused funds returned to the State.** When the project is complete, any remaining balance of the transferred funds must be returned by the Tribe to the State that originated the transfer, unless further agreements are reached for eligible projects.

5. Other Chapter 2 (FLH Program) Funds, as described.

- 6. Tribe's share of Program/Project-related administrative funds** as authorized by section 202(b)(7)(E) of title 23. This amount has typically been \$0.00.

C. Statutory/Regulatory Requirements for funding provided through an RFA:

- 23 U.S.C. § 202(b) and 25 CFR 170, Subpart C regulate distribution of TTP funds;
- 23 USC § 104(f)(3)(A), 23 USC § 202(a)(9), and 25 CFR § 170.627;
- SAFETEA-LU, Pub. L. 109-59, 119 Stat. 1144 (Aug. 10, 2005);
- ISDEAA, Pub. L. 93-638;
- 25 U.S.C. § 5301 et seq.;
- 49 CFR § 1.48(b)(29).

IV. TTP Reporting Responsibilities

A. Overview. Tribes that have a TTPA with FHWA are required to provide reports and documents, which describe the Tribe's TTP activities, income and expenditures. The reporting process is a cooperative effort between the Tribe and FHWA, and enables Tribes and the agencies to work together for the success of the Tribe's TTP.

Tribes report their TTP activities by submitting to FHWA the following reports and documents:

- TTP reports on a set schedule (see Section **D** below).
- The Tribe's TTIP (see [Chapter V - Transportation Planning](#)).
- The final stamped PS&E prior to project construction (see [Chapter VII - Preliminary Engineering – Project Package](#)).
- The project construction closeout report (see [Chapter X – Construction and Construction Engineering](#)).

In addition, single audits may be required (see Section **C** below).

FHWA personnel also perform the following activities to provide technical support to the Tribes, and to perform stewardship and oversight of the Tribes' TTP activities and projects:

- The TC performs on-site visits to Tribes for TTP stewardship and oversight, technical assistance and project reviews (see Section **B** below).
- FHWA performs Program Reviews of Tribes (see Section **E** below).

A Remedial Action Process (see [Section F](#) below for details) will be initiated by FHWA if a Tribe is late in submitting required reports and documents, or is non-responsive to information requests or fails to undertake corrective actions related to audit findings or unfavorable Program Reviews.

B. On-Site Visits to Tribes. The TC makes periodic visits to Tribes in order to provide:

- Stewardship and oversight of a Tribe's TTP, including the Tribe's management of their TTP budget and TTP projects.
- Technical assistance to the Tribe on elements of the TTP (planning, design, environmental processes, construction functions, transportation safety, maintenance, and transportation funding opportunities).
- Project construction reviews (see [Chapter X – Construction and Construction Engineering](#)).

The TC needs to complete the **Project Monitoring Checklist** (see Appendix B - [Exhibit 10.1](#)) for all on-site visits to Tribes. The Project Monitoring Checklist identifies the items and activities that will be reviewed and documented during each Tribal site visit.

During all on-site visits to Tribes, the TC should review with the Tribe the Tribe's records and documents relating to these areas:

- TTP Reports are current and on file;
- The TTIP is current, on file, and approved by FHWA; and
- TTP financial accounting records in the office are current, and using acceptable accounting procedures

TC evaluates the Internal Tribal office cooperation and communications (i.e., Finance and Transportation).

For all on-site visits to Tribes, the TC will also complete a trip report, using the format specified by FHWA, and provide a courtesy copy to the Tribe.

- C. Single Audits.** A Tribe must perform a single audit if it expends, in a Tribal fiscal year, more than \$750,000 total of Federal financial funds it has received from various Federal programs.

The Single Audit must be performed according to 2 CFR 200, Subpart F - Audit Requirements. The single audit is typically performed by an independent CPA, and encompasses both financial and compliance operations of the Tribe. The Single Audit submittal shall include:

- A copy of the Tribe's Single Audit for that year;
- Form SF-SAC;
- All the findings and discussions related to the Tribe's DOT program and the Tribe's other Federal programs; and
- The corrective action plans and implementation schedules that were developed for the material findings identified in the Audit.

The Tribe shall submit the above documents to the FAC, two copies to the Office of Audit & Evaluation, Office of the Asst. Secretary, Indian Affairs, DOI, and one copy to each Federal funding agency that has an audit finding (see P. L. 93-638 Section 450 c (F), and 2 CFR 200 subpart F (200.500)).

The OTT may request from a Tribe the documentation required by FHWA to demonstrate that the Tribe is carrying out the corrective actions plans and implementation schedules developed for the TTP related material findings in the Audit.

Links and resources:

- 2 CFR 200, Subpart F - Audit Requirements located at <http://www.ecfr.gov/cgi-bin/text-idx?SID=97ebca48d0b9d506d9420348fe2f0ab1&node=pt2.1.200&rgn=div5#sp2.1.200.f>
- The FAC at <https://harvester.census.gov/facweb/default.aspx/>

- D. TTP Reports to be Submitted by Tribes.** Tribes develop and submit the following reports:

1. **Single Audits**, as applicable. See [Section C](#) above.
2. **Annual TTP Reports.**

Tribes must use the PORT online reporting system to submit their annual TTP reports (see Article III, Section 1. G of the FHWA TTPA and 25 CFR § 170.240). The website explaining how PORT works is at <https://highways.dot.gov/federal-lands/programs-tribal/annual-report>

The TC will provide each Tribe with the internet links ("keychains") to complete their annual TTP reports using the PORT online reporting system. The annual TTP reports shall include:

- **Financial Report.** The Tribe must complete all the required fields of the online Financial Report. See blank copy of report in Appendix B – [Exhibit 4.1](#). See Section G below in this chapter for explanation on how Tribes should calculate indirect costs.
- **Non-Construction Activities Report.** This report includes the Tribe's data on jobs, and administrative, planning, safety, maintenance, transit, and other non-construction activities. See blank copy in Appendix B – [Exhibit 4.2](#).
- **Report on Each Project** for the Tribe's active TTP funded projects. See blank copy of report in Appendix B – [Exhibit 4.3](#).

3. **Reporting Schedule.**

Tribes must submit the above audits and reports by the required due dates shown in the following table. The Tribe and FHWA may establish additional monitoring and reporting requirements while discussing the terms of the TTPA during the On-Boarding process (see [Chapter 3.1 - Tribal On-Boarding Process for TTPAs](#)) or as the result of findings in a Program Review.

Reporting Schedule for Tribes		
Report	Reporting Period	Due Date
Single Audit Report	Annual	When completed
Annual TTP Reports (using the PORT online reporting system)	October 1 through September 30	Within 90 days of conclusion of reporting period (NLT December 30)

- E. Program Reviews.** FHWA conducts formal Program Reviews of a Tribe's TTP as needed based on risk management, in accordance with FHWA Program Review procedures. See 25 CFR § 170.703. FHWA must also conduct Program Reviews of a Tribe as requested by external sources. For example, FHWA is responsible for conducting Program Reviews as requested by the OIG.

During a Program Review, FHWA focuses on the Tribe's (1) financial tracking processes, (2) procurement processes, and (3) staffing. Tribes should be able to provide accurate records of program expenditures upon request. In addition to helping FHWA to monitor compliance with program requirements, these reviews allow FHWA to identify effective practices among Tribes, which they can share with other Tribes in the Tribal Transportation Program, and also their counterparts in FHWA and the BIA.

FHWA documents the Program Review in the Program Review Summary Report and submits it to the Tribe for its records. It is recommended that the Tribe file the Program Review Summary Report in its system of record. This documentation will assist the Tribe in preparing for its upcoming TTP reports submittal or its next Program Review.

F. Remedial Action Process (See Article V, Section 9 of the TTPA).

The following remedial actions will be undertaken by FHWA only after the TC or other TTP staff have exhausted less formal attempts (e.g. e-mails, phone calls, other communications) to resolve non-compliances, and only after approval from the FHWA Field Operations Manager.

The actions are broken into two non-compliance categories: non-emergency and emergency.

1. **Non-emergency** remedial actions will be carried out when a Tribe is found to be non-compliant or non-responsive to the following required activities or program/project findings:

- Reporting on or providing to FHWA:
 - Annual Single Audit reports, including any single audit findings of material weaknesses or significant deficiencies as they relate to the TTP, or Semi-annual accomplishment and financial reports as required by Article III, Section 1.G of the TTPA;
 - Tribal approved project packages, including PS&Es and assurances that the construction will meet or exceed applicable health and safety standards per Article III, Section 1.C of the TTPA;
 - Final construction reports and as-built plans for final inspection in accordance with 25 CFR 170;
- Program Review findings that require the development and execution of corrective action plans; or
- Other FHWA TTP action requests regarding non-compliance with the TTPA including statutory or regulatory requirements.

For these cases, the TC shall draft and send a written notification to the Tribe (by certified mail if available). The TC will also scan the letter and e-mail it to the Tribe, with a cc to the FHWA Field Operations Manager. The written notification will include:

- Identification of the deficiencies that have been found to be non-compliant;
- A request that a corrective action take place and that a certification of completion be provided back to FHWA within 60 days; and
- An offer to provide, if requested, technical assistance and advice to assist the Tribe in overcoming the identified deficiencies.

If the Tribe fails to correct the non-compliant deficiency identified in the initial notice, the TC shall draft and send a second written notice (signed by the FHWA Field Operations Manager) to the Tribe, by certified mail if available. The TC will also scan the letter and e-mail it to the Tribe, with a cc to the FHWA Program Delivery Manager and the FHWA TTP Director. The notice will also:

- Remind the Tribe of its responsibility to address the deficiencies
- State all future TTP and other transportation related funding will be withheld from the Tribe until the deficiencies are remedied by the Tribe and accepted by FHWA; and
- State that if the deficiencies are not remedied within 30 days, the Tribe's TTPA will be reviewed for termination in accordance with Article V, Section 9 of the TTPA.

If the deficiencies are not remedied within 30 days, the TC will collect all available information regarding the deficiencies. The TC, the FHWA Field Operations Manager, and FHWA TTP Director and appropriate BIA representatives will review the information to help determine if the TTPA will be terminated. The FHWA TTP Director makes the final determination.

If termination of the TTPA is enacted, the TC will draft and send a third written notice (signed by the FHWA AA) to the Tribe, by certified mail if available, specifying termination of the TTPA. The TC will also scan the letter and e-mail it to the Tribe, with a cc to the FHWA Field Operations Manager and FHWA TTP Director. The third notice will include:

- The date of termination and reassignment of the program stewardship and oversight to the BIA;
- The details and facts supporting the termination; and
- Instructions that explain the Tribe's right to dispute FHWA's determination, along with a reference to the dispute remedies available under Article II, Section 4 of the TTPA. If this occurs, FHWA shall suspend any decision to transfer funds to the Secretary of the Interior pending the outcome of the dispute.

2. **Emergency** remedial actions are those that FHWA will undertake when a Tribe fails to fulfill the requirements of the TTPA and this failure poses:

- Imminent jeopardy to public health and safety, including those identified as workzone/construction site safety threats; or
- Imminent jeopardy to trust funds, trust lands, or interest in such lands.

For these cases, the TC shall draft and send a written notification to the Tribe, by certified mail if available. The TC will also scan the letter and e-mail it to the Tribe, with a cc to the FHWA Field Operations Manager and FHWA TTP Director. The written notification will include:

- Identification of the imminent jeopardy deficiency that was found to be non-compliant;
- To the extent practicable, the specific corrective actions/measures that must be taken by the Tribe to eliminate the imminent jeopardy;
- A statement that the action be completed immediately and that within 5 days the Tribe must respond to the notice by a signed letter. The Tribe's letter must be delivered to the TC either by certified mail, telefax, or electronic mail. If sent by certified mail, the postmark date will be considered the date of response.
- A request that documentation certifying completion of the action be submitted back to the TC within 60 days; and

- An offer to provide technical assistance and advice to assist the Tribe in overcoming the identified deficiency.

If the Tribe fails to immediately correct the emergency deficiency identified in the initial notice or does not respond within 5 days, the TC shall draft and send a second written notice (signed by the FHWA Field Operations Manager), by certified mail if available, reminding the Tribe of its responsibility to address the deficiency. The TC will also scan the letter and e-mail it to the Tribe, with a cc to the FHWA Field Operations Manager and FHWA TTP Director. The notice will also state that:

- The corrective action must be carried out immediately;
- Within 5 days the Tribe must respond to the notice by a signed letter. The letter must be delivered to the TC either by certified mail, telefax, or electronic mail. If sent by certified mail, the postmark date will be considered the date of response; and
- All future TTP and other transportation related funding will be withheld from the Tribe until the deficiency is remedied by the Tribe and accepted by FHWA.

If the Tribe then continues its inaction, FHWA and BIA will reassume the program and carryout the actions required to mitigate the imminent jeopardy. The TC drafts and sends a Notice of Reassumption (signed by the FHWA TTP Director) to the Tribe, by certified mail if available. The TC will also scan the letter and e-mail it to the Tribe, with a cc to the FHWA Field Operations Manager and FHWA TTP Director. The Notice will include:

- A statement of the reasons supporting the Reassumption;
- To the extent practical, a description of specific measures that FHWA will take to eliminate the imminent jeopardy;
- A statement that the Federal government's cost to mitigate the imminent jeopardy will be repaid by taking an equivalent amount from the Tribe's Tribal share of TTP funds; and
- A statement that the Tribe's TTPA will be reviewed for termination, in whole or in part in accordance with Article V, Section 9 of the TTPA.

Upon satisfaction of the emergency and elimination of the imminent jeopardy, the TC will collect all available information regarding the deficiency. The TC, FHWA Field Operations Manager, FHWA TTP Director and appropriate BIA representatives will review the information to help determine if the TTPA will be terminated. The FHWA TTP Director makes the final determination.

If termination is enacted, the TC will draft and send a third written notice (signed by the FHWA AA) to the Tribe, by certified mail if available, specifying termination of the TTPA. The TC will also scan the letter and e-mail it to the Tribe with a cc to the FHWA Field Operations Manager and FHWA TTP Director. The third notice will include:

- The date of termination and reassignment of the program stewardship and oversight to the BIA;
- The details and facts supporting the termination; and
- Instructions that explain the Tribe's right to dispute FHWA's determination, along with a reference to the dispute remedies available under Article II, Section 4 of the TTPA. If this occurs, FHWA shall suspend any decision to transfer funds to the Secretary of the Interior pending the outcome of the dispute.

Note: In both non-emergency and emergency cases, the appropriate BIA Regional Office and the BIA Division of Transportation shall be copied on all correspondence relating to remedial actions.

G. Indirect Cost.

1. Definitions.

“Indirect cost” is the cost of Tribal operations that cannot be tied directly to a particular grant, program, contract, project function, or activity. In theory, indirect costs like utilities, rent, insurance, taxes, finance/typing pool, motor pool vehicles, etc. could be charged directly to each individual funding source or program of a Tribe, such as the TTP, if they could be measured. However, it is not possible or desirable to perform that kind of measurement. Therefore, indirect cost rates are used to fairly distribute those costs among the various programs that a Tribe administers.

“Program Administration costs” consist of:

- The TTP funded portion of the salaries and fringe benefits of Tribal employees who perform administration, planning, maintenance, or construction work; and
- Travel and miscellaneous supplies directly related to the Tribal Transportation Program.

“Pass-through costs” consist of:

- TTP funds that the Tribe paid to contractors or subcontractors (through a contract);
- TTP funds that the Tribe paid to a City, County, State or Borough through an MOU or MOA that the Tribe has with that entity; and
- Cost of equipment and materials, paid directly by the Tribe, for construction or maintenance projects carried out by the Tribe.

2. Use of Indirect Cost Funds. The portion of its annual TTP funds that a Tribe calculates and sets aside as “indirect cost” should be used by the Tribe to help pay for the overall operation of the Tribal government, including costs such as utilities and other operating costs that can’t be tied directly to the TTP.

3. How a Tribe Calculates its TTP Indirect Cost. A Tribe’s TTP indirect cost includes:

- a) The Tribe’s **“Program Administration costs”** multiplied by the IBC negotiated ICR. If a Tribe has never received a negotiated indirect cost rate, then the Tribe may use an ICR of 10% (see 2 CFR 200.414 (f));
- b) The Tribe’s **“Pass-through costs”** multiplied by the IBC negotiated ICR for pass-through costs. If there is no such negotiated rate, then Tribes may use an ICR of not more than 3% for pass-through costs.

4. Reporting the TTP Indirect Cost. A Tribe reports the sum of the Indirect costs described in paragraph a) and b) above, in their PORT reports submitted to FHWA.

V. Transportation Planning

A. Overview (see 25 CFR §§ 170.400-447).

The Tribe performs transportation planning to analyze existing and future transportation facilities serving the Tribe under changing conditions to make informed investment decisions. Transportation facilities are multimodal and generally include streets, highways, sidewalks, trails, boardroads, bike lanes, public transit systems, buildings for vehicle storage/repair, airports, helipads, marine facilities and terminals, and ferry systems.

B. Roles and Responsibilities of Transportation Planning (see 25 CFR § 170.402).

1. **Tribes.** Tribes participating in the TTP are responsible for ensuring the following transportation planning activities are completed:

- Develop the Tribe's LRTP;
- Facilitate public involvement;
- Perform traffic studies;
- Conduct special transportation studies as needed;
- Prepare and enter updates in the NTTFI maintained by BIA;
- Mapping;
- Perform pre-project planning;
- Participate in transportation planning and other transportation related meetings;
- Develop Program budgets including transportation planning cost estimates;
- Perform transportation planning for operational and maintenance facilities;
- Research rights-of-way documents for project planning;
- Develop the Tribe's TTIP; and
- Coordinate with States, their political subdivisions, appropriate planning authorities, and local governments on regionally and locally significant projects.

2. **FHWA:**

- Review TTIPs developed by the Tribe;
- Approve TTIPs developed by the Tribe;
- Make the TTIPs available to the States so they can append them to their STIP;
- Review LRTPs developed by the Tribe;
- Provide technical assistance to Tribal governments;
- Coordinate with Tribal, State, regional, and local governments, as requested by the Tribe; and
- Coordinate with other Federal agencies, as requested by the Tribe.

C. Tribal LRTP

1. **Overview.** The Tribe develops its LRTP, which is a long-range (20+ year) strategy and capital improvement program developed to guide the effective investment of TTP funds in multimodal transportation facilities. The Tribe may amend its LRTP as a result of changes in projected Federal, State, and Tribal funding, major improvement, project, corridor justification, or environmental

impact studies, and major changes in Tribal goals, vision, and mission. The LRTP provides the context from which the Tribe develops its TTIP.

The Tribe reviews and updates its LRTP every 5 years (25 CFR § 170.414). LRTP development, updates, amendments, and adoption are described in 25 CFR §§ 170.409-414.

- 2. Steps to develop or update an LRTP.** The following Figure 6.1 shows the recommended steps for a Tribe to develop or update an LRTP as part of transportation planning according to 25 CFR §§ 170.409-414.

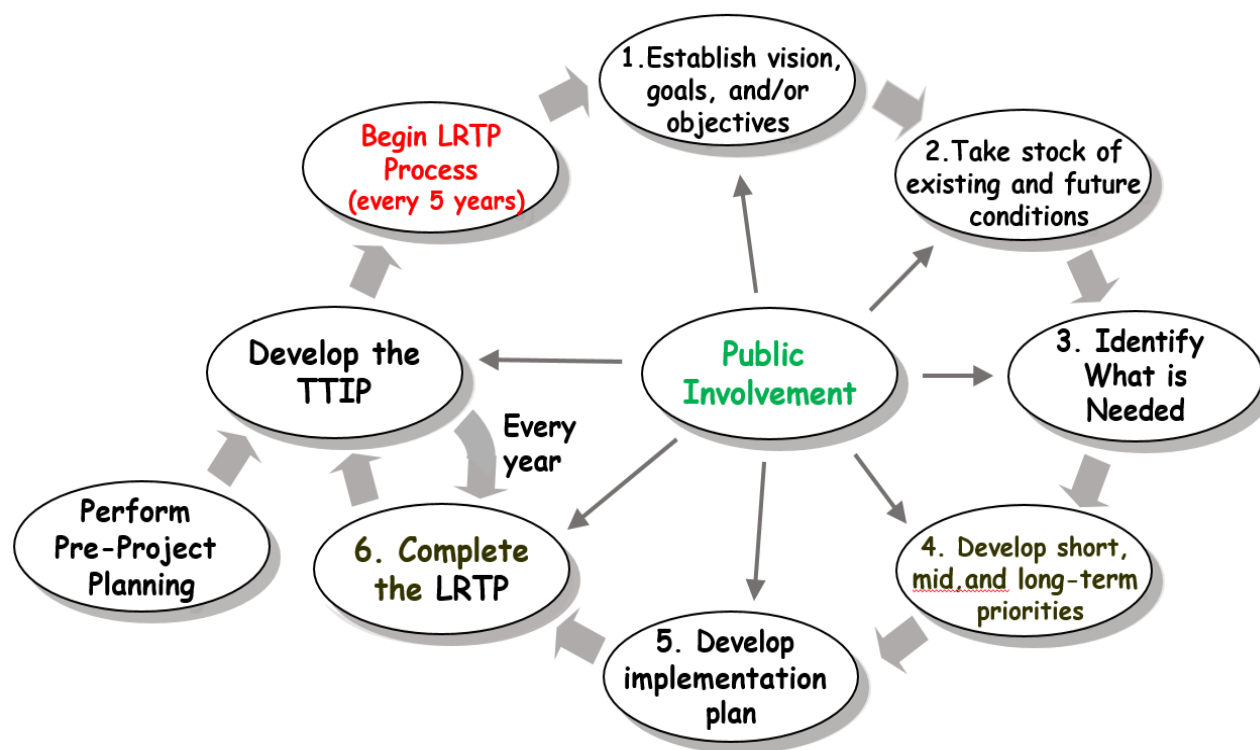


Figure 6.1 - Transportation planning - Steps to develop or update an LRTP

The Tribe needs to provide early and continuing public involvement when developing or updating an LRTP. See 25 CFR §§ 170.413 and 170.435-441 for details.

The recommended steps for a Tribe to develop or update an LRTP according to 25 CFR §§ 170.409-414 are listed as follows:

Step 1. Establish the vision, goals, and/or objectives.

- First create a **vision** for the future of the Tribe's community. Involve the community in this discussion, before any public meeting for the LRTP occurs. This may require:
 - Researching and documenting reservation, Tribal, and community history
- Establish transportation related **goals** that support the vision using community input. Goals may pertain to, but not limited to:
 - Improved access to lands and uses;
 - Housing development (new subdivision);
 - Economic development (barge access, jobs);

- Access for Law Enforcement;
- Safe routes to school;
- A healthy environment (correcting situations impacting community health such as dust from dirt or gravel roads);
- Access to healthcare;
- Environmental improvement;
- General Tribal transportation program administration and delivery.
- **Develop objectives.** These objectives support the overall goals and express the purpose of the study. Objectives may:
 - Address current and future transportation needs;
 - Be consistent with applicable Tribal, Federal, and State government policies;
 - Consider the existing and future land uses, economic development, traffic demand, public safety, health, and social needs;
 - Consider all modes of transportation including vehicle, transit, pedestrian, bicycle, freight, and as appropriate, rail, air, and water;
 - Include developing a road maintenance plan; and
 - Include an access management plan.

Step 2. Take stock of existing and future conditions. Look at the existing and future transportation system serving the Tribal community. This involves performing the following:

- Evaluate land use and socioeconomic conditions;
- Examine the conditions and document characteristics such as location and adequacy of the existing transportation facilities including roads, boardroads, bridges, trails, barge facilities, transit, etc.;
- Use community input to obtain information about the condition and performance issues of the facilities;
- Conduct a comprehensive facilities inventory, including collecting missing data;
- Assemble the safety and accident data and perform crash data analysis using both interviews and records (25 CFR §§ 170.101(a)(1) and 170.128);
- Determine existing and future traffic conditions including levels of service and access;
- Identify existing material sources including ownership and types;
- Identify the modes of travel on each facility: foot travel, ATVs, snow machines, boats, bicycles, school buses;
- Review previous Tribal and neighboring transportation, economic development, land-use, and general community studies/plans; and
- Organize and analyze the information using mapping, graphs, charts, and tables.

Step 3. Identify transportation needs (what is needed).

- Identify the gap between your vision, goals, and objectives and compare to the existing and future conditions = **NEEDS**.
 - **Community input** on transportation needs is very important. Discussion with the community should begin before the public meeting.

- Consider developing some high-level evaluation criteria to quantify the benefits of each potential transportation improvement option based on the results from Step 2 and the goals and objectives that were established at the beginning of the study.
- When identifying transportation needs/improvements:
 - Consider developing a detailed evaluation and prioritization table/tool to use for each recommended improvement/need category. The detailed evaluation criteria may differ for each mode, but should include all the high-level criteria developed. See Figures 6.2 and 6.3.
 - Consider all 4 seasons (Fall/Winter/Spring/Summer). Each season may have different transportation needs;
 - Consider safer routes to school or public facilities; employment opportunities; public health/safety facilities; subsistence or cultural access; and
 - Consider land uses.
- Identify projects or activities for each transportation need. Examples are:
 - Construction or reconstruction of roads and boardroads;
 - Trail construction or reconstruction;
 - Trail marking projects (for safety);
 - Trail wayside shelters;
 - Trail hardening (plastic grid, boardwalks, gravel);
 - Bridge repair or replacement;
 - Transit: vehicles, shelters, storage building;
 - Water, barge access roads;
 - Ice roads;
 - Road and trail maintenance, dust control;
 - Training for Tribe's people to work on "force account" construction projects or maintenance;
 - Functional classification; and
 - Tribal Transportation Program administration and delivery.
- For each **project or activity**, identify the following:
 - Planning level cost estimate;
 - Who will maintain the facility;
 - Affected environmental areas such as archeological and cultural sites, and other environment factors (25 CFR § 170.415(a)(5));
 - Right-of-way difficulty and other risks; and
 - Coordination with agencies (BLM, USFWS, USFS, NPS, State) on or near a project. Identify existing and future transportation routes to be added or changed on the NTTFI (25 CFR § 170.442-447).

Step 4. Develop Short, Mid, and Long-term Priorities. Using the evaluation process from Step 3, identify projects or activities that provide the greatest benefits and classify into the short, mid, or long-term timeframes (25 CFR § 170.411). A sample prioritization may look like the following.

Figure 6.2. Example High-level Evaluation and Prioritization Criteria:

Evaluation Criteria	Objective	Measure	Benefit Scale		
Safety	Improve overall modal safety *	Continuous reduction in lives lost	High	Med	Low
	Enhance kids' safety at bus stops/pullouts *	50% reduction in traffic incidents	High	Med	Low
Other Criteria	-	-	Yes	-	No

* Note: Carry these example objectives to the next Table (Figure 6.3) as headers, as shown.

Figure 6.3. Example Detailed Evaluation and Prioritization for Roadway:

Road	Location	Description	Length	Existing AADT	Existing LOS	Improve overall modal safety	Enhance kids' safety at bus stops/pullouts	Project Phase	Cost
Kind Road	MP 64 to MP 68	Reconstruction	4.0	<100	B	Med	Low	Mid	\$6M
School Road	MP 20 to MP 22	Widening and restriping	2.0	<100	C	High	High	Short	\$2M

When prioritizing, use the same criteria to see how projects measure up against each other. Prioritizing is an important step because:

- The cost of all the projects and activities added up may be more than the available funding; and
- Prioritizing projects makes the LRTP a do-able and visionary document, not just a "wish list".

Other considerations when prioritizing projects and activities include:

- The needs, goals, and ideas expressed by members of the community, which should be incorporated when developing the evaluation criteria;
- The “bang for the buck”; that is, how much good does a project do for the cost;
- Availability of funding for a project and feasibility of actual implementation;
- Degree of community support for a project; and
- Risk items that could stop or significantly delay a project: right-of-way problems, environmental issues, etc.

Performing this process should result in a prioritized list of do-able, fundable projects, and activities for (25 CFR § 170.411):

- Short range: 3 - 5 years;
- Medium (mid) range: 5 – 10 years; and
- Long range: 10 – 20 years.

Step 5. Develop an implementation plan. Perform an analysis of funding sources and alternatives to carry out the LRTP improvement recommendations and identify implementation actions to execute the projects and/or activities.

Identify the existing and proposed funding sources (local, State, Federal, Tribal, and private) and the funding expected from each source (25 CFR §§ 170.411(j) and 170.415(a)). Research and learn about funding source requirements and limitations to realistically assess the potential of utilizing a funding source for project implementation. For example, learn about the eligible uses of TTP funds (25 CFR §§ 170.111-113).

Perform a reality check by comparing the project cost to the expected funding. Identify any shortages in funding needed to implement the projects and/or activities in the LRTP.

Develop the Tribe's unique approach to implementation with specific actions. This may involve establishing and/or strengthening partnerships, creating project implementation sheets to carry into pre-project planning for short-term timeframe projects, develop policies and procedures, and conduct further research for potential funding sources.

Step 6. Finish up the LRTP. The following steps are needed before the LRTP is complete:

- **Public involvement.** Tribes must carry out public involvement activities according to 25 CFR § 170.413. To create an opportunity for an all-inclusive exposure to the plan, public involvement should occur to collect input on needs and then again to gain feedback on recommended improvements during the LRTP process.
- **Tribe makes draft LRTP available to the public and agencies.** The Tribe will make the draft LRTP available to the public (stakeholders, private citizens, major public and private entities, etc.) through appropriate methods (public meetings and/or public notice). The Tribe should send an electronic copy of the draft LRTP to FHWA and any other State or local organizations interested in coordinating transportation projects with the Tribal government. The Tribe should further refine the LRTP to address any issues identified during the public review process. The Tribe then finalizes and approves the LRTP and submits a copy to the TC.
- **LRTP approval.** The Tribal government approves the LRTP per 25 CFR § 170.412(c). FHWA does not approve a Tribe's LRTP. The FHWA Program Planning Specialist will be available for technical assistance to the TC and Tribe during the plan development, update, or amendment prior to adoption by the Tribal Council. Once the Tribe adopts the plan, the Tribe's POC provides a courtesy copy of the final LRTP to FHWA.

3. LRTP Resources. The following are resources that can assist a Tribe to develop or update their LRTP:

Web links:

- FHWA Tribal Transportation Planning – <https://www.fhwa.dot.gov/planning/processes/tribal/index.cfm>
- Regional NTTFI Reports – <https://itims.bia.gov/reports.shtml>
- TTAP – <https://ttap-center.org/>

Books/Manuals:

- *Manual on Uniform Traffic Control Devices* - <http://mutcd.fhwa.dot.gov/>.
- *Trip Generation*, Institute of Transportation Engineers.
- *Parking Generation*, Institute of Transportation Engineers.
- *Developing a Long-Range Transportation Plan*, FHWA Tribal Transportation Planning Modules – https://www.fhwa.dot.gov/planning/processes/tribal/planning_modules/lrtp/
- *Practitioner's Handbook #10: Using the Transportation Planning Process to Support the NEPA Process*, American Association of State Highway and Transportation Officials - http://environment.transportation.org/pdf/programs/practitioners_handbook10.pdf.

D. Pre-Project Planning (25 CFR § 170.415)

Pre-project planning is a necessary part of transportation planning. Pre-project planning needs to be performed by the Tribe before projects can be placed on the Tribe's TIP (TTIP) because the process evaluates the viability of actual project delivery by exploring associated risks and defining a specific approach to project execution. The pre-project planning process provides the Tribe with a more realistic scope, schedule, and budget before deciding whether or not the project would go onto the TTIP and, in doing so, increases Program success.

Pre-project planning looks at the following items:

- The various alternatives to a project (for example, roundabout vs. intersection);
- Preliminary cost estimate of a project (25 CFR §§ 170.402(b) (10) and 170.415(a));
- If the project warrants a public hearing;
- The regional significance of the project; and
- The project's need for preliminary environmental and archeological reviews.

The pre-project planning process helps to further filter which projects are proposed to end up on the TTIP. Proposing projects for the TTIP should be made only after the Tribe thoroughly analyzes all the relevant information, including the project's preliminary environmental and archeological reviews. The Tribe can decide whether or not the project is suitable to proceed after the preliminary environmental process review is completed. Comparing the environmental requirements and/or impacts to the planned scope of the project helps the Tribe effectively program a TTIP.

The Pre-Project Planning Worksheet (see Appendix B – [Exhibit 5.4](#)) may be used by the Tribe when performing pre-project planning.

Pre-project planning activities may include, but not limited to:

- **Preliminary project cost estimates.** This looks at alternative concepts for the project, and the approximate cost associated with each concept. Examples of alternative concepts would be a roundabout versus a normal intersection, or a two-lane road versus a one lane road with turnouts. When doing a cost estimate for the alternative concepts, it is important to identify and estimate all the known items of work that would occur during construction. Not all projects will have each and every item listed on the worksheet (see Appendix B – [Exhibit 5.4](#)). In many cases, it is not possible to list all of the items at this preliminary stage, so it is recommended that an appropriate contingency factor (from 5% to 25%) be added to the cost estimates to reflect other possible items.
- **Consultation and coordination with States and/or MPOs for regionally significant projects.** A “regionally significant project” is one that occurs on a facility serving regional transportation needs, and that would normally be included in the modeling of a metropolitan area's transportation network (25 CFR § 170.5). This type of project includes work on principal arterial highways and

all fixed guideway transit facilities that offer a significant alternative to regional highway travel. ("Regional transportation needs" includes access to and from the area outside of the region; major planned developments such as new retail malls, sports complexes, etc.; or transportation terminations, as well as most terminals themselves). The State DOT can assist in modeling or providing clarification on regionally significant projects for an area.

- **Preliminary needs assessments.** Two questions should be asked: (1) What is the problem you are trying to solve with this project? (2) What are the consequences of not addressing the problem?
 - The needs statements should be specific enough to be measurable. The discussion should set the stage to conclude that the project is needed. How many fatalities (supported by data)? How much flooding (supported by data)? How much maintenance effort is needed? How much congestion? The discussion should make a convincing case that a solution to a problem is needed and that the purpose of the proposed project is to provide a solution that best solves the transportation problem.
 - For example, "As Maple Street's ADT has increase by 15% in last two years, a need to widen the road for a left-hand turn lane is warranted according to applicable standards. If the increase in ADT is not addressed, safety issues such as decelerating vehicles causing an impediment on traffic flow will increase."
 - Descriptions such as "dangerous", "hazardous", or "this curve caused six accidents" that are not supported by data and facts should be avoided. These may be interpreted as opinions that do not add value to the determination of a need.
- **Concepts of possible alternative strategies** that could satisfy the identified deficiencies and purpose and need. This should not be an all-inclusive list, but factors to be considered for programming a project. A complete list of all reasonable alternatives will be identified in the environmental process.
- **Preliminary environmental and archeological reviews.** Document what and where your environmental and archeological resources are related to your project prior to construction. This can be done by working with your Tribal Natural Resource Department, Tribal Historical Preservation Office or the Federal/State agencies in your area (see 23 CFR § 450.322(g) for further guidance).

The process provides a sound basis for commitment of resources necessary to conduct environmental studies and other activities with respect to the proposed project.

See [Chapter VI - Preliminary Engineering - NEPA and Other Environmental Requirements](#) to determine the level of NEPA analysis that will be needed for the proposed project.

E. TTIP

1. **Overview.** The TTP transportation planning process requires the Tribe to develop a **TTIP**. The **TTIP** is a list of transportation projects and activities eligible for TTP funding covering a period of 4 years. The approval of the **TTIP** is required before the Tribe can spend any TTP funds. The **TTIP** lists the projects and activities that the Tribe can spend TTP funds on (25 CFR § 170.204). As described in the Tribal Transportation Program Agreement, FHWA approves the **TTIP** developed by the Tribe, and the Tribe implements the activities from the FHWA-approved **TTIP**.
2. **Guidelines/Procedures**
 - **The TTIP must be "financially constrained"** (also called "**fiscally constrained**"). This means that a Tribe cannot show projects and activities in their TTIP that will cost more than the funds committed, available, or "reasonably expected to be available" (see 23 CFR §§

450.104 *Definitions*, and 25 CFR §§ 170.5 and 170.421(a)(2)) to cover the cost of design and construction, as well as the cost of future operation and maintenance of the proposed project (23 CFR §§ 450.104 *Definitions*). Financial constraint/fiscal constraint applies to each of the four program years. Please refer to the “Financial Planning and Fiscal Constraint for Transportation Plans and Programs Questions & Answers” from FHWA Office of Planning, Environment and Realty located at <http://www.fhwa.dot.gov/planning/fsclentrntques.cfm>

- **Projects that are not financially constrained in the TTIP** will be considered a part of an “illustrative” list, as long as they were identified in the LRTP. The unconstrained projects will not be considered for approval on the TTIP, nor will they be forwarded to be included into the State DOT STIP. Once funds become available for any project identified on the illustrative list, the Tribe should revise the TTIP showing the project as funded and programmed, and submit it to their FHWA TC to review. The TC will determine if the revision is an administrative modification or an amendment (23 CFR §§ 450.104 *Definitions*). An amendment will require public review and comment and a re-demonstration of fiscal constraint.
- **The TTIP needs to be consistent with the LRTP and the Inventory.** The projects listed on the TTIP must be consistent with the LRTP (25 CFR § 170.421(a)(1)). For those projects funded under the TTP, the route and section (s) must be listed in the National Tribal Transportation Facility Inventory (25 CFR § 170.442) and certified as “Official” or eligible for TTP funding.
- **Project Funding.** The TTIP needs to document the anticipated or available funding source(s) to be used to implement each transportation project and other activities shown on the TTIP. All of the funded transportation projects must be listed on an FHWA-approved TTIP.
- **Coordination.** The Tribe should coordinate with and inform the State DOT, and as appropriate any MPO, on all regionally significant projects when developing its TTIP (25 CFR § 170.107(a)(1)). This is to ensure the regionally significant project (s) are included in the State programs (23 U.S.C (c)(3)) and encourages entity coordination on plans and collaboration on resources to implement the project (s) for mutual benefit.
- **Planning Requirements for Development of the TTIP.** The TTIP must comply with all the relevant provisions in 25 CFR § 170. The FHWA TC in coordination with the Program Planning Specialist will provide technical assistance to the Tribe to ensure that all Federal planning requirements have been met in the development of the TTIP.
- **Public Involvement.** The public must be provided the opportunity to review and comment on the TTIP, according to 25 CFR § 170.422.

A public hearing must be held if a project:

- (a) Is a new route or facility;
- (b) Would significantly change the layout or function of connecting or related roads;
- (c) Would cause a substantial adverse effect on adjacent property; or
- (d) Is controversial or expected to be controversial in nature (25 CFR § 170.435).

The Tribe should keep in their files the following documents related to public involvement for the TTIP: announcement of meeting, notice, or hearing; the meeting sign-in sheet; minutes and/or recording of hearing; and other documentation that provide records of public involvement.

- **Categories the Tribe needs to include in the TTIP.** The following table shows the seven categories to include in the TTIP (25 CFR §§ 170.421).

Categories in a TTIP	
Category	Guidance
Administration	Costs associated with Administration may be direct and/or indirect cost related to Tribal transportation department operating costs. Indirect costs should match the indirect costs reported by the Tribe in the semi-annual financial report, and follow the indirect cost policy (25 CFR § 170.931, and 25 CFR Part 170 Appendix A to Subpart B). See Indirect Cost in Chapter IV - TTP Reporting Responsibilities.
Planning	Costs associated with Planning are those activities conducted during the Long Range Transportation Planning process (see 25 CFR §§ 170.400-447) such as 20 year LRTP, TTIP development, pre-project planning, etc. Up to 2% of total fiscal year TTP funds as shown on RFA (23 U.S.C. § 202(c)), and up to 100% of TTP funds, if identified as a priority on the FHWA-approved TTIP (25 CFR § 170.403).
Preliminary Engineering	Costs associated with developing a project package (see 25 CFR § 170.460) such as surveying, design, NEPA, technical engineering, ROW acquisition, etc. Budgeted costs are usually between 10-25% of the overall project costs. Funds used for preliminary engineering can be up to 100% of Tribes' total fiscal year allocation minus any amounts from other areas.
Construction	Costs associated with construction activities include, but not limited to roadway construction, utility relocation, bridge construction, drainage improvements, etc. Budgeted costs are usually between 60-90% of the overall project cost. Funds used for construction can be up to 100% of Tribes' total fiscal year allocation minus any amounts from other areas.
Construction Engineering	Costs associated with construction engineering include but not limited to, managing the project on/off site, inspection, material testing, etc. Budgeted costs are usually between 10-15% of the overall project costs. Funds used for construction engineering can be up to 100% of Tribes' total fiscal year allocation minus any amounts from other areas.
Transit	Costs associated with transit are documented in the LRTP and include, but not limited to, administration, operations, personnel, etc. Costs should be coordinated with the FTA if used as match for FTA projects. Funds used for transit can be up to 100% of Tribes' total fiscal year allocation minus any amounts from other areas.
Maintenance	Activities identified as maintenance are located in 25 CFR § 170.805. Funds used for maintenance can be up to 25% of total fiscal year TTP Tribal allocation or \$500,000, whichever is greater (23 U.S.C. § 202(a)(8); 25 CFR § 170.800), except for road sealing, which is not subject to any limitation.

- **TTIP Timeline.** The following table shows the timeline for the development, delivery, and approval of a TTIP (25 CFR § 170.423).

TTIP Timeline (Fiscal Year)			
Action Item	Authority / Reference	Frequency / Due Date	Responsible Party
Tribes notified of the opportunity to update TTIP. Tribe receives 1) estimated TTP funding amounts for FY; 2) copy of previously approved TTIP; and 3) instructions for submitting the annual update.	25 CFR §§ 170.423(b)	FY Annually – 1st Quarter (October through December)	TC
Review any new transportation planning information, priority lists, and previous approved TTIP to draft a new one. Draft TTIP - Public Review – Tribe puts TTIP out for public review	25 CFR §§ 170.423(c) 25 CFR § 170.422	FY Annually – 2nd Quarter (January through March)	Tribe
Complete and forward an updated TTIP package consisting of the following: 1) TTIP forms for each project and/or activity, 2) Tribal resolution or tribally authorized government action, and/or a signed and dated TTIP Certification Statement to the TC.	Internal Tribal process	FY Annually – 3rd Quarter (April through June)	Tribe
Compile TTIPs and make TTIP available on OTT planning website.	25 CFR §§ 170.424(b)	FY Annually – 4 th Quarter (July through September)	FHWA Program Planning Specialist

- 3. Process for Development and Review of the TTIP.** The Tribe develops the TTIP from the Tribal priority list or the Tribe's LRTP (see 25 CFR §§ 170.421-423). The Tribe may prepare its TTIP using the Microsoft Access FHWA TTIP Template, and the FHWA TTIP Template User Guide, available at <https://highways.dot.gov/federal-lands/programs-tribal/planning>. See Appendix B - [Exhibit 5.1](#) for a printout of the blank FHWA TTIP Template.

Step 1. The Tribe submits the draft TTIP to the TC, who will work with the Tribal POC to ensure all requirements have been met and any issues with TTIP are resolved.

Step 2. Once the TC and Tribal POC agree that TTIP is complete, the TC will follow internal steps to obtain TTIP concurrence, and inform the Tribal POC. Additional changes may be required and coordinated between TC and Tribal POC.

Step 3. Tribe conducts public involvement activities (see 25 CFR §§ 170.422). The Tribe should keep in their files the following documents related to public involvement for the TTIP: announcement of meeting, notice, or hearing; the meeting sign-in sheet; minutes, or recording of hearing; and other documentations that provide records of public involvement.

Step 4. Tribal POC submits Tribally approved **TTIP Package** to FHWA.

4. **Submitting the TTIP Package.** The Tribe should submit by mail, email, or fax, the following items as a package to the TC so that the agency's Program Planning Specialist can review the TTIP for approval:
 - A **TTIP Certification**, signed and dated by the Tribe's Chief, Chairperson, CEO, or President, or designated acting (see Appendix B - [Exhibit 5.3](#)). This document is an assurance to FHWA that the Tribe developed the TTIP according to 25 CFR §§ 170.415, and 421-422, which require the following: public involvement for the TTIP has been done; the TTIP is financially constrained; consultation and coordination has been done with States and/or MPOs for a regionally significant project (s); the TTIP is consistent with the LRTP; and, transportation facilities in the TTIP are on the National Tribal Transportation Facility Inventory.
 - **The completed TTIP Forms for each project/activity.** The TC provided the Tribe with the optional Microsoft Access Microsoft Access FHWA TTIP Template (see Appendix B - [Exhibit 5.1](#)).
 - A supporting **Tribal Resolution or Tribal government action** (see example Tribal resolution template in Appendix B - [Exhibit 5.2](#)). This is optional *if* the TTIP Certification form (see Appendix B - [Exhibit 5.3](#)) is signed and dated by the Tribe's Chief, Chairperson, CEO, or President, or designated acting.
5. **Reviewing the TTIP.** The FHWA Program Planning Specialist will review the TTIP package for completeness and may request any missing package documents.
6. **Approving the TTIP.** FHWA approves the TTIP. Once approved by FHWA, the TTIP becomes part of the official TTPTIP. The Tribe will then receive a signed copy of the approved TTIP, along with an approval email from the TC. If some projects on the TTIP are determined by FHWA to not be eligible, the Tribe will receive a "partial" TTIP approval by FHWA.
7. **The TTPTIP** is put together by FHWA, and contains the information from all of the FHWA-approved TTIPs. The TTPTIP information is made available to States to be included in their STIP (see 25 CFR § 170.5 for definitions). Note: Having a project listed on the STIP does not guarantee State funding.
8. **TTIP Resources.**
 - The **FHWA TTP Planning** website is located at <https://highways.dot.gov/federal-lands/programs-tribal/planning>. This site provides resources and technical information on long-range transportation planning, which includes pre-project planning, and TTIP development for Tribal governments administering the Tribal Transportation Program.
 - The **FHWA Tribal Transportation Planning** website is located at <http://www.fhwa.dot.gov/planning/processes/tribal/>. It includes a Tribal Transportation Module Training Series, with topics such as: *Introduction to Planning; Developing a LRTP; Developing a TIP; Funding Resources; Public Involvement; Data Collection and Uses; Safety; and Project Prioritization.*

F. National Tribal Transportation Facility Inventory Update

1. Overview.

The NTTFI is a comprehensive database of all transportation facilities eligible for TTP funding by Tribe, reservation, BIA agency and region, Congressional district, State, and county (or borough). Other specific information collected and maintained under the TTP includes classification, route

number, bridge number, current and future traffic volumes, maintenance responsibility, and ownership (see 25 CFR § 170.5).

The NTTFI is developed through the LRTP process, as described in 25 CFR §§ 170.409 - 170.414. The Tribes can use the NTTFI to assist in transportation and project planning, justify expenditures, identify transportation needs, maintain existing TTP transportation facilities, and develop management systems.

BIA Regional offices maintain, certify, and review the data for their Region's portion of the National Tribal Transportation Facility Inventory database. Tribes can receive training from BIADOT to enter their own data updates.

2. Statutory/Regulatory Requirements.

25 CFR §§ 170.410 and 170.442 - 170.447.

3. Guidelines / Procedures.

BIA maintains the NTTFI. It is important for Tribes to periodically update their inventory information to determine eligibility of facilities for TTP funding of improvements. Tribes should submit their inventory updates through the BIA Regional Office.

The following table shows the dates, roles, and responsibilities for updating or adding a facility to the NTTFI.

Updating or Adding a Facility to the NTTFI			
Program Activity / Process	Authority / Reference	Frequency / Due Date	Responsible Party
BIA Regional Offices provide Tribe a copy of the Tribe's own NTTFI data.	25 CFR § 170.444(a)(1)	Annually – By November 1	BIA Regional Office
Review the provided data and enter all changes/updates into the NTTFI database. Submittals that add a facility to the NTTFI must include, at a minimum, all required minimum attachments (see 25 CFR § 170.446) and authorizing resolutions or similar official authorizations.	25 CFR § 170.444(a)(2) and 25 CFR § 170.444(b)(1)	Annually – Prior to March 15 (No due date for updating a facility already in the NTTFI).	Tribe
Review Tribe initial submission; return errors or omissions to Tribe. If no errors or omissions are found, the BIA Regional Office validates the data and forwards it to BIADOT for review and approval.	25 CFR § 170.444(a)(3) and 25 CFR § 170.444(b)(2) and (3)	Annually – Prior to May 15 (No due date for updating a facility already in the NTTFI).	BIA Regional Office

Updating or Adding a Facility to the NTTFI			
Program Activity / Process	Authority / Reference	Frequency / Due Date	Responsible Party
Correct or complete submissions from BIA; submit corrected submission electronically to BIA Regional Office; cc the TC	25 CFR § 170.444(a)(4) and 25 CFR § 170.444(b)(2)	Annually – by June 15 (No due date for updating a facility already in the NTTFI).	Tribe
Certify and submit Tribal NTTFI data electronically to BIADOT	25 CFR § 170.444(a)(5) and 25 CFR § 170.444(b)(2)	Annually – By July 15	BIA Regional Office

A Tribe may appeal the rejection of submitted data on a new or existing facility included in the NTTFI by filing a written notice of appeal to the Director, BIA, with a copy to the BIA Regional Director (see 25 CFR § 170.444(c)).

4. Resources

- BIA ITIMS website, including NTTFI and RIFDS information: <https://itims.bia.gov/index.shtml>
- BIA NTTFI Coding Guide: https://itims.bia.gov/document_library/irr_coding_guide.pdf
- Document providing step-by-step process for updating the NTTFI on a route and section basis: https://itims.bia.gov/document_library/rifds_quickref_guide.pdf
- BIADOT RIFDS training workshops - by BIADOT

G. Requirements on Tribe's Management of NTTFI Facilities. See 25 CFR §§ 170.114 through 170.117.

VI. Preliminary Engineering - NEPA and Other Environmental Requirements

A. Overview. TTP projects, like all federally-funded projects, must comply with applicable Federal, Tribal, State, and local environmental laws, regulations, and policies. Preliminary Engineering for a project, including completion of environmental documentation and review, begins after the project has been identified in the Tribe's LRTP and the FHWA-approved TTIP (see [Chapter V - Transportation Planning](#)).

B. Authority for Environmental Requirements of the TTP. As outlined in [25 CFR § 170.450](#), all Federal government and Tribal work for the TTP must comply with cultural resource and environmental requirements under applicable Federal laws and regulations, including, but not limited to the following:

- 16 U.S.C. § 1531, Endangered Species Act.
- 16 U.S.C. § 4601, Land and Water Conservation Fund Act (Section 6(f)).
- 16 U.S.C. §§ 661-667d, Fish and Wildlife Coordination Act.
- 23 U.S.C. § 138, Preservation of Parklands, commonly referred to as 4(f).
- 25 U.S.C. §§ 3001-3013, Native American Graves Protection and Repatriation Act.
- 33 U.S.C. § 1251, Federal Water Pollution Control Act and Clean Water Act.
- 42 U.S.C. § 7401, Clean Air Act.
- 42 U.S.C. § 4321, National Environmental Policy Act.
- 49 U.S.C. § 303, Preservation of Parklands.
- 7 U.S.C. § 4201, Farmland Protection Policy Act.
- 50 CFR § 402, Endangered Species Act regulations.
- 7 CFR § 658, Farmland Protection Policy Act regulations.
- 40 CFR § 93, Air Quality Conformity and Priority Procedures for use in Federal-aid Highway and Federally-Funded Transit Programs.
- 23 CFR § 771, Environmental Impact and Related Procedures.
- 23 CFR § 772, Procedures for Abatement of Highway Traffic Noises and Construction Noises.
- 23 CFR § 777, Mitigation of Impacts to Wetlands and Natural Habitat.
- 36 CFR § 800, Protection of Historic Properties.
- 40 CFR §§ 260-271, Resource Conservation and Recovery Act.
- Applicable Tribal/State laws.
- Other applicable Federal laws and regulations.

C. NEPA. To assist Federal agencies in effectively implementing the environmental policy and “action-forcing” provisions of NEPA, the CEQ issued [40 CFR §§ 1500-1508](#) *Regulations for Implementing the Procedural Provisions of the National Environmental Policy Act*. The CEQ regulations address the basic decisionmaking framework and action-forcing provisions established in NEPA. NEPA decisionmaking includes:

- Use of a systematic and interdisciplinary approach.
- Appropriate consideration given to environmental, economic, and technical issues.
- For major Federal actions significantly affecting the environment, inclusion of a detailed statement on:
 - Environmental impacts of the proposed action.
 - Adverse impacts that cannot be avoided.
 - Alternatives to the proposed action.
 - Consequences of taking the proposed action.

- Consultation with other Federal, State, and local agencies.
- Public involvement.

To fulfill NEPA responsibilities established by the CEQ, FHWA and the DOI issued regulations ([23 CFR § 771](#) and [43 CFR § 46](#), respectively) prescribing the policies and procedures for implementing NEPA. Additional NEPA requirements and guidance established by FHWA and BIA can be accessed at the FHWA [Environment webpage](#), the DOI's [Departmental Manual Part 516 Chapter 10](#), and BIA's [NEPA Guidebook](#). These requirements/guidance help to ensure possible adverse economic, social, and environmental effects are fully considered during project development. All TTP projects must adhere to environmental regulations prescribed in [25 CFR § 170.450](#). However, Tribes will be further directed by the applicable regulations/guidance of the Agency with which they are working.

Each TTP project requires a NEPA document that must be completed and approved before the PS&E can be approved, before ROW acquisition can occur, and before project construction can start. The NEPA document should ideally be completed and approved at approximately 30% - 50% completion of a project's design (see [Chapter VII - Preliminary Engineering – Project Package](#)). This is a guideline only and is intended to help ensure appropriate environmental commitments are incorporated into a project's final design.

D. Development of the NEPA Document and Approval Authority. The development of the NEPA document is undertaken by the Tribe, unless otherwise arranged with FHWA.

Because the TTP is jointly administered by BIA and FHWA, either BIA or FHWA must be the lead (or at least a co-lead) Federal agency for the NEPA process on all TTP-funded projects. Therefore, all TTP NEPA documents must be reviewed and approved by the appropriate BIA or FHWA authority. Even when a Tribe develops a NEPA document, it does not have approval authority for the document, only the lead or co-lead Federal agency(ies) have approval authority.

When a Tribe is developing a NEPA document, it is recommended that the Tribe prepare and submit to the TC the **TTP Environmental Checklist** (see Appendix B – [Exhibit 6.1](#)).

The FHWA Environmental Toolkit website is at https://www.environment.fhwa.dot.gov/env_topics/tribal/tribal_consultation_guidelines.aspx

FHWA Tribal Consultation Guidelines are located at https://www.environment.fhwa.dot.gov/env_topics/tribal/tribal_consultation_guidelines.aspx

E. Documentation and Processing. NEPA requires that Federal agencies disclose the results of their analysis and the effects of project implementation on the environment. The purpose of documenting the NEPA process is to provide for complete disclosure to the public; to allow others an opportunity to provide input and to comment on proposals, alternatives, and environmental impacts; and to make the appropriate information available to decisionmakers to ensure a reasoned choice among alternatives. As NEPA is a procedural law, the administrative record provides evidence that the process was appropriately followed.

There are three classes of actions under NEPA, which determine how compliance with NEPA is carried out and documented depending on the significance of the environmental impacts of the project under study. The CEQ regulation at [40 CFR § 1508.27](#) states that “significantly” requires consideration of both context and intensity. Context means that the significance must be analyzed in several contexts such as society as a whole, national, affected region, affected interests, and the locality. Significance varies with the setting of the proposed action. Both short- and long-term effects are relevant.

Intensity refers to the severity of the impact. Impacts may be both beneficial and adverse. Among other considerations, the following should be considered in evaluating intensity:

- Proximity to historic or cultural resources, park lands, prime farmlands, wetlands, wild and scenic rivers, or ecologically critical areas;
- If effects on the quality of the human environment are likely to be highly controversial;
- Whether the action is related to other actions with individually insignificant but cumulatively significant impacts; and
- Degree to which the action may adversely affect historical resources or endangered or threatened species.

The three classes of actions under NEPA are categorical exclusions, environmental assessments, and environmental impact statements. Below is a flow chart for the NEPA process (Figure 9-1) followed by a description of each class of NEPA action.

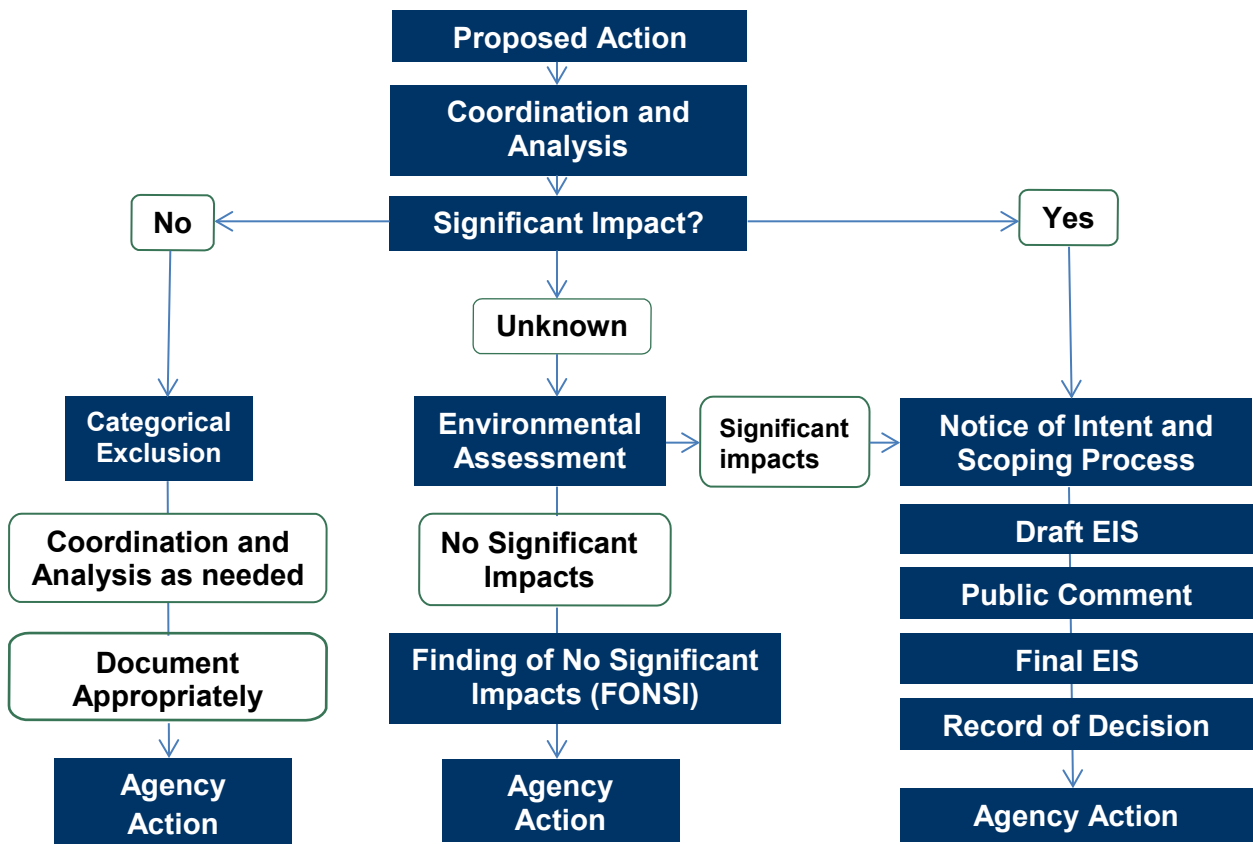


Figure 9-1: NEPA process flowchart

- 1. Categorical Exclusions.** Categorical exclusions are actions which meet the definition contained in [40 CFR § 1508.4](#). These actions are “excluded” from the requirements to prepare either an environmental assessment or an environmental impact statement based on experience that the actions do not normally individually or cumulatively result in significant impacts. The vast majority of TTP funded projects fall under this class of action; however, it is not an exemption of NEPA or other environmental requirements.

The Categorical Exclusions under NEPA at [23 CFR 771.117](#) governing the use of funds made available through title 23 shall apply to all qualifying TTP projects involving the construction or

maintenance of roads. See [25 CFR § 170.453](#). A list of FHWA's CEs are available at [23 CFR § 771.117\(c\) and \(d\)](#). Based on past experience, these actions have normally been shown to result in no significant impacts, however, a record must be established that demonstrates that the action has no unusual circumstances as set forth in [23 CFR § 771.117\(b\)](#).

Resources:

- CEQ - Regulations for Implementing NEPA: https://www.energy.gov/sites/prod/files/NEPA-40CFR1500_1508.pdf
- Forty Most Asked Questions Concerning CEQ's National Environmental Policy Act Regulations: <http://energy.gov/nepa/downloads/forty-most-asked-questions-concerning-ceqs-national-environmental-policy-act>

2. **Environmental Assessments.** When the significance of the environmental, social, and economic impacts of an action is not clearly established, an EA should be undertaken ([40 CFR § 1508.9](#)). Some larger and more complicated TTP funded projects may require an EA. Based on the results of the EA, then either: 1) a FONSI is issued by the lead Federal agency(ies) if it is determined that the preferred alternative will not result in significant impacts ([40 CFR § 1508.13](#)); or, 2) an EIS is developed if it is determined that the preferred alternative will result in significant impacts. The BIA's procedures for EAs/FONSIs are described in [43 CFR § 46 Subpart D](#) and the BIA [NEPA Guidebook](#). FHWA's procedures are in [23 CFR §§ 771.119](#) and [121](#), and [Chapter 3](#) of the FLH PDDM.

The general EA procedures between the two agencies are very similar. However, one substantial difference is the timing of presenting an EA and/or FONSI for public review. The BIA issues a notice of availability of the EA and FONSI simultaneously for a 30 day public review before moving forward with the project. Conversely, the FHWA releases the EA for a 30 day public review, and if appropriate, subsequently releases the FONSI. In instances where the BIA and the FHWA both have an approval decision for an EA/FONSI, the BIA and FHWA environmental specialists will coordinate to ensure the public review period meets both agencies' requirements while eliminating/minimizing any extensions of the approval timeline.

Resources:

- CEQ - Regulations for Implementing NEPA: https://www.energy.gov/sites/prod/files/NEPA-40CFR1500_1508.pdf
- Forty Most Asked Questions Concerning CEQ's National Environmental Policy Act Regulations: <http://energy.gov/nepa/downloads/forty-most-asked-questions-concerning-ceqs-national-environmental-policy-act>
- Outline for an EA: see Appendix B - [Exhibit 6.2](#)
- Example Notice of Availability & Solicitation of Public Comment: see Appendix B - [Exhibit 6.3](#)

3. **Environmental Impact Statements.** NEPA requires Federal agencies to prepare an EIS for major Federal actions that significantly affect the quality of the human environment ([40 CFR § 1502](#)). An EIS is a full-disclosure document and includes consideration of a range of reasonable alternatives (one of which must be the no-build alternative), analyzes the potential impacts resulting from the alternatives, and demonstrates compliance with other applicable environmental laws and Executive Orders. Few TTP funded projects are anticipated to require an EIS. However, the BIA's procedures for EISs is at [43 CFR § 46 Subpart E](#) and BIA's [NEPA Guidebook](#), and FHWA's are at [23 CFR 771 §§ 123-130](#) and [Chapter 3](#) of FLH's PDDM.

Resources:

- CEQ - Regulations for Implementing NEPA: https://www.energy.gov/sites/prod/files/NEPA-40CFR1500_1508.pdf
- Forty Most Asked Questions Concerning CEQ's National Environmental Policy Act Regulations: <http://energy.gov/nepa/downloads/forty-most-asked-questions-concerning-ceqs-national-environmental-policy-act>

- 4. Administrative Record.** The administrative record is a fundamental component of the NEPA project decisionmaking and documentation process. It is intended to provide evidence that the agency's decision was derived in accordance with NEPA and is in compliance with other requirements. The administrative record consists of the NEPA documents and other documentation that supports or is referenced in them, such as public-hearing transcripts, correspondence, and studies/evaluations/technical reports. It includes e-mail, meeting minutes, and information that support the facts and decisions made during the NEPA process, such as purpose and need, alternatives development, impact analysis, public involvement, and interagency coordination. The administrative record should fully reflect the deliberative process that the agency took to reach its decision.

The Tribe shall retain project records and design documents for a minimum of 3 years following completion of the project construction (25 CFR § 900.130).

Resources:

- AASHTO Practitioner Handbook - Maintaining a Project File and Preparing an Administrative Record for a NEPA Study: <http://environment.transportation.org/pdf/programs/PG01.pdf>
- PDDM Chapter 3: <https://highways.dot.gov/federal-lands/pddm>

- F. Other Environmental Laws and Requirements.** The Tribe, in coordination with FHWA/BIA, manages the NEPA project-development and decisionmaking process as an “umbrella” under which all applicable environmental laws, Executive Orders, and regulations are considered and addressed prior to the final project decision and document approval. The cultural resource and environmental requirements for the TTP are listed in 25 CFR § 170.450 and depicted below in Figure 9-2. These are environmental laws that are commonly applicable during the NEPA process, but others may be applicable as well. Depending on the nature of the action, it is best to plan all levels of NEPA documentation to run parallel with requirements of other applicable environmental laws, regulations, and requirements. To the extent possible, these other compliance actions should be completed by the end of the NEPA process (CE, FONSI, or ROD). Information, conclusions and commitments of the agency related to these compliance actions will be discussed in the NEPA document.



Figure 9-2: Applicable environmental laws for TTP-funded actions.

As noted above, the NEPA process involves compliance with a number of additional environmental laws, regulations, and requirements. The following highlights some of the environmental laws and requirements that regularly come into play in transportation projects. For a more detailed discussion on other additional environmental laws and requirements, see the PDDM Chapter 3:

<https://highways.dot.gov/federal-lands/pddm>

1. **Section 4(f).** Section 4(f) refers to the original section in the U.S. Department of Transportation Act of 1966 that provides protection for publicly owned parks, recreational areas, wildlife and waterfowl refuges, and public or private historical sites from use by transportation projects. The law, now codified in [49 USC § 303](#) and [23 USC § 138](#), is implemented by FHWA/FTA through regulation ([23 CFR § 774](#)).

If a project proposes to use a property protected by Section 4(f), FHWA must either determine that impacts are *de minimis* or prepare a Programmatic or Individual Section 4(f) evaluation to determine that no feasible and prudent avoidance alternatives exist. FHWA, with assistance from the Tribe/BIA, is ultimately responsible for making all decisions related to Section 4(f) compliance. These decisions include whether Section 4(f) applies to a property, whether a use would occur, whether a *de minimis* impact determination may be made, what each alternative's impacts will be on Section 4(f) properties, and whether the law allows the selection of a particular alternative that uses 4(f) property after the appropriate officials with jurisdiction have been consulted.

Currently, the BIA cannot make Section 4(f) determinations for their TTP projects, only an agency of the U.S. Department of Transportation can. However, in an effort to streamline compliance with Section 4(f) within BIA's TTP projects, both agencies are working together to identify possible avenues for the BIA to independently make Section 4(f) determinations.

Resources:

- FHWA Section 4(f) Program Overview: <http://environment.fhwa.dot.gov/4f/index.asp>
- FHWA Section 4(f) Policy Paper: <http://environment.fhwa.dot.gov/4f/4fpolicy.asp>
- PDDM Chapter 3: <https://highways.dot.gov/federal-lands/pddm>

- 2. Section 106 of the National Historic Preservation Act.** Section 106 of the National Historic Preservation Act (NHPA) of 1966, as amended, requires Federal agencies to take into account the effects of their actions on historic properties and to afford the Advisory Council on Historic Preservation (ACHP) a reasonable opportunity to comment. The historical preservation review process mandated by Section 106 is outlined in [36 CFR § 800](#). Section 106 requires Federal agencies to consult with the State Historic Preservation Office (SHPO) and/or Tribal Historic Preservation Office (THPO), property owners, local governments, and other parties when a Federal undertaking may affect historic properties that are on or are eligible for inclusion in the National Register of Historic Places. In certain cases, the ACHP may be invited to participate in the consultation process.

The Tribe is responsible for ensuring appropriate surveys and reports are completed in compliance with the NHPA. Early coordination with the FHWA/BIA Environmental Specialist is recommended to ensure the appropriate level of study and any appropriate consultation by the lead Federal agency is undertaken. Also, any reports should be reviewed by the lead Federal agency prior to being finalized. The lead Federal agency is typically responsible for consultation with the SHPO and/or THPO.

Resources:

- FHWA Historic Preservation Website: <http://environment.fhwa.dot.gov/histpres/index.asp>
- Section 106 Users Guide: <http://www.achp.gov/usersguide.html>
- PDDM Chapter 3: <https://highways.dot.gov/federal-lands/pddm>

- 3. Section 7 of the Endangered Species Act of 1973.** The Endangered Species Act (ESA), codified in 16 USC § 1531 and implemented in [50 CFR § 402](#), provides for the conservation of ecosystems upon which threatened and endangered species of fish, wildlife, and plants depend. The USFWS and the NMFS, referred to here as the Services, share responsibility for administration of the ESA. Section 7 of the ESA requires Federal agencies to ensure that any action authorized, funded, or carried out by them is not likely to jeopardize the continued existence of listed species or to adversely modify their critical habitat.

If the lead Federal agency (or joint lead agencies) finds that the project will have “no effect” on listed species or designated critical habitat, consultation with the Service(s) is not required. If they find that the project “may affect, but not likely to adversely affect” listed species or modify designated critical habitat, they must conduct informal consultation with the appropriate Service(s). The Service(s) must concur with this finding in writing to conclude the informal consultation process. Formal consultation is initiated by the Federal lead agency(ies) when a project “may affect, likely to adversely affect” listed species or modify designated critical habitat.

At the conclusion of the formal consultation process, the Service(s) will issue a biological opinion.

The Tribe is responsible for ensuring appropriate surveys and reports (a Biological Assessment is required for informal and formal consultation) are completed in compliance with the ESA. Early coordination with the FHWA/BIA Environmental Specialist is recommended to ensure the

appropriate level of study and any appropriate consultation by the lead Federal agency is undertaken. Also, any reports should be reviewed by the lead Federal agency prior to being finalized. The lead Federal agency is typically responsible for consultation with the Services on “may affect...” determinations.

Resources:

- FHWA ESA Webtool: <http://www.environment.fhwa.dot.gov/esawebtool>
- Endangered Species Section 7 Handbook:
http://www.nmfs.noaa.gov/pr/pdfs/laws/esa_section7_handbook.pdf

4. Permits.

Acquisition of a number of potential Federal, Tribal, State, and local permits may be needed before construction of a proposed project can be initiated. Examples include Section 401, 402, and 404 permits of the Clean Water Act, floodplain permit, fish habitat permits, Coastal Zone Management Act permit, US Coast Guard Section 9 permit, etc. The Tribe is responsible for ensuring permit acquisition.

Resources:

- Wetlands and Section 401 Certification Fact Sheet:
<http://www.epa.gov/owow/wetlands/facts/fact24.html>
- NPDES Website: <https://www.epa.gov/npdes>
- Overview of Section 404 Permitting: <http://water.epa.gov/lawsregs/guidance/cwa/dredgdis>

VII. Preliminary Engineering – Project Package

- A. Overview.** Preliminary Engineering begins after the project has been identified in the Tribe's LRTP and the FHWA-approved TTIP (see [Chapter V - Transportation Planning](#)).

Preliminary Engineering for a project includes completion of the NEPA document, environmental review, and environmental permits (see [Chapter VI - Preliminary Engineering - NEPA and Other Environmental Requirements](#)), development of the **project package**, acquisition of right-of-way (see [Chapter VIII - Preliminary Engineering - Right-of-Way \(ROW\)](#)), and advertisement and procurement of the project's construction contract (see [Chapter IX- Procurement, Construction Bid Advertisement and Award](#)).

The Tribe is responsible for developing and compiling **project packages** (25 CFR § 170.111), except when a Tribe/Consortium has transferred this responsibility to the BIA through a Direct Services MOU, to the BIA through an RSA, or to an agency through a Project Agreement. A project package includes all the construction details, provisions, permits, agreements, conditions, and certifications required to administer a construction project. Included in the project package are the **PS&E**, approved by the Tribe, and any FHWA-approved design exceptions. Approval of design exceptions and ensuring complete project packages are part of FHWA's stewardship and oversight responsibilities under the TTP. Additionally, Tribes may request FHWA's technical assistance during development of the project package.

- B. Ice Roads.** Ice roads may be placed on the NTTFI pursuant to 25 CFR §§ 170.5 and 170.117.

Developing and operating an ice road has inherent risks. To minimize and mitigate the risks, Tribes should follow the best available references. Appendix B - [Exhibit 7.1 - Ice Road Information](#) can be used as an available reference when preparing to develop and operate an ice road. It contains information compiled from three different sources:

- [BEST PRACTICE for Building and Working Safely on Ice Covers in Alberta, January 2013](#)
- [GUIDELINES FOR SAFE ICE CONSTRUCTION 2015, Northwest Territories Transportation](#)
- [U.S. Army Cold Regions Research & Engineering Laboratory – Safety on Floating Ice Sheets](#)

It is incumbent upon the Tribe to review and apply the best available references before opening an ice road to the public. Records of ice thickness and condition should be maintained in the Tribal files. The Tribal files should also identify the NTTFI numbers and sections that make up the ice road.

An example **Ice Inspection Form** that Tribes may use to record ice thicknesses and condition is located on the last two pages of [Exhibit 7.1 - Ice Road Information](#) in Appendix B.

- C. The PS&E.** Development of the PS&E includes design of the facility, and may also include performing a topographic and right-of-way (land ownership) survey of the project corridor, geotechnical and hydraulic field reconnaissance and analysis, coordination with utility companies, and acquiring right-of-way. The PS&E is also called the "PS&E package" in 25 CFR Part 170 and the TTPA.

- 1. Resources to develop the PS&E.** A Tribe can develop the PS&E in-house, or contract the service out to an engineering consultant, or use the services of a Federal, State or local agency or governments through a Project Agreement.

The TC should provide information to the Tribe to help the Tribe decide which resources are available and appropriate to use for developing the PS&E.

If the Tribe decides to contract a consultant to develop the PS&E, it is important that the Tribe writes a good Statement of Work (SOW) which defines in detail what the consultant must design and submit to the Tribe, including deliverables, due dates and period of performance. The SOW is written prior to solicitation in hiring a consultant, and becomes an important part of the contract with the consultant. A well written, specific SOW will help save the Tribe time and money.

- 2. Design Standards.** TTP funded projects are required to follow the design standards listed in [25 CFR Part 170 Appendix B to Subpart D](#). Other design standards may be used if submitted to and approved by FHWA. See 25 CFR §170.454.

This design standards requirement applies to seasonal as well as non-seasonal transportation routes (see 25 CFR § 170.117). A “Seasonal Transportation Route” is defined in 25 CFR § 170.5, and includes snowmobile trails, ice roads, and overland winter roads.

The **MUTCD** is included in the design standards listed in [25 CFR Part 170 Appendix B to Subpart D](#). The MUTCD 2009 Edition is located at <http://mutcd.fhwa.dot.gov/>

Here are some important questions and answers (Q and As) on the **MUTCD**:

Q: Are dual language signs permitted on public roads?

A: No. The MUTCD does not include provisions permitting dual language signs on public roads.

Q: What is the MUTCD?

A: The MUTCD contains the national standards governing all traffic control devices. All public agencies, Tribes, and owners of private roads that are open to public travel across the nation rely on the MUTCD to bring uniformity to the roadway. The MUTCD plays a critical role in improving safety and mobility of all road users.

Q: Is the MUTCD law?

A: Yes. The MUTCD is the law governing all traffic control devices. Non-compliance with the MUTCD ultimately can result in the loss of Federal-aid funds as well as in a significant increase in tort liability.

Q: Why is compliance with the MUTCD important?

A: Uniformity of traffic control devices is critical in highway safety and mobility, as well as reducing the purchase and maintenance costs of traffic control devices for public agencies, Tribes, and manufacturers. The success of the MUTCD depends on nationwide acceptance and application of the MUTCD, as well as extensive participation by the practitioners in developing and evaluating the content of the MUTCD.

Q: How is the MUTCD updated?

A: The FHWA has established a sound process to include new devices and applications in the MUTCD. The process involves the Federal Register rulemaking activity, which encourages public involvement. Any interested person, Tribe, or organization may provide input to the rulemaking activity by submitting comments to the docket. The process encourages innovation and flexibility while maintaining uniformity. Input from practitioners and all other stakeholders is critical in keeping the MUTCD current and relevant.

- 3. Conformance with the project scope and the TTIP.** Development of the PS&E for a transportation project should be based on the project scope defined in pre-project planning, and as shown on the FHWA-approved TTIP (see [Chapter V - Transportation Planning](#)).

4. Recommended best practices for project design. The project design that goes into the PS&E should address these key objectives:

- Improve safety for all users,
- Promote project design choices that are consistent with Tribal transportation plan and policies,
- Compatible with the NEPA analysis, environmental consultations and permits for the project,
- Provide facility designs that meet the functional and operational goals established by the project purpose and need in the NEPA process,
- Provide accessibility for people with disabilities,
- Compatible with other transportation modes, facilities and land uses,
- Cost effective to ensure value returned, and
- The project is sensitive to the local context and meets the needs of the people it serves.

The need for early identification of issues and alternatives is important. Before design begins, the Tribe and all stakeholders need to identify and agree on what type of facility is desired and what work will be included in the project. In addition, community values, natural, historic, and cultural resources should be fully considered throughout the design process. The Tribe is responsible for making sure that the key objectives for design, as listed above, are met.

5. Recommended PS&E design phases. There is nothing in regulations or law requiring a Tribe to develop the PS&E at intermediate design phases (for example, 30%, 70%), or to submit intermediate PS&Es for review or approval. A Tribe is only required to submit a final PS&E prior to project construction. However, development of, and review of, a PS&E at certain design phases is a good practice.

A good guideline for development and review submittal of PSE packages is at 30/70/95% design phases, but these should remain flexible and negotiable.

The following are the recommended optional design phases.

a. 30% (Preliminary) Design Phase includes the following:

- Conduct research as necessary to identify existing property boundaries and current ownership of all right of way, and all private, native, native corporation and other lands in the proposed project corridor.
- Prior to performing topographical (ground) survey for the project design, request the utility companies to mark on the ground the locations of their existing utilities, so that the topographical survey can pick up these ground markings, and the locations displayed on the project plans and cross-sections.
- Complete the electronic base mapping and topographic survey files prior to beginning roadway line and grade design. Include in the mapping boundary and ownership information, existing utility locations, and environmental features (wetlands, archeological or historical features, etc.).
- Plan and profile design sheets, typical sections, cross-sections (showing existing ground and proposed roadway, and an approximate construction cost estimate.
- A Design narrative highlighting the significant engineering, right-of-way, geotechnical, hydraulic, utility relocation, and environmental issues.
- Send copies of the plans and cross-sections be sent to the utility companies, showing locations of existing utilities, to make them aware of any conflicts with their facilities.
- An on-site meeting with all project development disciplines, and stakeholders to discuss the progress of the project.

- A completed and signed project NEPA document, addressing the design and other information at this phase.

b. 70% (Plan-in-Hand) Design Phase includes the following:

- Revisions to the 30% Intermediate Design based on review comments, environmental requirements from the project NEPA document, environmental consultations and permits, and new information.
- If the NEPA document for the project is completed and signed at this point, the acquisition of right-of-way can begin, including mapping (platting) of the proposed right-of-way, contact and negotiations with the affected landowners, and purchase of the new right-of-way. Project plans including a cover letter with cross sections are at the 70% design phase should be sent to the utilities companies for their input and coordination. The cover letter should list locations where utilities may need to be relocated due to the proposed project design.
- Design details such as major drainage structures, walls, guardrails, subexcavation, temporary erosion control, intersection layouts, and revegetation.
- Complete set of plans representing a draft of all the plan sheets that will be in the 95% plans. Included are complete detail drawings with dimensions.
- Complete quantity tables for all work, including pay items and the non-pay items (information only items).
- The footprint of the designed cuts and fills, to determine right-of-way acquisition needs and environmental effects needed to apply for permits. Ensure that the designed fill and cut banks, and other design features, fall inside the planned ROW boundary.
- Detailed quantity estimate and project pay item listing, and engineer's estimate for all project pay items.
- Standard and supplemental specifications, including anticipated environmental work windows, work shutdowns, and impacts to public traffic.
- After design revisions are made, check to ensure the designed facility is still within the ROW limits.
- Conduct an on-site "plan-in-hand" field review after the 70% PS&E is completed. The field review should be attended by the Tribe, personnel from the consultant or agency performing the design, the stakeholders (any Federal or State land management agencies and local governments in the project area), and others as appropriate.
- Draft NPDES Stormwater Pollution Prevention Plan.
- Apply for environmental and other required permits (once NEPA documents are approved).
- Brief design narrative highlighting the significant engineering and environmental issues identified to date.

c. 95% (Final) Design Phase includes the following:

- Revisions to the Plan-in-Hand (70%) Design based on review comments, the 70% field review, and the requirements of environmental permits and environmental consultations.
- Detailed project design, plans, cross-sections and engineer's estimate.
- All right-of-way needed for the project should be acquired and certified. Send the 95% (final) set of plans to the utility companies for final resolution of utility relocations. The utility companies, the Tribe and the owner agency (if different than the Tribe) of the road or trail should draft agreements which describe who will be responsible for the utility relocation, estimate of utility relocation cost, the cost share of each party involved, and utility plans approval.

- Conduct a meeting with the project stakeholders to review the final plans. The meeting provides stakeholders an opportunity to ensure that their comments on the previous phases of the PS&E have been addressed in this Final PS&E.

D. Design Exceptions. A design exception is any deviation from the approved design standards for a project. The design exception process is addressed by 25 CFR §§ 170.456 and 170.457.

The Tribe submits a design exception request to the TC. A Tribe should submit design exception requests early on in the development of the PS&E. All design exceptions must be submitted by the Tribe before the licensed civil engineer certifies (seals) the project plans.

The FHWA Program Delivery Manager reviews the design exception request and recommends approval/denial to the FHWA Program Director, within 30 days of the TC's receipt of the design exception request from a Tribe. If the road with the requested design exception is under BIA ownership, BIA will review, recommend, and concur with as appropriate, the design exception request.

Design exception requests submitted by a Tribe shall include the following written documentation from a State registered Civil Engineer: supporting data, sketches, details, and justification based on engineering analysis. Also, it is recommended that the form in Appendix B - [Exhibit 7.2 - Highway Design Standards Certification](#) be completed and submitted with the design exception request.

When deciding whether or not to approve a design exception for a project, FHWA will consider the following project factors:

- The effect the design exception will have on the project's service and safety benefits;
- Any cost savings created by the design exception;
- The compatibility of the design exception with adjacent features on the project; and
- The effect the design exception will have on the time before reconstruction of the project is necessary due to changed conditions or transportation demands.

Design exceptions may be granted for:

- Experimental features on projects, and
- Projects where conditions warrant that exceptions be made.

E. Review of PS&Es by FHWA. FHWA does not approve the PS&E. The TC reviews the project package for completeness and only in enough detail to be sufficiently familiar with the project to conduct meaningful construction reviews during and at completion of construction. The TC informs the Tribe whether the project package is complete or not. If not complete, the TC identifies missing components and Tribe resubmits package.

Although the TC does not conduct a detailed review of the project package, if a design deficiency that may jeopardize public health and safety is identified, the TC will discuss the deficiency with the FHWA Program Delivery Manager, then notify the Tribe of the design deficiency and request that the Tribe promptly resolve the deficiency.

If a Tribe requests FHWA to perform a complete review of a PS&E, FHWA reserves the right to decline the request, or establish a way for the Tribe to provide payment for this service through a contract or project agreement with FHWA.

F. Preparation and Submittal of the Final Project Package

- 1. Tribal certification of the PS&E.** 23 U.S.C. § 202(b)(5) allows an Indian Tribal government to certify (approve) plans, specifications, and estimates (PS&Es). The following requirement must be met by the Tribal government when approving a PS&E.

- A licensed civil engineer (licensed in the State where the project is located) must certify (seal) on the project plans and specifications that these meet applicable health and safety standards according to 25 CFR § 170.461.

2. Submittal of the Final Project Package. The Tribe shall submit the project package to the TC before the start of project construction (25 CFR § 170.461). The final project package shall include the following (25 CFR §§ 170.460 and 170.461):

- Approved PS&E (Approval means stamped by a professional engineer registered in the State where the project is located.)
- Assurance that the construction will meet or exceed applicable health and safety standards
- A Tribal resolution or other authorized document supporting the project.
- Certification of the required right-of-way, easement, or public taking documentation clearances.
- Required environmental, archeological, and cultural clearances.
- FHWA-approved Design Exceptions, if used in the plans.
- **Tribe's Certification on Public Authority Review** (see 25 CFR § 170.5 for definition of public authority). The Tribe must certify in writing to the FHWA Administrator, prior to soliciting bids for a project, that the Tribe gave the public authority an opportunity for a 30 day review and comment on the PS&E (when the PS&E was between 70% and 95% complete), the Tribe addressed all comments, and the Tribe did not receive any written comments from the public authority that prevent the Tribe from proceeding with the project (see the TTPA - Article III). This is required on those facilities owned or maintained by a public authority other than the Tribe or the BIA. An optional template of the letter that Tribes may use is shown in Appendix B - [Exhibit 9.1 - Tribe Certification Letter for Soliciting Bids](#).

Recommended additional items include:

- The PS&E Certification Checklist (See Appendix B - [Exhibit 7.3](#)).
- Utility agreements.
- If the project includes a facility maintained by a Public Authority other than the BIA or a Tribe, then the Tribe should include an agreement between the public authority and the Tribe that delineates the roles and responsibilities of the two entities for the development, construction, and continued maintenance of the project after construction.

G. PS&E Resources.

- The FLH PDDM at <https://highways.dot.gov/federal-lands/pddm>
- FHWA - *Standard Specifications for Construction of Roads and Bridges on Federal Highway Projects, FP-14* at <https://highways.dot.gov/federal-lands/specs>
- FLH supplemental specifications at <https://highways.dot.gov/federal-lands/specs>
- AASHTO - *A Policy on Geometric Design of Highways and Streets, 7th Edition* 2018 (the "Green Book") available for purchase at <https://store.transportation.org/item/collectiondetail/180>
- AASHTO - *Guidelines for Geometric Design of Low-Volume Roads, 2nd Edition, 2019, Single User PDF* available for purchase at <https://store.transportation.org/Item/PublicationDetail?ID=4192>
- AASHTO *Roadside Design Guide, 4th Edition, 201* available for purchase at

<https://store.transportation.org/search?q=roadside%20design%20guide&categoryCode=&index=storeitem&type=All&pageNum=1&pageSize=10&sortBy=Relevance&itemType=All>

- AASHTO *A Guide for Transportation Landscape and Environmental Design*.
- AASHTO *Guide for Selecting, Locating and Designing Traffic Barriers*, latest edition.
- AASHTO *Standard Specifications for Highway Bridges*, latest edition.
- *MUTCD 2009 Edition*, DOT, FHWA, 2009 at <http://mutcd.fhwa.dot.gov/>
- FHWA Utilities Guidelines at https://www.fhwa.dot.gov/real_estate/right-of-way/utility_rights-of-way/index.cfm
- FHWA Right-Of-Way Guidelines at https://www.fhwa.dot.gov/real_estate/index.cfm
- FLH Right-Of-Way and Utilities web site at <https://highways.dot.gov/federal-lands/rw-util>
- FHWA *Flexibility in Highway Design* at <http://www.fhwa.dot.gov/environment/publications/flexibility/flexibility.pdf>
- FHWA *Roadside Improvements for Local Roads and Streets* at <http://www.fhwa.dot.gov/publications/research/safety/00002/00002.pdf>
- 23 CFR § 625, Design Standards for Highways at <http://www.fhwa.dot.gov/legisregs/directives/fapg/cfr0625.htm>
- 23 CFR § 630, Preconstruction Procedures at <http://www.fhwa.dot.gov/legisregs/directives/fapg/cfr0630c.htm>
- 23 CFR § 633, Required Contract Provisions at <http://www.fhwa.dot.gov/legisregs/directives/fapg/cfr0633a.htm>
- 23 CFR § 635, Construction and Maintenance at <http://www.fhwa.dot.gov/construction/contracts/930721.cfm>
- 23 CFR § 645, Utilities at <http://www.fhwa.dot.gov/legisregs/directives/fapg/cfr0645a.htm>
- 23 CFR § 646, Railroads at <http://www.fhwa.dot.gov/legisregs/directives/fapg/cfr0646a.htm>
- 23 U.S.C. § 106, PS&E at <http://www.fhwa.dot.gov/map21/docs/title23usc.pdf>
- 23 U.S.C. § 109, Standards at <http://www.fhwa.dot.gov/map21/docs/title23usc.pdf>
- FHWA *Hydraulic Design Series (HDS-5), "Hydraulic Design of Highway Culverts, 3rd Edition"* at http://www.fhwa.dot.gov/engineering/hydraulics/library_arc.cfm?pub_number=7&id=13
- FLH Standard Drawings and Detail Drawings at <https://highways.dot.gov/federal-lands/design>
- Geopak and Microstation information at <https://highways.dot.gov/federal-lands/cadd-support>
- FHWA-approved State standards.

VIII. Preliminary Engineering - Right-of-Way (ROW) & Utilities

A. Overview. Preliminary Engineering for a project includes completion of the NEPA document, environmental review, and environmental permits (see [Chapter VI - Preliminary Engineering - NEPA and Other Environmental Requirements](#)), development of the PS&E (see [Chapter VII - Preliminary Engineering – Project Package](#)), acquisition of right-of-way, utility relocations, and advertisement and procurement of the project's construction contract (see [Chapter IX - Procurement, Construction Bid Advertisement and Award](#)).

B. Acquisition of ROW for projects. ROW means real property, and rights therein, that is used for the construction, operation, or maintenance of a transportation or related facility. The public right-of-way must be wide enough and in the proper location for the proposed transportation project. Acquisition of new right-of-way may be necessary.

Right-of-way acquisition can occur only after the project's NEPA document is completed and approved (23 CFR § 771.113).

The Tribe must include a copy of the Certification of right-of-way clearances as part of the project package submitted by the Tribe, according to 25 CFR §§ 170.460(c).

Routine maintenance activities like blading and plowing snow do not require certification of ROW.

Tribes are responsible for acquiring ROW, including cost appraisals and negotiations with landowners. Also, on projects occurring on transportation facilities owned by the State, county, borough or local agency, the facility owner may be responsible for acquiring right-of-way and utility relocation needed for the project. This will depend on memorandum of understandings or other agreements between the Tribe and the facility owner.

Right-of-way must be obtained and certified before construction of a project can begin. The Tribe must provide a copy of the Certification of right-of-way clearances to the TC before construction of the project can begin. The TC shall file the copy of the Certification of right-of-way into the Tribe's folder in the TTP database

It is recommended that the Tribe perform the right-of-way research, mapping and acquisition early in the project design phase to allow the project development and construction to proceed efficiently.

Acquisition of right-of-way or easements may be needed for a proposed project. The need for acquiring permanent right-of-way, as well as temporary or specialized easements for driveway approaches, runoff ditches, utility relocations, etc., typically depends on:

- The width and location of the existing public right-of-way.
- The width and location of the proposed right-of-way needed for the project.
- The types of land ownership that will be affected by acquisition of the proposed project right-of-way.
- Temporary or specialized encroachments that will be needed onto land outside the proposed right-of-way.

If right-of-way or easements need to be acquired for the project, then it will be necessary for the Tribe to accomplish the following: plat (map) onto plan sheets the existing and proposed right-of-way and easement limits, perform a cost appraisal of the land or rights to be acquired, negotiate the acquisition cost and conditions of use with the landowners, and finally acquire the new right-of-way and easements from the landowners.

C. Types of land ownership. It is important for the Tribe to determine the types of all land ownership when attempting to acquire right-of-way from those lands. The type of land ownership determines the roles and responsibilities of the parties involved, and the Federal and State laws and regulations that apply. Although there are many classifications of Tribal and non-Tribal land, the following are the most common:

- **Trust lands** - The Federal government holds legal title, has ultimate control over the land, and holds the land in trust for the use of a Tribe. The Tribe holds the “beneficial use”, which is the right to benefit from (live on, use, profit from) a parcel of land, the legal title to which is held by the trustee, in this case the Federal government. Tribal Trust lands are held communally by the Tribe, are managed by the Tribal government, and Tribal members share in the enjoyment of the entire property without laying claim to individual parcels. The Tribe may not convey or sell Trust lands without the consent of the Federal government. Tribes may acquire additional land and have it placed in trust, so that it becomes “Trust lands”, with the approval of the Federal government.

“**Allotted Trust lands**” are Trust lands that are held in trust for the use of individual Tribal people (or their heirs). As with Trust lands, the Federal government holds the title, and the individual (or heirs) holds the beneficial interest.

All ROW actions involving Trust Lands are required to comply with 25 CFR § 169.

- **Off-Reservation Trust lands** – Land that is protected by the Federal government for Indian use. After reservations were created, some Tribes and individual Indians were given land to use outside of the reservation boundaries. For example, these pieces of land could be religious sites or pieces of land allotted to individual Indians.
- **“Fee-to-Trust Conversion” lands** – These are lands that were originally, historically allotted as Tribal Trust lands, but were transferred to fee simple status in the past. Tribes or individual Indians can convert fee lands they own or acquire back to Trust lands status by initiating the “Fee-to-Trust Conversion” process.
- **Fee (or “Fee Simple”) lands** - Fee lands are held by any owner, whether Tribal or non-Tribal. The owner may make decisions about land use or sell the land without Federal government permission, except when the land is inside the boundaries of an Indian Reservation.
- **Fee lands purchased by Tribes** - The Tribe acquires legal title under specific statutory authority. Fee lands owned by a Tribe outside the boundaries of an Indian Reservation are not subject to legal restrictions against alienation or encumbrance, absent any special circumstances.
- **“Fee Restricted” lands** – This is a type of fee lands that a Tribe holds legal title to, but there are specific Federal government-imposed restrictions on use and/or disposition of the land.
- **Native Allotments and “Townsite” lots** – These exist only in Alaska. Generally, Native Allotments have been acquired by Alaska Natives under the 1906 Native Allotment Act, and townsite lots acquired by Alaska Natives under the 1926 Townsite Act. These are the Acts that specifically include Alaska Natives who were not included in earlier legislation. ANCSA repealed the 1906 Native Allotment Act. Only those Alaska Natives who had applied for their Native Allotment before December 18, 1971, would be considered for receiving Native Allotment land. Many people with Native allotments and/or townsite lots are uncertain what their ownership really means and what limitations and restrictions come as part of that ownership. Natives who acquire allotment land or restricted townsite lots from the government have “restricted” land. Owners of these restricted lands cannot sell, lease, or otherwise convey their land, or inherited interest in the restricted land, without the approval of the BIA. Right-of-way acquisition on native allotment lands and restricted townsite lots lands requires processing and approval by the BIA.

D. Statutory/Regulatory Requirements.

- Rights of way over Indian land: 25 CFR § 169 at http://www.ecfr.gov/cgi-bin/text-idx?c=ecfr&tpl=/ecfrbrowse/Title25/25cfr169_main_02.tpl
- Rights of way over fee lands: 42 U.S.C. § 4601 - Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (the “Uniform Act”) at https://www.fhwa.dot.gov/real_estate/uniform_act/index.cfm
- Right-of-way clearance must be included in the project package: 25 CFR § 170.460(c).
- 25 CFR § 1 at <https://www.bia.gov/sites/bia.gov/files/assets/bia/ots/pdf/idc-018737.pdf>

E. Compliance with the Uniform Act (42 U.S.C. § 4601). Any right-of-way work involving land acquisition and/or relocation of businesses or people for development of transportation projects must conform to the Uniform Act. Requirements of the Uniform Act provide for fair market value to be paid for real estate, and reimbursements paid for relocating homeowners/tenants and business owners. When acquiring right-of-way, the Uniform Act requires the coordination of any relocation of businesses and families required to build the project. In addition, the management and disposition of residue parcels and surplus right of way should be tracked and coordinated.

Right-of-way work needed to develop a TTP project may also include Federal land transfers, control of outdoor advertising, acquisition of encroachment permits and temporary construction easements, and junkyard control.

F. Roles, Responsibilities and regulations. Tribes/Consortiums are responsible for acquiring ROW, including cost appraisals and negotiations with landowners, and ensuring that utilities are relocated as needed for a project, unless indicated otherwise in the following table.

The following table outlines the Regulations governing acquisition or ROW on the various land types, and the roles and responsibilities of Federal and State agencies working with the Tribes/Consortiums to accomplish the ROW acquisition.

Land Type / Road Ownership	ROW Acquisition Regulations, and Agency Roles and Responsibilities
Trust Land	<p>All ROW actions involving Trust Lands shall comply with 25 CFR § 169.</p> <p>FHWA/BIA: When a Tribe is in the early stages of developing a PS&E for a project needing ROW on Trust lands, the TC needs to provide a list of the NTTFI routes in the project to the BIA Road Engineer and the BIA Realty Office. The BIA Region will develop the grant of easement and provide a copy of it to the TC.</p> <p>BIA Regional Office: Process right-of-way: review right-of-way applications and certifications; approve right-of-way documents; process grants and acquisitions of rights-of-way requests for allocated lands; responding to information requests; file Affidavit of Completion Forms; Perform custodial functions related to storing rights-of-way documents; Conduct ROW appraisal and negotiation; provide TSRs, Grants of Easement, and filing ROW documents; reviews and approval. If the Tribes decide to conduct an appraisal without utilizing the Office of the Special Trustee Appraisal Department, they must follow the Uniform Standards of Professional Appraisal Practice.</p>

Land Type / Road Ownership	ROW Acquisition Regulations, and Agency Roles and Responsibilities (cont'd.)
Restricted Fee Land	<p>All ROW actions involving fee Lands are required to comply with 42 U.S.C. § 4601 - Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (the “Uniform Act”).</p> <p>FHWA/BIA: When a Tribe is in the early stages of developing a PS&E for a project needing ROW on Restricted Fee lands, the TC needs to provide a list of the NTTFI routes in the project to the BIA Road Engineer and the BIA Realty Office. The BIA Region will develop the grant of easement and provide a copy of it to the TC.</p> <p>BIA Regional Office: Process right-of-way: review right-of-way applications and certifications; approve right-of-way documents; process grants and acquisitions of rights-of-way requests for allocated lands; respond to information requests; file Affidavit of Completion Forms; Perform custodial functions related to storing rights-of-way documents; Conduct ROW appraisal and negotiation; providing TSRs, Grants of Easement, and file ROW documents; reviews and approval.</p>
Fee Land	<p>All ROW actions involving fee Lands are required to comply with 42 U.S.C. § 4601 - Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (the “Uniform Act”).</p>
BIA owned transportation facilities	<p>FHWA/BIA: The BIA Region will develop the grant of easement and provide a copy of it to the TC, who will provide it to the Tribe. When a Tribe is in the early stages of developing a PS&E for a project that has BIA owned roads, the TC needs to provide a list of the NTTFI routes in the project to the BIA Regional Road Engineer and the BIA Realty Office.</p>
State Owned transportation facilities	<p>State DOT: The State may be responsible for acquiring right-of-way and utility relocation needed for the project. This will depend on memorandum of understandings or other agreements between the Tribe and the owner of the transportation facility.</p>
County, borough or local agency owned transportation facilities	<p>County, borough or local agency: The County, borough or local agency may be responsible for acquiring right-of-way and utility relocation needed for the project. This will depend on memorandum of understandings or other agreements between the Tribe and the owner of the transportation facility.</p>

G. Resources.

- FHWA right-of-way and real estate website at http://www.fhwa.dot.gov/real_estate/
- FHWA Right-Of-Way Acquisition Guidelines located at https://www.fhwa.dot.gov/real_estate/uniform_act/acquisition/real_property.cfm
- *The Uniform Act* at <http://uscode.house.gov/view.xhtml?path=/prelim@title42/chapter61&edition=prelim> and <https://www.fhwa.dot.gov/federal-aidessentials/catmod.cfm?category=rightofw>
- FLH Right-Of-Way and Utilities web site at <https://highways.dot.gov/federal-lands/rw-util>
- Chapter 12, Right of Way and Utilities of the FLH PDDM at <https://highways.dot.gov/federal-lands/pddm/right-way-utilities>

IX. Procurement, Construction Bid Advertisement and Award

- A. Construction Contracts.** For TTP funded projects, a Tribe may construct the project using a construction contractor, or may construct the project by “force account,” using its own forces and equipment (see 25 CFR Appendix A to Subpart B, (b)(24)). The “force account” process is described in greater detail in [Chapter X - Construction and Construction Engineering](#).

The objectives of a Tribe’s construction contract advertisement and bidding process are: to provide competition among bidders; to award the contract to the bidder who best meets cost and other criteria contained in the Tribe’s Contracting Procedures; and, to provide assurance that the completed project will meet all of the standards specified in the contract.

A contract to perform construction work is between a contractor and the Tribe, not the FHWA or other agency. The Tribe pays the contractor directly for successful completion of contracted services.

B. Statutory/Regulatory Requirements.

- Under 25 U.S.C. § 5307(b), Indian organizations and Indian-owned economic enterprises are entitled to a preference, to the greatest extent feasible, in the award of contracts, subcontracts, and sub-grants for all work performed under the TTP.
- The project package must be complete and approved by the appropriate public authority, and a copy provided to FHWA, before construction is started on the project (25 CFR §§ 170.460 and 170.461).
- The Tribe must certify in writing to the FHWA Administrator, prior to soliciting bids for a project, that the Tribe gave the public authority an opportunity to review and comment on the PS&E, the Tribe addressed any issues, and the Tribe received no written comments from the public authority that prevent the Tribe from proceeding with the project (TTPA - Article III). **NOTE:** This is required on those facilities owned or maintained by a public authority other than the Tribe or the BIA.
- The Tribe agrees to initiate and complete TTP construction projects in accordance with the approved PS&E (TTPA - Article III).
- Procurement requirements in 25 CFR § 170.606 and 2 CFR §§ 200.318 – 200.326.
- TTP construction projects: To hire a construction contractor for a project, competitive bidding is required by Chapter 2 of title 23 USC, Section 202(a)(10), and 2 CFR § 200.319.

C. Guidelines / Procedures.

1. **Procurement.** Each Tribe must have in their files “written” Contracting Procedures that describe how the Tribe makes (a) small purchases; (b) sealed bids; (c) competitive proposals; and (d) non-competitive proposals (see 2 CFR .318(a)), so that the Tribe can perform the contracted programs and projects in accordance with the requirements of 25 CFR Part 170. A Tribe may adopt applicable FHWA procedures, or develop Tribal procedures which meet or exceed Federal standards. These procedures are used for equipment purchasing (lease vs purchase analysis), construction (advertising for bids, award, and contraction), architectural/engineering services, etc.

2. TTP Transportation Facility Construction Projects.

- a. Competitive bidding.** Transportation facility construction contracts funded by the TTP require direct recipients or sub-recipients to use bidding methods that ensure effective competition. See 2 CFR § 200.319.

23 USC § 202 Tribal Transportation Program, paragraph (a)(10) COMPETITIVE BIDDING states the following:

“(A) CONSTRUCTION.—

(i) IN GENERAL.—Subject to clause (ii) and subparagraph (B), construction of each project shall be performed by contract awarded by competitive bidding.

(ii) EXCEPTION.—Clause (i) shall not apply if the Secretary (of Transportation) or the Secretary of the Interior affirmatively finds that, under the circumstances relating to the project, a different method is in the public interest.

(B) APPLICABILITY.—Notwithstanding subparagraph (A), section 23 of the Act of June 25, 1910 (25 U.S.C. § 47) and section 7(b) of the ISDEAA (25 U.S.C. § 5307(b)) shall apply to all funds administered by the Secretary of the Interior that are appropriated for the construction and improvement of Tribal transportation facilities.”

Example bidding methods may be found in 23 CFR § 635 subpart A.

A cost analysis will be necessary when adequate price completion is lacking in contract modifications or change orders unless price reasonableness can be established on the basis of a catalog or market price (2 CFR § 200.323(a)).

- b. Other requirements.** 25 CFR § 170.606 lists other legislation and procurement requirements that apply to TTP procurement practices. Federal Acquisition Regulation (FAR) clauses are not required in contracts for TTP projects, unless the contract is being advertised and awarded by a Federal agency, or the activities are to be performed by the Secretary of the Interior.
- c. Pre-Advertisement Checklist.** The Tribe shall submit documentation to the TC showing that all necessary items have been accomplished before advertisement of the project construction contract (see 25 CFR § 170.461). An optional form to use is in Appendix B - [Exhibit 9.2 – TTP Pre-Advertisement Checklist](#).

- 3. Goods and Services Contracts.** Contracts for goods and services (engineering and design) must comply with, and be in accordance with, procurement requirements in 2 CFR §§ 200.318 – 200.326). A cost analysis must be performed when the offeror is required to submit the elements of his estimated cost, e.g., under professional, consulting, and architectural engineering services contracts (see 2 CFR § 200.323(a)).

D. Roles and Responsibilities for Procurement, Construction Bid Advertisement and Award. The following table summarizes the roles and responsibilities of the Tribe, the TC, and others as applicable.

Roles and Responsibilities for Procurement, Construction Bid Advertisement and Award		
Program Activity / Process	Authority / Reference	Responsible Party
Certification of public authority: Before soliciting bids for the project, the Tribe must certify in writing to the FHWA Administrator that it gave the public authority an opportunity to review and comment on the PS&E, addressed all comments, and received no written comments from the public authority that prevent the Tribe from proceeding with the project. (NOTE: This is required on those facilities owned or maintained by a public authority other than the Tribe or the BIA).	TTPA–Article III	Tribe
Completion of Construction Project: Agreed to complete TTP construction project.	TTPA–Article III	Tribe
Tribe has Documented Contracting Procedures: (for advertising, bidding, awarding and contracting).	2 CFR § 318(a)	Tribe

E. Resources

- Contract Administration Core Curricular Participants’ Manual and Reference Guide 2014, located at <http://www.fhwa.dot.gov/programadmin/contracts/coretoc.cfm>
This document provides guidance to State DOTs on advertising for bids, bid analysis, and awarding of contracts.
- 2 CFR § 200 at <http://www.gpo.gov/fdsys/pkg/FR-2013-12-26/pdf/2013-30465.pdf>
- 23 CFR § 635 Subpart A at http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title23/23cfr635_main_02.tpl

X. Construction and Construction Engineering

A. **Overview.** “Construction” is the building of a project. “Construction Engineering” is the managing and monitoring of the project’s construction as it proceeds, including construction inspection.

1. **Construction.** Tribes have the following options for the construction of a project:

a. **Force Account construction.** The Tribe builds the construction project using employees of the Tribe (see 25 CFR Appendix A to Subpart B, (b)(24)). This is also known as “in-house” construction. When building a project with this method, the Tribe should complete an independent in-house cost analysis and compare it to the engineers estimate that accompanies the PS&E. This will ensure the fair and reasonableness of the anticipated cost and the accuracy of the engineers estimate.

Part of the purpose of the TTP is to contribute to “...employment of Indians and Alaska Natives.” FHWA encourages Indian and Alaska Native employment in any and all aspects of project construction. The management and monitoring (construction engineering) of the construction work may also be done by qualified employees of the Tribe.

b. **Contracted construction.** The Tribe contracts out the construction of the project (see [Chapter IX - Procurement, Construction Bid Advertisement and Award](#)).

2. **Construction Engineering.** The Tribe is responsible for ensuring that the construction project is built in substantial conformance with the approved PS&E, whether the project is being built by a contractor or force account crew.

The Tribe can accomplish the construction engineering, including construction inspection and project management, by using qualified in-house employees, or by contracting the service out to an engineering consultant, or by using the services of a Federal, State or local agency or governments through a Project Agreement.

B. Statutory/Regulatory Requirements.

- All TTP project construction and construction engineering is regulated under 25 CFR §§ 170.470 - 170.474.
- Tribes must meet applicable labor standards in accordance with MSHA regulations found in 30 CFR §§ 1 - 199, Mineral Resources, developed pursuant to the Federal Mine Safety and Health Act of 1977 (P.L. 91-173) as amended, and in accordance with the OSHA regulations found in 29 CFR § 1900, Labor - Construction Standards, developed pursuant to the Occupational Safety and Health Act of 1970 (P.L. 91-596) as amended.
- Indian Employment Preference/Tribal Preference/TERO, see 25 CFR §§ 170.910 - 170.917 for further information.

C. Construction Equipment for Force Account Projects.

1. **Purchasing equipment.** With prior written approval from FHWA, Tribes may purchase construction equipment with TTP funds, to be used for constructing the Tribe’s TTP funded projects (see 25 CFR Part 170 Appendix A to Subpart B (b)(49)).

To purchase the equipment with TTP funds, a Tribe must first provide the TC with a written notice showing a lease/purchase cost analysis, which is a comparison of the cost of leasing versus the cost of purchasing the equipment (see 25 CFR Part 170 Appendix A to Subpart B (b)(49)(i), and 2 CFR

§ 200.318(d)). The costs shown on the lease/purchase cost analysis must include the cost of shipping the equipment from the vendor's location to the equipment work location.

The written notice shall include the completed form shown in [Exhibit 10.7 – Construction Equipment Purchase Request Form](#) and also vendors' quotes that show the same costs used in the lease/purchase cost analysis. Vendors' quotes may be on copies of emails from vendors and/or letters on vendors' letterhead.

The funding for the equipment must be included in an approved TTIP.

After written approval is given to the Tribe by the authorized official at FHWA, the Tribe can then purchase the construction equipment listed in the written notice using TTP funds.

2. **Vehicle purchases** DO NOT need a "Cost Analysis" or purchase request. A "vehicle" is defined as a mode of transportation for the Tribal government and/or public to fulfill the purposes of the Tribe's Transportation Department as described in the LRTP. A vehicle can be associated with transit, administration, carpooling, ferries, and other modes of transportation.
3. **Program Income** (25 CFR §§ 170.111-112, [23 U.S.C. 202\(a\)\(1\)](#), [2 CFR §§ 200.307](#), and [2 CFR § 200.313](#)). Tribes may also use the construction equipment (purchased with TTP funds) for non-TTP related activities as long as appropriate rates are charged to the user for the purpose of recovering costs to maintain, replace and operate the construction equipment. Payments or reimbursements collected for the use of this construction equipment are considered restricted program income, and must be used for eligible TTP projects and activities. FHWA recommends that the income be used to maintain, replace and operate the construction equipment.

This principle would also apply to construction equipment purchased with TTP funds that the Tribe later sells. The income from such sales is considered restricted program income. This does not apply to government equipment donated to the Tribe outside of the TTP.

4. **Equipment inventory.** Tribes should keep a current and complete inventory of all construction and maintenance equipment purchased with TTP funds, and provide a courtesy copy to the TC upon request.
5. **Excess or surplus Federal government equipment.** FHWA can assist Tribes to transfer surplus and excess Federal government equipment to the Tribe, for use on TTP projects and activities. Information on this service is at <https://highways.dot.gov/federal-lands/programs-tribal/surplus-excess-property>.

D. Construction Meetings and Reviews.

1. **Pre-Construction Conference (also known as a "Construction Kickoff Meeting").** Prior to beginning a construction project, the Tribe should hold a pre-construction conference with the contractor (if project constructed by a contractor), Tribe's project construction manager (if project constructed by force account crew), and the TOSR. The Tribe should invite the TC and other key stakeholders, as appropriate. If available, TC participates to provide technical assistance as requested by Tribe, and ensures sufficient understanding of the project for future construction reviews.

The purpose of the pre-construction conference is to discuss and review, as applicable, the following:

- PS&E
- Unusual site conditions
- Contractor's plan and schedule of operation
- Types and adequacy of equipment

- Labor requirements
- Equal employment opportunity requirements
- TERO
- Maintenance of traffic and requirements for traffic control
- Contractor's responsibilities for accident prevention
- Material sources and testing requirements
- Subcontracting requirements
- Required contractor submittals
- Other pertinent items that would result in a better understanding of the job

The Tribe should document the meeting, keep minutes, and provide a copy to all key stakeholders whether or not they attended the conference.

2. **Construction Project Review.** These are formal reviews, usually held at the project construction site, with a supplemental meeting as needed at the Tribal and/or construction contractor's field office for review of project construction documents. The on-site part of the review is needed to evaluate project activities and the quality and progress of the project's construction work.

The TC should attend an on-site visit of a Tribal construction project at least once during its construction, or more often as appropriate, such as at critical project milestones. The TC will participate in a final inspection for every TTP project completed by a Tribe, and will strive to attend the final inspection as scheduled by the Tribe. If the TC cannot attend that scheduled event, the TC will schedule a separate inspection to occur shortly thereafter.

The TC will give the Tribe reasonable advance notice of planned attendance at construction project reviews. For projects involving BIA owned facilities, the Tribe will invite a representative of the BIA to attend. Other parties that should attend project construction reviews are the construction contractor, the TOSR, the Tribal employee or consultant or government agency personnel serving as construction manager, and other key stakeholders.

The TC will not provide direction or instruction to the Tribe's construction contractor or any subcontractor, or Tribal force account crews, at any time during project construction or during the life of the construction contract. If a problem is discovered during an on-site review, The TC will promptly notify the TOSR and, if asked, provide technical assistance.

If a design exception is discovered during a construction review, and the design exception was not already approved by FHWA, then the Tribe must submit a design exception request for the design exception. The design exception process is described in [Chapter VII - Preliminary Engineering – Project Package](#).

The TC will complete a Construction **Project Monitoring Checklist** (see Appendix B - [Exhibit 10.1](#)) during the project site visit and discuss and review it with the TOSR. The TC shall also complete a trip report, using the format specified by FHWA.

The goal of the Project Monitoring Checklist is to monitor the key risk areas. The Project Monitoring Checklist identifies the items and activities that will be reviewed and documented during each Tribal site visit. The completion of the Project Monitoring Checklist accomplishes the following objectives:

- Develops consistency in our project monitoring reviews, including the areas of project status, workmanship, as well as documentation and record keeping including change orders and continuation of Health and Safety Certifications;
- Helps ensure the Tribe is preparing to generate and submit a project closeout report in accordance with 25 CFR §§ 170.473 and 170.474; and

- Documents a “mini program review” to assess the general health of the Tribe’s administration of the program and inform the annual risk assessment process.

The TC shall also complete a trip report, using the format specified by FHWA, and provide a courtesy copy to the Tribe.

The TC files the Project Monitoring Report and Trip Report in the respective Tribe’s folder in the official OTT Directory.

- 3. Final Inspection.** A Final Inspection shall always be conducted for a construction project, and conducted according to 25 CFR 170.473. The purpose of the final inspection is to determine if a project has been completed in reasonable conformity with the PS&E. The final inspection should be an on-site visit to the construction project. The FHWA TC is responsible for participating in the final inspection.

To ensure issues are addressed appropriately by the responsible party, the final inspection should occur before the construction contractor is released from project responsibility (or before force account crews are no longer available).

The Tribe’s project manager should schedule the final inspection, and coordinate with the attendees on the date. Attendees should include appropriate Tribal officials, public authorities who are owners or maintainers of project facilities, project construction contractors and maintenance personnel. The appropriate representative from the BIA should always attend the final inspection if there is a BIA owned facility in the project.

The TC will complete a **Final Inspection Checklist** (see Appendix B - [Exhibit 10.2](#)) jointly with the TOSR and the owner of the facility, and also completes a trip report.

The TC will promptly notify the Tribe of any issues identified during the final inspection, and provide technical assistance to address the issues, as requested by the TOSR.

- E. Construction Management.** Construction Management (also called Construction Engineering) is the ongoing managing/monitoring of a project’s construction work. The Tribe is responsible for ensuring that proper construction management of the project takes place throughout the life of the construction project (25 CFR § 170.471).

The following are recommended Construction Management procedures, regardless of whether the construction project is being built by a construction contractor or by the Tribe’s own force account crews. These Construction management procedures should also be used by Tribal employees, consultants or Federal agencies if they are managing or monitoring the construction. The Tribe should establish the TOSR position for each construction project, whether the project is being constructed by Tribal force account crews or by a contractor. The duties of the TOSR are described throughout this chapter.

- 1. Construction Project Files.** The TOSR needs to establish and maintain an organized filing system for the construction project files. The construction project files should include the collection of information from the pre-construction stage through the final inspection and project closeout. The construction project files are intended to be used as a record for looking up facts, definitions or other information relating to activities or work performed in a construction project. Information should be collected and stored to serve as a reference or evidential material.

Well organized and complete construction project files are necessary to effectively record construction activities and results, to provide evidence of compliance with laws, regulations, codes, and PS&E requirements, and to evidence that Federal government funding is being used properly in the project.

Good construction project files will help resolve Contractor disputes and contractual claims. This calls for a detailed and accurate collection and recording of construction information. The documents contained in a file will almost certainly affect the outcome of a dispute.

2. **Construction Project Filing System.** The TOSR should establish and maintain a uniform filing system for use in the project's construction field office. The filing setup may be different depending on the option the Tribe chooses in implementing and overseeing the construction project. For example, if the Tribe chooses to have a consultant or a Federal agency perform Construction Management of a project, these entities may have their own tested documentation processes already in place. If the Tribe chooses to perform Construction Management in-house (with the Tribe's own employees), then the Tribe may need technical assistance from the TC on how to document the work taking place on a construction project. Tribes can obtain construction management forms used by FHWA at <https://highways.dot.gov/federal-lands/construction/forms>.

Establishing and maintaining this filing system will ensure compliance with 25 CFR § 170.472, which shows the TTP construction records BIA and Tribes must keep and the requirements for access.

- a. **TOSR project file responsibilities.** It is recommended that the TOSR organize and maintain the following project files throughout the life of the project construction activity:

- i. **TOSR Daily Diaries.** The TOSR should maintain project diaries documenting construction operations, progress, meetings, telephone conversations, and problems encountered. Daily entries, with signature should be made. If the TOSR is absent from the project, the daily entries should be made and signed by the person left in charge during their absence.
- ii. **Inspector's Daily Reports.** The project inspector(s) should prepare a daily report that fully documents the construction contractor's (or force account crew's) construction operations and pay quantities. The TOSR should review and sign the daily report. The TOSR should establish a process for reviewing, endorsing, and providing feedback as necessary, on construction contractor produced records.
- iii. **Construction Daily Reports.** It is recommended that the TOSR require the construction contractor (or force account crews, if being used) to maintain daily records of equipment, personnel, and construction operations. If required by the contract, the construction contractor's daily reports should be contractually required to be furnished to the TOSR within 24 hours following the reporting period.
- iv. **Records of payrolls, material certifications, test reports, and other routine items.** Prior to beginning work on a construction project, the construction contractor (or the project manager of force account construction) should begin submitting documentation to the TOSR for materials that are intended for use on the project.

Records of all construction contractor's submittals, or force account work records, should be maintained by the TOSR through the duration of the project.

- b. **Basic guidelines of construction project documentation.** Below are some suggested basic guidelines for good documentation.

- i. **Guidelines for Data Entry**

- **Signature and Initials logs.** These list the printed name, title, and the written signature and initials used by each person who is authorized to make or authenticate entries, and is prepared and maintained in the construction field book, when used, or

in the file cabinet for that construction activity. Copies of this log, along with original signatures and initials added, are acceptable.

- Entries should be legible, clear, and reproducible.
- Errors should be corrected by lining through the incorrect entry with a single line, making the correction, and initialing and dating the correction. Erroneous information should not be obliterated or erased.
- When entries for a given subject are made on two or more pages or separate records that are not consecutive, each page or record should be cross-referenced to the previous and the following entries.
- When a page has entries from more than one day, each entry should be signed or initialed and dated.
- The balance of that section of the document should be crossed out immediately below the last entry.
- Pages to documents should not be left completely blank. If a page is left blank, it should be ruled across, signed, and dated.

ii. Completeness and Correction of Incorrect Information

- The person who monitored or recorded the activity should identify the construction site, provide the date the activity was monitored or observed, and sign (or initial if the initials are identified on a signature/initials log) each page of the document recording a construction activity.
- Record accurately and concisely all data as required by procedures for the activity being performed.
- Record all significant and relevant field activity on the construction field inspection log; account for each work day, noting any work suspension and restarts.
- Describe the activity with enough detail to enable someone of equivalent skill and experience to understand and be informed as to what occurred or was recorded.
- All documentation should be kept intact; no page is to be partially removed.
- Documents requiring replacement because of illegible handwriting, incompleteness, or inaccuracies will be voided and a replacement prepared. A notation will be made on the voided document indicating that a replacement document was completed along with the initials and date of the person making the void notation. The voided document will be filed immediately following the replacement document.
- When a document contains information on more than one activity or project, reproducible copies may be designated and controlled as records for the other activities.

iii. Recording Construction Activities

- Use still or digital photographic images and narrated video camera recording to enhance all written documentation from preexisting site conditions to final inspections.

- The Construction Field Inspection Log or other line management approved form should provide a documented factual record of the work performed each day, as well as:
 - All changes that might affect cost and schedule.
 - Major project status changes.
 - All directions or clarifications.
 - Personnel accidents or injuries, safety infractions, and corrections.
 - Safety meetings held on site.
 - Names of visitors to the site.
 - Conditions and actions in response to Subcontractor violations.
 - Significant events, such as unexpected power outages, severe weather occurrences, or spills of hazardous materials (residual radioactive material, hazardous waste, hazardous substance).
 - Construction inspections and quality control tests performed. Include time of tests and inspections and results.
 - Implementation of the applicable emergency plan.
 - Security incidents.
 - Applicable equipment parameters, including out-of-tolerance readings.
 - Nonconformance reports.
 - Signatures that acknowledge notifications or changes in construction activities.
 - Positive actions that resulted in significant savings, quality improvements, lessons learned, etc.
 - Hours worked.
 - Equipment on-site and used.
 - Weather.
 - Other pertinent information as determined by the project manager.
- The Site Supervisor should:
 - Document events as completely as possible and communicate information as clearly as possible to maximize understanding by individuals reading the Construction Field Inspection Log.
 - Record information promptly to avoid inaccuracy or incompleteness that often results from delayed entries.
 - Enter unusual, abnormal, or unexpected conditions in the appropriate record, and resolve these conditions in accordance with project management's guidance.

3. Construction Inspection. An important part of Construction Engineering is performing on-site construction inspection throughout the life of the construction project. Construction inspection is necessary for the on-going evaluation of project activities and the quality and progress of the construction work.

The Tribe is responsible for ensuring that adequate construction inspection occurs throughout the life of the construction project (25 CFR § 170.471). Construction inspection should be performed by competent, technically qualified, and experienced inspectors.

Tribes can obtain construction inspection forms used by FHWA at <https://highways.dot.gov/federal-lands/construction/forms>

Construction inspection includes the following activities.

- a. Quality Assurance/Quality Control (QA/QC)** must be performed on all TTP funded projects (25 CFR § 170.471). The TOSR should oversee the activities of the construction contractor and monitor their work to ensure compliance with the project PS&E.
- b. Materials.** The TOSR should ensure that all materials being incorporated into the project conform to contract requirements. At a minimum, this work should include:
 - Confirming that construction contractor sampling/testing is performed in accordance with the sampling/testing frequencies stipulated in the contract and project specifications.
 - Ensuring that the construction contractor's testing company maintains properly calibrated equipment and qualified personnel to perform the required work.
 - Maintaining all materials test results and documents for project records. It is recommended that records of all failing test results be supplemented with a follow-up passing test result. Any reporting discrepancies; i.e., errors, omissions, or conflicts, should be corrected and documented properly.
 - Receiving and maintaining materials certifications for all manufactured/non-tested materials incorporated into the project.
 - Sampling and Testing – Ensuring that all test samples are taken in accordance with the approved project standards and contract requirements, and that they are sent to the testing company for verification testing and analysis. The Tribe should have independent testing done in addition to what the contractor is performing to verify the construction contractor's results. The construction contractor's testing is for quality control and should be reviewed and overseen by the Tribe or their agent.
- c. Quantity Measurements.** Before any measurements are taken on a project, the TOSR should study the plans, specifications, and special contract requirements to determine what is to be measured and how the measurement will be completed.
- d. Sediment and Erosion Control Inspections.** The TOSR should ensure that the construction contractor provides permanent and temporary erosion control measures in accordance with the approved erosion control plan, to minimize erosion and sedimentation during and after construction. It is recommended that inspections be carried out at least weekly and/or after significant rain events. Some permits required for construction may specify certain inspection, monitoring, and reporting requirements. It is the Tribe's responsibility to ensure that these permit requirements are met.
- e. Work Site Safety, Worker Safety, and Work Zone Traffic Control.** The TOSR is responsible for ensuring that day-to-day project inspections are carried out during construction. Construction inspections should include a review of project safety.

As part of the daily inspections, the Tribe should complete a Work Zone Traffic Control inspection to assure compliance with the approved project standards. Tribes may use, at their option, Traffic Control Report forms at

<https://highways.dot.gov/federal-lands/construction/forms-wfl>

A Safety Checklist (see Appendix B - [Exhibit 10.6](#)) is also included for reference to assist the TOSR. This checklist identifies critical elements of work zone traffic safety and OSHA

conditions that should be checked during an inspection. The checklist should be completed by the Tribe at least once during each construction season for that particular project. The checklist was developed to minimize subjective reporting and to help determine if the construction contractor's safety plan and policy, plus the approved traffic control plan are being followed throughout the duration of the project. Upon request of the Tribe, a FHWA representative may be available to take part in the safety review, as resources allow.

If the TOSR becomes aware of any unsafe condition resulting from the construction contractor's action or inaction or a possible violation of either OSHA standards or reasonable standards of construction safety practice, the construction contractor must be immediately notified verbally, and followed up with written notice documenting the deficiency. The Tribe should be involved in this process and should be copied on any correspondence regarding safety issues.

4. **The Construction Schedule.** If specified in the construction contract, a construction contractor must submit a construction schedule to the TOSR. This construction schedule represents the sequence in which the construction contractor plans to perform the contract work. The TOSR should review the schedule and work with the construction contractor to verify that the construction schedule generally represents the activities that logically occur during the completion of the construction project. Updates to the construction schedule should be submitted according to requirements set out in the Tribal policy. It is recommended that a construction schedule should also be prepared by the Tribe (or consultant/Federal agency used by the Tribe) for projects being constructed with Tribal force account crews.
5. **Progress Payments.** The payment and invoice process, as well as the construction contractor's obligations, should be emphasized at the preconstruction conference. The construction contractor should understand the negative impacts that could result from failure to provide required materials and documentation, test reports, and/or certifications. The requirements for the processing of progress payments that are included in the contract should be reviewed in detail as well.
6. **Contract Modifications (also called Change Orders).** The Tribe is responsible for ensuring that construction engineering on tribally-approved change orders is performed according to applicable FHWA standards, or Tribal standards that meet or exceed Federal standards.

Only the Professional Engineer of record may change a TTP project's PS&E during construction. This requirement applies regardless of whether the project is being built by a construction contractor or by Tribal force account crews. Substantial changes to a construction contract should only be completed in coordination with the Tribe and the facility owner. Records of the approved change orders, along with documentation of the work involved, such as photographs, diaries, daily reports, costs, and time should be maintained by the TOSR to assist in determining final costs and liability.
7. **Project Progress Meetings.** The TOSR should hold regularly scheduled meetings with the construction contractor's superintendent or representative to discuss the construction contractor's work progress, future plan, schedule of work, and any problems arising on the project. The frequency of the meetings should be determined by the complexity of the project.
8. **Weekly/Monthly Status Reports.** The TOSR should keep the Tribe and facility owner aware of the current state of the project by submitting a project status report to them on a regular basis.
9. **Final Acceptance of the Project, the Project Closeout Report, and Closeout of the Project.** After the final inspection has been completed, the following actions are needed before the project can be closed out (25 CFR §§ 125.473-474).

- a. Final Acceptance of the project.** After the final inspection is documented and any issues completed, and documentation which supports all activities of the project is completed, the facility owner makes final acceptance of the project. The Tribe develops a Letter of Acceptance addressed to the construction contractor (see example template in Appendix B - [Exhibit 10.3](#)). In addition, for a BIA owned facility, the BIA will write a Letter of Acceptance to the Tribe, with a copy to FHWA (see example template in Appendix B - [Exhibit 10.4](#)).

For a facility owned by a city, county, borough or others, a similar Letter of Acceptance document from the facility owner needs to be obtained by the Tribe. The Letter of Acceptance is a formal acceptance document in which the Tribe, the BIA (if BIA owns the facility), or other owners of the facility accept and acknowledges that the project has been developed as requested or in accordance with the contract document. This releases the construction contractor of any further responsibilities of the project.

The Tribe provides the Letter of Acceptance to the construction contractor, and provides copies to the facility owner and the TC.

- b. Project Closeout Report** (25 CFR §§ 170.473 and 170.474). The Tribe submits a project closeout report to the TC and the facility owner. The project closeout report is submitted after completion of the final inspection and any required construction corrections, and within 120 calendar days (4-months) of the final acceptance of the project by the Tribe and the facility owner. The closeout documents and report are typically generated by the Tribe's TOSR.

The project closeout report is the final accounting of all construction project expenditures and is the closing of the financial books for the construction project.

The project closeout report shall include:

- A summary of the construction project records to ensure compliance requirement have been met,
- A review of the bid item quantities and expenditures to ensure reasonable conformance with the PS&E and contract modifications,
- A listing of the construction and construction engineering funds expended to date for the project
- Final as-built plans (as-built drawings),
- Photographs,
- Change orders,
- Final Inspection report,
- Letter of Acceptance.

Project information made available during final inspection per 25 CFR §§ 170.472-474 can also be used to develop the project closeout report.

Tribes may, at their option, use the forms located in Appendix B - [Exhibit 10.5](#), and include them in the project closeout report.

Once the project is complete, the Tribe must update the National Tribal Transportation Facility Inventory to reflect any changes, and submit cost to construct detail sheets to BIADOT.

- c. Project Closeout.** The Tribe is responsible for ensuring, and the TC is responsible for verifying, that the following items are completed:
- Final CM – Actual final item quantities often vary from the original contract item quantities and as a result, a final CM may be required in order to close out the contract. The final CM

will change the item quantities to match the actual amounts incorporated into the project. This work should be carried out by the TOSR.

- The Final Estimate – The final estimate should account for all final quantities, a time count, and any assessment of liquidated damages. The final amount of the contract should also be identified.
- Claims – It is recommended that the Tribe, the facility owner (the BIA, if owner of the facility), and the construction contractor address and resolve any pending claims, which pertain to the contract as part of the close-out process.
- The Tribe should receive and maintain all project records. The records should include certifications showing that all of the materials used on the project were in conformance with project specifications. The U.S. Department of Transportation recommends that project records be maintained for at least 10 years.
- Verify completion and/or status of environmental commitments.

F. Roles and Responsibilities for Construction and Construction Engineering. The following table summarizes the roles and responsibilities of the Tribe and others as applicable.

Roles and Responsibilities for Construction and Construction Engineering		
Program Activity / Process	Authority / Reference	Responsible Party
Ensure the project is constructed according to the plans, specifications and estimates (PS&E)	25 CFR §§ 170.470-474	Tribe
Project construction documentation: Ensure it is current and complete.	25 CFR § 170.472	
Facility Owner and Project Acceptance: It is expected that the facility owner was informed of any issues during construction. The Tribe should request an “Acceptance” written document or letter for the project.	25 CFR § 170.473	Tribe and Facility Owner
Tribal Project Acceptance: Provide “Letter of Acceptance” to contractor if project is accepted; provide a copy to the TC. The TC will keep and file a copy of the acceptance letter in the Tribe folder on the agency’s TTP database.	25 CFR § 170.473	Tribe
Project closeout report: Tribe finalizes project paperwork. Tribe provides a project closeout report to the TC, and to the facility owner (or to the BIA if BIA is the facility owner).	25 CFR § 170.473	

G. Resources.

- FHWA Construction website at <http://www.fhwa.dot.gov/construction/>
- FLH Construction Manual at <https://highways.dot.gov/federal-lands/construction/manual>

XI. Maintenance of Transportation Facilities

A. Overview: Maintenance is any action required to preserve and maintain a current transportation facility within its right-of-way, so that the facility may be used safely and effectively for its designated purpose. The main categories of maintenance are listed here:

- **Preventive Maintenance** includes regularly scheduled inspections, and minor repairs.
- **Scheduled Maintenance** is planned, and results from preventive maintenance inspections.
- **Unscheduled Maintenance** is immediate action needed to correct unexpected occurrences which impact safety and efficiency of operations.
- **Normal Maintenance** is the planned, recurring day-to-day care of the facility.

The intent of maintenance is to bring a current facility as close as possible to its original condition, when it was first constructed or improved. Available maintenance funding can be used most effectively by accurately identifying the Tribe's maintenance needs, and then prioritizing those maintenance needs to fit the available funding. Maintenance is one of the key building blocks of an effective Asset Management program defined in 23 USC 101 § (a)(2) and 25 CFR § 170.5.

Transportation facilities and assets include travelways with approaches, parking facilities, drainage structures, roadside slopes, sidewalks, pathways, rest areas and visitor centers, traffic control devices, transit vehicles and road maintenance equipment.

Public safety and the safety of maintenance employees must also be a high priority when carrying out maintenance, whether it is routine scheduled maintenance or unscheduled emergency response maintenance. It is essential to plan, budget and carry out safety measures in the maintenance work zone for the safety of the public and employees.

B. Types of Tribal Maintenance Funding. There are two types of Federal funds available to Tribes for Tribal transportation facility maintenance:

1. **TTP funding.** This is funding from a Tribe's annual TTP funds (received as Tribal shares) that the Tribe uses for transportation facility maintenance. TTP funds can be used for maintenance only on facilities identified in the NTTFI.
2. **BIA Transportation Facility Maintenance Program.** This is funding in addition to the Tribes' TTP funds. Congress provides this separate funding for the BIA Transportation Facility Maintenance Program in the annual Department of the Interior appropriations acts. Tribes may use these funds for maintaining BIA Road System and BIA transportation facilities, and also other facilities identified in the NTTFI if permitted by the BIA on a case-by-case basis. The [BIA Transportation Facilities Maintenance Handbook for BIA Road Maintenance Program](http://www.nijc.org/pdfs/TTAP/BIA/82_IAM_Handbook_-_BIA_Road_Maintenance_Program_minimized(1).pdf) is located at [http://www.nijc.org/pdfs/TTAP/BIA/82_IAM_Handbook - BIA Road Maintenance Program minimized \(1\).pdf](http://www.nijc.org/pdfs/TTAP/BIA/82_IAM_Handbook_-_BIA_Road_Maintenance_Program_minimized(1).pdf)

C. Relationship of Maintenance activities to ERFO repairs. Serious damage by a natural disaster over a wide area, or by a catastrophic failure, can possibly be reimbursed from the ERFO program. A Tribe's road maintenance program may perform repairs to restore essential traffic, protect remaining facilities and prevent additional damages.

D. Statutory / Regulatory Requirements.

- TTP funds may be used for maintenance in accordance with 23 U.S.C. § 202(a), 25 CFR §§ 170.111-112 and 170.805, and 25 CFR Part 170 Appendix to Subpart G.
- TTP road maintenance requirements are in 25 CFR §§ 170.800 - 170.805.
- TTP funds can be used for the maintenance of TTP facilities identified in the NTTFI (25 CFR § 170.800(b)).
- TTP road maintenance standards according to 25 CFR § 170.803.
- According to 23 U.S.C. § 202(a)(8) and 25 CFR § 170.800(a), not more than 25 percent of the TTP funds allocated to a Tribe or \$500,000, whichever is greater, may be expended for the purpose of maintenance, including purchase of maintenance equipment. Road sealing is not subject to this limitation.
- BIA Transportation Facility Maintenance Program in 25 FR 170.800(d).
- 25 CFR § 170.802 authorizes a Tribe to perform Tribal transportation facility maintenance.

E. Guidelines / Procedures

1. **TTIP.** Maintenance must be included on the FHWA-approved TTIP, before TTP funds can be expended on maintenance (25 CFR 170. § 170.421).
2. **Maintenance activities eligible for TTP funding.** See 25 CFR Part 170 Appendix to Subpart G.
3. **Maintenance Standards** (see 25 CFR § 170.803). Subject to availability of funding, TTP transportation facilities must be maintained in accordance with an applicable standard that meets or exceeds the following:
 - a. **The MUTCD.** All temporary and permanent signs and other traffic control devices must comply with the current edition of the MUTCD. The MUTCD 2009 Edition is located at <http://mutcd.fhwa.dot.gov/>. More information on the MUTCD requirements is in this Program Delivery Guide at [Chapter VII Preliminary Engineering – Project Package, section C.2](#);
 - b. Also, one or more of the following:
 - Appropriate National Association of County Engineers maintenance standards;
 - The *AASHTO Maintenance Manual for Roadways and Bridges, 4th Edition*, available at https://bookstore.transportation.org/item_details.aspx?id=1170; or
 - Another Tribal, Federal, State, or local government maintenance standard negotiated in an ISDEAA road maintenance self- determination contract or self-governance agreement.
4. **Maintenance Equipment.** Maintenance equipment may be leased, purchased, or acquired by a Tribe, according to the following paragraphs a. through d.
 - a. **Purchase process.** Tribes may purchase maintenance equipment with TTP funds, to perform TTP funded maintenance on transportation facilities on the NTTFI (see 25 CFR Part 170 Appendix A to Subpart B (b)(49)(ii)). Before the maintenance equipment is purchased, its cost must be identified on the Tribe's FHWA approved TTIP in accordance with 23 U.S.C. 202(b)(4)(B). This may require the Tribe to update or amend its TTIP, and submit the updated/amended TTIP to FHWA for approval according to [Chapter V - Transportation Planning](#). The maintenance equipment cost shown on the TTIP must include the cost of shipping the equipment from the vendor's location to the equipment work location.

The maintenance equipment purchase price plus shipping cost must be less than the Tribe's TTP maintenance spending limit, which is 25 percent of the Tribe's annual TTP funds, or \$500,000, whichever is greater (see 23 U.S.C. § 202(a)(8) and 25 CFR § 170.800(a)).

- b. Program income** (25 CFR §§ 170.111-112, [23 U.S.C. 202\(a\)\(1\)](#), [2 CFR §§ 200.307](#), and [2 CFR § 200.313](#)). Tribes may also use the maintenance equipment (purchased with TTP funds) for non-TTP related activities as long as appropriate rates are charged the user for the purpose of recovering costs to maintain, replace and operate the maintenance equipment. Payments or reimbursements collected for the use of this maintenance equipment are considered restricted program income, and must be used only to maintain, replace and operate the maintenance equipment.

This principle would also apply to maintenance equipment purchased with TTP funds that the Tribe later sells. The income from such sales is considered restricted program income. This does not apply to government equipment donated to the Tribe outside of the TTP.

- c. Equipment inventory.** Tribes should keep an up-to-date and complete inventory of all their maintenance equipment and construction equipment, and provide a courtesy copy to the TC upon request.
- d. Excess or surplus Federal government property.** FHWA can assist Tribes to transfer surplus and excess Federal government property to the Tribe, for use on TTP projects and activities. Information on how Tribes having TTPAs with FHWA can use this service is at <https://highways.dot.gov/federal-lands/programs-tribal/surplus-excess-property>.

F. Resources:

- AASHTO road and bridge maintenance manuals and maintenance management system manuals.
- NACE action guides, and other Federal, State, Tribal, or local government maintenance standards and operations manuals.
- Maintenance related publications of the TRB and other international Transportation Organization located on the internet.

XII. Tribal Transportation Program (TTP) - Bridge Program

- A. Overview.** The TTP Bridge Program is a nationwide priority program for improving structurally deficient and functionally obsolete TTP bridges. Funds provided to Tribes from the TTP Bridge Program can be used by a Tribe to carry out any planning, design, engineering, preconstruction, construction, and inspection of a project to replace, rehabilitate, seismically retrofit, paint, apply calcium magnesium acetate, sodium acetate/formate or other environmentally acceptable, minimally corrosive anti-icing and de-icing compositions, or install scour countermeasures for structurally deficient or functionally obsolete TTP bridges, including multiple pipe culverts. The approved TTP Bridge Program funds are transferred to a Tribe through an RFA.

The TTP Bridge Program website is at <https://highways.dot.gov/federal-lands/programs-tribal/bridge>

B. Definitions.

- **Construction engineering** is the supervision, inspection, and other activities required to ensure the project construction meets the project's approved acceptance specifications, including but not limited to: additional survey staking functions considered necessary for effective control of the construction operations; testing materials incorporated into construction; checking shop drawings; and measurements needed for the preparation of pay estimates.
- **Functionally obsolete (FO)** is the State in which the deck geometry, load carrying capacity (comparison of the original design load to the State legal load), clearance, or approach roadway alignment no longer meets the usual criteria for the system of which it is an integral part.
- **National Bridge Inventory (NBI)** means the database of structure inventory and appraisal data collected to fulfill the requirements of the National Bridge Inspection Standards (NBIS) (25 CFR § 170.5).
- **Plans, specifications and estimates (PS&E)** means construction drawings, compilation of provisions, and construction project cost estimates for the performance of the prescribed scope of work.
- **Preliminary engineering** means planning, survey, design, engineering, and preconstruction activities (including archaeological, environmental, and right-of-way activities) related to a specific bridge project.
- **Structurally deficient (SD)** means a bridge becomes structurally deficient when it reaches the set threshold of one of the six criteria from the FHWA NBI.
- **Structure Inventory and Appraisal (SI&A) Sheet** means the graphic representation of the data recorded and stored for each NBI record in accordance with the Recording and Coding Guide for the Structure Inventory and Appraisal of the Nation's Bridges (Report No. FHWA-PD-96-001).
- **Sufficiency rating (SR)** means the numerical rating of a bridge based on its structural adequacy and safety, essentiality for public use, and its serviceability and functional obsolescence.

- ***Tribal transportation facility*** means a public highway, road, bridge, trail, or transit system that is located on or provides access to Tribal land and appears on the National Tribal Transportation Facility Inventory described in 23 U.S.C.
- ***TTP bridge*** means a structure located on a designated Tribal transportation facility, including supports, erected over a depression or an obstruction, such as water, a highway, or a railway, and having a track or passageway for carrying traffic or other moving loads, and having an opening measured along the center of the roadway of more than 20 feet between undercopings of abutments or spring lines of arches, or extreme ends of the openings for multiple boxes; it may also include multiple pipes, where the clear distance between openings is less than half of the smaller contiguous opening.

C. Statutory/Regulatory Requirements.

- The FAST Act authorized almost \$14 million in FY 2016 (and more in later years) of distinct and separate funds for the replacement or rehabilitation of structurally deficient or functionally obsolete bridges.
- The TTP Bridge Program is authorized and defined under 25 CFR §§ 170.510-512, 23 U.S.C. § 202(d), and set forth in 23 CFR § 661.
- 23 CFR § 661 - TTP Bridge Program at <http://www.gpo.gov/fdsys/pkg/CFR-2011-title23-vol1/pdf/CFR-2011-title23-vol1-part661.pdf>

D. Guidelines/Procedures.

1. **Eligible activities for TTP Bridge Program funds (23 CFR § 661.15).** TTP Bridge Program funds can be used by Tribes for the following activities:
 - a. Planning, design, engineering, preconstruction, construction, and inspection of a project to replace, rehabilitate, seismically retrofit, paint, apply calcium magnesium acetate, sodium acetate/formate, or other environmentally acceptable, minimally corrosive anti-icing and deicing composition.
 - b. Implement any countermeasure for deficient TTP bridges, including multiple-pipe culverts.
 - c. Demolish the old bridge that is being replaced by a new bridge under the TTP Bridge Program.
2. **Criteria for bridge eligibility (23 CFR § 661.17):**
 - a. Bridge eligibility requires the following:
 - i. Have an opening of 20 feet or more.
 - ii. Be classified as a Tribal transportation facility.
 - iii. Be structurally deficient or functionally obsolete.
 - iv. Be recorded in the NBI maintained by the FHWA.
 - b. Bridges that were constructed, rehabilitated, or replaced in the last 10 years, are only eligible for seismic retrofit or installation of scour countermeasures.

3. Funding limitations on an individual TTP bridge project (23 CFR § 661.37):

- a. BIA and tribally owned TTP bridges are eligible for 100 percent TTP Bridge Program funding for construction, with a \$150,000 maximum limit for PE.
- b. Non-BIA owned TTP bridges are eligible for up to 80 percent TTP Bridge Program funding, with a \$150,000 maximum limit for PE and \$1,000,000 maximum limit for construction. The minimum 20 percent local match will need to be identified in the application package. TTP construction funds received by a Tribe may be used as the local match.
- c. Requests for additional funds above the referenced funding limitations may be submitted along with proper justification to FLH/OTT for consideration. The request will be considered on a case-by-case basis. There is no guarantee for the approval of the request for additional funds.
- d. All applications will be ranked and prioritized based on: (1) Bridge SR; (2) Bridge status with SD having precedence over FO; (3) Bridges on school bus routes; (4) Detour length; (5) Average daily traffic; and (6) Truck average daily traffic.
- e. An existing bridge must have a sufficiency rating of less than or equal to 80 to be eligible for rehabilitation, and a sufficiency rating of less than 50 to be eligible for replacement.
- f. Funding for successful TTP bridge applications will be distributed on a quarterly basis.

4. Roles and Responsibilities for Submitting the Application Package. Any time during the year a Tribe may prepare and submit to their FHWA TC an application package to request funding for bridge preliminary engineering (see 23 CFR § 661.25) or bridge construction (see 23 CFR § 661.27). The TC will assist the Tribe in preparing the application package, review the Tribe's submittal and resolve any issues with the Tribe.

The TC will then submit the completed bridge application package directly to the Bridge Program Manager at FLH/OTT for review of the application.

5. Application Package for Preliminary Engineering Funding (23 CFR § 661.25). The application package should contain the following:

- TTP Bridge Program Certification Checklist (see Appendix B - [Exhibit 12.2](#)).
- A Tribal TIP, approved by FLH/OTT, with the bridge project identified. The bridge project may be shown as "Illustrative" on the TIP.
- A detailed Project scope of work (SOW).
- Detailed cost itemization for Preliminary Engineering tasks.
- SSI&A sheet (see Appendix B - [Exhibit 12.1](#)).
- If Preliminary Engineering funds are being applied for to replace an existing structure that is only eligible for rehabilitation due to its Sufficiency Rating, a Life Cycle Cost Analysis (LCCA) must be submitted with the application showing that it is more cost effective to replace the structure than to rehabilitate it.

NOTE: For **non-BIA/non-Tribal TTP bridges**, the application package must also include:

- A Tribal resolution supporting the project, and
- Identification of the required minimum 20 percent local funding match.

- 6. Application Package for Construction Funding** (23 CFR § 661.27). A candidate bridge rehabilitation or replacement project must be “shovel ready”; i.e., ready for solicitation of bids. All environmental and archeological clearances (approved NEPA document) and complete grants of public rights-of-way must be acquired prior to submittal of the construction application package. A complete application package for construction of such a project will consist of the following documents:

- An approved PS&E, with Professional Engineer (PE) stamp and signature. The PE must be registered in the same State as the project.
- TTP Bridge Program Certification Checklist (see [Exhibit 12.2](#)).
- SSI&A sheet (see [Exhibit 12.1](#)).
- A Tribal TIP, approved by FLH/OTT, with the bridge project identified. The bridge project may be shown as “Illustrative” on the TIP.

NOTE: For **non-BIA/non-Tribal TTP bridges**, the application package must also include:

- A copy of a letter from the bridge’s owner approving the project and its PS&E,
- A Tribal resolution supporting the project, and
- Identification of the required minimum 20 percent local funding match.

If timely construction of a bridge project is required prior to availability of bridge program funds, other sources of funds (such as the Tribe’s TTP Tribal shares, local funds, etc.) may be used for the project and an application submitted for reimbursement of those funds up to the prescribed funding limitations. Such an application **MUST** be submitted and placed on the queue prior to the start of the construction of the bridge project.

- 7. Project Application Review and Selection Process.** The Bridge Program Manager at FLH/OTT will review only complete TTP bridge project application packages and place eligible projects in a queue based upon the ranking factors.

Incomplete application packages will not be eligible and will be returned to the TC, along with a notation providing the reason for return. The TC will provide technical assistance to the Tribe to help the Tribe correct and resubmit the application package.

Funding for the approved eligible projects in the queue will be made available to the Tribe based upon their ranking until all the TTP Bridge Program funds are exhausted. Projects not funded due to unavailability of funds will remain in the queue for potential funding from future TTP Bridge Program funding appropriations.

- 8. Tribal Bridge Inspection.** The following is the procedure for FHWA Agreement Tribes requesting initial inspection of tribally owned bridges for inclusion in the FHWA NBI:

- Step 1.** The Tribe verifies if the Tribal bridge is a public bridge, 20 ft. or more in opening.
- Step 2.** Tribe coordinates with the TC to fill out the Tribal bridge inspection request form.
- Step 3.** The TC submits the inspection request form to the Bridge Program Manager at FLH/OTT.
- Step 4.** The Bridge Program Manager submits the inspection request form to the FLH Bridge Inspection Team.

- Step 5.** Once inspected by the FLH Bridge Inspection Team, a copy of the inspection report and the NBI data file (432 text file) is provided to the Bridge Program Manager and to the FLH Bridge Management Team for 2nd level review.
- Step 6.** Once approved, the NBI data file is submitted to the FHWA HQ Office of Bridges and Structures for acceptance and recordation of the data file in the FHWA NBI.

XIII. Safety Programs

- A. Overview.** Every year, more than 30,000 motorists die¹ and almost 3,000,000 are injured on roadways in the United States. Fatalities and injuries resulting from motor vehicle crashes are a particular concern within Indian Country. Between 1975 and 2002, the number of fatal crashes on Indian reservations increased more than 50 percent, while the number of fatal crashes in the Nation declined 2 percent.

American Indians suffer far more from motor vehicle related deaths and injuries than would be expected, given their proportion of the population. In general, Native Americans have the highest risk of motor vehicle related deaths of all ethnic groups.² Motor vehicle crashes are the leading cause of death for Native Americans ages 4 to 44. Beyond motor vehicle deaths, other transportation modes such as maritime travel or snow machine use contribute significantly to the transportation safety problem in many Tribal communities.

The Tribal Transportation Strategic Safety Plan presents priority topics for transportation safety in Tribal areas which include: establishing a decision-making process, crash data improvement, roadway departure, pedestrian safety, impaired driving, occupant protection, and the availability of public safety services. The plan can be found online at <http://www.TribalSafety.org/Reports>.

This chapter has two main sections: Section **B - Tools and Resources** contains a number of proven safety strategies; and, Section **C - Safety Funding Programs** provides an overview of available funding programs.

- B. Tools and Resources available to Tribes.** Tribes use several tools and resources to evaluate and address their transportation safety issues. The following is a brief description of the available tools and resources.

1. Transportation Safety Plans

Tribal Transportation Safety Plans are a tool intended to identify and address transportation risk factors within a geographical area that have the potential of leading to serious injury or death. Safety Plans also organize the efforts of a variety of entities to more effectively reduce risk. Safety Plans can cover multiple transportation modes (roads, maritime, trails, air travel, and others). Safety plans may lead to implementation of a project or program, renewed efforts in an existing program, or further study of a roadway section (such as an engineering study or Road Safety Audit).

A Safety Plan should not be developed with a focus on one particular funding source. Rather, a plan should demonstrate the safety concerns in a community and the strategies that could effectively address those concerns. To the greatest extent possible the concerns demonstrated by a safety plan should be selected based on incident history (crash data). This allows funding entities to understand the needs and may even compel the funding of the community's needs.

The following six step process is one method Tribes can use to develop a comprehensive and strategic Tribal Transportation Safety Plan. Additional resources, including a safety plan template and a library of safety plans completed by other Tribes, can be found online at <https://www.tribalsafety.org/safety-planning-resources>.

¹ Source: NHTSA Fatality Analysis Reporting System, <http://www-fars.nhtsa.dot.gov/Main/index.aspx>

² Fatal Motor Vehicle Crashes on Indian Reservation 1975-2002 NCSA, April 2004

Step 1. Identify the Author

The plan author needs to have the ability to obtain the participation of a wide array of safety partners, assign tasks, and document the outcomes. In many situations the author of a Transportation Safety Plan may be the Tribe's Transportation Director. In some cases a private consultant, the Tribal Technical Assistance Program, or a Federal agency may act as a co-author.

Step 2. Identify Safety Partners

Approaching safety using a collaborative approach across many disciplines is proven as an effective strategy for safety planning. Some initial safety partnerships to consider are with administration (such as Tribal Council), enforcement, emergency medical services (fire, search and rescue, clinics), educators, behavioral specialists, engineers, planners, community special interest groups, and in some cases the public. Where appropriate, partnerships should seek to include the Tribe, City, County, Borough, State, and/or Federal agencies. When making initial contact on the topic of developing safety plans, the following topics may be discussed:

- Is the partner interested in a comprehensive transportation safety plan?
- What data sources does the partner know about or maintain?
- Are there additional agencies that this partner would recommend which you have not identified?
- Would this partner commit to attending a community safety summit?

Step 3. Public Involvement

Public Input can be a critical element of identifying safety needs. Often the traveling public can point to near misses or unreported incidents that would never show up in traditional data sets. Public input is an especially critical tool in communities where formal data sets are known to be incomplete or missing.

Step 4. Data Collection and Summarization

Communities that have successfully used transportation safety plans in the past usually point to data based decision making as the key to success. Preparing a summary of the available data prior to a safety planning meeting with the partners allows the summit to be fact based more than opinion based. A summary of incident data should consider both behavioral factors (speeding, impairment, age, etc.) and tangible factors (location, road feature, weather conditions, crash type, etc.)

Incident data always exists. In some communities, incident data may look very different than in others. Some potential sources of incident data include:

- Formal police crash reports or incident reports
- Ambulance run reports, clinic records, or search & rescue logs
- City/county/borough complaint registers
- Public input

Step 5. Safety Planning Forum

A Safety Planning Forum gives identified partners a chance to collaboratively develop a safety plan. The forum should include the following topics:

- Review Existing Efforts
- Summary of Available Data

- Identify top risks
- Assign champion to each top risk. Task champion with researching countermeasures and leading implementation.
- Discuss the establishment of a regular safety management system committee to discuss progress and update the plan as needed.

Step 6. Writing the Safety Plan

The final safety plan document should include a summary of the safety plan development process used, a list of the top risks identified and priority initiatives to address the top risks. The document length should be between 2 to 4 pages plus addendums. The following is a sample outline of topics that may be included in the safety plan.

- A. Introduction describing the intent of the plan
- B. List of partners
- C. Brief summary of data analysis
- D. Existing Activities
- E. Top Risk Areas (a.k.a. Emphasis Topics)
 - a. Description of Risk
 - b. Strategies to address risk
 - c. Safety Champion overseeing implementation
 - d. Next step(s) in implementation

References and Resources

- FHWA-FLH website for the TTPSF, <https://highways.dot.gov/federal-lands/programs-tribal/safety>
- Developing a Transportation Safety Plan, Planning Modules for Tribes, FHWA Office of Planning, http://www.fhwa.dot.gov/planning/processes/tribal/planning_modules/safety/summary.cfm
- Toolkit to help Tribes develop Strategic Transportation Safety Plans, <https://highways.dot.gov/federal-lands/programs-tribal/safety/safety-plan-toolkit>
- Developing Safety Plans – A Manual for Local Rural Road Owners, FHWA, March 2012, http://safety.fhwa.dot.gov/local_rural/training/fhwasa12017/
- TTAP, <https://ttap-center.org/>

2. Road Safety Audits or Reviews (RSA/RSARs)

- a. **Overview.** A Road Safety Audit is a formal evaluation of a roadway section by an independent, multi-disciplinary team to identify specific recommendations for a section of roadway. The RSA team should be independent from everyday operations of the facility being studied to avoid biases. The most effective RSA teams will consist of a variety of professional disciplines, including engineering, enforcement, and emergency medical services. An RSA team identifies risks using many different information sources such as crash data, maintenance logs, interviews of roadway authorities, public testimony, and multiple field observations before making recommendations. Many Tribal governments have utilized the RSA program to assist them in determining roadway deficiencies, maintenance issues and to help in the planning for future work and needs. Assistance in coordinating and setting up an RSA is

available from the TTAP Centers, Federal Lands, and consultants, and may be available through the State department of transportation.

b. References and Resources

- FHWA Office of Safety - RSA webpage, <http://safety.fhwa.dot.gov/rsa/>
- Road Safety Audits Peer to Peer Program, <http://safety.fhwa.dot.gov/rsa/resources/p2p/brochure/>
- Road Safety Audits video, <http://safety.fhwa.dot.gov/rsa/video2009/>
- Federal and Tribal Lands Road Safety Audits: Case Studies, <http://safety.fhwa.dot.gov/rsa/resources/casestudiesflh/>

3. Traffic Engineering Safety Study

When a safety problem is known to be related to the engineering of a facility, a traffic engineering safety study may be effective. An engineering study involves an in-depth review of a facility by a Tribal, municipal, or private engineer with knowledge of traffic engineering to determine roadway features that are contributing to poor safety performance on a facility. Engineering studies may include a review of items such as sight distance, traffic control device operation and placement, posted speed limits, or roadway alignment.

4. Safety Data Collection

A key component to effective transportation safety efforts is an incident database that enables the identification of transportation safety problems. The first step to improving transportation safety in your community may be the establishment of incident databases or developing partnerships with agencies that are already collecting data (such as the State DOT). The USDOT expects to publish a Tribal Crash Reporting Toolkit in fall of 2020. The toolkit will contain resources that Tribes can use to establish a new crash data base or better utilize an existing database. The latest information about this toolkit will be available at <https://www.tribalsafety.org/data-collection>.

5. Sign Maintenance and Nighttime Visibility Assessments (Retroreflectivity)

- a. Overview.** About half of traffic fatalities occur at night, although only about one quarter of travel occurs after dark. Although intoxication and fatigue contribute to the high rate of nighttime crashes, nighttime driving is inherently hazardous because of decreased driver visibility.

Adequately maintained retroreflective signs and pavement markings improve highway safety and prevent roadway departure crashes by making the signs and markings appear brighter and easier to see and read. Because the retroreflective properties of traffic control devices deteriorate over time, highway agencies need to actively maintain signs and pavement markings in order to ensure that they are clearly visible at night.

Roadway lighting is another means to increase visibility for drivers and other roadway users. Properly designed roadway lighting allows road users to quickly assess roadway conditions and creates a safe environment within the roadway vicinity.

More information is available on the FHWA retroreflectivity links below in the areas of:

- **Regulations / Standards**
- **Technical Guidance**

- **Implementation Tools**
- **Frequently Asked Questions**
- **Funding Assistance**
- **Research**

The current edition of the MUTCD contains a standard that requires agencies to implement a method to maintain sign retroreflectivity above prescribed minimum levels. In addition, several methods were identified that agencies can use to meet that requirement.

b. References and Resources

- FHWA Nighttime Visibility website, https://safety.fhwa.dot.gov/roadway_dept/night_visib/
- 2009 MUTCD Section 2A.08, https://mutcd.fhwa.dot.gov/kno_2009r1r2.htm

6. Safety Management System

To address the dire transportation safety needs in Tribal areas, FHWA and the BIA have developed a Tribal Safety Management System Steering Committee (SMS) with assistance from the Tribes. The committee has published reports to Congress and a Tribal Transportation Strategic Safety Plan. These documents identify strategies that Tribes can use to improve safety for travelers on Indian Lands. The documents also identify topics that can help focus efforts by the Federal government in improving transportation safety. The reports can be found online at <http://www.TribalSafety.org/reports/>.

7. Other Safety Resources

Numerous other written resources are available. Some of the additional documents that may be of interest include:

- Tribal Transportation Safety Management System Steering Committee Website, <http://www.tribalsafety.org/>
- The Highway Safety Manual, AASHTO, <http://www.highwaysafetymanual.org>
- NCHRP 500 Reports, TRB, <http://www.trb.org/Main/Blurbs/152868.aspx>
- Crash Modification Factors Clearinghouse, <http://www.cmfclearinghouse.org/>
- Various resources available from the FHWA Office of Safety, <http://safety.fhwa.dot.gov/>
- Contact the FHWA Office of Tribal Transportation at TTPSF@dot.gov

C. Safety Funding Programs

There are many funding sources, including the Tribal Transportation Program Safety Fund, available to assist Tribal governments in implementing safety programs and projects. A summary of several safety funding programs can be found at <https://www.tribalsafety.org/funding>.

Much of the Federal funding for transportation safety is managed by State governments. State safety contacts are listed online at <https://www.tribalsafety.org/state-contacts>.

Appendix A – Glossary

As-built Drawings – Revised set of drawings submitted upon completion of a project that reflects all changes made to the PS&E during construction. As-built drawings are also called as-built plans.

ACH Form – Form SF 3881, which is used to document the necessary financial information (e.g., bank account number, DUNS number) for FHWA personnel to obligate funding to a Tribe's bank account.

Categorical Exclusion – Actions, based on past experience, that do not involve individual or cumulative significant environmental impacts and are excluded from the requirement to prepare an EA or EIS (23 CFR § 771.117).

Consortium – (See definition in 25 CFR § 170.5.

Contractible Service – A function or activity that is not inherently Federal and can be achieved via contract (25 CFR § 170.610).

Design Exception – Any deviation from approved design standards (25 CFR §§ 170.456, 170.457, and 170.460).

DUNS – A unique nine-digit identifier used by businesses and the Federal government to keep track of more than 70 million businesses world-wide.

Environmental Assessment – Actions in which the significance of the environmental impact is not clearly established, and all actions that are not CE's or EIS's. Actions in this class require the preparation of an EA to determine the appropriate environmental document required (from 23 CFR § 771.115).

Environmental Impact Statement – Actions that are determined to significantly affect the environment require an EIS (23 CFR § 771.115).

FAST Act – The “Fixing America’s Surface Transportation Act”, P.L. 114-94.

Financially or Fiscally Constrained – See the definition for Financial constraint or Fiscal constraint in 25 CFR § 170.5.

Finding of No Significant Impact – A concise document prepared at the conclusion of the EA presenting the reasons when it is determined that an action will not have significant environmental impacts and will not require preparation of an EIS (23 CFR § 771.121).

Force Account – Project construction using employees of the Tribe.

Imminent jeopardy to public health and safety – An immediate and significant threat of serious harm to human well-being, including conditions that may result in serious injury, or death, caused by Tribal action or inaction or as otherwise noted in the TTPA.

Imminent jeopardy to trust funds, trust land, or interest in such lands – An immediate threat and likelihood of significant devaluation, degradation, damage, or loss of a trust asset, or the intended benefit from the asset caused by the actions or inactions of the Tribe in performing trust functions. This includes disregarding Federal trust standards and/or Federal law while performing trust functions if the disregard creates such an immediate threat.

Appendix A – Glossary (cont'd.)

LRTP – The official Tribal, multimodal, transportation document covering a period of no less than 20 years developed through the Tribal transportation planning process which identifies the transportation needs and priorities of the Tribe.

NTTFI – See the definition in 25 CFR § 170.5.

Non-compliant – When submissions and/or actions required by statutory/regulatory requirements, or responsibilities as identified in the TTPA, are not met.

Non-emergency remedial actions – Actions carried out when a Tribe is found to be non-compliant or non-responsive to the following required activities or program/project findings:

- Reporting on or providing to FHWA:
 - Annual Single Audit reports, including any single audit findings of material weaknesses or significant deficiencies as they relate to the TTP, or Semi-annual accomplishment and financial reports as required by Article III of the TTPA;
 - Tribal approved project packages, including PS&Es and assurances that the construction will meet or exceed applicable health and safety standards per Article III, Section 1.C of the TTPA, and according to 25 CDR § 170.460;
 - Final construction reports and as-built plans for final inspection in accordance with 25 CFR Part 170;
- Program review findings that require the development and execution of corrective action plans; or
- Other FHWA TTP action requests regarding non-compliance with the TTPA including statutory or regulatory requirements.

Non-responsive – When attempts by e-mail, phone, or other communication by the TC or other TTP Team staff are repeatedly unanswered.

Notice of Intent – Official letter or Tribal resolution from a Tribal government notifying FHWA of its desire to work directly with FHWA and enter into a TTPA with FHWA for the administration of its Tribal Transportation Program.

P1 (Action) Audits – These are action memos that are issued/distributed via email from the OIG to the TTP. They outline single audit findings that require action by the TTP. A response that includes written documentation of corrective action taken and supporting documentation must be sent to the OIG by the Target Action Date (6 months from the date of the OIG Action Memo).

P2 (Informational) Audits – Audits that are issued/distributed via email from the OIG to the TTP. They outline single audit findings that require action by the TTP. No response is required to be sent to the OIG. However, written documentation of corrective action taken and the supporting documentation are required by the TTP and must be kept on file.

PS&E – A package made up of plans, specifications, and engineers estimates on the location, design features, and the construction requirements in sufficient detail to facilitate the construction of a project.

Appendix A – Glossary (cont'd.)

Project – Any undertaking determined as being eligible under the Title and Program for which funds are being provided.

Project Package – Consists of a number of documents including the PS&E, the approved design exceptions, and all the construction details, provisions, permits, agreements, conditions, and certifications required to administer a construction project.

Public Authority – See the definition in 25 CFR § 170.5.

Record of Decision – Documentation prepared after the final EIS that presents the basis for the decision, summarizing any mitigation measures that will be incorporated into the project. (23 CFR § 771.127).

Reassumption – An instance where FHWA temporarily takes on the Tribe's responsibilities under the TTP to carry out actions required to mitigate an imminent jeopardy.

RFA – A document between FHWA and a Tribe which sets forth specific conditions for Fiscal Year funding under the Tribal Transportation Program Agreement. It includes the terms that identify the specific programs, functions, services and activities to be performed, the funds to be provided, the time and method of payment, and such other provisions to which the Parties agree.

Regionally Significant Project – See the definition in 25 CFR § 170.5.

Risk Assessment – FHWA review of a Tribe's TTP and / or other programs to determine and document whether the Tribe is eligible to enter into a TTPA with the FHWA.

Risk Assessment Matrix – Table with a set of questions used by FHWA to consistently assess whether a Tribe is eligible to enter into a TTPA with the Federal government.

Risk Score – General rating determined from the Risk Assessment Matrix, and is used to rate level of risk (i.e., low, moderate, high) to the Federal government associated with entering into a TTPA with a Tribe.

Section 4(f) Evaluation – Documentation prepared to support the granting of the Section 4(f) approval and determination that there is no feasible and prudent alternative to the use of Section 4(f) property and that the proposed action includes all possible planning to minimize harm to the property resulting from that use (23 CFR § 774).

Single Audit – The Single Audit, also known as the OMB A-133 audit, is a rigorous, organization-wide audit or examination of an entity (including Tribes) that expends \$750,000 or more of Federal funds, grants, or awards received for its operations in any one fiscal year. Usually performed annually, the Single Audit is typically performed by an independent certified public accountant and encompasses both financial and compliance components.

State – Any of the 50 States, the District of Columbia, and Puerto Rico.

State Transportation Department – See the definition in 25 CFR § 170.5.

STIP – See the definition in 25 CFR § 170.5.

Technical Assistance – Those activities which provide advice, education, support, knowledge, skills and opportunities to address specific current and future situations in implementing the policies and procedures governing the Tribal Transportation Program. Technical assistance may be through training, outreach, peer and expert review, and expert assistance.

Appendix A – Glossary (cont'd.)

TERO – Ordinances requiring that employers who are engaged in operating a business on reservations give preference to qualified Indians in all aspects of employment, contracting and other business activities.

TC – An employee of FHWA who is the Federal point of contact leading the coordination between a Tribal government and FHWA for the Tribal Transportation Program. The TC provides stewardship and oversight of a Tribe's TTP, and provides technical assistance to the Tribe on elements of administering the TTP, and on items related to improving the Tribal transportation system such as planning, design, environmental processes, construction functions, transportation safety, maintenance, and transportation funding opportunities.

Tribal Government – A Tribal government is the local governing body of a Tribe, band, pueblo, community, village, or group of Native American Indians, or Alaska Natives that carry out sovereign governmental functions.

Tribal POC – An employee and/or member of a Tribe who is designated by the Tribe as the official point of contact with FHWA for all matters related to the TTP. The FHWA TC coordinates and interacts on an ongoing basis with the Tribal POC.

Tribal Resolution – A Tribal government's formal expression of opinion, will, or intent.

Tribal Share – A Tribe's portion of all eligible funds and resources that support applicable PFSA's (or portions thereof) provided through a compact or funding agreement between the Tribe and the Department that are not required by the Secretary for the performance of inherent Federal functions.

Tribal Signatory – Official designee recognized by the Federal government as qualified to enter a Tribe into binding agreements.

TTAM – Methodology for distributing funding under the TTP.

TTIP – A multiyear financially constrained list of proposed transportation projects developed by a Tribe using the Tribal Priority List from the LRTP, and approved by FHWA.

TTPTIP – See the definition in 25 CFR § 170.5.

TTP – See the definition in 25 CFR § 170.5.

TTPA – An agreement between a Tribe and FHWA, that transfers all but the inherently Federal program functions, services and activities of the Tribal Transportation Program to the Tribe. It may also be called a PA.

Tribe or Indian Tribe – See the definition in 25 CFR § 170.5.

TTPA Template – The standard format that a Tribe and the TC use as a basis to create the official TTPA between a Tribe and the U.S. government.

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TRIBAL TRANSPORTATION PROGRAM

AGREEMENT

BETWEEN

THE (INSERT NAME OF TRIBE)

AND THE

**UNITED STATES DEPARTMENT OF
TRANSPORTATION**

ARTICLE I – AUTHORITY AND PURPOSE

Section 1. Authority. This Tribal Transportation Program Agreement (hereinafter “the Agreement”) is entered into by the Administrator, Federal Highway Administration, (hereinafter “Administrator”), for and on behalf of the United States Department of Transportation (hereinafter “DOT”) and by the (INSERT NAME OF TRIBE) (hereinafter “the Tribe”) (collectively hereinafter the “Parties”), under the authority of the Constitution and By-Laws of the Tribe and by resolution of the Tribal Government, a copy of which is attached hereto, and under the authority granted by Chapter 2 of Title 23, United States Code, as amended by the Fixing America's Surface Transportation Act (FAST Act), Pub. L. 114-94, (Dec. 4, 2015) and the Delegations of Authority set forth in 49 CFR § 1.85. This agreement will be implemented in a manner consistent with Executive Order 13175 (Nov. 6, 2000, 65 Fed. Reg. 67249) (Consultation and Coordination with Indian Tribal Governments); the Presidential Memorandum on Tribal Consultation dated November 5, 2009; the DOT’s Order regarding Programs, Policies, and Procedures Affecting American Indians, Alaska Natives, and Tribes (DOT 5301.1, November 16, 1999); and the U.S. DOT Tribal Consultation Plan found at <http://www.fhwa.dot.gov/tribal/news/consultation.html>; This Agreement authorizes the Tribe to

perform the transportation planning, research, maintenance, engineering, rehabilitation, restoration, construction, and reconstruction of tribal transportation facilities that are located on or which provide access to the (INSERT NAME OF TRIBE) Reservation (ALASKA NATIVE VILLAGE/CONSORTIUM) or a community of the Tribe and are eligible for funding pursuant to the Tribal Transportation Program (TTP) regulations (25 CFR Part 170). This Agreement is made pursuant to 23 U.S.C. § 202 (b)(7) and 25 CFR Part 170, as amended by the FAST Act, and in accordance with the Indian Self-Determination and Education Assistance Act (hereinafter “the ISDEAA”), Pub. L. 93-638, as amended (..25 USC § 5301 et.seq.)

Section 2. Purpose. The purposes of this Agreement are as follows:

- (1) to transfer to the Tribe all of the functions and duties that the Secretary of the Interior would have performed with respect to a program or project under Chapter 2 of Title 23, United States Code, other than those functions and duties that cannot be legally transferred under the ISDEAA, together with such additional activities as the Tribe may perform under the FAST Act and 25 CFR Part 170;
- (2) to carry out the statutory requirements pursuant to section 1118 of the FAST Act and to maintain and improve its unique and continuing government-to-government relationship with and responsibility to the Tribe and to maintain and improve its unique and continuing government-to-government relationship with and responsibility to the Tribe; and
- (3) to provide the Tribe or its designee, under a Referenced Funding Agreement (RFA), its formula share of TTP funds pursuant to the FAST Act and 25 CFR Part 170, together with such additional Federal Lands Highways funds as the Tribe may receive or otherwise be entitled to through a formula or competitive grant, award, earmark or other appropriation to the Department of Transportation (DOT), as well any other Federal-aid funds under Chapter 1 of Title 23, United States Code,

or funds from other sources that may be made available to the Tribe under an agreement to transfer such funds approved by the Administrator or his designee. The Bureau of Indian Affairs (INSERT REGION NAME) Regional Office shall continue to receive the funds identified in 23 U.S.C. § 202 (a)(6) for certain program management and oversight (PM&O) activities and project-related administrative expenses as further identified in Article II, Section 2 and in approved RFAs.

ARTICLE II – TERMS, PROVISIONS, and CONDITIONS

Section 1. Effective Date and Term. This agreement shall become effective upon the date of its approval and execution by authorized representatives of the Tribe and the Administrator and shall remain in effect and be automatically extended for the maximum period authorized by any statutory extensions to the FAST Act until amended pursuant to Article V, Section 11, or terminated pursuant to Article V, Section 9.

Section 2. Funding.

A. Subject to the availability of funding and in accordance with 23 U.S.C. § 202 (b)(7), the Administrator shall provide to the Tribe or its designee, through an electronic transfer, a single annual lump sum funding amount equal to the amount that the Tribe would otherwise receive for the TTP formula in accordance with 23 U.S.C § 202 (b)(3), and such additional amount, as determined by the Administrator that would have been withheld by the BIA for the administration of the Tribe's TTP or projects.

B. Upon the execution of this Agreement and the RFA by both Parties, and subject to the availability of funds and the determination of the Tribe's annual funding percentage per 23 U.S.C § 202(b)(3), the Administrator shall notify the Tribe or its designee, in accordance with Article IV, section 5, that the funds identified in the RFA are available. The Tribe shall submit electronic banking information under an ACH Vendor/Miscellaneous Payment Enrollment Form to the Administrator and the Administrator shall provide to the Tribe a single advance payment

in the amount identified in the RFA within thirty (30) calendar days of his receipt of the Payment Enrollment Form. The Parties agree that the RFA will be renegotiated annually on a Federal fiscal year basis.

C. Pursuant to 23 U.S.C. § 202(b)(7)(B), all funds shall be paid to the Tribe without regard to the organizational level at which the Department of the Interior or the DOT has previously carried out under the Federal Lands Highways Program, the programs, functions, services, or activities (PFSAs) involved.

D. Pursuant to 25 CFR §§ 170.607 – 170.608, Contract Support Costs are an eligible cost and the Tribe may use their TTP Program allocation to pay such costs. The Tribe shall include a line item for Contract Support Costs in the Tribe's project construction budgets. The Tribe may also include, as eligible Contract Support Costs, one-time start-up costs and preaward costs incurred by the Tribe in the initial year of this Agreement in accordance with 25 USC § 5325 (a)(5) and (6). The parties acknowledge that TTP funds are distributed pursuant to a statutory formula to the federally recognized Tribes in the United States. A Tribe's total share of TTP funds includes all direct and indirect costs associated with the TTP. **The Parties expressly acknowledge there are no additional TTP funds available for any additional indirect or other contract costs which are incurred.**

E. Funds advanced to the Tribe under this Agreement shall be used by the Tribe as permitted under 23 U.S.C. § 202(a)(1) and 25 CFR Part 170, other applicable laws, and as authorized under this Agreement. The Tribe reserves the right to reallocate funds among the eligible projects identified on an FHWA-approved Tribal Transportation Improvement Program (TTIP), so long as such funds are used in accordance with Federal appropriations law. Funds advanced to the Tribe pending disbursement for a purpose authorized under the Agreement may not be reprogrammed for other purposes and therefore shall be placed in a savings, checking or investment account containing only funds transferred under this Agreement, which is separated from, and tracked independently of, all other tribal accounts. For purposes of this Agreement, such funds when invested or deposited by the Tribe shall be subject to the following:

(i) Advanced funds not immediately spent for program activities may be invested only in obligations of the United States, in obligations or securities that are guaranteed or insured by the United States, or mutual (or other) funds registered with the Securities and Exchange Commission and which only invest in obligations of the United States or securities that are guaranteed by the United States;

(ii) If not invested, advanced funds must be deposited into accounts that are insured by an agency or instrumentality of the United States or must be fully collateralized to ensure protection of the funds, even in the event of a bank failure;

(iii) Interest and investment income that accrue on any funds provided for by agreement become the property of the Tribe in accordance with the provisions of 25 U.S.C. § 5325 (m) and may be used on projects and activities identified on an FHWA approved TTIP; and

(iv) Upon the receipt of funds under this Agreement, the Tribe shall expend the funds for the purposes set forth in this Agreement and as authorized by law; provided however that the Tribe may accumulate multiple annual allocations of TTP funds when necessary to fund an eligible project which requires more than one fiscal year of funding and is identified on an FHWA approved TTIP or a tribal priority list.

F. The Tribe may use funds provided under this agreement for flexible financing as provided in 23 U.S.C. § 122; 25 CFR §§ 170..227-230 and other applicable laws, as amended by the FAST Act.

G. 1. The Tribe may issue bonds or enter into other debt financing instruments under 23 U.S.C. § 122, as amended by the FAST Act, with the expectation of payment of TTP funds to satisfy the instruments, including, but not limited to, the repayment of loan principal and interest

on such debt instruments. When the Tribe elects to use flexible financing to advance construct an eligible project or projects under this Agreement, the Administrator agrees (i) to maintain the project(s) on the FHWA-approved TTIP until all debt instruments, including interest thereon, are repaid in full by the Tribe, and (ii) at the option and direction of the Tribe (after receipt of electronic banking information on the Payment Enrollment Form by the Administrator), to provide all or a portion of the funds the Tribe is eligible to receive under this Agreement directly to a trustee or other depository so designated by the Tribe pursuant to the provisions of any RFA received by the Administrator thereunder.

2. The designation of an eligible debt financing instrument for reimbursement with funds awarded under this Agreement shall not –

- a) constitute a commitment, guarantee, or obligation on the part of the United States to provide for payment of principle or interest on the eligible debt financing instrument entered into by the Tribe; or
- b) create any right of a third party against the United States for payment under the eligible debt financing instrument.

H. As authorized by 25 CFR § 170.228, the Tribe may use TTP funds to:

- (i) leverage other funds; and
- (ii) pay back loans or other finance instruments for a project that:
 - (a) the Tribe paid for in advance of the current year using non-TTP funds, including tribal funds;
 - (b) was included in an FHWA-approved TTIP; and
 - (c) was included in the National Tribal Transportation Facility Inventory (NTTFI) before commencement of construction.

I. The Tribe may use TTP funds awarded under this Agreement to meet matching or cost participation requirements for any Federal or non-Federal transit grant or program.

J. The Parties agree that this Agreement is entered into, and that funds are made available to the Tribe, in accordance with the ISDEAA pursuant to 23 U.S.C. § 202 (b)(7). Payments made by the Administrator under this Agreement shall be made in accordance with Article II, Section 2.B. herein. In the event funds due the Tribe under this Agreement are not paid to the Tribe in accordance with the requirements of Article II, Section 2.B., the Parties shall rely upon the dispute resolution provisions set forth in Article II, Section 4 of this Agreement.

Section 3. Powers. The Tribe shall have all powers that the Secretary of the Interior would have exercised in administering the funds provided to the Tribe for such program under 23 U.S.C. § 202 (b)(7)(H), except to the extent that such powers are powers that inherently cannot be legally transferred under the ISDEAA. Such powers shall include, but are not limited to the Secretary of the Interior's powers under 25 CFR Part 170, together with such duties and responsibilities as may be performed by an Indian Tribe under 25 CFR Part 170 or as are otherwise permitted by law.

Section 4. Dispute Resolution. In the event of a dispute arising under this Agreement, the Tribe and the Administrator agree to use mediation, conciliation, arbitration, and other dispute resolution procedures authorized under 25 CFR § 170.934. The goal of these dispute resolution procedures is to provide an inexpensive and expeditious forum to resolve disputes. The Administrator agrees to resolve disputes at the lowest possible staff level and by consent whenever possible.

Section 5. Construction of this Agreement. This Agreement shall be construed in a manner to facilitate and enable the transfer of programs authorized by 23 U.S.C. § 202 and Chapter 1 of Title 23.

Section 6. Activities to be Performed. The activities covered by this Agreement are:

- Transportation Planning;
- Construction Management;
- Program Administration;
- Design;
- Construction;
- Road Maintenance as authorized under 23 U.S.C. § 202 (a)(8)(A);
- Development and negotiation of Tribal-State Road Maintenance agreements authorized under 23 U.S.C. § 202 (a)(8)(C);
- **(INSERT ANY ADDITIONAL ITEMS);**
- Other TTP Program-eligible activities authorized under Chapter 1 or 2 of Title 23, 25 CFR Part 170, or other applicable law; and
- Other activities authorized under Chapter 1 of Title 23, as amended by the FAST Act, or other applicable law including activities funded under agreements developed under 23 U.S.C. § 202 (a)(9).

Section 7. Limitation of Costs. The Tribe shall not be obligated to continue performance under this Agreement that requires an expenditure of funds in excess of the amount of funds awarded under this Agreement or the RFA. If, at any time, the Tribe has reason to believe that the total amount required for performance of this Agreement, or a specific activity conducted under this Agreement or the RFA would be greater than the amount of funds provided under this Agreement or the RFA, the Tribe shall provide reasonable notice to the Administrator. If the Administrator does not increase the amount of funds allocated under this Agreement or the RFA, the Tribe may suspend performance of the Agreement until such time as additional funds are made available.

Section 8. Carryover. Any funds provided to the Tribe under this Agreement or the RFA which have not been expended at the conclusion of the fiscal year in which such funds were allocated shall remain in the custody of the Tribe and be used for the purposes authorized under this Agreement. Determination of the priority and amount of funds to be used for each program,

function, service or activity shall be the responsibility of the Tribe, except as limited by law or otherwise proscribed by this Agreement.

Section 9. Applicable Regulations. 25 CFR Part 170 and any amendments thereto apply to this Agreement. The Tribe may seek a waiver of these regulations to the extent permitted by law and as set out in 25 CFR §§ 170.625 and 170.626.

Section 10. Use of Tribal Facilities and Equipment. (INSERT ANY SPECIAL EQUIPMENT ISSUES) The Parties agree that the Tribe shall be permitted to utilize TTP, other Federal Lands Highway funds, and additional TTP-eligible funds awarded under this Agreement to pay such lease/rental rates as well as to maintain such facilities and equipment when performing PFSA's under this Agreement. For purposes of this Agreement, in those cases where the Tribe reasonably determines, and provides written notice and analysis documentation to the Administrator that the purchase of equipment is more cost effective than the leasing of equipment, the Parties agree that the purchase of construction equipment shall be an allowable cost to the Tribe, as permitted under 25 CFR Part 170, Appendix A to Subpart G, so long as not more than 25% of the Tribe's TTP Program funds or a maximum of \$500,000 are used for this purpose.

ARTICLE III – RESPONSIBILITIES OF THE TRIBE

Section 1. A. Health and Safety. In exercising responsibility for carrying out the eligible programs and projects under this Agreement, the Tribe assures the Administrator that within available funding, they will meet all applicable health, safety, and labor standards related to the administration, planning, engineering and construction activities performed. To this end, and within available funding, the Tribe agrees to obtain or provide qualified personnel, equipment, materials, and services necessary to administer the transportation programs, including opportunities that provide for Indian preference in employment and sub-contracting as mandated by 25 U.S.C. § 5307 (b).

B. Program Standards and Regulations. The Tribe agrees to initiate and perform the contracted programs and projects in accordance with the requirements of 25 CFR Part 170.

Additionally, the Tribe may, at its sole option, adopt applicable FHWA or BIA policies, procedures, program guidelines and memoranda, or develop tribal policies, procedures, program guidelines and memoranda which meet or exceed federal standards to facilitate operation or administration of any aspect of the programs assumed by or delegated to the Tribe under this Agreement.

C. Plans, Specifications and Estimate (PS&E) Approval Authority.

(1) Tribal and BIA-owned facilities. The Tribe is authorized to review and approve plans, specifications and estimates (“PS&E”) project packages in accordance with the requirements of 25 CFR §§ 170.460 through 170.463, and will provide a copy of said PS&E approval to the facility owner and FHWA. The Tribe hereby:

(a) provides assurances under this Agreement that the construction will meet or exceed applicable health and safety standards;

(b) agrees to obtain the advance review of the PS&E from a State-licensed civil engineer who has certified that the PS&E meets or exceeds the applicable health and safety standards; and

(c) agrees to provide a copy of the State-licensed civil engineer’s certification to the Administrator.

(2) Facilities owned or maintained by a public authority other than the Tribe or the BIA. In the interest of building stronger government-to-government relations in transportation planning and coordination, the Tribe voluntarily agrees to perform its PS&E review and approval function as to facilities owned or maintained by a public authority, as that term is defined in 23 U.S.C. § 101 (a)(21), as follows. For a facility owned or maintained by a public authority other than the BIA or the Tribe, in addition to satisfying the requirements of paragraph (C)(1) herein, the Tribe further agrees to:

- (a) provide the public authority an opportunity to review and comment on the Tribe's PS&E package when it is between 75 and 95 percent complete, unless an agreement between the Tribe and the public authority states otherwise;
- (b) allow the public authority at least 30 days for review and comment on the PS&E package, unless the Tribe and the public authority agree upon a longer period of time;
- (c) before soliciting bids for the project(s), certify in writing to the Administrator that it afforded the public authority an opportunity to review and comment on the PS&E package and received no written comments from the public authority that prevent the Tribe from proceeding with the project.

D. Transportation Planning and Inventory. Within available funding, the Tribe further agrees to carry out a transportation planning process and provide this information to the BIA, with courtesy copies to FHWA, as may be reasonably necessary for the BIA to maintain an updated NTTFI of TTP eligible facilities per 23 U.S.C. § 202(b)(1), and to develop the annual national TTP Transportation Improvement Program (TTPTIP).

E. Easements, Maintenance and Utility Agreements, Environmental Assessments. In coordination with local jurisdictions and to the extent required by Federal law and 25 CFR Part 170, and 25 CFR 169 if applicable, the Tribe agrees to develop appropriate construction easements or right-of-ways, maintenance and utility agreements needed for the construction of TTP facilities carried out under this Agreement. The Tribe agrees to perform all environmental and archeological review functions under this Agreement in accordance with 23 U.S.C. § 139, 25 CFR Part 170, and other applicable laws.

F. Construction.

(1) In accordance with the FHWA-approved TTIP, the Tribe agrees to initiate and complete TTP construction projects in accordance with the approved PS&E and any tribally-approved change orders and shall ensure that construction engineering is performed according to applicable FHWA, BIA or tribal standards which meet or exceed federal standards.

(2) The Tribe agrees to expend TTP funds on:

(a) program and administrative expenses authorized under:

- (i) this Agreement;
- (ii) 25 CFR Part 170, as amended by the FAST Act;
- (iii) 2 CFR Part 200; or
- (iv) other applicable laws; and

(b) construction activities on projects that are listed on an FHWA-approved TTIP.

(3) Once a TTP construction project is completed, the Tribe will prepare for the Administrator a final construction report and as-built plans for final inspection in accordance with 25 CFR §§ 170.472 through 170.474.

(4) The Tribe agrees to allow FHWA Officials or by mutual agreement, a delegated representative of FHWA, the opportunity to visit project sites on a monthly basis or at critical project milestones, provided that FHWA gives the Tribe reasonable advance written notice. These visits are intended to allow FHWA to carry out its oversight and stewardship responsibilities for the TTP or project(s) assumed by the Tribe under this Agreement. FHWA will not provide direction or instruction to the Tribe's contractor or any subcontractor at any time.

G. Reporting Requirements. The Tribe shall provide the Administrator with a courtesy copy of its annual single agency audit report within 30 days of its submission to the Federal Audit Clearinghouse. If the Tribe is not required to carry out a single agency audit, then the Tribe shall provide the Administrator with an annual review in accordance with its approved financial management systems or procedures. Additionally, in order to assist the Tribe with fulfilling the requirements of 23 U.S.C. § 201 (c)(6)(C), FHWA will establish an electronic data reporting system and the Tribe shall be responsible for inputting the data into that system no later than June 30 and December 31 of each year. From that data, a report will be generated by FHWA and BIA for the Secretaries. The Tribe acknowledges its understanding that the submittal of its data is mandated by statute, and that non-compliance with this requirement may be a sole basis for termination of this Agreement by the Administrator.

ARTICLE IV – RESPONSIBILITIES OF THE ADMINISTRATOR

Section 1. Provision of Funds. The Administrator shall provide funds pursuant to the RFA to the Tribe to carry out this Agreement in accordance with Article II, Section 2 of this Agreement.

Section 2. Authorize Project Work. The Administrator authorizes the Tribe to carry out preliminary engineering, construction engineering, development of management systems, construction, and maintenance of the programs and projects carried out by the Tribe under this Agreement for PFSA's and projects/facilities included on an FHWA-approved TTIP in accordance with the approved PS&E packages, this Agreement, and applicable laws and regulations.

Section 3. Coordination with BIA.

A. The Administrator shall coordinate with the Bureau of Indian Affairs (BIA) concerning transportation functions and activities delegated by law to that agency to aid the

Tribe in the proper and efficient administration of the PFSAs performed by the Tribe under this Agreement.

B. The Administrator will encourage a representative of the BIA, with knowledge of the TTP Program, to meet at least annually with a designee of the Tribe and the Administrator to review their respective duties and obligations under the FAST Act, the TTP, applicable regulations, and this Agreement with the goal of identifying actions which the Tribe, the Administrator and the BIA can take to ensure the Tribe's successful administration of the transportation PFSAs carried out under this Agreement.

Section 4. Coordination with Public Authorities. The Administrator, or his authorized FHWA representative, upon the Tribe's request, shall coordinate with representatives of a public authority to assist the Tribe during the public authority's review of a PS&E package or final inspection of a completed project to ensure that the public authority's input during the review and comment period, or during the final inspection does not interfere with the Tribe's efficient administration of projects performed under this Agreement.

Section 5. Designated Officials. All notices, proposed amendments, and other written correspondence between the Parties shall be submitted to the following officials:

To the Tribe:

Chairman/President
(INSERT NAME OF TRIBE)
(INSERT ADDRESS)

To the FHWA:

Associate Administrator
Federal Lands Highways (HFL-1)
U.S. Department of Transportation
1200 New Jersey Ave, SE,
Room E61-316
Washington, D.C. 20590

With a copy to:

Tribal Transportation Director
(INSERT NAME OF TRIBE)
(INSERT ADDRESS)

With a copy to:

Director – Office of Tribal Transportation
Program Manager (HFPD-9)
Federal Highway Administration
U.S. Department of Transportation
1200 New Jersey Ave, SE,
Room E61-314
Washington, D.C. 20590

Section 6. Federal Construction Standards. The Administrator may provide information about Federal construction standards as early as possible in the construction process. If tribal construction standards are consistent with or exceed applicable federal standards, the Tribe's proposed standards will be accepted. The Administrator may also accept commonly used industry construction standards, including design and construction standards adopted by the State of (INSERT STATE LOCATION).

Section 7. Joint Inspection. The Administrator shall conduct the final project inspection jointly with the Tribe and facility owner and shall notify the BIA Regional Office that construction has been completed in accordance with the project plans and specifications for the purpose of project acceptance, inclusion, or data update in the BIA's TTP Inventory.

Section 8. Technical Assistance. Upon the request of the Tribe and subject to the availability of funds, the Administrator shall provide or make available technical assistance to the Tribe to aide the Tribe in carrying out its responsibilities under this Agreement.

Section 9. Reporting. The Administrator shall provide the Tribe with semi-annual reports on program matters of common concern to the parties. The times for these reports are identical to those set out in Article III, Section 1(G).

Section 10. Notice of Additional Funds. If the Administrator receives notice of the availability of additional funding for any purpose authorized under this Agreement, including the availability of unspent TTP funds, the Administrator shall promptly notify the Tribe regarding

such funding so that the Tribe may apply for any funds they may be eligible to receive on the same basis as any other Indian Tribe.

ARTICLE V – OTHER PROVISIONS

Section 1. Eligibility for Additional Funding and Services. The Tribe shall be eligible, under this Agreement, to receive additional TTP funds on the same basis as other Indian Tribes according to statutory formula as provided by 23 U.S.C. § 202 (b)(3), as well as other funds which are available to Tribe on a competitive, formula, or other basis, including non-recurring funding such as any federal-aid funds under Chapter 1 of Title 23, United States Code, or funds from other sources that may be credited to the TTP as provided by 23 U.S.C. § 202 (a)(9) and made available to the Tribe, but only under the terms of an agreement to transfer such funds that is acceptable to, and approved by, the Administrator or his designee. Whenever there are errors in calculations or other mistakes regarding estimates of available funding which may need to be renegotiated, both Parties agree to take action as necessary to correct such errors.

Section 2. Access to Data Available to the Administrator to Administer the Program. The Tribe is administering its TTP under the authority of the FAST Act and by resolution of the tribal government. In order for the Tribe to carry out this program effectively and without diminishment of federal services to program beneficiaries, and consistent with this Agreement, the Administrator shall provide the Tribe with all releasable data and information necessary to carry out the PFSAs assumed by the Tribe under this Agreement.

Section 3. Sovereign Immunity. Nothing in this Agreement shall be construed as—

- (1) affecting, modifying, diminishing, or otherwise impairing the sovereign immunity from suit enjoyed by the Tribe; or
- (2) authorizing or requiring the termination of any existing trust responsibility of the United States with respect to the Indian people.

Section 4. Trust Responsibility. Nothing in this Agreement shall absolve the United States from any responsibility to individual Indians and the Tribe, including responsibilities derived from the trust relationship and any treaty, executive order, or agreement between the United States and the Tribe.

Section 5. Federal Tort Claims Act/Insurance. In accordance with the provisions of Pub.L. 101-512, Title III, § 314, 104 Stat. 1959, as amended Pub.L. 103-138, Title III, § 308, 107 Stat. 1416 (25 U.S.C. § 5321, for purposes of Federal Tort Claims Act coverage under this Agreement, the Tribe and its employees are deemed to be employees of the Federal government while performing TTP work under this Agreement. This status is not changed by the source of the funds used by the Tribe to pay the employee's salary and benefits unless the employee receives additional compensation for performing covered services from anyone other than the Tribe. The Tribe is also authorized to use the funds provided under this Agreement to purchase such insurance coverage as may be necessary and prudent, in the determination of the Tribe. In full recognition of and without undermining the federal tort claims protection provided in this section, the Parties understand and agree that prudent project management requires that tribal contractors purchase adequate workers compensation, auto and general liability insurance when completing construction projects funded under this Agreement. Accordingly, the Tribe shall include in any construction contracts entered into with funds provided under this Agreement a requirement that tribal contractors maintain workers compensation, auto and general liability insurance coverage consistent with statutory minimums and local construction industry standards. The Parties understand and agree that this insurance requirement does not apply to the Tribe itself.

Section 6. Indian and Tribal Preference.

A. Federal law gives hiring and training preferences, to the greatest extent feasible, to Indians for all work performed under the TTP. Under 25 U.S.C. § 5307 (b), Indian organizations and Indian-owned economic enterprises are entitled to a preference, to the greatest extent feasible, in the award of contracts, subcontracts, and sub-grants for all work performed under the TTP.

B. The Tribe's employment rights and contracting preference laws, including tribal preference laws, apply to this Agreement.

C. With respect to 23 U.S.C. § 202 (a)(10), the Tribe shall have established procurement management standards which shall provide for full and open competition in accordance with 25 C.F.R. Part 900, Subpart F, as authorized by 23 U.S.C. § 202 (b)(7)(G) and (H). Tribal labor and tribal force account procedures may be employed on any tribal transportation project pursuant to 23 U.S.C. § 202 (a)(3). If the Tribe wishes to use a procurement method that is not provided for in its established procurement management standards or its tribal force account procedures for a particular tribal transportation project, the FHWA shall promptly review and respond to a written request from the Tribe justifying the alternative procurement method. In making its decision, FHWA shall work within the project procurement schedule and comply with the liberal construction requirements of 25 C.F.R. § 170.2(h) and the federal obligations set forth in 25 C.F.R. § 170.103.

Section 7. Program Review. The Tribe agrees to allow FHWA officials or their designees/representatives to perform an on-site review of the Tribe's TTP. The review is intended to allow FHWA to carry out its oversight and stewardship responsibilities for the TTP assumed by the Tribe under this Agreement. FHWA will provide a draft written report to the Tribe within 45 days of the review for comment by the Tribe. After receipt of comments from the Tribe, or after an additional 45 days, the report will be put into final form and distributed accordingly.

Section 8. Severability. Should any portion or provision of this Agreement be held invalid, it is the intent of the Parties that the remaining portions or provisions thereof continue in full force and effect.

Section 9. Termination of the Agreement. In the event the Tribe wishes to terminate this Agreement, the Tribe shall notify the Administrator in writing of its intention to do so, including specifying the effective date of termination. On the date of the termination of the Agreement by the Tribe as authorized under 23 U.S.C. § 202 (b)(7)(J), or if the Administrator makes a specific written finding that the Tribe has failed to comply with the terms of this Agreement and provides

notice to the Tribe that it is no longer eligible to receive funding under this section as authorized under the FAST Act, the Administrator shall allocate the funds that would have been provided to the Tribe under the Agreement to the Secretary of the Interior to provide continued transportation services in accordance with applicable law; provided that if the Tribe disputes the Administrator's eligibility determination, the Parties may utilize the dispute remedies available under Article II, Section 4 herein, and the Administrator shall suspend any decision to transfer funds to the Secretary of the Interior pending the outcome of the dispute. At the Tribe's election, the Tribe may perform such functions, services and activities as it chooses to include in an ISDEAA contract or agreement to be entered into with the Secretary of the Interior upon the termination of this Agreement.

Section 10. N/A (Insert any special conditions, if any, and delete "N/A")

Section 11. Amendments. Any modification of this Agreement shall be in the form of a written amendment and shall require the signed agreement of a duly authorized representative of the Tribe and the Administrator. The Parties agree to work together in good faith, following the implementation of this Agreement, to identify additional issues or matters that should be addressed in this Agreement subject to the Parties' mutual written consent.

Section 12. Good Faith. The Parties agree to exercise the utmost good faith in the implementation and interpretation of this Agreement and agree to consider and negotiate such additional provisions as may be required to improve the delivery and cost-effectiveness of transportation services.

Section 13. Successor Agreements.

A. Tribal Transportation Program Agreement. No later than six months prior to the expiration of this Agreement, the Parties shall commence negotiation of a successor Tribal Transportation Program Agreement. It is the intent of the Parties to have a successor Agreement in place to run concurrent with the highway reauthorization legislation which succeeds the FAST Act.

B. Referenced Funding Agreement. Ninety (90) days before the expiration of each year's RFA, the Parties shall commence negotiation of the subsequent year's RFA.

(INSERT NAME OF TRIBE)

**U.S. Department of Transportation
Federal Highway Administration**

By _____
(INSERT NAME OF SIGNATORY)
(INSERT TITLE)

By _____
Walter C. Waidelich, Jr.
Acting Deputy Administrator

Date

Date

Exhibit 3.2 – Example Tribal Resolution for Intent to Enter into a TTPA with FHWA

[Insert Tribe name]
[Insert address]
[Insert City, State Zip Code]
[Insert Ph: (xxx) xxx-xxxx]
[Insert Email: www.xyz.xxx]
RESOLUTION: [Insert Number]

Approving the [INSERT NAME OF TRIBE]’s Assumption of Transportation Functions under the “Fixing America’s Surface Transportation Act” (the FAST Act), and Approving the Issuance of a Notice of Intent to Federal Highway Administration and Bureau of Indian Affairs.

WHEREAS, [INSERT NAME OF TRIBE] Council is the governing body of the [INSERT NAME OF TRIBE], a federally recognized Indian Tribe; and

WHEREAS, the [INSERT NAME OF TRIBE] Council finds that transportation infrastructure and facilities provide access, services, and improves the safety and security of Tribal members and nonmembers; and

WHEREAS, the United States Congress passed and the President of the United States signed the FAST Act highway reauthorization; and

WHEREAS, the FAST Act authorizes the United States Secretary of Transportation to enter into a funding agreement with a federally recognized Indian tribal government to assume the responsibilities of and the associated funding for the Tribal Transportation Program (TTP) serving a Tribe; and

WHEREAS, the FAST Act provides that an Indian tribal government may carry out any TTP Program or project through a contract or agreement with the United States Secretary of Transportation in accordance with the Indian Self-Determination and Education Assistance Act (25 U.S.C. § 5301 et seq.) and further provides that the Indian tribal government may assume all functions and duties that the United States Secretary of the Interior would have performed other than those functions and duties that inherently cannot be legally transferred under the Indian Self-Determination and Education Assistance Act (25 U.S.C. § 5301 et seq.); and

WHEREAS, the [INSERT NAME OF TRIBE] government believes that establishing a comprehensive transportation program will further the long-term interests of the Tribe, afford greater flexibility and control to prioritize transportation needs, and permit our Government to utilize flexible financing arrangements available by law to speed the development of transportation infrastructure; and

WHEREAS, the [INSERT NAME OF TRIBE] Council desires to assume the United States Secretary of the Interior's duties and functions with respect to the TTP and such other Tribal transportation programs-as may be appropriate under 23 U.S.C, 25 CFR Part 170, and the FAST Act; and

WHEREAS, the [INSERT NAME OF TRIBE] tribal transportation department possesses the financial stability and management capability required by the FAST Act to assume the United States Secretary of the Interior's responsibilities in the area of transportation planning, design, construction and maintenance;

NOW, THEREFORE BE IT RESOLVED, that the [INSERT NAME OF TRIBE] Council does hereby approve the issuing of a Notice of Intent to the United States Department of Interior, Bureau of Indian Affairs and the United States Department of Transportation, Federal Highways Administration to assume the transportation duties of the Secretary of the Interior under the TTP, together with transportation-related activities, and instructs the Tribal President to take all necessary actions to develop with the Federal Highway Administration a mutually acceptable government-to-government agreement to administer the TTP; and

BE IT FURTHER RESOLVED, that the [INSERT TITLE] is hereby authorized and instructed to sign this Resolution and all necessary agreements and contracts for and on behalf of the Tribe in order to establish and assume the transportation duties of the Secretary of the Interior serving the [INSERT NAME OF TRIBE].

CERTIFICATION

This resolution was duly considered and adopted at a meeting of the [INSERT NAME OF TRIBE], on [insert date], 2015, at which a quorum of Council members were in attendance.

For: _____ Against: _____ Abstain: _____

Present: _____ Absent: _____

ATTEST:

First Name Last Name, Title

Date

First Name Last Name, Title

Date

Exhibit 3.3 – FHWA Referenced Funding Agreement (RFA) Template

CFDA 20.205

ID# (insert BIA Tribe code)

DTFH69-(insert FY)-H-000XX

REFERENCED FUNDING AGREEMENT

**Pursuant to (INSERT NAME OF TRIBE)’s
Tribal Transportation Program Agreement
With the Department of Transportation
for Fiscal Year 20XX**

(a) Authority.- This agreement, denoted a Referenced Funding Agreement (hereinafter “RFA”) is entered into by the Administrator, Federal Highway Administration (hereinafter “FHWA”) on behalf of the Secretary of Transportation, and by the (INSERT NAME OF TRIBE) (hereinafter the “Tribe”) (collectively hereinafter the “Parties”), pursuant to the Tribal Transportation Program Agreement (hereinafter “Program Agreement”) between the parties for comprehensive transportation planning, research, design, engineering, construction, and maintenance of highway, road, bridge, parkway, or transit facility programs or projects that are located on or which provide access to (INSERT NAME OF TRIBE/Reservation/Alaska Native Village/Consortium) along with related program administration activities, and associated transportation services authorized by Chapter 2 of title 23, United States Code, as amended by Fixing America's Surface Transportation Act (FAST Act), Pub. L. 114-94 (Dec. 4, 2015) and in accordance with the Indian Self-Determination and Education Assistance Act, Pub. L. 93-638, as amended (25 U.S.C. § 450 et seq.), and the Delegations of Authority set forth in 49 C.F.R. 1.85, and by resolution of the Tribal Council.

(b) Effective Date.- This RFA shall be effective as of October 1, 20XX, following its approval and execution by authorized representatives of the Tribe and FHWA.

(c) Purpose.- The purpose of this RFA is to set forth specific conditions for Fiscal Year 20XX funding under the Program Agreement, including terms that identify the specific programs, functions, services and activities (PFSAs) to be performed, the funds to be provided, the time and method of payment, and such other provisions to which the Parties agree.

(d) Activities to be Performed.- The activities covered by this RFA and as further detailed in the Tribally-approved Transportation Improvement Program (TIP) attached hereto as an Exhibit are:

- Transportation Planning, including updates to the National Tribal Transportation Facility Inventory;
- Construction Management;
- Program Administration;

- Design;
- Construction;
- Road Maintenance as authorized by section 202(a)(8)(A) of title 23;
- Repayment of Financing Instruments and IRR Program eligible costs as defined in the Tribe's Advance Construction Agreement;
- Development and negotiation of Tribal-State Road Maintenance agreements as authorized by section 202(a)(8)(C) of title 23.
- Other TTP-eligible activities authorized under Chapter 2 of Title 23 or 25 CFR. Part 170, as each may be amended by FAST Act, or other applicable law; and
- Funds as identified in Agreements developed under 23 U.S.C. 202(a)(9).

(e) Summary of Funds to be Provided.- The total amount of funding provided under this Funding Agreement is identified below:

FY 20XX Tribal Transportation Program and other Funding:

TTP Funds	\$	0.00
TTP Transportation Planning Funds (2%)	\$	0.00
Tribal Transportation Facility Bridge Funds	\$	0.00
TTP Tribal Safety Funds	\$	0.00
Other Chapter 2 (FLH Program) Funds (as described)	\$	0.00
<hr/>		
Funds as identified in Agreements developed under 23 USC 202(a)(9) (attached)	\$	0.00
Tribes' share of Program/Project-related administrative funds as authorized by section 202(b)(7)(E) of title 23	\$	0.00
Total FY 20XX Funds ¹ :	\$	0.00
<u>Total Amount for this RFA:</u>	\$	<u>0.00</u>

¹ The Parties acknowledge that the TTP funds identified on and made available through this RFA reflect the amount required in order to meet the full year FY 20XX TTP tribal shares made available as a result of the passage of Public Law 114-94.

SUMMARY

Amount of this RFA	\$	0.00
Amount provided through prior FY <u>20XX</u> RFAs	\$	<u>0.00</u>
Total Amount provided to date through FY <u>20XX</u> RFAs	\$	0.00

(f) Eligibility for Additional Funding and Services.- The Tribe shall be eligible for additional TTP funds on the same basis as other Indian Tribes according to the statutory distribution set forth in section 202(b) of title 23, as well as other funds, not included in this RFA, which are made available to Tribes on a competitive, formula, or other basis, including non-recurring funding. Whenever there are errors in calculations or other mistakes regarding estimates of available funding which may need to be renegotiated, both Parties agree to take action as necessary to correct such errors.

(g) Time and Method of Payment.- Subject to the availability of funds, and the execution of this RFA by both Parties, the Administrator shall provide to the Tribe or its designee the funds identified in Section (e) of this RFA in a single advance payment within thirty (30) calendar days. This transfer shall be made electronically. The final amounts available in the fiscal year are subject to the determination of the Tribe's share under Article II, Section 2.B of the TTP Agreement.

(h) Other Provisions.-

(1) Use of Funds Advanced.- Funds advanced to the Tribe shall be used by the Tribe as permitted under 23 U.S.C. § 202(a) and 25 CFR Part 170, both as amended by FAST Act, other applicable laws, and for the purposes authorized under the Program Agreement. With the exception of competitive or discretionary grant awards, the Tribe reserves the right to reallocate funds among the eligible projects identified on its FHWA-approved TIP, so long as such funds are used in accordance with Federal appropriations law. Further, funds advanced to the Tribe pending disbursement for a purpose authorized under the Program Agreement shall be placed in appropriate savings, checking or investment accounts containing only funds transferred under this Agreement, which is separated from, and tracked independently of, all other tribal accounts as further detailed in the Program Agreement. As provided in 25 CFR § 170.607, contract support costs are an eligible item out of the Tribe's Program allocation and will be included in project construction budgets prepared by the Tribe. In order to determine the amount of funding that may be used to pay eligible contract support cost expenses associated with carrying out the TTP Agreement with FHWA, two distinct and separate indirect rates are allowed as follows:

(a) The Tribe may apply its most current negotiated Indirect Cost Rate to the funds

received under this RFA that the Tribe will use for program administration activities (non pass-through).

- (b) The Tribe may apply an ICR of not more than 3% to the funds received under this RFA that the Tribe will use for “pass-through” funds, which are defined as all project related costs including major contracts or subcontracts, payments to participants, subgrants that a Tribe enters into as well as all equipment, and materials costs for projects carried out by the Tribe.as identified above.

(2) **Carryover.**- As provided in Article II, Sec. 8 of the Program Agreement, any funds which are paid to the Tribe under this RFA which have not been expended by the Tribe at the conclusion of the Federal fiscal year shall remain in the custody of the Tribe and be used for the purposes authorized herein and under the Program Agreement.

(i) **Amendments.**- Except as otherwise provided by the Program Agreement, any modification of this RFA shall be in the form of a written amendment and shall require the signed agreement of the Tribe and the Administrator.

(j) **Notice of Additional Funds.**- If the Department of Transportation receives notice of the availability of additional FY 20XX funding for any purpose authorized under the Program Agreement and RFA, including the availability of unspent TTP funds, the Administrator shall promptly notify the Tribe regarding such funding so that the Tribe may access and apply for any funds they may be eligible to receive.

(k) **Fund Availability.** – Unless otherwise noted in this RFA, all funds provided by this RFA do not expire at the end of the fiscal year and are available until expended by the Tribe.

(l) **Reporting.** – In accordance with Section 1.G of Article III of the Program Agreement between the Tribe and FHWA as well as the requirements of 23 U.S.C. § 201 (c)(6)(C), the Tribe shall include the funds identified in this RFA in its semi-annual and annual reports. The Tribe acknowledges its understanding that these reports are mandated by statute and that timely reporting by the Tribe is an essential requirement of the Program Agreement.

Note:

- All references to the ISDEAA and Pub. L 93-638 contained in the Program Agreement formerly at 25 USC § 450 et seq. have been reclassified at 25 USC § 5301 et seq.
- The language contained in footnote 1 on Page 2 of the Program Agreement is removed in its entirety and the footnote is no longer in force and effect.

(INSERT NAME OF TRIBE)

**U.S. Department of Transportation
Federal Highway Administration**

By _____
**(INSERT NAME OF SIGNATORY),
(INSERT TITLE)**

By _____
Timothy Hess, Associate Administrator,
for Office of Federal Lands Highway

Date

Date

LOA: Fund (15X0G60050); Budget Year (0000); BPAC (114G600500); Object Class Code (25304)

Exhibit 3.4 – FHWA Referenced Funding Agreement (RFA) Amendment Template

CFDA 20.205

ID# Agreement Number: (insert BIA Tribe code)

DTFH69-(insert FY)-H-000XX

REFERENCED FUNDING AGREEMENT

**Pursuant to the (enter Tribe name)
Tribal Transportation Program Agreement
With the Department of Transportation
for Fiscal Year XXXX**

Amendment # X

In accordance with **Section (i) Amendments** of the Referenced Funding Agreement, dated **X/XX/20XX**, pursuant to the Tribal Transportation Program Agreement between **(enter Tribe name)** and the United States, **Section (e) Summary of funds** is hereby amended, as follows:

(e) Summary of Funds to be Provided - The total amount of funding provided under this Funding Agreement is identified below:

FY 20XX Tribal Transportation Program Funding and other FLH funds:

TTP Funds		0.00
TTP Transportation Planning Funds (2%)	\$	<u>0.00</u>
Total FY 2013 Funds:	\$	0.00
<u>Total Amount for this RFA:</u>	<u>\$</u>	<u>0.00</u>

SUMMARY

Amount of this RFA	\$	0.00
Amount provided through prior FY 20XX RFAs	\$	<u>0.00</u>
Total Amount provided to date through FY 20XX RFAs	\$	0.00

Note:

- All references to the ISDEAA and Pub. L 93-638 contained in the Program Agreement formerly at 25 USC § 450 et seq. have been reclassified at 25 USC § 5301 et seq.
- The language contained in footnote 1 on Page 2 of the Program Agreement is removed in its entirety and the footnote is no longer in force and effect.

(INSERT NAME OF TRIBE)

U.S. Department of Transportation

Federal Highway Administration

By _____
(INSERT NAME OF SIGNATORY),
(INSERT TITLE)

By _____
Timothy Hess, Associate Administrator,
for Office of Federal Lands Highway

Date

Date

Exhibit 3.5 – ACH Bank Form (SF 3881) and Instructions

OMB No. 1510-0056

**ACH VENDOR/MISCELLANEOUS PAYMENT
ENROLLMENT FORM**

This form is used for Automated Clearing House (ACH) payments with an addendum record that contains payment-related information processed through the Vendor Express Program. Recipients of these payments should bring this information to the attention of their financial institution when presenting this form for completion. See reverse for additional instructions.

PRIVACY ACT STATEMENT

The following information is provided to comply with the Privacy Act of 1974 (P.L. 93-579). All information collected on this form is required under the provisions of 31 U.S.C. 3322 and 31 CFR 210. This information will be used by the Treasury Department to transmit payment data, by electronic means to vendor's financial institution. Failure to provide the requested information may delay or prevent the receipt of payments through the Automated Clearing House Payment System.

AGENCY INFORMATION

FEDERAL PROGRAM AGENCY		
Department of Transportation, Federal Highway Administration, FHWA/HFL		
AGENCY IDENTIFIER:	AGENCY LOCATION CODE (ALC):	ACH FORMAT:
15	69050001	<input checked="" type="checkbox"/> CCD+ <input type="checkbox"/> CTX
ADDRESS:		
Office of Federal Lands Highway, 1200 New Jersey Avenue, SE HFPD-1, Suite 323		
Washington, DC 20590		
CONTACT PERSON NAME:		TELEPHONE NUMBER:
Matthew Bird		(503) 316-2551
ADDITIONAL INFORMATION:		
TTP Finance Manager, matthew.bird@dot.gov		

PAYEE/COMPANY INFORMATION

NAME	SSN NO. OR TAXPAYER ID NO.
ADDRESS	
CONTACT PERSON NAME:	
TELEPHONE NUMBER:	

FINANCIAL INSTITUTION INFORMATION

NAME:	
ADDRESS:	
ACH COORDINATOR NAME:	
TELEPHONE NUMBER:	
NINE-DIGIT ROUTING TRANSIT NUMBER:	
DEPOSITOR ACCOUNT TITLE:	
DEPOSITOR ACCOUNT NUMBER:	LOCKBOX NUMBER:
TYPE OF ACCOUNT:	
<input type="checkbox"/> CHECKING <input type="checkbox"/> SAVINGS <input type="checkbox"/> LOCKBOX	
SIGNATURE AND TITLE OF AUTHORIZED OFFICIAL: (Could be the same as ACH Coordinator)	TELEPHONE NUMBER:

AUTHORIZED FOR LOCAL REPRODUCTION

SF 3881 (Rev. 2/2003)
Prescribed by Department of Treasury
31 U.S.C. 3322; 31 CFR 210

Instructions for Completing ACH Banking Form (SF 3881)

1. Obtain this form at <http://www.gsa.gov/portal/forms/download/116290>
2. Agency Information Section - Federal agency prints or types the name and address of the Federal program agency originating the vendor/miscellaneous payment, agency identifier, agency location code, contact person name and telephone number of the agency. Also, the appropriate box for ACH format is checked.
3. Payee/Company Information Section - Payee prints or types the name of the payee/company and address that will receive ACH vendor/miscellaneous payments, social security or taxpayer ID number, and contact person name and telephone number of the payee/company. Payee also verifies depositor account number, account title, and type of account entered by your financial institution in the Financial Institution Information Section.
4. Financial Institution Information Section - Financial institution prints or types the name and address of the payee/company's financial institution who will receive the ACH payment, ACH coordinator name and telephone number, nine-digit routing transit number, depositor (payee/company) account title and account number. Also, the box for type of account is checked, and the signature, title, and telephone number of the appropriate financial institution official are included.

Exhibit 3.6 – Formal On-Boarding Letter from FHWA to Tribe

DATE

Tribal Chairman

Tribal address

Dear Mr. Chairman/President;

This letter is to inform you that FHWA has received your **(letter/tribal resolution)** indicating **(TRIBAL NAME)'s** request to enter into a Tribal Transportation Program (TTP) Funding Agreement with the Federal Highway Administration (FHWA). For purposes of tribal assessment and satisfying our on-boarding process, please provide copies of the following information to FHWA as soon as possible: **(TC TO MODIFY LIST ACCORDINGLY)**

- Tribal resolution;
- Immediate past 3 years of Annual Single Audits. Although FHWA doesn't necessarily need the full audit report, any findings and discussions related to the Tribe's DOT program, as well as for its other Federal programs should be provided, including;
 - Copies of auditor's letters attesting to any internal controls or compliance findings or lack thereof; and
 - Any corrective action plans/implementation schedules that were developed for any material findings identified in the Audits.
- If the Tribe expended less than \$750,000 of Federal funding during a Tribal fiscal year, the Single Audit requirement identified above does not apply. In these cases, please provide:
 - Copies of any internal or external financial review/audits that may have taken place over the past three fiscal years as well as any corrective action plans and implementation schedules that were developed; or
 - If audits were not carried out, copies of the "Certification of Non-Audit Requirements letter" that was previously provided to BIA for the past three fiscal years.
- The Tribe's organizational chart for the Transportation and Financial Departments; and
- Copies of the Tribe's written Financial, Procurement, and Property Management Procedures, if available.

Enclosed with this letter, please find the following for your reference:

- A sample of the FHWA Program Agreement and Referenced Funding Agreement templates;
- A copy of the FHWA Program Agreement Orientation Presentation; and
- A copy of the FHWA on-boarding orientation checklist.

All of this information and much more can be found in the Tribal Transportation Program Delivery Guide that was developed by FHWA and Tribes for our use in carrying out the program. The link to the Guide is <https://highways.dot.gov/federal-lands/pddm>.

A member of the FHWA Office of Tribal Transportation (OTT) Team will be in contact with you in the very near future to review this material as well as to discuss the on-boarding process.

After review of the documentation and acceptance by FHWA, the primary stewardship and oversight of your Tribe's TTP operations will shift to FHWA, including the providing of TTP funding. In order to make the transition as efficient as possible, we will work with you and the BIA Regional Office to arrange a meeting to discuss the following:

- Prior year and current year TTP funding that (TRIBE NAME) received;
- The status of any outstanding/ongoing projects with regards to Stewardship and Oversight responsibilities;
- Outstanding and future reporting requirements; and
- Transportation Improvement Program (TIP) status.

FHWA appreciates the opportunity to work with you and we look forward to working together to make the (TRIBE'S) Transportation Program a success.

Respectfully,

Erin Kenley,
Director – FHWA Office of Tribal Transportation

CC: BIA Regional Road Engineer
BIADOT

Exhibit 3.7 – Formal Off-boarding Letter from FHWA to Tribe

DATE

Tribal Chairman

Tribal address

Dear Mr. Chairman/President:

This is to inform you that the Federal Highway Administration (FHWA) has received your **(letter/tribal resolution)** indicating **(TRIBAL NAME)'s** request to terminate the Tribal Transportation Program Funding Agreement between yourself and FHWA. This termination will become effective on the date of this letter and will shift the Tribe's Tribal Transportation Program operations to the Bureau of Indian Affairs (BIA). FHWA will provide all funding made available for **(TRIBE)** to the BIA from this point forward. In order to make the transition as efficient as possible, we request that you, with assistance from the BIA Regional Office, arrange a meeting with FHWA to discuss the following:

- Tribal shares that **(TRIBE NAME)** received under your previously signed Program Agreement with FHWA;
- The status of any outstanding/ongoing projects with regards to Stewardship and Oversight responsibilities;
- Outstanding and future reporting requirements; and
- Transportation Improvement Program (TIP) status.

FHWA appreciates the opportunity we had to work together and wish you success in the future.

Respectfully,

Erin Kenley
Director – FHWA Office of Tribal Transportation

CC: BIA Regional Road Engineer
BIADOT

Exhibit 3.8 – FHWA On-Boarding Orientation Checklist

ON-BOARDING ORIENTATION CHECKLIST		
TRIBE:		DATE:
FHWA TTP FUNDING AGREEMENT FOR TTP		
ORIENTATION FORMAT: <input type="checkbox"/> MEETING <input type="checkbox"/> TELECONFERENCE (CHECK ONE)		
PARTICIPANTS: (Names of attendees from Tribe and FHWA)		
PURPOSE: To ensure all parties are acquainted with one another and understand the requirements of the TTP Funding Agreement before on boarding process is completed.		
AGREEMENT REVIEW	DISCUSSED (X)	NOT APPLICABLE or DISCUSSED (X)
ARTICLE I - AUTHORITY AND PURPOSE		
Brief Overview of Authority	<input type="checkbox"/>	<input type="checkbox"/>
Review Purpose	<input type="checkbox"/>	<input type="checkbox"/>
Review differences in ISDEAA and FHWA Agreement	<input type="checkbox"/>	<input type="checkbox"/>
ARTICLE II - Terms, Provisions, and Conditions		
Effective Date and Terms	<input type="checkbox"/>	<input type="checkbox"/>
Funding	<input type="checkbox"/>	<input type="checkbox"/>
Powers	<input type="checkbox"/>	<input type="checkbox"/>
Dispute Resolution	<input type="checkbox"/>	<input type="checkbox"/>
Construction of the Agreement	<input type="checkbox"/>	<input type="checkbox"/>
Activities to be Performed	<input type="checkbox"/>	<input type="checkbox"/>
Limitation of Costs	<input type="checkbox"/>	<input type="checkbox"/>
Carryover	<input type="checkbox"/>	<input type="checkbox"/>
Applicable regulations	<input type="checkbox"/>	<input type="checkbox"/>
Tribal Facilities and Equipment	<input type="checkbox"/>	<input type="checkbox"/>
ARTICLE III - RESPONSIBILITIES OF THE TRIBE		
A. Health and Safety	<input type="checkbox"/>	<input type="checkbox"/>
B. Program Standards and Regulations	<input type="checkbox"/>	<input type="checkbox"/>
C. PS&E Approval	<input type="checkbox"/>	<input type="checkbox"/>
D. Planning and Inventory	<input type="checkbox"/>	<input type="checkbox"/>
E. Easements, Maintenance, and Utility Agreements, & Environmental Assessments	<input type="checkbox"/>	<input type="checkbox"/>
F. Construction	<input type="checkbox"/>	<input type="checkbox"/>
G. Reporting Requirements	<input type="checkbox"/>	<input type="checkbox"/>

ARTICLE IV - RESPONSIBILITIES OF THE ADMINISTRATOR		
Providing funds	<input type="checkbox"/>	<input type="checkbox"/>
Authorizing work	<input type="checkbox"/>	<input type="checkbox"/>
Coordination with BIA	<input type="checkbox"/>	<input type="checkbox"/>
Coordination with Public Authorities	<input type="checkbox"/>	<input type="checkbox"/>
Designated Officials	<input type="checkbox"/>	<input type="checkbox"/>
Federal Construction Standards	<input type="checkbox"/>	<input type="checkbox"/>
Joint Inspection	<input type="checkbox"/>	<input type="checkbox"/>
Technical Assistance	<input type="checkbox"/>	<input type="checkbox"/>
Reporting	<input type="checkbox"/>	<input type="checkbox"/>
Additional Fund Notification	<input type="checkbox"/>	<input type="checkbox"/>
OTHER PROVISIONS		
Eligibility for Additional Funding and Services	<input type="checkbox"/>	<input type="checkbox"/>
Access to Data	<input type="checkbox"/>	<input type="checkbox"/>
Sovereign Immunity	<input type="checkbox"/>	<input type="checkbox"/>
Trust Responsibility	<input type="checkbox"/>	<input type="checkbox"/>
Federal Tort Claims Act/Insurance	<input type="checkbox"/>	<input type="checkbox"/>
Indian and Tribal Preference	<input type="checkbox"/>	<input type="checkbox"/>
Severability	<input type="checkbox"/>	<input type="checkbox"/>
Termination of the Agreement	<input type="checkbox"/>	<input type="checkbox"/>
Special Conditions	<input type="checkbox"/>	<input type="checkbox"/>
Amendments	<input type="checkbox"/>	<input type="checkbox"/>
Good Faith	<input type="checkbox"/>	<input type="checkbox"/>
Successor Agreements	<input type="checkbox"/>	<input type="checkbox"/>

OTHER ISSUES OR DISCUSSIONS:		
SIGNATURES		
We, the undersigned, do hereby agree that the items checked above were discussed.		
FHWA TTP Team Member: _____		Date: _____
Tribe: _____		Date: _____
Name/Position: _____		
Signature: _____		

Exhibit 3.9 – 202(a)(9) Intergovernmental Fund Transfer Agreement Template

**INTERGOVERNMENTAL FUND
TRANSFER AGREEMENT
AMONG THE
[INSERT NAME OF STATE] STATE DEPARTMENT OF TRANSPORTATION
AND THE
UNITED STATES DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
AND THE
[INSERT NAME OF TRIBE]**

This Intergovernmental Fund Transfer Agreement (“Agreement”) is entered into by and among the [INSERT NAME OF STATE] State Department of Transportation (“State”), the United States of America, Department of Transportation, Federal Highway Administration – Office of Federal Lands Highway (“FHWA”), and the [INSERT NAME OF TRIBE] (“Tribe”), a federally recognized Indian Tribe.

WHEREAS, the Tribe, in cooperation with the State, are proposing improvements to INSERT NAME OF TRANSPORTATION FACILITY – HERE’S AN EXAMPLE: Marine Drive, a major arterial within the boundaries of the Tulalip Reservation; and

WHEREAS, INSERT OVERVIEW OF THE PROJECT, INCLUDING SOME DETAILS – HERE’S AN EXAMPLE: the Marine Drive Pedestrian Pathway (“Project”) provides for a pedestrian and bicycle facilities along the Marine Drive corridor. Currently, Marine Drive has sidewalks and bicycle lanes from I-5 to 7th Drive NW, providing approximately 3.1 miles of pedestrian facilities. The Project will add a multi-use trail, connecting 7th Drive NW to 36th Avenue NW. Once constructed, the Project will provide approximately 2.4 miles of illuminated, multi-use trail for users and enhanced storm water management facilities. This Project includes design elements that provide pedestrian facilities that meet federal accessibility guidelines, establish new storm water management facilities, and adds new pedestrian illumination. These improvements are integrated with and are empowered by the Tribe’s Long Range Transportation Plan. The Project will be constructed in accordance with the approved plans and specifications; and

WHEREAS, the Project will be carried out on a transportation facility that is listed on the National Tribal Transportation Facility Inventory (“NTTFI”); and

WHEREAS, in accordance with 23 U.S.C. §§ 104 (f)(3)(A) and 202 (a)(9), the State desires to transfer to the Tribe, via FHWA, contract and obligation authority in the sum of \$INSERT (“Funds”) so the Tribe may carry out the Project in accordance with Addendum A; and

WHEREAS, details of the Project are fully described in Addendum A to this Agreement; and

WHEREAS, under the Fixing America’s Surface Transportation Act (“FAST Act”), P.L. 114-94 (December 4, 2015), the Congress of the United States appropriated Federal-aid funds to be apportioned or allocated to the State for use on State and local agency priorities throughout the State; and

WHEREAS, Section 1118 of the FAST Act, reauthorized the Tribal Transportation Program (TTP) under 23 U.S.C. § 202, which distributes on a tribal shares basis funds for eligible planning and construction activities on transportation facilities that are located within, or provide access to, tribal lands; and

WHEREAS, FHWA and the United States Department of the Interior, Bureau of Indian Affairs (“BIA”) jointly administer the TTP pursuant to a Memorandum of Agreement between the BIA and FHWA; and

WHEREAS, the State and FHWA wish to support the Tribe’s involvement in the improvement of road safety, planning and construction of infrastructure to facilitate and support economic development and other activities that are within, or provide access to, the Tribe’s lands consistent with the purposes of the TTP; and

WHEREAS, the Project will be administered in accordance with all applicable Federal requirements including, but not limited to, the National Environmental Policy Act (NEPA) and the regulations governing the TTP at 25 C.F.R. Part 170; and

WHEREAS, 23 U.S.C. § 202 (a)(9) – Cooperation, provides that the cooperation of States, counties, or other local subdivisions may be accepted in construction and improvement, and that any funds received from a State, county, or local subdivision shall be credited to appropriations available for the TTP; and

WHEREAS, the State and the Tribe have requested that FHWA accept the Funds from the State and transfer the Funds to the Tribe, that FHWA accept all stewardship and oversight responsibility involving the use of the Funds by the Tribe, and the Parties agree that any Federal-aid match requirements have been met.

NOW THEREFORE, the Parties agree as follows –

A. Project Identification and Source of Funding

1. As described in Addendum A, the Tribe and State have identified the need and agreed upon a plan to carry out the Project.
2. The State has agreed that the Project will be carried out by the Tribe under the terms of Addendum A.
3. As described above, Congress has appropriated the Funds to carry out the Project and the Funds were made available to the State.
4. The Funds are not part of any appropriations made available by the Congress for obligation by FHWA or the BIA for the TTP.

B. Authority for this Agreement

1. The authority for this Agreement is 23 U.S.C. §§ 104 (f)(3)(A) and 202 (a)(9).
2. This Agreement shall not constitute a contract, compact, annual funding agreement, or other agreement under the Indian Self Determination and Education Assistance Act (ISDEAA), P.L. 93-638, as amended, and no provisions of the ISDEAA are specifically adopted, incorporated by reference, or otherwise included in this Agreement.

C. State Responsibility

1. Pursuant to 23 U.S.C. § 104 (f)(3)(A), the State shall request that the FHWA Division Office transfer the Funds to the FHWA – Federal Lands Highway Headquarters in furtherance of implementation of 23 U.S.C. § 202 (a)(9)(B).
2. The State shall provide certain services or activities for the Project, if any, as described in Addendum A.
3. The State shall be relieved of all stewardship and oversight obligations involving the Funds upon transfer of the Funds to FHWA.

D. FHWA Responsibilities

1. FHWA shall accept the Funds from the State and upon receipt of the Funds FHWA shall become responsible for all stewardship and oversight obligations involving use of the Funds by the Tribe in accordance with Addendum A, the terms of which are incorporated by reference and fully made part of this Agreement.
2. Subject to the requirements described in Paragraph E.1, below, FHWA shall transfer the Funds to the Tribe.
3. FHWA shall continue carrying out program management and oversight of the Project in accordance with the TTP, its regulations at 25 C.F.R. Part 170 and any applicable Federal law, but this Agreement shall not bind FHWA or BIA to providing funds from other sources for designing, constructing, managing or supervising the Project.

E. INSERT NAME OF TRIBE's Responsibilities

1. The Tribe shall establish a separate bank account to receive the Funds from FHWA and transmit the bank, name, address, routing, and account numbers to FHWA within ten business days of full execution of this Agreement.
2. In accordance with Addendum A, the Tribe will undertake and perform only those eligible activities associated with the Project that are allowed under Title 23 of the United States Code and any applicable regulations at Parts 23 or 25 of the Code of Federal Regulations.
3. In the event that the Tribe does not carry out the Project or the total amount of Funds transferred pursuant to this Agreement are not expended, the Tribe agrees to return the remaining Funds to the State upon written demand of the State and agreement by the Tribe, whose agreement shall not be unreasonably withheld.
4. The Tribe shall invite State representatives to participate in the final inspection of the Project, as well as any other activities as provided under Addendum A.

F. Transfer of Funds from FHWA to the INSERT NAME OF TRIBE

FHWA shall notify the Tribe when the Funds are received from the State. If the Tribe has not already done so, the Tribe shall provide FHWA with its bank information described in Paragraph E.1, above. FHWA shall then transfer the Funds to the Tribe within ten business days of receipt of the Funds from the State or the Tribe's banking information, whichever FHWA receives last.

G. General Provisions

1. FHWA shall not act as a surety or guarantor of any Tribal or State private, commercial, or governmental financing instrument obtained for the planning, design or construction of the Project.
2. FHWA shall not be liable under any theory of law or equity to transfer to the Tribe under this Agreement any funds other than the Funds that are the subject of this Agreement.
3. Should any portion or provision of this Agreement be held invalid, the remaining portions or provisions shall continue in full force and effect.
4. This Agreement is binding upon the signatories hereto not as individuals but solely in their capacities as officials of their respective governments and each acknowledges that he or she is authorized to execute this Agreement on behalf of their respective government.
5. This Agreement contains all of the terms and conditions governing the transfer of Funds from the State to FHWA and on to the Tribe. No other terms or conditions apply. Any amendment or modification of the Agreement must be made in writing and signed by the authorized representative of the Tribe, the State, and FHWA.
6. Nothing in this Agreement shall be construed as a waiver of the Tribe's sovereign immunity regarding the activities undertaken by the Tribe as described generally herein or in Addendum A, including any contracts, grants or subcontracts entered into between the Tribe and third parties necessary for the Project. The Tribe does not, by entering into this Agreement, consent to the jurisdiction of a State court to hear any claims or disputes arising under this Agreement, whether arising as claims against the Tribe itself, its wholly owned entities, or any employee of the Tribe performing work hereunder. No Tribe employee shall be subject to the jurisdiction of the State's courts as a result of having performed work associated with the Project.
7. Nothing in this Agreement shall be construed as a waiver of the State's sovereign immunity or of any limitation of liability afforded to the State by its laws. The State does not, by entering into this Agreement, consent to the jurisdiction of a tribal court to hear any claims or disputes arising under this Agreement, whether arising as claims against the State itself or against any employee of the State performing work hereunder. No State employee shall be subject to the jurisdiction of the Tribe's court as a result of having performed design, inspection, or other work associated with the Project.

H. Authorized Representatives. Each authorized representative below will have the responsibility to administer and, unless otherwise noted, serve as the main point of contact for the Project described in this Agreement and Addendum A.

For FHWA:

NAME

TITLE
STREET ADDRESS
CITY, STATE ZIP
Work Phone
Mobile Phone (OPTIONAL)
Email

For the Tribe:

NAME
TITLE
STREET ADDRESS
CITY, STATE ZIP
Work Phone
Mobile Phone (OPTIONAL)
Email

For the State:

NAME
TITLE
STREET ADDRESS
CITY, STATE ZIP
Work Phone
Mobile Phone (OPTIONAL)
Email

IN WITNESS WHEREOF, the Parties hereto have executed this Agreement as of the Party's date last signed below.

**STATE OF [INSERT NAME OF STATE]
DEPARTMENT OF TRANSPORTATION**

NAME
TITLE

Date _____

APPROVED AS TO FORM:

NAME
TITLE

Date _____

**UNITED STATES DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION**

Timothy Hess
Associate Administrator

Date _____

APPROVED AS TO FORM:

Vivian Philbin
Assistant Chief Counsel – Federal Lands

Date _____

INSERT NAME OF TRIBE

NAME
TITLE

APPROVED AS TO FORM:

NAME OF TRIBAL LEGAL OFFICE

NAME
TITLE

Date _____

Exhibit 3.10 – 202(a)(9) Addendum to the Intergovernmental Fund Transfer Agreement

ADDENDUM A to the INTERGOVERNMENTAL FUND TRANSFER AGREEMENT among the [INSERT NAME OF STATE] STATE DEPARTMENT OF TRANSPORTATION and the UNITED STATES DEPARTMENT OF TRANSPORTATION FEDERAL HIGHWAY ADMINISTRATION and the [INSERT NAME OF TRIBE]

PROJECT: [INSERT SHORT TITLE]

FUND AMOUNT: \$
TRIBAL MATCHING FUNDS: \$
TOTAL: \$

SOURCE OF FUNDING: [INSERT NAME OF FUNDING SOURCE]

INTRODUCTION

The [INSERT NAME OF TRIBE] (“Tribe”) has elected to enter into an Intergovernmental Fund Transfer Agreement (“Agreement”) with the [INSERT NAME OF STATE] State Department of Transportation (“State”) and the United States Department of Transportation, Federal Highway Administration, Office of Federal Lands Highway (“FHWA”) in order to transfer funding through the Agreement pursuant to 23 U.S.C. § 202 (a)(9) for a [INSERT SHORT TITLE OF PROJECT] project. This statute permits the transfer of the State’s contract and obligation authority (“Funds”) for the project to the Tribe through FHWA. Upon receipt of the Funds from the State, FHWA shall be responsible for all stewardship and oversight responsibility associated with the Funds.

PROJECT

[INSERT OVERVIEW OF PROJECT INCLUDING SOME DETAILS – COPYING AND PASTING FROM THE SECOND “WHEREAS” CLAUSE IN THE IGFTA SHOULD BE ACCEPTABLE – HERE’S AN EXAMPLE FROM TULALIP’S 202 (a)(9)] he Marine Drive Pedestrian Pathway (“Project”) provides for a pedestrian and bicycle facilities along the Marine Drive corridor. Currently, Marine Drive has sidewalks and bicycle lanes from I-5 to 7th Drive NW, providing approximately 3.1 miles of pedestrian facilities. The Project will add a multi-use trail, connecting 7th Drive NW to 36th Avenue NW. Once constructed, the Project will provide approximately 2.4 miles of illuminated, multi-use trail for users and enhanced storm water management facilities. This Project includes design elements that provide pedestrian facilities that meet federal accessibility guidelines, establish new storm water management facilities, and adds new pedestrian illumination. These improvements are integrated with and are empowered by the Tribe’s Long Range Transportation Plan.

SCOPE OF AGREEMENT

The parties agree to cooperate to ensure the implementation of the Project as follows

1. The State agrees to:
 - a. Transfer the Funds to FHWA's Washington Division Office for transfer to Federal Lands Highway – Headquarters and final transfer to the Tribe through its FHWA Tribal Transportation Program Agreement ("FHWA TTP Agreement");
 - b. Rely on FHWA for stewardship and oversight responsibility for the Funds and the Project; and
 - c. Upon request, cooperate with the Tribe and FHWA in the implementation of the Project and cooperate in Project reviews deemed necessary by FHWA.
2. FHWA agrees to:
 - a. Accept the transfer of the Funds from the State and credit the Funds to the TTP for use by the Tribe under the authority cited in the current TTP Agreement between the Tribe and FWHA;
 - b. Provide oversight and ensure that the Funds are utilized in accordance with all applicable laws and regulations.
 - c. Administer the funds and provide them to the Tribe, subject to normal procedures under the Tribe's FHWA TTP Agreement;
 - d. Provide the State with copies of the Tribe's semi-annual Project reports required under the Tribe's FHWA TTP Agreement;
 - e. Upon request provide records to [INSERT NAME OF STATE] DOT and cooperate in any type of Project reviews; and
 - f. Provide final Project closeout report to the State for review and acceptance, as required under the Tribe's FHWA TTP Agreement.
3. Tribe agrees to:
 - a. Receive the Funds in accordance with its current FHWA TTP Agreement, which authorizes the Tribe, as public authority under 23 U.S.C. § 101 (a)(20), to carry out all but the inherently Federal functions of the Tribal Transportation Program;
 - b. Carry out the Project in accordance with all applicable Federal laws and regulations;
 - c. Comply with all aspects of the Tribe's FHWA TTP Agreement including project reporting, oversight, and closeout requirements; and
 - d. Notify FHWA and the State of Project completion and timely respond to inquiries regarding the Project prior to completion.

AUTHORIZED REPRESENTATIVES

Each authorized representative below will have the responsibility to administer and, unless otherwise noted, serve as the main point of contact for the Project described in this Addendum A and the Agreement:

For FHWA:

NAME
TITLE
STREET ADDRESS
CITY, STATE ZIP
Work Phone
Mobile Phone (OPTIONAL)
Email

For the Tribe:

NAME
TITLE
STREET ADDRESS
CITY, STATE ZIP
Work Phone
Mobile Phone (OPTIONAL)
Email

For the State:

NAME
TITLE
STREET ADDRESS
CITY, STATE ZIP
Work Phone
Mobile Phone (OPTIONAL)
Email

Exhibit 4.1 – TTP Online Reporting Tool - Financial Report

FINANCIAL REPORT PAGE 1



Tribal Transportation Program

Attributed Survey : TTP Online Reporting Tool

Basic Info

*Federal Fiscal Year for report

Note: The Federal Fiscal Year starts October 1.

Format: YYYY (Example: 2015 not 15)

Each answer must be between 2014 and 2099

Only integer value may be entered in this field.

*Reporting Period

Choose one of the following answers

Mid-Year (October - March) FHWA Only



Mid-Year (October - March) FHWA Only

Fiscal Year (October - September) BIA & FHWA

Only Tribes with FHWA Program Agreements (PA) would report under the Mid-Year Reporting Period. FY report covers the full Oct-Sep period for both FHWA and BIA Agreement Tribes.

A confirmation email will be sent to these addresses:

transportationdirector@tribe.org; PointofContact@agency.gov

If an additional email address should receive a copy, please enter it here:

Emails should automatically be distributed to the agency's TTP contact list for the Tribe, as well as a copy to the Agency point of contact for the Tribe. If for some reason a confirmation email wasn't sent to one of the Tribal addresses listed, the link could be accessed, an email entered and the report resubmitted (all listed emails would receive a confirmation email again).

FINANCIAL REPORT PAGE 2



Tribal Transportation Program

Attributed Survey : TTP Online Reporting Tool

Financial Report

NOTE: ONLY TRIBES WITH FHWA PROGRAM AGREEMENTS WILL SEE ALL QUESTIONS SHOWN BELOW. TRIBES WORKING WITH BIA OR OSG WILL SEE ONLY QUESTION 2.b WHEN COMPLETING A FINANCIAL REPORT.

***1. Amount of Federal Transportation Funds RECEIVED during reporting period**

Enter the total amount of Federal transportation funds (TTP, ERFO, & other Highway Funds) routed to the Tribe during the reporting period through a Tribal Transportation funding mechanism. (Do not include FTA Transit funds.)

This includes all funds transmitted from FHWA through RFAs completed during the reporting period.

☒ 0

***2.a. Amount of Federal transportation funds EXPENDED during reporting period**

Enter the total amount of Federal transportation funds (TTP, ERFO, & other Highway Funds) expended during this reporting period, regardless of the year the funds were received through a Tribal Transportation funding mechanism. (Do not include FTA Transit funds.)

This includes all funds spent during the fiscal year of reporting out of all those transmitted from FHWA.

\$ 0

***2.b. Amount of TTP Funds EXPENDED during reporting period**

Enter the total amount of only TTP Funds (TTP includes TTP tribal shares, TTP 2% Planning, TTP Safety Fund, and TTP Bridge Program) expended during this reporting period, regardless of the year TTP funds were received through a Tribal Transportation funding mechanism. (Do not include FTA Transit funds.)

This amount will equal the amount in 2a if the Tribe only expended TTP funds.

This includes only the TTP funds spent during the fiscal year of reporting out of all TTP funds transmitted from FHWA/BIA/OSG.

\$ 0

***3. Amount of Federal Transportation Funds expended on INDIRECT COSTS during this reporting period (if any)**

Enter the amount of indirect costs collected from Federal transportation funds (TTP, ERFO, & other Highway Funds) expended this reporting period. This includes all indirect costs collected from expended funds transmitted from FHWA during the reporting period.

FINANCIAL REPORT PAGE 3

\$ 0

***4. All Federal Transportation Funds received**

Enter the total amount of Federal transportation funds (TTP, ERFO, & other Highway Funds) routed to the Tribe since signing your first FHWA Program Agreement or BIA Government-to-Government Agreement.

This includes all funds the Tribe received from FHWA since signing their initial Agreement.

0

***5. All Federal Transportation Funds spent**

Enter the total amount of Federal transportation funds (TTP, ERFO, & other Highway Funds) spent by the Tribe since signing your first FHWA Program Agreement or BIA Government-to-Government Agreement. Include all transportation funds that were originally shown on a Federal funding agreement with FHWA or BIA.

This includes all funds the Tribe spent from those received from FHWA since signing their initial Program Agreement.

0

6. All Federal Transportation Funds Available

Enter the total unexpended amount of Federal transportation funds (TTP, ERFO, & other Highway Funds) routed to the Tribe by all Federal funding agreements since signing your first FHWA Program Agreement or BIA Government-to-Government Agreement.

This includes all remaining funds held by the Tribe of those received from FHWA since signing their initial Program Agreement. The amount should be the result of the above question 4 minus question 5.

\$ 0

***7. Single Audit Qualification**

During the 2015 Federal Fiscal Year did the Tribe meet the minimum requirements for a Single Audit to be performed?

Note: A non-Federal entity that expends \$750,000 or more from all Federal programs during the non-Federal entity's fiscal year must have a single or program-specific audit conducted for that year. (2 CFR 200.501 (a))

☒ Yes☐ No**8. Single Audit Occurrence**

List the last year that a single audit was completed.

If no single audit has ever been completed, please skip this question.

Each answer must be between 2000 and 2099

FINANCIAL REPORT PAGE 4

Only integer value may be entered in this field.

9. Single Audit Attachment

Please submit the most recently conducted Audit.

Please upload at most one file

Upload files

10. Single Audit Findings** Enter any outstanding Single Audit Findings the Tribe has yet to address.11. Single Audit Finding Categories**

Select the category or categories that best describe any outstanding findings.

Check any that apply

☐ Allowable Costs

☐ Internal Control Deficiencies

☐ Reporting

☐ No Single Audit Findings

Other:

Exhibit 4.2 – TTP Online Reporting Tool - Report on Non-Construction Activities

NON-CONSTRUCTION ACTIVITY REPORT PAGE 1

**Tribal Transportation Program****Attributed Survey : TTP Online Reporting Tool**

This form serves as the financial status report and project/activity progress report for the Tribal Transportation Program.

Basic Info***Federal Fiscal Year for report**

Note: The Federal Fiscal Year starts October 1.

Format: YYYY (Example: 2015 not 15)

Each answer must be between 2014 and 2099

Only integer value may be entered in this field.

***Reporting Period**

Choose one of the following answers

Only Tribes with FHWA Program Agreements would report under the Mid-Year Reporting Period. FY report covers the full Oct-Sep period for both FHWA and BIA Agreement Tribes.

Please check this information:

Tribal Name	Tribal Name
Tribal ID Code	BIA Six-Code
TTP Contracting Method	FHWA
Transportation Program Contact(s) Name(s)	
TTP Contact Email	Email addresses
TTP Contact Phone	Phone Numbers
Authorized Signatory	Name
Authorized Signatory Title	Title

Within non-construction activities report only, Tribe verifies existing Tribal data BIA/FHWA has on record. Changes can be made by checking this box. Note that changes will not be reflected in the reporting system until the next reporting period.

☒ Check Here if Changes are needed

NON-CONSTRUCTION ACTIVITY REPORT PAGE 2

Make the needed changes here:

Tribe Name: Tribe
Tribe ID Code: BIA Six-Code
Transportation Program Contact: Name
TTP Contact Email: transportationdirector@tribe.org
TTP Contact Phone: phone number

A confirmation email will be sent to these addresses:

transportationdirector@tribe.org;PointofContact@agency.gov

If an additional email address should receive a copy, please enter it here:

Emails should automatically be distributed to the agency's TTP contact list for the Tribe, as well as a copy to the Agency point of contact for the Tribe. If for some reason a confirmation email wasn't sent to one of the Tribal addresses listed, the link could be accessed, an email entered and the report resubmitted (all listed emails would receive a confirmation email again).

NON-CONSTRUCTION ACTIVITY REPORT PAGE 3



Tribal Transportation Program

Attributed Survey : TTP Online Reporting Tool

Non-Construction Activities Report

*

1. Jobs

Tribes with FHWA Program Agreements reporting at Mid-Year will notice that this Jobs section does not appear. 1.Jobs will only be presented during the Annual Reporting Period.

1.1 Jobs retained

Enter the estimated number of permanent positions funded by TTP during this Fiscal Year.

A permanent position may be full-time or part-time.

Only integer value may be entered in this field.

***1.2. Jobs Created**

Enter the estimated number of short-term positions used to carry out the listed projects and activities identified on both this report and the design-construction projects report.

Short-term positions have a limited duration, such as seasonal or tied to a construction project.

Only integer value may be entered in this field.



A job retained cannot also be counted as a job created.

- Count jobs created by each project or activity even if the same contractor or force account crew works on multiple projects.

*

2. Administrative Expenses

Administrative expenses may include: Rent, Utilities, Salaries, Computer Equipment, etc.

Do not include administrative expenses paid for through indirect cost accounting (if applicable).

2.1 Funds Programmed for Administrative Activities

NON-CONSTRUCTION ACTIVITY REPORT PAGE 4

Enter amount shown on TIP

\$ 0.00

A Tribe's indirect cost pool may include items like rent and utilities. If so, these items are covered under the indirect rate and not included here unless a Tribe chose to include payment of the indirect rate on expenditures as an administrative cost on their TTIP.

***2.2 Funds Expended for Administrative Activities**

\$ 0.00

***2.3 Describe Progress of Administrative Activities**

N/A

*

3. Planning Activities

Planning activities may include: TTP Inventory, LRTP, TIP, Studies, etc.

3.1 Funds Programmed for Planning Activities

Enter amount shown on TIP

\$ 0.00

***3.2 Funds Expended for Planning Activities**

\$ 0.00

***3.3 Describe Progress of Planning Activities**

Planning activities may include: TTP Inventory, LRTP, TIP, Studies, etc.

N/A

NON-CONSTRUCTION ACTIVITY REPORT PAGE 5

*

4. Safety Activities

Non-construction Safety Activities may include: Coordinate with Transportation Safety Partners, Developing Transportation Safety Plans, Conducting Road Safety Assessments, or Transportation Safety Related Enforcement/EMS/Education activities.

Note: Safety construction projects are to be reported separately using the unique link for that project.

4.1 Funds Programmed for Safety Activities

Enter amount shown on TIP

Safety related construction projects should be included as a separate project on a TTIP and wouldn't fall within the non-construction activities report.

\$ 0.00

*4.2 Funds Expended for Safety Activities

\$ 0.00

*4.3 Describe Progress of Safety Activities

N/A

*

5. Maintenance Activities

5.1 Funds Programmed for Maintenance Activities

Enter Amount shown on TIP

\$ 0.00

* 5.2 Funds Expended for Maintenance Activities

\$ 0.00

*5.3 Describe Progress of Maintenance Activities

NON-CONSTRUCTION ACTIVITY REPORT PAGE 6

Please list the Maintenance Activities (Mowing, Patching, Snow Removal, New Equipment, Employees, etc.) and give a brief status of each activity.

N/A

6. Transit Activities

Transit activities may include: Rent, equipment, employees, fuel, transit planning, etc.

6.1 Funds Programmed for Transit Activities

Enter amount shown on TIP

Transit construction projects should be included as a separate project on a TTIP and wouldn't fall within the non-construction activities report.

\$ 0.00

*6.2 Funds Expended for Transit Activities

\$ 0.00

*6.3 Describe Progress of Transit Activities

N/A

7. Other Non-construction Activities

Use this section to report any non-construction activities not described above.

7.1 Funds Programmed for Other Non-construction Activities

Enter amount shown on TIP

Included to cover any non-construction activities that wouldn't be included under the Safety, Transit, Administrative, Maintenance or Planning categories.

\$ 0.00

NON-CONSTRUCTION ACTIVITY REPORT PAGE 7

***7.2 Funds Expended for Other Non-Construction Activities**

\$ 0.00

***7.3 Describe Progress of Other Non-Construction Activities**

N/A

8. Please provide any attachments related to any of the activities reported on above. (optional)

For example: safety plan, photos of special events, etc.

*Please upload at most 10 files***Upload files**

Up to 10 attachments limited at up to 10MB each.

Exhibit 4.3 – TTP Online Reporting Tool - Report on Each Project

PROJECT REPORT PAGE 1

**Tribal Transportation Program****Attributed Survey : TTP Online Reporting Tool**

Basic Info

***Federal Fiscal Year for report**

Note: The Federal Fiscal Year starts October 1.

Format: YYYY (Example: 2015 not 15)

Each answer must be between 2014 and 2099

Only integer value may be entered in this field.

***Reporting Period**

Choose one of the following answers



Only Tribes with FHWA Program Agreements (PA) would report under the Mid-Year Reporting Period. FY report covers the full Oct-Sep period for both FHWA and BIA Agreement Tribes.

A confirmation email will be sent to these addresses:

transportationdirector@tribe.org;PointofContact@agency.gov

If an additional email address should receive a copy, please enter it here:

Emails should automatically be distributed to the agency's TTP contact list for the Tribe, as well as a copy to the Agency point of contact for the Tribe. If for some reason a confirmation email wasn't sent to one of the Tribal addresses listed, the link could be accessed, an email entered and the report resubmitted (all listed emails would receive a confirmation email again).

PROJECT REPORT PAGE 2



Tribal Transportation Program

Attributed Survey : TTP Online Reporting Tool

This form serves as the financial status report and project/activity progress report for the Tribal Transportation Program.

Design/Construction Project: Project Name

***1. Project Numbers**

Federal Agency Project Number

Assigned by FHWA/BIA.

Tribe's Project Number (enter "none" if not used)

Tribe's internal tracking
number, if one is used.
Not required.

***2. Project Name**

Enter the name of this project as shown on the TIP.

***3. Project Description**

Describe the improvement that this project aims to make. For example: This project will add sidewalks, improve drainage, and pave ABC Street.

*

4. Funding Source(s)

Check any that apply or enter funding source not listed under "Other".

PROJECT REPORT PAGE 3

Check any that apply☐ TTP Formula Funds☐ TTP Bridge Program☐ TTP Safety FundOther: *Enter name of non-TTP funds designated for project.****5. Project Location**National Tribal Transportation Facility Inventory
(NTTFI) Route and Section Numbers

Milepost, place name, or other reference

County / Borough

State(s)

6. Project LengthOnly numbers may be entered in this field.*

miles

***7.a. Project Status Narrative**

Please describe the progress to date on this project. Include any major highlights or changes related to the project.

***7.b. Project Status: Active Phases**

Please choose all phases that were active during the reporting period.

*Check all phases that were active and/or were completed during the reporting period.**Check any that apply*☐ Preliminary Design (Pre-project Planning)

PROJECT REPORT PAGE 4

<input type="checkbox"/> Environmental Compliance (NEPA & Permits)
<input type="checkbox"/> Right of Way Acquisition
<input type="checkbox"/> PS&E Development PS&E is the abbreviation for project plans, specifications and estimates.
<input type="checkbox"/> Construction
<input type="checkbox"/> PROJECT COMPLETE
Other: <input type="text"/>

***8. Project Funding**

These amounts should include all project costs (Preliminary Engineering (PE), Construction Need (CN), and Construction Engineering (CE)) and reflect the most current estimate. Enter the total amount of funds expended on this project during this reporting period, regardless of the year the funds were received through a Tribal Transportation funding mechanism.

TTP Funds Expended this Fiscal Year \$ Total Funds Expended this FY \$ Anticipated Total Project Cost (include all funding sources and all years) \$ The anticipated total project cost is filled from the amount shown on the Tribe's approved TTIP .***9. Estimated Percentage of Work Complete**

Each answer must be between 0 and 100

Only integer value may be entered in this field.

 %***10. Estimated Project Completion Date**Only an estimate and not a commitment to any date.

PROJECT REPORT PAGE 5



Tribal Transportation Program

Attributed Survey : TTP Online Reporting Tool

Design/Construction Summary: Project Name

You must choose the "Next" button below to complete your report.

To make changes choose the "Previous" button below.

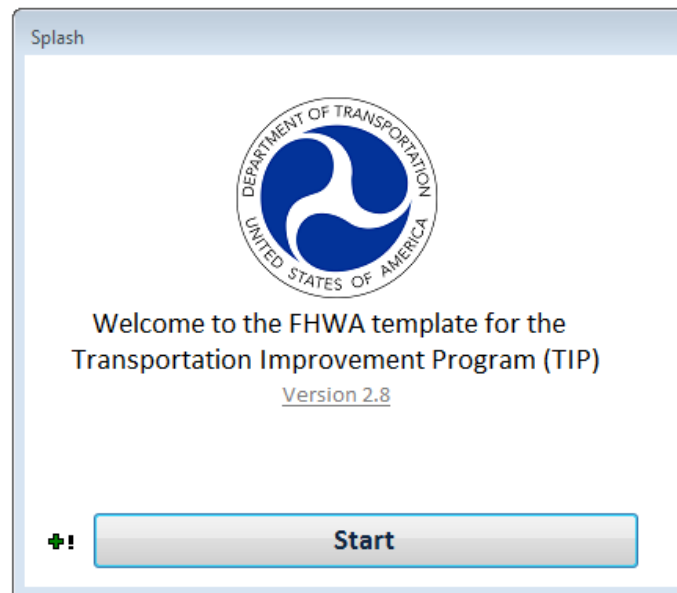
11. Please provide any attachments related to the reported on Project
For example: Completion report, photos, etc.

Please upload at most 10 files

[Upload files](#)

[Up to 10 attachments of up to 10MB each.](#)

Exhibit 5.1 - Microsoft Access FHWA TTIP Template



Available Funds Data Entry Form

Step 1: Enter Available Funds

Help

Continue to Project Details

Current Fiscal Year

Tribe

Consortium

Enter amount of anticipated TTP Program funds for the current fiscal year. This amount should be an estimate for future annual TTP funding. A good reference source is the previous year's Reference Funding Agreements (RFA).

Available Funds

Carryover Funds

	<u>2019</u>	<u>2020</u>	<u>2021</u>	<u>2022</u>	<u>2023</u>
Estimated Annual TTP Tribal Shares	<input type="text" value="\$0.00"/>	<input type="text" value="\$0.00"/>	<input type="text" value="\$0.00"/>	<input type="text" value="\$0.00"/>	<input type="text" value="\$0.00"/>
Additional Funds (Tiger, Safety, Bridge, Other Grants)	<input type="text" value="\$0.00"/>	<input type="text" value="\$0.00"/>	<input type="text" value="\$0.00"/>	<input type="text" value="\$0.00"/>	<input type="text" value="\$0.00"/>

Form TTP TIP

Step 2: Enter Project Details

1 of: 1

Consortium
 Tribe

Fiscal Year for TTIP

PROJECT INFORMATION:

Funding Source ☐ Illustrative List

Project Name
 Location
 POB: Lat Long POE: Lat Long

Type of Work

Route-Section
 State Project Number
 County/Borough
 Length 0 miles Construction Year
 Comments

ACTIVITY	2019	2020	2021	2022	2023	TOTAL
Administration	\$0	\$0	\$0	\$0	\$0	\$0
Planning	\$0	\$0	\$0	\$0	\$0	\$0
Preliminary Engineering	\$0	\$0	\$0	\$0	\$0	\$0
Construction	\$0	\$0	\$0	\$0	\$0	\$0
Construction Engineering	\$0	\$0	\$0	\$0	\$0	\$0
Transit	\$0	\$0	\$0	\$0	\$0	\$0
Maintenance	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL	\$0	\$0	\$0	\$0	\$0	\$0

Clear Fiscal Values

Step 3. Check Fiscal Constraint

Step 3. Check Financial Constraint

Help

Back to Step 2: Project Details

Export PDF

Only check after review of PDF with FHWA

TIP is financially constrained. Please choose "Export to PDF" and review with the FHWA employee assigned to assist you.

	2016	2017	2018	2019	2020
Estimated Annual TTP Shares	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Additional funds (Tiger, Safety, Bridge, Other Grants)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Carryover Funds (from previous FY)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
TOTAL AVAILABLE FUNDS for each year	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Project Totals	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Fiscal Year Remainder	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

Summary

Total Estimated Available Funds

\$0.00

Total of All Projects on TIP

\$0.00

Exhibit 5.2 - Tribal Resolution Template to Accept/Approve the TTIP

[Insert Tribe name]
[Insert address]
[Insert City, State Zip Code]
[Insert Ph: [xxx] xxx-xxxx]
[Insert Email: xyz@xxx]

RESOLUTION [# 14-##]**A RESOLUTION AUTHORIZED BY THE [insert Tribal Council's name] TO ACCEPT AND APPROVE THE TRIBAL TRANSPORTATION PROGRAM [TTP] 2018 TIP**

WHEREAS, [insert Tribal Council's name] is fully authorized to act on behalf of our members of the [insert Tribe's name] in matters arising from the Indian Self-Determination Act of 1975, P.L. 93-638, as amended, 25 U.S.C. § 5301 etSeq.; and

WHEREAS, the governing body of [insert Tribal Council's name] is a [insert number of members that make up the Tribal Council] member council empowered to act for and on behalf of its Tribal members in adopting resolutions; and

WHEREAS, the TTP 2014 TIP is necessary to approve spending FHWA funds;

WHEREAS, the [insert Tribal Council's name] finds that rebuilding roads and bridges on, or which provide access to [insert Tribe name] improves the safety and security of Tribal members and nonmembers who live or work in the [Insert Tribe name], and renews the sense of pride that all members have for our Tribe; and

NOW, THEREFORE BE IT RESOLVED: The [insert Tribal Council's name] accepts and approves the TTP 2014 TIP, consistent with Title 23 USC Section 135 and 204 and the Tribe's Long Range Transportation Plan.

BE IT FURTHER RESOLVED, that the [insert title of leader of tribal government, such as Tribal President] is hereby authorized and instructed to sign this Resolution and all necessary agreements and contracts for and on behalf of the Tribe in order to establish and assume the transportation duties of the Secretary of the Interior serving the [insert Tribe name].

CERTIFICATION

This resolution was duly considered and adopted at a special meeting of the [insert Tribal Council's name] called and convened this ____ day of _____, 2014, with a quorum present, by a vote of ____ in favor, ____ against and ____ abstaining.

[Insert name of leader of Tribal Government, Title]
[Insert Tribe name]

Date

Exhibit 5.3 - TTIP Certification**Transportation Planning Process
and
Tribal Transportation Improvement Program (TTIP)
Certification Statement**

As agreed upon in the Tribal Transportation Program (TTP) Agreement with the United State Department of Transportation for the [insert reservation name, Alaska native village, or service area], the [Tribe] hereby certifies that it has fulfilled the functions and duties of the Secretary of the Interior in accordance with the requirements of 25 CFR § 170 in carrying out a planning process and in developing the Tribal Transportation Improvement Program including:

1. Facilitating Public Involvement on the TTIP with all stakeholders,
2. All projects in the TTIP are consistent with the Tribal Long Range Transportation Plan,
3. All projects listed in TTIP are on the National Tribal Transportation Facility Inventory (NTTFI),
4. TTIP contain all TTP funded projects programmed for construction in the next 4 years,
5. TTIP is financially constrained,
6. TTIP contains uncompleted project(s) from previous TTIP carried-over,
7. Consultation and coordination with State DOT and/or MPO's for regionally significant projects are complete (if applicable).

[Name and title]
[Entity]
[Date]

Exhibit 5.4 - Pre-Project Planning Worksheet

I. General Project Information

1. Project name: _____

2. TTP route number: _____

3. Type of work: _____
(Resurfacing, signalization, reconstruction, etc.)

Length or area: _____

Historical cost for type of work: _____

PS&E (usually between 10-25% of the overall project costs) \$ _____

CE (usually between 10-15% of the overall project costs) \$ _____

Estimated Project Cost: \$ _____

(Use these estimates for documenting the project in the TTIP)

II. Purpose and need of project: (Answer these two questions: (1) What is the problem? (2) What are the consequences of not addressing the problem?)

.

.

Cooperation with other government agencies needed? __ Yes __ No

Agency name: _____

Is project regionally significant? __ Yes __ No

Note: Regionally significant projects are typically projects anywhere in the State that have direct impact on a regional transportation system or those projects that serve regional transportation needs (e.g., major activity centers, major planned developments such as major retail malls, sport complexes, employment centers, or transportation terminals) and are normally part of the metropolitan or regional transportation network model. For more information contact the State Department of Transportation or the Metropolitan Planning Organization in your area.

III. Existing Facility: Will facilities be impacted? Example: utilities, culverts, bridges, etc. If so, what will the cost be for removing / replacing?

Type	Estimate Cost (\$)

IV. Socioeconomic/Environmental: Are any expected to be impacted?

Type	Yes	No
Endangered Species		
Historical/Archeological		
Wetlands		
Public hearing needed		
Other?		

V. Proposed Project Development: (place a check mark next to the proposed entity to perform the work)

Type	Tribe	BIA Region/Agency	FLH	Estimate Cost (\$)
Survey				
NEPA*				
Preparing NEPA Documents				
Preparing environmental resource documents				
Design				
Safety Audit				
Power line – Overhead				
Other Cost				
Right-of-Way Relocation				
Type of ROW	Fee	Non-Fee		

* FLH and BIA are Lead Federal agencies responsible for writing NEPA decision

Exhibit 6.1 – TTP ENVIRONMENTAL CHECKLIST

Tribe Name:		Is Project on an approved TTIP?
Project Name/Number:		NTTFI Route No. and Section:
SECTION 1: PROJECT DETAILS		
<p>A. Purpose and Need: Briefly describe what the transportation problems are that need to be addressed and why.</p>		
<p>B. Project Description: Briefly describe project including location, limits, design elements, and construction activities. Describe how the proposed project will address the needs described above. Use Continuation Sheet, if necessary. Attach maps, aerials, photos, etc. to help visualize the project.</p>		
<p>C. Independent Utility and Logical Termini</p> <p><input type="checkbox"/> The project complies with NEPA requirements related to connected actions and segmentation (i.e. the project must have independent utility, connect logical termini when applicable, be usable and be a reasonable expenditure even if no additional transportation improvements in the area are made and not restrict further consideration of alternatives for other reasonably foreseeable transportation improvements). [23 CFR 771.111(f)]</p>		

SECTION 2: ENVIRONMENTAL RESOURCE EVALUATIONS

During the environmental review process for which this Environmental Checklist was prepared, all applicable environmental requirements were evaluated. Outcomes for the following requirements are identified below and fully documented in the project file.

A. Right of Way

Will the project involve right of way acquisitions or easements? Yes No

If yes, will a right of way action by the BIA be required? Yes No

If yes, the BIA may have additional environmental requirements. Please contact the FHWA Environmental Specialist for further guidance.

B. Cultural Resources

Section 106 compliance is complete - select appropriate finding:

No Potential to Affect Historic Properties No Historic Properties Affected

No Historic Properties Adversely Affected Adverse Effect

Has consultation with SHPO and/or THPO been completed? Yes No

If yes, date(s) of concurrence _____, and attach the letter(s) to this document.

C. Wetlands

- Wetlands (Executive Order #11990)

Will construction activities take place in wetlands? Yes No

If yes:

- o What is the estimated permanent loss of wetlands, if any? _____ acres
- o Are there any practical alternatives to the proposed construction in wetlands (i.e. can the wetlands be avoided while still meeting the purpose and need of the project)? Yes No
- o Does the project include all practicable measures to minimize harm to the wetlands? Yes No

D. Floodplains

- Floodplains (Executive Order #11988)

No Floodplain Encroachment No Significant Encroachment Significant Encroachment

E. Biology

- Section 7 (Federal Endangered Species Act) Consultation Findings (Effect determination)

No Effect

May Affect, Not Likely to Adversely Affect. If applicable, FWS Concurrence Date: _____

If applicable, NMFS Concurrence Date: _____

May Affect, Likely to Adversely Affect. If so, FWS Biological Opinion Date: _____

NMFS Biological Opinion Date: _____

Programmatic Biological Opinion held by Partner Agency; File Number _____ Date _____

- Essential Fish Habitat (Magnuson-Stevens Act) Findings (Effect determination):

No Effect No Adverse Effect Adverse Effect and consultation with NMFS

F. Section 4(f) Transportation Act (23 CFR 774) and Section 6(f) Land and Water Conservation Act (36 CFR 59)

- Section 4(f) regulation was considered as a part of the review for this project and a determination was made:
 Section 4(f) does not apply (*Project does not use a Section 4(f) property, or that it meets one or more of the exceptions listed in 23 CFR 774.13.*)
 Section 4(f) applies
 De Minimis
 Programmatic: Type _____ (List one of the five appropriate categories as defined in 23 CFR 774.3)
 Individual: Legal Sufficiency Review complete HQ Coordinator Review Complete
- Section 6(f)—Does the project involve property purchased with grant funds from the Land and Water Conservation Fund?
 No, Section 6(f) does not apply. No additional documentation required.
 Yes Documentation of approval from National Park Service Director has been received for the conversion/and replacement of 6(f) property.

G. Farmland Protection Policy Act of 1981

Does prime or unique farmland, or land of statewide or local importance exist within the project area (check the Natural Resources Conservation Service (NRCS) [link](#) to search for prime or unique farmland in the project area; you also may need to contact the appropriate state/local soils agency to make this determination)?

Yes No

If the project has the potential to convert important farmland to non-farm use, coordinate with your local NRCS office (a land evaluation and site assessment may be required). Attach relevant coordination documentation to this form.

H. Coastal Zone

Coastal Zone Management Act of 1972

Not in Coastal Zone Coastal Permit Required

Consistent with Federal, State, and Local Coastal Plans Federal Consistency Determination

I. Hazardous Waste and Materials

- Are hazardous materials or contamination exceeding regulatory thresholds (as set by U.S. EPA, Tribe, State County, etc.) present in the project area? Yes No
 - If yes, is the nature and extent of the hazardous materials or contamination fully known? Yes No
- If no, briefly discuss the plan for securing information:

J. Wild & Scenic Rivers

- Are there Wild & Scenic River designations in the project area? Yes No
- Describe any impacts. (Attach the full evaluation if applicable).

K. Ancillary Sites (Materials, Disposal, Staging, Etc.)

- Will the project plans require the use of specific ancillary sites (e.g. materials sources, disposal sites, staging areas, etc.), or will these sites be left to the contractor to select?
 Required by Plans Selected by Contractor
- If required by project plans, have the ancillary sites been included in all assessments of environmental impacts and consultations with appropriate agencies? Yes No
 If no, please explain.

L. Air Quality

- Is the project in a “nonattainment” or “maintenance” area designated under the Clean Air Act? Yes No
 If yes, is the project consistent with air quality goals for the area? Yes No
- Even if the project is not in a “nonattainment” or “maintenance” area, how will general air quality concerns such as construction-related airborne dust be eliminated or reduced?

M. Socioeconomics and Environmental Justice

- Will the project result in disproportionately high and adverse human health or environmental effects on minority populations and/or low-income populations? Yes No
 - Will construction activities substantially disrupt normal traffic patterns (including access to businesses, community facilities, and accessibility of emergency vehicles)? Yes No
- If yes to either, please explain how these impacts will be mitigated.

N. Noise

- Will the project significantly change the horizontal or vertical alignment of a road? Yes No
- Will the project increase the number of through-traffic lanes on a road? Yes No

If yes to either of the above questions, are there sensitive noise receptors (see [FHWA guidance](#)) located near the project? Yes No If yes, please explain how increased noise, if any, will be abated:

O. Other Relevant Approvals/Processes

- Are there other relevant approvals or processes needed for this project? Yes No
 If yes, please describe.

P. Permits

1. Section 404 of the Clean Water Act
 Will there be impacts to Waters of the US: Yes No
 If yes, approval anticipated:
 Nationwide Permit Individual Permit
2. Section 401 of the Clean Water Act approval anticipated:
 Exemption Certification
3. Section 402 of the Clean Water Act
 Will the project involve 1 acre of ground disturbance or more? Yes No
 If yes, a National Pollutant Elimination System (NPDES) permit is required as well as the development of a Storm Water Pollution Prevention Plan (SWPPP) to be included in the final design.
4. Sections 9 and 10 of the Rivers and Harbors Improvement Act
 Will the project involve construction of a structure over a navigable waterway? Yes No
 If yes, a Bridge Permit from the U.S. Coast Guard will be required.
5. List below other permits required for the project.

SECTION 3: Environmental Commitments

List all environmental commitments for the project in this section.

SECTION 4: TYPE OF DOCUMENTATION: Use the information in this section to help determine the applicable documentation and clearance type for the project (CE, EA or EIS). Please note that this is used for planning purposes only. The final decision for level of documentation is made by FHWA after consultation and coordination.

A. Categorical Exclusions Defined (23 CFR 771.117[a]).

FHWA regulation 23 CFR 771.117(a) defines categorical exclusions as actions which:

- do not induced significant impacts to planned growth or land use for the area;
- do not require the relocation of significant numbers of people;
- do not have a significant impact on any natural, cultural, recreational, historic or other resources;
- do not involve significant air, noise, or water quality impacts;
- do not have significant impacts on travel patterns; or
- do not otherwise, either individually or cumulatively, have any significant environmental impacts.

Checking this box certifies that project meets the above definition for a Categorical Exclusion (if not, an EA or EIS will be required).

B. Unusual Circumstances (23 CFR 771.117[b]).

FHWA regulation 23 CFR 771.117(b) provides that any action which normally would be classified as a CE but could involve *unusual circumstances* requires the Department to conduct appropriate environmental studies to determine if the CE classification is proper. Unusual circumstances include actions that involve:

- Significant environmental impacts;
- Substantial controversy on environmental grounds;
- Significant impact on properties protected by section 4(f) of the DOT Act or section 106 of the National Historic Preservation Act; or
- Inconsistencies with any Federal, State, or local law, requirement or administrative determination relating to the environmental aspects of the action.

All of the above unusual circumstances have been considered in conjunction with this project. (Please select one.)

Checking this box certifies that **none of the above conditions apply** and that the project qualifies for a Categorical Exclusion.

Checking this box certifies that unusual circumstances **are involved**. However, the appropriate studies/analysis have been completed, and it has been determined that the CE classification is still appropriate.

C. Check applicable categorical exclusions from the drop-down menu(s) below. For full text of CEs, click [here](#).

Select a Categorical Exclusion:

Select additional Categorical Exclusion, if needed:

D. If categorical exclusions (c)(26), (c)(27), or (c)(28) were selected above, do any of the following circumstances apply?

Yes	No	N/A
(1)		
(2)		
(3)		
(4)		
(5)		
(6)		

- (1) An acquisition of more than a minor amount of right-of-way or that would result in any residential or non-residential displacements;
- (2) An action that needs a bridge permit from the U.S. Coast Guard, or an action that does not meet the terms and conditions of a U.S. Army Corps of Engineers nationwide or general permit under section 404 of the Clean Water Act and/or section 10 of the Rivers and Harbors Act of 1899;
- (3) A finding of "adverse effect" to historic properties under the National Historic Preservation Act, the use of a resource protected under 23 U.S.C. 138 or 49 U.S.C. 303 (section 4(f)) except for actions resulting in *de minimis* impacts, or a finding of "may affect, likely to adversely affect" threatened or endangered species or critical habitat under the Endangered Species Act;
- (4) Construction of temporary access, or the closure of existing road, bridge, or ramps, that would result in major traffic disruptions;
- (5) Changes in access control;
- (6) A floodplain encroachment other than functionally dependent uses (e.g., bridges, wetlands) or actions that facilitate open space use (e.g., recreational trails, bicycle and pedestrian paths); or construction activities in, across or adjacent to a river component designated or proposed for inclusion in the National System of Wild and Scenic Rivers.

SECTION 5: Certification

Based on the information obtained during the environmental review process and included in this checklist, the project is determined to be a Categorical Exclusion pursuant to the National Environmental Policy Act and is in compliance with all other applicable environmental laws, regulations, and Executive Orders.

Reviewed
by (print
name):

Title:

Signature:

Date:

Approved
by (print
name):

Title:

TTP Environmental Protection Specialist

Signature:

Date:

For any questions, please contact:

Terry Schumann,
Senior Environmental Protection Specialist
Tribal Transportation Program
Federal Highway Administration
360-619-7607
terry.schumann@dot.gov

Exhibit 6.2 - OUTLINE FOR AN ENVIRONMENTAL ASSESSMENT (EA)

The following format generally complies with requirements for EAs and finding of no significant impacts (FONSI) as specified in 23 CFR 771.119 and 771.123 and in FHWA's Technical Advisory T6640.8A, "Guidance for Preparing and Processing Environmental and Section 4(f) Documents" at

<http://environment.fhwa.dot.gov/projdev/impta6640.asp>

The following outline is generally used for chapters when preparing an EA.

1. Cover Sheet
2. Signatory Sheet
3. Table of Contents
4. List of Abbreviations
5. Description of the Proposed Action
6. Purpose of and Need for the Project
7. Alternatives
8. Affected Environment or Environmental Setting
9. Environmental Consequences ⁵
10. Section 4(f) (if applicable)
11. Coordination
12. Appendices

1. **COVER SHEET**- The cover sheet lists the title of the project, the type of NEPA document (Environmental Assessment), the location, the project sponsor, and the date (month & year).

2. **SIGNATORY SHEET** - The signatory sheet contains the following:

- a. The title, *Environmental Assessment*
- b. The information, *Submitted Pursuant to Public Law 91-190, National Environmental Policy Act*
- c. Our full title, *U.S. Department of Transportation, Federal Highway Administration*
- d. The list of cooperating agencies
- e. A signature block, including the date, for the TTP Field Team Leader.
- f. The contact person, including address and phone number.

3. **TABLE OF CONTENTS**

4. **LIST OF ABBREVIATIONS** – Provides a list of abbreviations one would find listed in the EA for the reader to easily reference.

⁵ The Chapters on *Affected Environment* and *Environmental Consequences* can be combined.

5. **DESCRIPTION OF THE PROPOSED ACTION** – This is the opening chapter of the EA that contains introductory information such as a brief project description, lead, cooperating, and partner agencies, funding and a description of the following items:
- a. **Location of the Proposed Project** – This text is often accompanied by maps and figures.
 - b. **Scope and Nature of the Proposed Work**
 - i. **Funding**
 - ii. **Planning by Others**
6. **PURPOSE OF AND NEED FOR THE PROJECT** - This chapter of the EA describes the condition or conditions requiring relief and purpose in taking action. Often the EA describes the problems and the consequences of not taking action. This section should clearly demonstrate that a need exists and should define the need in terms understandable to the general public. It is critically important to provide sufficient data to convince the reader that the need exists. Therefore, it is recommended that each need be discussed in turn, with accompanying data. The purpose and need will be the basis for development of the alternatives, including the identification of the preferred alternative. Charts, tables, maps, and other illustrations are encouraged as useful presentation techniques.
7. **ALTERNATIVES** – This chapter identifies the alternatives developed throughout the scoping and NEPA process. In it, it describes the:
- a. **No Action Alternative** – The no action alternative provides the baseline and the consequences should nothing be done to address the conditions requiring relief. It is preferable to give an estimated cost for the *no action* alternative.
 - b. **All Reasonable Alternatives** – All reasonable alternatives should be developed to a comparable level of detail. If a preferred alternative has been identified, this should be documented in this chapter, and the reasons should be stated why it is preferred. It is preferable to give estimated costs.
 - c. **Other Alternatives - Alternatives** that were considered but rejected should be briefly discussed with the reasons why they were eliminated or rejected.
 - d. **Entire Action** – As stated for CEs, the alternatives should take into account the entire action, not just the road project itself. This would include, but would not be limited, to the following:
 - i. **Type of work**
 - ii. **Corridor location**
 - iii. **Length**
 - iv. **Road width**
 - v. **Number of lanes**
 - vi. **Design speed**
 - vii. **Surface type**
 - viii. **Major structures**
 - ix. **Material sources**
 - x. **Staging areas**

- xi. **Waste areas**
- xii. **Mitigation areas**
- xiii. **Other major features**

8. ***AFFECTED ENVIRONMENT OR ENVIRONMENTAL SETTING.*** In this chapter of the EA, there needs to be a description of the environmental conditions in the study area. For this chapter, the study area needs to be defined, and it may need to be defined differently depending on the resource described. The setting topic areas usually covered are (only topics applicable to the particular project should be covered):

- a. ***Geology***
- b. ***Soils***
- c. ***Climate***
- d. ***Air Quality***
- e. ***Noise***
- f. ***Waters and Water Quality***
- g. ***Wetlands***
- h. ***Vegetation, including T&E species***
- i. ***Wildlife and Fish, including T&E species***
- j. ***Land Use***
- k. ***Socioeconomics***
- l. ***Transportation***
- m. ***Historic and Archaeological Resources***
- n. ***Hazardous Materials***
- o. ***Public Services and Utilities***
- p. ***Recreation***
- q. ***Aesthetics***

9. ***ENVIRONMENTAL CONSEQUENCES*** – In this chapter, the EA describes how the environmental topic areas listed in the chapter above will be affected by all the reasonable alternatives. The discussion should be limited to information and issues that have a bearing on potential important impacts, including the mitigation. Impacts may be adverse or beneficial, and the data and analyses should be commensurate with the importance of the impacts. Cumulative and secondary impacts need to be summarized for each alternative. In this chapter of the EA, the text must show how all applicable executive orders and environmental laws and regulations were met (some are listed in the text on CEs). Photographs, illustrations, tables, figures, and other graphics should be used with the text.

10. ***SECTION 4(F)*** – In the EA, insert a section for 4(f) analysis if needed. Some of the 4(f) discussion may be pertinent to both the *Environmental Setting* and *Environmental Consequences* chapters also.

11. ***COORDINATION*** – Comments received from public involvement efforts should be described in this chapter. Usually a chronology of coordination and consultation efforts is provided.

12. *APPENDICES* – Usually pertinent coordination results are provided in the appendices such as concurrence letters under Section 7 of the ESA, Section 106 of the NHPA, Consistency Concurrence for the Coastal Zone Management Act, etc.

Exhibit 6.3 – EXAMPLE NOTICE OF AVAILABILITY**PUBLIC NOTICE OF AVAILABILITY AND
SOLICITATION OF PUBLIC COMMENT****OSCARVILLE TO BETHEL ACCESS ROUTE
AND COMMUNITY BOARDROAD PROJECT**

Oscarville, Alaska

Bethel, Alaska

The Federal Highway Administration, in partnership with the Association of Village Council Presidents (AVCP), is pleased to announce the availability of the Environmental Assessment (EA) for the Oscarville to Bethel Access Route and Community Boardroad Project. The proposed project includes three alternative routes for providing an elevated boardroad/hardened trail route between Oscarville and Bethel. The proposed project also includes upgrading Oscarville's boardroad system as well as providing access within the community to a new barge landing site.

The purpose of this notice is to announce the availability of the EA for public review and comment. The EA is available at the following locations:

- Association of Village Council Presidents Office in Bethel, AK
- Oscarville Traditional Council Office in Oscarville, AK
- Online at:

http://www.avcp.org/apps/Transportation/Oscarville_EA_FINAL_24July2013_w_signature.pdf

A copy of the EA may also be requested by contacting Terry Schumann at FHWA at (360) 619-7607.

Please send written comments by email to Terry Schumann at Terry.Schumann@dot.gov or by mail to the address below by September 23, 2013.

Contact Information:

Terry Schumann

Tribal Transportation Program

Federal Highway Administration

610 East 5th St, Vancouver, WA 98661

(360) 619-7607

Exhibit 7.1 – Ice Road Information

The following information may be applied to ice roads located on rivers, lakes, sloughs and other freshwater bodies. This information does not apply to ice roads on saltwater or on land.

Steps for Establishing the Ice Road Each Year. Perform the following steps each year at the beginning of the ice season, once the ice is considered safe to travel on. It is important to perform these steps every year for each ice road, due to the variables that affect how the waterway may freeze from year to year.

Step 1. Perform field reconnaissance of the waterway to identify the best possible ice road route(s).

- Locate a preliminary route for the ice road to be as straight as possible. Lay out the turns (curves) as gradual as possible. If sharp turns must be made due to conditions, then install additional pole markers with reflectors on the turns.
- Sometimes near the shoreline the water level will drop after the initial ice sheet is formed, leaving the ice sheet unsupported near the shore. This may be detected by hearing a hollow sound when probing with an ice chisel ¹. Do not locate the ice road in these unsafe locations.
- The middle of the river may not be a good location. That is where the water flows the swiftest, so the ice may be thinner there.
- Avoid sand/gravel bars and stay away from steep cut banks. Be aware of areas where snow collects in the wind along the banks. Try to avoid these areas by keeping the ice road route further out. Also, locate the ice road route to follow the main channel during the lowest water levels of the year.

Step 2. Drill Test Holes. Drill test holes with an ice auger in the ice along the preliminary ice road route at ¼ mile maximum distance apart, and measure ice thickness. Place a marker about every ¼ mile as long as the test holes are showing suitable ice thicknesses. Finalize the ice road route location using that process. Then drill the rest of the test holes along the finalized ice road route. All test holes should be drilled, measured and recorded according to the following:

- a. Drill the Test Holes along the finalized ice road route at distances according to **Table 1** below.

Table 1: Maximum Spacing Of Auger Test Holes For Measuring Ice Thickness ²	
Water Body Type	Distance Between Test Holes along Ice Road Centerline
Rivers – fast moving or high currents	80 ft.
Rivers – slow moving and within 800 ft. of shore	200 ft.
Rivers – slow moving and more than 800 ft. offshore	325 ft.
Lakes – within 800 ft. of shore	200 ft.
Lakes – more than 800 ft. offshore	325 ft.
Note: Additional measurements may be needed to locate areas with thin ice that are observed on site.	

¹ [U.S. Army Cold Regions Research & Engineering Laboratory - Safety on Floating Ice Sheets](#)

² [BEST PRACTICE for Building and Working Safely on Ice Covers in Alberta, January 2013](#)

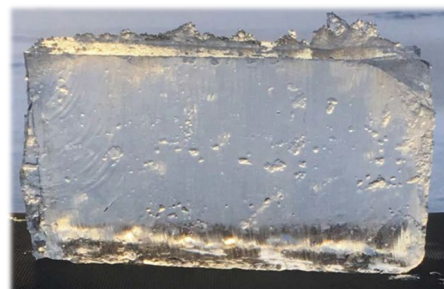
Step 2. (cont'd.)

An auger being used to drill a Test Hole through the ice ¹

- b. Drill the Test Holes with an ice auger** to the full depth of the ice, then measure the clear ice thickness and the white ice thickness (see information on types of ice on next page). Use a tape measure to find ice's thickness. Put the tape measure into the Test Hole and hook the bottom edge of ice before taking measurement.
- c. Write the Test Hole information** and other related information on the **Ice Inspection Form** while at the Test Hole site. File the completed **Ice Inspection Form(s)** at the Tribal office in the Tribe's filing system. The **Ice Inspection Form** is on the last two pages of this Exhibit.

Types of Ice. There are two main categories of ice that affect an ice road's ability to carry loads, Clear ice and White ice. The thicknesses of each of these types of ice need to be measured and recorded separately when measuring the depth of the Test Hole.

- Clear ice** (sometimes called "blue ice") has randomly arranged crystals that contain few air bubbles. It may look blue because it's clear enough to see the water underneath it. Clear Ice can be "rough" or "smooth". Rough packed ice is often stronger than just plain smooth ice.



Clear Ice ¹

- White ice** (sometimes called "snow ice") is ice that forms on top of the clear ice, as shown in this photo. It's white because it contains a significant number of air bubbles. This type of ice should not be included in the thickness of ice needed for an ice road.



White Ice ¹

¹ [BEST PRACTICE for Building and Working Safely on Ice Covers in Alberta, January 2013](#)

Step 3. Use the information in **Table 2** below to determine the **Minimum Ice Thickness** needed to carry the **Load on the Ice**, which is the heaviest vehicle or equipment that will be using the ice road. This includes the heavy equipment that will prepare, plow and maintain the ice road. When using **Table 2**, read and comply with the Notes below **Table 2**.

Table 2: <u>Minimum Ice Thickness Needed For the Load on the Ice</u> ^{1, 2}		
Load on the Ice (Weight of vehicle, equipment, passengers, cargo and trailers)	Example	Required Minimum Ice Thickness (in.)
0.1 Tons	Person walking	4
0.5 Tons	Snowmachine plus rider	7
5 Tons	¾ ton 4x4 pickup truck, passengers and load	15
5 to 10 Tons	Equipment to plow and prepare the ice road	24
20 Tons		27
30 Tons		33
40 Tons		38
50 Tons		42
60 Tons		46

Notes for using the above Table 2:

- The **Required Minimum Ice Thickness** includes only **Clear Ice**. Do not include **White Ice**.
- If the air temperature stays above freezing (32 °F) for 24 hours or more, the ice begins to lose strength, and the above **Table 2** no longer represents safe conditions. *Stay off the ice!* ³.
- If the air temperature has been *above* freezing for at least **six of the previous 24 hours**, multiply by **1.3** the total weight of vehicle, equipment, passengers, cargo and trailers, and use that as the **Load on the Ice** in the above **Table 2** to obtain a larger minimum required ice thickness. Doing this may take into account possible weakening of the ice ³.
- A rapid and large air temperature *drop* causes an ice sheet to become brittle, **and the ice may not be safe to use for 24 hours** ³.
- Do not leave vehicles or equipment sitting on the ice. Doing so may cause failure of the ice.

¹ [BEST PRACTICE for Building and Working Safely on Ice Covers in Alberta, January 2013](#)

² Mark Leary, Transportation Director for Napaimute Native Village

³ [U.S. Army Cold Regions Research & Engineering Laboratory - Safety on Floating Ice Sheets](#)

Steps for Establishing the Ice Road Each Year (continued):

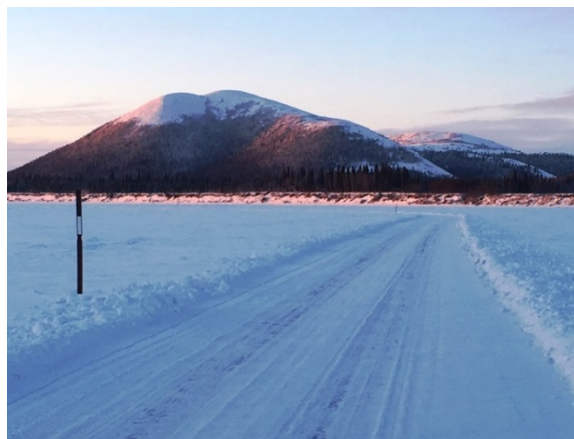
Step 4. Compare the **Clear Ice thicknesses** measured out in the waterway (from **Step 2**) against the **required thickness found in the Ice Thickness Table 2** (from **Step 3**).

Step 5. Do the measured **Clear Ice** thicknesses satisfy the ice thickness required in **Table 2**? If yes, then mark and prepare the ice road for traffic according to the following steps 6 through 10.

Step 6. Along the ice road route, **delineate with markers all the open water areas** and the other areas, such as thin ice, that need to be off-limits to vehicles.

Step 7. **Place pole markers** no farther apart than 1/10th of a mile along the ice road route. Drill the markers into the ice so they stay in place. Fill gaps between the marker and the drilled hole with snow and or ice and tamp down. Pole markers should be set a minimum of 12 inches deep in the ice, and have reflectors securely mounted on them a minimum of 4 feet above the surface of the ice to be seen in ground storms. The pole markers are intended to show that the ice has been checked and verified to be suitable for the posted weight of equipment.

In areas of open water – even though the open water is marked – install extra pole markers so there is no losing sight of the ice road in bad weather near open water areas.



Pole Markers on Ice Road on the Kuskokwim River ¹

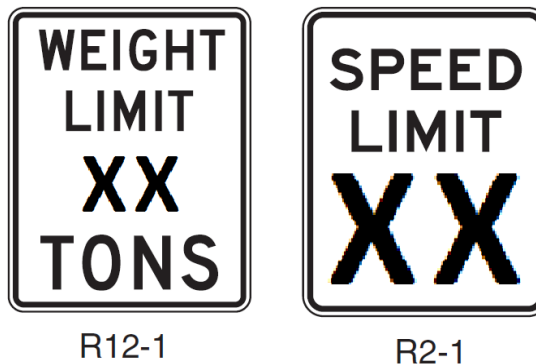


Open Water Area ¹

¹ Mark Leary, Transportation Director for Napaimute Native Village

Step 8. Plow the selected ice road route as needed to create a smooth and safe ice road. Perform the plowing only if it's been determined that the ice is thick enough for heavy equipment (see **Steps 3 and 4** above). Plowed snowbanks create concentrated loads on the ice which may stress the ice. To avoid this, spread the snowbanks over as large an area as possible.

Step 9. Place a Weight Limit sign and Speed Limit sign at each entrance to the ice road. Weight Limit and Speed Limit signs should conform to MUTCD Signs R12-1 and R2-1, shown here. The weight limit number posted on the weight limit sign may be increased as the cold season progresses and the ice thickness increases, if verified by new test holes taken on the ice road. Install signs securely on posts high enough to be visible above accumulated snow.



Step 10. Open the Ice Road for public use.

Speed Limits on Ice Roads. Certain speeds, known as “critical speed”, may make the ice deflect and crack more, causing the ice to fail. To help avoid this, the following speed limits are recommended to be posted for an ice road according to **Step 9** above ¹:

- **15 mph** when traveling in ideal ice and driving conditions.
- **5 mph** when approaching a vehicle coming from the opposite direction.
- **5 mph** when approaching the shoreline to leave the ice road.

Minimum Distance Between Vehicles Moving in the Same Direction ¹:

- **650 feet** for light vehicles up to **5 Tons** including passengers and load.
- **1,600 feet** for heavier vehicles **between 5 Tons and 70 Tons** including passengers and load.
- If the water body is smaller than these distances, then only one vehicle or piece of equipment should be on the ice at a time.
- A vehicle should never pass another vehicle going in the same direction.

Ice Road Closure ¹. Normally, ice roads are closed before spring thaw begins and the ice cover begins to decay. Monitor regularly the ice temperature, thickness and quality of ice during spring thaw to determine if the ice road has adequate bearing capacity to support the posted weight limit.

When the ice road is closed, immediately remove all the weight limit and speed limit signs.

¹ [BEST PRACTICE for Building and Working Safely on Ice Covers in Alberta, January 2013](#)

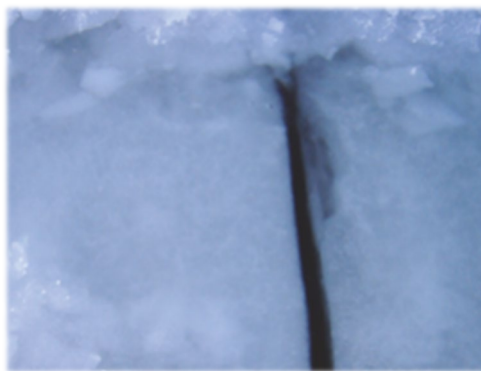
Cracks in the Ice. Cracks in the ice are either **Dry** or **Wet**. Keep the ice road clear of snow so you can see if any cracks have developed. Immediately repair any cracks in an ice road, according to the following.

- **Dry Cracks.** These are visible on the ice surface and go only part way down into the ice thickness. At locations where there are intersecting dry cracks over 4 inches wide, repair the dry cracks by filling them with water. Allow time for the water to freeze fully in the cracks before running any equipment or vehicles over them ¹.



Dry Crack ¹

- **Wet Cracks.** These go through the entire thickness of the ice sheet. Where there are wet cracks, close off the wet cracks area, and reroute the ice road around it using appropriate barriers and markers. Flood the wet cracks if necessary and allow them to freeze back before allowing traffic on these areas. A new Test Hole should be augured at each re-frozen wet crack to make sure the thickness of the re-frozen ice satisfies the thickness required in the **Ice Thickness Table 2** ¹.



Wet Crack ¹

Ice Inspection Form. The **Ice Inspection Form** on the following pages may be used by Tribes and others. Write the Test Hole information and other related information on the **Ice Inspection Form** while at the Test Hole site. File the completed **Ice Inspection Form(s)** at the Tribal office in the Tribe's filing system.

¹ [GUIDELINES FOR SAFE ICE CONSTRUCTION 2015, Northwest Territories Transportation](#)

[illegible]

[illegible]

Exhibit 7.2 – TTP HIGHWAY DESIGN STANDARDS CERTIFICATION

Project Number and Name: _____

NTTFI Route(s) and Section Number(s): _____

Type of Project: ☐ New Construction ☐ Reconstruction ☐ RRR ☐ Other (describe) _____

Description of Work: _____

System: ☐ TTP BIA ☐ National Highway System (NHS)
☐ TTP Tribal ☐ State Transportation Plan Non NHS
☐ TTP County, Borough or Municipal ☐ Off State Transportation Plan
☐ TTP State ☐ Other (describe) _____

Functional Classification Description: _____

Owner Agency & Address: _____

Terrain _____

TRAFFIC	YEAR	AVERAGE	SEASONAL	DHV	PERCENT TRUCKS DHV ADT		D
Current					%	%	
Design					%	%	

Design Standards: ☐ AASHTO Green Book ☐ AASHTO Low Volume ☐ County/Borough
☐ State ☐ Other (describe) _____

GEOMETRIC AND BRIDGE CRITERIA - Show Station Range			
GEOMETRIC AND BRIDGE CRITERIA	STANDARD	AS DESIGNED	EXCEPTION
Design Speed	Design Speed should equal or exceed Posted or Regulatory Speed of completed facility		<input type="checkbox"/>
Lane Width			<input type="checkbox"/>
Shoulder Width			<input type="checkbox"/>
Horizontal Curve Radius			<input type="checkbox"/>
Superelevation Rate			<input type="checkbox"/>
Stopping Sight Distance			<input type="checkbox"/>
Maximum Grade			<input type="checkbox"/>
Cross Slope			<input type="checkbox"/>
Vertical Clearance			<input type="checkbox"/>
Design Loading Structural capacity			<input type="checkbox"/>

For each exception provide description (including context), reasons, alternatives considered, analysis of risk, and proposed mitigation. (Attach additional sheet if needed)

RECOMMENDED ACTION

☐ There are no exceptions to applicable standards.

☐ The listed exceptions to design standards and their related risks have been reviewed with the appropriate agencies and interested parties, and are considered acceptable for this project.

PREPARED BY:

Lead Designer, Consultant Firm

Stamp and Date

APPROVAL IS RECOMMENDED:

Design Manager or Project Manager, Consultant Firm

Stamp and Date

Tribal Road Department: _____

Date: _____

I CONCUR WITH THE ABOVE RECOMMENDATIONS (optional):

Owning Agency: _____

Date: _____

Maintaining Agency: _____
(if different from above)

THE ABOVE RECOMMENDATIONS ARE APPROVED:

Tribal Transportation Program,
Federal Lands Highway Office

Date: _____

Exhibit 7.3 - PS&E CERTIFICATION CHECKLIST

PS&E Certification Checklist	
Tribe:	
Agency with Jurisdiction over Facility:	
Project Name:	
Project Location:	
Type of Work:	
State: County or Borough:	
Action Item	✓
1. The project facility is included in the National Tribal Transportation Facility Inventory.	
2. The project is on a FHWA-approved TTIP.	
3. Public involvement has been completed in accordance with 25 CFR § 170.435 through 170.441.	
4. There is a Tribal resolution or other authorized document (signed and dated by the Tribal Government Leader) supporting the project.	
5. Appropriate construction easements, maintenance and utility agreements have been obtained in accordance with the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 for fee lands and 25 CFR 169 for trust lands.	
6. Cultural resources and environmental requirements have been met, that are listed in the official Tribal Transportation Program Delivery Guide on the Federal Lands Highway – Office of Tribal Transportation Website at https://highways.dot.gov/federal-lands/programs-tribal .	
7. This PE&E package meets or exceeds applicable design, health and safety standards according to 25 CFR § 170.454.	
8. No design exceptions are required for the design or specifications in this PS&E.	
9. For other than facilities under Tribal and BIA jurisdiction, the owner public authority was provided an opportunity to review and comment on the Tribe's PS&E package when it was between 75 and 95 percent complete.	
10. All applicable federal, state, and local permits (environmental, land use, etc.) have been obtained, and the resulting relevant conditions/commitments have been incorporated into the PS&E as appropriate.	
Tribal Signature: _____ Date: _____	

Exhibit 9.1 - Tribe Certification Letter for Soliciting Bids

Nicole R. Nason
FHWA Administrator

[date]

Dear Ms. Nason,

I certify that we afforded the public authority an opportunity to review and comment on the PS&E package for at least 30 days and received no written comments from the public authority that prevent the Tribe from proceeding with the project (Tribal Transportation Program Agreement - Article III, Section 1C(2)(c)).

In addition, we agree to initiate and complete TTP construction projects in accordance with the approved PS&E (Tribal Transportation Program Agreement - Article III, Section 1B).

Further, we confirm that we have Contracting Procedures (advertise bids, award, and contracts) documented and in place in order to perform the contracted programs and projects in accordance with the requirements of 25 CFR Part 170, as amended by the FAST Act (Tribal Transportation Program Agreement – Article III, Section 1B).

Please contact me if you have any questions concerning this letter.

Sincerely,

[Insert name],
[Tribe Name]

Tribal Representative

Exhibit 9.2 – TTP Pre-Advertisement Checklist**TTP PRE-ADVERTISEMENT CHECKLIST****Project Name:****Project Number:****National Tribal Transportation Facility Inventory Route No.:****National Tribal Transportation Facility Inventory Sections:**

DOCUMENT or MILESTONE	DATE
Project Agreement (with Facility Owner for Maintenance)	
TTP Design Standards Certification Form signed	
Environmental Clearance (CE___ EA___ or EIS___)	
Environmental Commitment Review by:	
(Verified all commitments incorporated into the PS&E)	
Permits (if applicable):	
404 Permit (Individual No. _____, or Nationwide No. _____)	
401 Permit	
NPDES Permit (Notice of Intent)	
SWPPP filed	
Encroachment Permit (State DOT, County, Municipality)	
Special Use Permit (for USFS projects)	
Other: (Any additional items to be included in SCRs)	
Tribal resolution or other authorized document (signed and dated by the Tribal Government Leader) supporting the project	
.....	
Right-of-Way and Utility Certification (Certification Level ____)	
Right-of-Way Agreements w/landowners or others	
Right-of-Entry/Letter of Consent (if applicable)	
Utility Data Quality Level Certification	
Utility Agreements	

Fire Plan (USFS Projects).....

External Review Distribution (Agency: _____)

External PS&E Review comments reviewed/incorporated

Approvals (attach Standards Certification Form):

State.....

County

Other

Internal PS&E Review comments reviewed/incorporated

PS&E QA/QC Completed by: _____

Engineer Estimate (EE) Check by: _____

Unit Price Analysis performed by: _____

IF DEVELOPED BY A/E FIRM:

All Plan Sheets Stamped, Sealed and Front Page of SCRs Stamped, Sealed and Signed

.....Signed.....

..... Signed.....

.....Instrument in place for A/E design support during construction

Name, phone #, and e-mail address of A/E Firm Contact:

.....

Anticipated Advertisement Date.....

Recommended for Approval by Tribal Official

Signature: _____

Date: _____

Title: _____

Exhibit 10.1 – Project Monitoring Checklist

FHWA Tribal Transportation Program

Project Monitoring Checklist

Complete this checklist during every project monitoring visit to help ensure TTP construction projects are in accordance with approved PS&E. Document a mini program review to assess the general health of the Tribe's administration of the Program. Per the TTP Agreement between Tribes and U.S.DOT:

- The Tribe agrees to allow FHWA Officials or by mutual agreement, a delegated representative of FHWA, the opportunity to visit project sites on a monthly basis or at critical project milestones, provided that FHWA gives the Tribe reasonable advance written notice.
- These visits are intended to allow FHWA to carry out its Stewardship and Oversight (S&O) responsibilities for the TTP or project(s) assumed by the Tribe under this Agreement.

Attach this checklist to the respective trip report.

PROJECT STATUS DATA

Tribe:			
Project Name:			
City, County (or Borough), State:			
Route Number(s):			
Milepost(s):		Project Length:	
Project Description:			
Notice to Proceed Date:		Percent Work Completed:	
Original Contract Completion Date:		Percent Time Elapsed:	
Current Contract Completion Date:		Construction Delivery Mode:	Please Select - Force Account or Contractor ▼
Award Amount:		Facility Owner:	Please Select - Tribe, BIA, County or State ▼
Current Contract Estimate:			

WORKMANSHIP		
Item	Yes/No/N/A?	Notes
GENERAL		
Quality control (QC) plan has been prepared for the prepared for the project and on file, if required by PS&E	<input type="text"/>	
Contractor is undertaking processes included in approved QC plan, if applicable	<input type="text"/>	
Personnel performing inspection work are qualified per the approved qualification program, or otherwise suitably experienced to perform successfully	<input type="text"/>	
Tribe or owner's representative is conducting sampling and testing to verify contractor data as defined in the quality assurance program	<input type="text"/>	
Materials are tested per applicable specifications	<input type="text"/>	
Sampling and testing (frequency/location) were conducted in accordance with contract and/or PS&E requirements for Earthwork, Structures, Asphalt, and PCC	<input type="text"/>	
ENVIRONMENTAL		
Erosion and sediment control devices are installed properly, inspected, and maintained (i.e. erosion control plan being followed) as required by permit conditions	<input type="text"/>	
Environmental contract and/or permit requirements are in compliance	<input type="text"/>	
Environmental documents are available onsite (ex: SWPPP, NPDES, 404, 401)	<input type="text"/>	
EARTHWORK		
Contract and/or PS&E requirements are being followed	<input type="text"/>	
Excavation, embankment, and backfill placement complies with the project PS&E regarding preparation, material, construction, and reporting	<input type="text"/>	

Item	Yes/No/N/A?	Notes
Compaction test(s) being performed and documented	<input type="text"/>	
STRUCTURES		
Contract and/or PS&E requirements are being followed	<input type="text"/>	
Foundation construction/Installation complies with the project PS&E regarding preparation, material, construction, documentation, and reporting	<input type="text"/>	
Material certifications are on file along with any required test results	<input type="text"/>	
Curing process complies with specifications	<input type="text"/>	
ASPHALT		
Base is in good condition	<input type="text"/>	
Mix is delivered at proper temperature	<input type="text"/>	
Test results for Density, Air Voids, VMA, and Asphalt Binder content according to mix design specifications	<input type="text"/>	
Mix is spread properly (thickness, crown, joints, uniform texture, continuous operation of paver)	<input type="text"/>	
Proper density is being obtained	<input type="text"/>	
PORTLAND CONCRETE CEMENT (PCC)		
Mix spread to correct thickness	<input type="text"/>	
Curing and tining applied in a timely manner	<input type="text"/>	
Dowel baskets properly installed	<input type="text"/>	
WORK ZONE SAFETY		
Traffic control devices installed and maintained in accordance with the Traffic Control Plan	<input type="text"/>	
Traffic control devices are clean and well maintained (ex: reflectivity, condition)	<input type="text"/>	
Travel way is well delineated	<input type="text"/>	
Work zone inspections are completed, documented, and on file in accordance with contract requirements	<input type="text"/>	
Flaggers certified and properly attired	<input type="text"/>	
DOCUMENTATION AND RECORD KEEPING		
Project payments are fully supported and backed-up by field records that identify quantities, work completed, and/or hours worked	<input type="text"/>	
Inspector Daily Reports and/or Project Diary are current, properly filed, and adequately support work progress	<input type="text"/>	
Contract modifications are approved, documented and on file	<input type="text"/>	
All materials sampling and testing records are on file (ex: structures)	<input type="text"/>	
Failed tests are documented with cross-references to re-tests	<input type="text"/>	
Materials certifications are on file	<input type="text"/>	
Approved mix designs are on file (ex: asphalt, PCC)	<input type="text"/>	

Item	Yes/No/N/A?	Notes
PROGRAMMATIC REVIEW		
Semi-Annual and Annual reports are current and on file	<input type="text"/>	
TTIP is current, on file, and approved	<input type="text"/>	
TTIP financial accounting records in the office are current and using acceptable accounting procedures. Copy of Tribe's financial management policies and procedures on file with FHWA.	<input type="text"/>	
Single Audit Corrective Action Plans being followed and on schedule	<input type="text"/>	
Tribal contracting procedures are being followed and documented. Copy of Tribe's contracting policies and procedures on file with FHWA.	<input type="text"/>	
Communication between Tribal offices and with FHWA meets the needs for Program success	<input type="text"/>	

OVERALL COMMENTS

Action Item	Description	Responsible Party	Due Date	Status
1				
2				
3				
4				
5				
6				

Project progress inspected by:

Exhibit 10.2 – Final Inspection Checklist

FHWA Tribal Transportation Program

Final Project Inspection Checklist

Complete this checklist for final project inspections and to help ensure the Tribe is preparing to generate and submit a construction closeout report in accordance with 25 CFR Part 170.473. Per the TTP Agreement between Tribes and U.S.DOT:

- ARTICLE III Section 1. F. Construction (3): "Once a TTP construction project is completed, the Tribe will prepare for the Administrator a final construction report and as-built plans for final inspection in accordance with 25 CFR §§ 170.472 through 170.474."
- ARTICLE IV Section 7. Joint Inspection: "The Administrator shall conduct the final project inspection jointly with the Tribe and facility owner and shall notify the BIA Regional Office that construction has been completed in accordance with the project plans and specifications for the purpose of project acceptance, inclusion, or data update in the BIA's TTP Inventory."

Attach this checklist to the respective trip report. If a BIA facility owner, then provide a copy of final inspection checklist to BIA Regional Road Engineer (or delegate) so (1) BIA can document final acceptance in accordance with 25 CFR 170.473(b) and; (2) provide a copy to FHWA TTP Program Delivery Manager.

PROJECT STATUS DATA

Tribe:			
Project Name:			
City, County (or Borough), State:			
Route Number(s):			
Milepost(s):		Project Length:	
Project Description:			
Notice to Proceed Date:		Percent Work Completed:	
Original Contract Completion Date:		Percent Time Elapsed:	
Current Contract Completion Date:		Construction Delivery Mode:	Please Select - Force Account or Contractor ▼
Award Amount:		Facility Owner:	Please Select - Tribe, BIA, County or State ▼
Current Contract Estimate:			

WORKMANSHIP		
Item	Yes/No/N/A?	Notes
GENERAL		
Quality control (QC) plan was prepared for the project and on file, if required by contract and/or PS&E	<input type="text"/>	
Personnel performing inspection work were qualified per the approved qualification program, or otherwise suitably experienced to perform successfully	<input type="text"/>	
Tribe or owner's representative conducted sampling and testing to verify contractor data as defined in the quality assurance program	<input type="text"/>	
Sampling and testing (frequency/location) were conducted in accordance with contract requirements for Earthwork, Structures, Asphalt, and PCC	<input type="text"/>	
ENVIRONMENTAL		
Complied with contract and/or permit specific environmental requirements.	<input type="text"/>	
Inspections were conducted in accordance with contract requirements.	<input type="text"/>	
EARTHWORK		
Contract and/or PS&E requirements are being followed	<input type="text"/>	
Compaction test(s) were performed and documented	<input type="text"/>	

Item	Yes/No/N/A?	Notes
STRUCTURES		
Contract and/or PS&E requirements were followed	<input type="text"/>	
Foundation construction/Installation complies with the project PS&E regarding preparation, material, construction, documentation, and reporting	<input type="text"/>	
ASPHALT		
Asphalt surface placed per the designed pavement roughness (no elevation differences at joints, crown and superelevation as required, and uniform texture)	<input type="text"/>	
Property density is being obtained	<input type="text"/>	
Ride quality is in conformance with specifications	<input type="text"/>	
PORTLAND CONCRETE CEMENT (PCC)		
Concrete surface placed per the designed pavement roughness (no elevation differences at joints, crown and superelevation as required, and uniform texture)	<input type="text"/>	
Ride quality is in conformance with specifications	<input type="text"/>	
WORK ZONE SAFETY		
Work zone inspections were completed, documented, and on file in accordance with contract requirements	<input type="text"/>	
DOCUMENTATION AND RECORD KEEPING		
Project payments are fully supported and backed-up by field records that identify quantities, work completed, and/or hours worked	<input type="text"/>	
Inspector Daily Reports and/or Project Diary are properly filed and adequately support work completed	<input type="text"/>	
Contract modifications are approved, documented and on file	<input type="text"/>	
Failed tests are documented with cross-references to re-tests	<input type="text"/>	
All materials sampling and testing records are on file (ex: structures)	<input type="text"/>	
Approved mix designs are on file (ex: asphalt, PCC)	<input type="text"/>	
Requirements for the closeout report discussed per 170.474	<input type="text"/>	
Project information to be used to develop the construction project closeout was made available during final inspection (170.473 (2) - diaries, weekly reports, etc.)	<input type="text"/>	
Are there any pending claims in the contract?	<input type="text"/>	
PROGRAMMATIC REVIEW		
Semi-Annual and Annual reports are current and on file	<input type="text"/>	
TTIP is current, on file, and approved	<input type="text"/>	
TTP financial accounting records in the office are current and using acceptable accounting procedures. Copy of Tribe's financial management policies and procedures on file with FHWA.	<input type="text"/>	
Single Audit Corrective Action Plans followed and on schedule	<input type="text"/>	
Tribal contracting procedures are being followed and documented. Copy of Tribe's contracting policies and procedures on file with FHWA.	<input type="text"/>	
Communication between Tribal offices and with FHWA meets the needs for Program success	<input type="text"/>	

OVERALL COMMENTS

--

Action Item	Description	Responsible Party	Due Date	Status
1				
2				
3				
4				
5				
6				

The final inspection, conducted jointly by the Tribal Nation and FHWA, found that the project has been completed in accordance with the project plans and specifications for the purpose of project acceptance.

<small>ENTER NAME</small>

Tribal Authorized Official Signature

--

Title

--

Date

<small>ENTER NAME</small>

FHWA Signature

--

Title

--

Date

<small>ENTER NAME</small>

Facility Owner*

--

Title

--

Date

**If other than Tribal Nation. If owner is not available to sign, an acceptance letter will suffice.*

Exhibit 10.3 - Final Letter of Acceptance

XY&Z Construction Company

[Insert address]

[Insert address]

[date]

RE: DPW Project No. [Insert project number]

Dear [name],

This letter is an acceptance to your work and acknowledges that all work on the project has been completed in accordance with the terms and conditions of the contract documents dated [Insert date]. This releases you on any further responsibilities. Further, the due to work performed is included as requested in your final request for payment.

Please contact me if you have any questions concerning this letter.

Sincerely,

[insert name]

Tribal Representative

cc: FHWA

Exhibit 10.4 - Final Letter of Acceptance For BIA Owned Facility

[Insert Tribe]
[Insert Tribal address]
[Insert Tribal address]

[date]

RE: DPW Project No. [Insert project number]

Dear [name],

This letter is an acceptance of all work on the referenced project. This acceptance is based on our review of daily and weekly status reports; participation in interim project construction reviews and final inspection; our review of progress reports, subcontracts, as-built-drawings, contract modifications, material certifications/testing reports; completion of contract modifications, final estimates, and no pending claims; and verification of environmental commits.

In summary, we find that all work on the project has been completed with the terms and conditions of the contract documents dated [Insert date]. Further, this releases you on any further responsibilities.

As a reminder, forward us the final as-built plans when completed.

Please contact me if you have any questions concerning this letter.

Sincerely,

[insert name]
BIA Representative

cc: FHWA

Exhibit 10.5 - Project Closeout Forms for Tribes – Optional**TRIBAL TRANSPORTATION PROGRAM****PROJECT CLOSEOUT CHECKLIST**

Project Name:**Project Number:****Final Estimate Assembly:**

- ☐ Certification Of Final Estimate
- ☐ Contractor's Release
- ☐ Summary of Quantities
- ☐ As-Built Plans

Final Construction Report

- ☐ Final Estimate Assembly (See above)
- ☐ Final Construction Report Summary Sheet
- ☐ Reports (as required):
 - Daily Diaries
 - Weekly Progress Reports
 - Clear Water Act (NOT)
 - Certificate of Material Compliance
 - Utility Adjustments
 - Report on Use of Regulatory Speed Signs (if Regulatory Speed order used)
 - Report on Claims (if the contractor submits a claim)
- ☐ Explanation of Overruns, Underruns, Change Documents. (List only contract major bid items whose final quantity varied more than 25% from the estimated quantity and an explanation of all change document items)
- ☐ Right-of-Way Certification
- ☐ Proof of Use for Material Sources with Material Site Record.
- ☐ Final Inspection Report

**TRIBAL TRANSPORTATION
PROGRAM
CONTRACTOR'S RELEASE**

<p>Project Name: _____</p> <p>Located at: _____</p>	<p>Issue Date: _____</p> <p>Project No: _____</p> <p>Contract No.: _____</p>
Contract Compensation Summary	
Final Amount: _____	
Less Liquidated Damages: _____	
Total Final Sum: _____	
Less previous payments OR	
Estimate(s), 1 through _____	
Totaling: _____	
Final Payment Due: _____	
<p>Pursuant to the terms of the written contract dated _____, _____ for the construction of _____</p> <p>Project Number(s) _____, and in consideration of the total final sum of _____</p> <p>Dollars () which has been or is to be paid under the said contract to (Contractor's Name)</p>	
<p>located at _____</p> <p>(hereinafter called the Contractor) or it assignees, if any, the Contractor, upon payment of the said sum by the Tribe, does remise, release, and discharge the Tribe, its officers, agents, and employees, of and from all liabilities, obligations, claims, and demands whatsoever under or arising from said contract, whether known or unknown and whether or not ascertainable at the time of the execution of this instrument except specified claims in stated amounts or in estimated amounts where the amounts are not susceptible of exact statement by the Contractor, as follows:</p>	
<p>The Contractor agrees, in connection with the claims which are not released as set forth above, that (s)he will comply with all of the provisions of the said contract, including without limitation those provisions relating to the notification of the Tribe and relating to the prosecution of claims.</p> <p>IN WITNESS WHEREOF, this release was executed this _____ day of _____, _____.</p>	
Witness	Contractor
Witness	By: _____
	Title: _____

(NOTE: In the case of a corporation, witnesses are not required, but certificate on reverse side must be completed by a corporate officer other than the one who signs above.)

CERTIFICATE

I, _____, certify that I am the _____
Name Title
of the corporation named as Contractor in the foregoing release; that _____
Name
who signed said release on behalf of the Contractor was then _____
Official Title
of said corporation; that said release was duly signed for and in behalf of said corporation by
authority of its governing body and is within the scope of its corporate powers.

Signature

Print Name

IN WITNESS WHEREOF,

I have set my hand and affixed my official seal this _____ day of _____, _____.

My Commission Expires: _____

Notary Public

FINAL ESTIMATE SUMMARY OF QUANTITIES

Project Name & Location: _____

[illegible]

Date: _____

TRIBAL TRANSPORTATION PROGRAM**FINAL CONSTRUCTION REPORT SUMMARY SHEET**

PROJECT NAME: _____
PROJECT NUMBER: _____
PROJECT LOCATIONS: _____
PROJECT DESCRIPTION: _____
PROJECT ENGINEER: _____
CONTRACTOR: _____
DATE OF AWARD: _____ NOTICE TO PROCEED: _____
START DATE OF CONSTRUCTION: _____
ORIGINAL CONTRACT COMPLETION DATE: _____
AMENDED CONTRACT COMPLETION DATE: _____
PROJECT ACCEPTANCE DATE: _____
OVERRUN TIME: _____ DAYS LIQUIDATED DAMAGES: _____ DAYS
ENGINEER'S ESTIMATE: _____
ORIGINAL AWARD AMOUNT: _____
ADDITION OR REDUCTION AFTER AWARD: _____
FINAL CONTRACT AMOUNT: _____

TRIBAL TRANSPORTATION PROGRAM**RIGHT-OF-WAY CERTIFICATION
AND
RELOCATION PROGRAM ASSURANCES**

There are _____ parcels on this project and _____ temporary easements and permits.

All individuals and families were relocated to decent, safe, and sanitary housing, or displaced persons were relocated to the adequate replacement housing that the Tribe made available to them in accordance with the provisions of the current BIA/FHWA directives and one of the following applies:

- ☐ All necessary right-of-ways, including control of access rights when pertinent, were acquired including legal and physical possession. There are _____ parcels in condemnation.
- ☐ Although all necessary right-of-ways were not fully acquired, the right to occupy and to use all rights-of-way required for the proper execution of the project was acquired. There are _____ parcels with right of entry only.
- ☐ The acquisition or right of occupancy and use of a few remaining parcels is not complete, but all occupants of the residences on such parcels have replacement housing made available to them in accordance with 49 C.F.R. 24.204. A listing of these parcels with their anticipated acquisition date is shown on the attached sheet.
- ☐ Construction will be contained within existing right-of-way.

Date _____

TRIBE'S TRANSPORTATION PROGRAM OFFICIAL

Print Name

FINAL INSPECTION OF TRIBAL TRANSPORTATION PROGRAM PROJECT		
1. PROJECT NAME AND NUMBER	2. TRIBAL COUNCIL	3. CITY
4. DESCRIPTION OF IMPROVEMENT AS PROGRAMMED		
5. CONTRACTOR'S NAME		6. CONTRACT AMOUNT
7. NOTICE OF COMPLETION: The above listed project is completed. A final inspection by the Tribe's Transportation Program has found this project to be in reasonable conformance with the PS&E.		
<div style="text-align: right;">Date _____</div>		
SIGNATURE (TRIBE'S TRANSPORTATION PROGRAM OFFICIAL)		
<div style="text-align: right;">_____</div>		
NAME and TITLE		
8. INSPECTION MADE BY		9. DATE OF INSPECTION
10. IN COMPANY WITH		
cc:		

Exhibit 10.6 – Safety Checklist

Version 1.0, 2/7/2014

SAFETY CHECKLIST for Construction Projects	
Date of Review:	Conducted by:
General	
Is the project constructible using the construction Traffic Control Plan (TCP) as shown in the PS&E?	Y/N
Does the traffic control affect the design, such as material requirements from roadways used for public use during the construction?	Y/N
Are there traffic restrictions?	Y/N
Is there enough work area and staging areas for the Contractor to do the necessary construction operations?	Y/N
Does the construction traffic control allow for Contractor access?	Y/N
Is the speed based on the existing posted speed?	Y/N
Is the work site safe for both traffic and workers?	Y/N
Comments:	
Signing	
Are the signs being used per the new MUTCD?	Y/N
Do the sign messages convey the intended actions that are required to be taken?	Y/N
Do the signs have the proper legends, sizes, color combinations, and reflectivity?	Y/N
Do the signs have the proper legends, sizes, color combinations, and reflectivity?	Y/N
Is the location of the sign per the MUTCD?	Y/N
Are the signs properly spaced?	Y/N
Are the layout measurements tied to a physical feature so the Contractor can do the layout in the field?	Y/N
Is there proper sight distance to the sign?	Y/N
Is it physically possible to place the sign where indicated?	Y/N
Is there sufficient horizontal clearance?	Y/N
Any existing signing that needs to be replaced to be in accordance with the MUTCD?	Y/N
Any conflicting existing signing?	Y/N
Markings	
Have passing zones been verified?	Y/N
Matching existing?	Y/N
Handicap parking meets ADA requirements?	Y/N
Striping requirements per the new MUTCD?	Y/N
Meets Centerline warrants?	Y/N
Meets edge line warrants?	Y/N
Comments:	
Construction Signing	
Are the signs being used per the MUTCD?	Y/N

SAFETY CHECKLIST for Construction Projects	
If the situation calls for a standard traffic control scheme, do the advance warning signs match those shown in the standard layouts in the MUTCD?	Y/N
Do the sign messages convey the intended actions that are required to be taken?	Y/N
Do the signs have the proper legends, sizes, color combinations, and reflectivity? (The MUTCD provides that the minimum letter size for signs should not be less than five inches for low volume traffic.)	Y/N
Is the location of the sign per the MUTCD?	Y/N
Are the signs properly spaced?	Y/N
Are the layout measurements tied to a physical feature so the Contractor can do the layout in the field?	Y/N
Are there existing signs within the construction zone that may conflict with the Traffic Control Plan?	Y/N
Do any of the existing signs obscure the view of advance warning signs?	Y/N
If stage construction is used, is the signing from stage to stage consistent (sign types and locations)?	Y/N
If a numbered route, are the numbered routes used for the detour?	Y/N
If a detour is not provided could a detour work?	Y/N
Are all access points properly signed?	Y/N
Is it physically possible to place the sign where indicated?	Y/N
Is there sufficient horizontal clearance?	Y/N
Is there a need for any pedestrian or bicycle signing?	Y/N
Comments:	
Channelizing Devices	
Are the correct devices used for a particular operation? (Drums should be used instead of barricades, type II; Temporary concrete barriers should not be used as a channelizing device.)	Y/N
Are channelizing tapers located correctly?	Y/N
Are channelizing tapers the correct length?	Y/N
Are devices spaced correctly in the taper?	Y/N
Are devices spaced correctly in the work area?	Y/N
Do the devices meet MUTCD requirements for size, type, color, and reflectivity?	Y/N
Are the devices properly ballasted (weighted down)?	Y/N
Comments:	
Pavement Markings	
If short-term markings required, do they coincide with MUTCD 6D and Federal Lands Highway policy?	Y/N
Is marking consistent, especially during stage construction?	Y/N
Do existing pavement markings conflict with the proposed temporary markings?	Y/N
Comments:	
Lighting Devices	
Are warning lights used correctly? (Warning lights, type A should be used on drums or barricades to mark point hazards, or on the first two devices in a taper: Warning lights, type B, if used, should be used on signs and the batteries should be placed no higher than 12 inches off the ground: Warning lights, type C should be used on drums or barricades used in a series for delineation.)	Y/N

SAFETY CHECKLIST for Construction Projects	
Are arrow panels placed on the shoulder adjacent to the beginning of the taper? (If there is limited shoulder, the arrow board should be placed in the closed lane towards the beginning of the taper.)	Y/N
Is there adequate sight distance for the arrow board?	Y/N
Is the arrow panel being used correctly? (Arrow panels should not be used in "passing arrow" mode on two-lane two-way roadways, shoulder closures, or lanes shifts: For the cases listed above the arrow board can be used in the "caution" mode.)	Y/N
Comments:	
Barriers	
Are untreated temporary barrier ends exposed to traffic?	Y/N
Is the area between the barrier and the travel lanes relatively flat (approximately 10:1)?	Y/N
Are temporary barriers required due to drop-off close to the travel lanes?	Y/N
Are existing barriers being removed such that the hazards they were protecting are now a hazard during the construction?	Y/N
Is temporary barrier properly accounted for? (For stage construction, use the greatest amount of barrier required for a particular stage as the barrier quantity, and remember to account for storing barrier during stages with less than the greatest amount for moving barrier.)	Y/N
Are construction areas properly shielded?	Y/N
Should temporary barrier be bolted to the pavement or bridge deck do to their deflection?	Y/N
Are barriers flared away from the roadway in accordance with AASHTO Roadside Design Guide?	Y/N
Comments:	
Flaggers	
If flaggers are being used are the proper warning signs displayed?	Y/N
Is the flagging station visible to oncoming traffic?	Y/N
When the flagger is not on station, is the flagger sign covered or removed?	Y/N
Comments:	
Miscellaneous	
Does the Project Engineer have names and phone numbers of persons to contact in case of emergencies?	Y/N
If there are special construction events (i.e., roadway closures) are there provisions for the Contractor to notify the Project Engineer in advance so the Engineer can notify authorities?	Y/N
Are roadway drop-offs excessive?	Y/N
Does the Contract identify time restrictions placed so that the Contractor can only perform work during certain times?	Y/N
Is there a possibility of pedestrians and cyclists in the project area?	Y/N
For projects with stage construction, when the traffic control is switched from one stage to the next, are there provisions in the Contract to accomplish that operation?	Y/N
Can the traffic control switching be accomplished under traffic?	Y/N

Exhibit 10.7 – Construction Equipment Purchase Request Form

This form shall be used and submitted for all construction equipment purchase requests by Tribal Governments who have a Tribal Transportation Program Agreement with FHWA.

1. How will this construction equipment be used for the Tribal Transportation Program (TTP)?

(If more space is needed, provide attachment)

2. What storage is available for the equipment? Check one: Garage ☐ Outdoors ☐

3. How will the equipment be maintained? Check one: In-house ☐ Contract Services ☐

4. Lease/Purchase Cost Analysis:

Equipment Make and Model	Model Year	Equipment Attachments or Accessories	Lease Cost Plus Shipping Round-trip (\$)*	Purchase Price Plus Shipping One-Way (\$)

* Note: Multiply the monthly lease cost by the number of months the equipment will be leased.
Add the cost of round-trip shipping from vendor to the project site and return.

5. What is the amount of TTP funds to be used for this purchase? \$_____
6. Enter the funding available for this construction equipment as shown on the current approved Tribal TIP: \$_____
7. Attach copies of vendors' quotes that show the costs entered in the above table. Vendors' quotes may be on copies of emails from vendors and/or letters on vendors' letterhead.

Requestor: _____ Date: _____
Name/Title

FHWA Approved By: _____ Date: _____
Name/Title

Exhibit 12.1 – National Bridge Inventory Structure Inventory and Appraisal Sheet

Year:	State:	Structure:	Federal Agency:
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USE OF THIS DOCUMENT IS SUBJECT TO 23 USC SEC 409.

*****IDENTIFICATION*****				*****CLASSIFICATION*****		CODE
(1) STATE NAME:	CODE:		SUFFICIENCY RATING:			
(8) STRUCTURE NUMBER:			STATUS:			
(5) INVENTORY ROUTE (ON/UNDER):						
(2) HIGHWAY AGENCY DISTRICT:			(112) NBIS BRIDGE LENGTH:			
(3) COUNTY CODE:	(4) PLACE CODE:			(104) HIGHWAY SYSTEM:		
(6) FEATURES INTERSECTED:			(26) FUNCTIONAL CLASS:			
(7) FACILITY CARRIED:			(100) STRAHNET HIGHWAY:			
(9) LOCATION:			(101) PARALLEL STRUCTURE:			
(11) KILOMETERPOINT:			(102) DIRECTION OF TRAFFIC:			
(12) BASE HIGHWAY NETWORK:	CODE		(103) TEMPORARY STRUCTURE:			
(13) LRS INVENTORY ROUTE & SUBROUTE:			(105) FEDERAL LANDS HIGHWAYS:			
(16) LATITUDE:	DEG	MIN	SEC	(110) DESIGNATED NATIONAL NETWORK:		
(17) LONGITUDE:	DEG	MIN	SEC	(20) TOLL:		
(98) BORDER BRIDGE STATE CODE:	% SHARE:		(21) MAINTAIN:			
(99) BORDER BRIDGE STRUCTURE NUMBER:			(22) OWNER:			
				(37) HISTORICAL SIGNIFICANCE:		
*****STRUCTURE TYPE AND MATERIAL*****				*****CONDITION*****		CODE
(43) STRUCTURE TYPE MAIN - MATERIAL:			(58) DECK:			
	CODE		(59) SUPERSTRUCTURE:			
(44) STRUCTURE TYPE APPR - MATERIAL:			(60) SUBSTRUCTURE:			
	CODE		(61) CHANNEL AND CHANNEL PROTECTION:			
(45) NUMBER OF SPANS IN MAIN UNIT:			(62) CULVERTS:			
(46) NUMBER OF APPROACH SPANS:			*****LOAD RATING AND POSTING*****		CODE	
(107) DECK STRUCTURE TYPE:	CODE:		(31) DESIGN LOAD:			
(108) WEARING SURFACE / PROTECTIVE SYSTEM:			(63) OPERATING RATING METHOD:			
(A) TYPE OF WEARING SURFACE:	CODE:		(64) OPERATING RATING:			
(B) TYPE OF MEMBRANE:	CODE:		(65) INVENTORY RATING METHOD:			
			(66) INVENTORY RATING:			

(C) TYPE OF DECK PROTECTION:	CODE:	(70) BRIDGE POSTING:	
*****AGE AND SERVICE*****		(41) STRUCTURE OPEN, POSTED OR CLOSED:	
(27) YEAR BUILT:		DESCRIPTION:	
(106) YEAR RECONSTRUCTED:		*****APPRAISAL*****	CODE
(42) TYPE OF SERVICE - ON:		(67) STRUCTURAL EVALUATION:	
- UNDER:	CODE:	(68) DECK GEOMETRY:	
(28) LANES - ON STRUCTURE:	UNDER STRUCTURE:	(69) UNDERCLEARANCES, VERTICAL & HORIZONTAL:	
(29) AVERAGE DAILY TRAFFIC:		(71) WATERWAY ADEQUACY:	
(30) YEAR OF ADT:	(109) TRUCK ADT %:	(72) APPROACH ROADWAY ALIGNMENT:	
(19) BYPASS, DETOUR LENGTH:	KM	(36) TRAFFIC SAFETY FEATURES:	
*****GEOMETRIC DATA*****		(113) SCOUR CRITICAL BRIDGES:	
(48) LENGTH OF MAXIMUM SPAN:	M	*****PROPOSED IMPROVEMENTS*****	
(49) STRUCTURE LENGTH:	M	(75) TYPE OF WORK:	CODE:
(50) CURB OR SIDEWALK - LEFT:	M RIGHT:	(76) LENGTH OF STRUCTURE IMPROVEMENT:	
(51) BRIDGE ROADWAY WIDTH CURB TO CURB:	M	(94) BRIDGE IMPROVEMENT COST:	
(52) DECK WIDTH OUT TO OUT:	M	(95) ROADWAY IMPROVEMENT COST:	
(32) APPROACH ROADWAY WIDTH (W/SHOULDERS):	M	(96) TOTAL PROJECT COST:	
(33) BRIDGE MEDIAN:	CODE:	(97) YEAR OF IMPROVEMENT COST ESTIMATE:	
(34) SKEW:	(35) STRUCTURE FLARED:	(114) FUTURE ADT:	
(10) INVENTORY ROUTE MIN VERT CLEAR:	M	(115) YEAR OF FUTURE ADT:	
(47) INVENTORY ROUTE TOTAL HORIZ CLEAR:	M	*****INSPECTIONS*****	
(53) MIN VERT CLEAROVER BRIDGE RDWY:		(90) INSPECTION DATE:	(91) FREQUENCY:
(54) MIN VER UNDERCLEAR REF:	M	(92) CRITICAL FEATURE INSPECTION:	(93) CFI DATE
(55) MIN LAT UNDERCLEAR RT REF:	M	(A) FRACTURE CRITICAL DETAIL:	A) /
(56) MIN LAT UNDERCLEAR LEFT:	M	(B) UNDERWATER INSP: Yes	B) /
*****NAVIGATION DATA*****		(C) OTHER SPECIAL INSP: Yes	C) /
(38) NAVIGATION CONTROL:	CODE:	*****WASHINGTON OFFICE FIELDS*****	
(111) PIER PROTECTION:	CODE:	(DT) DEDUCT CODE:	
(39) NAVIGATION VERTICAL CLEARANCE:	M	(RC) SPECIAL CODE:	
(116) VERT-LIFT BRIDGE NAV MIN VERT CLEARANCE:	M	(DLU) DATE LAST UPDATE (MM/DD/YYYY):	
(40) NAVIGATION HORIZONTAL CLEARANCE:	M	(TLU) TYPE LAST UPDATE:	
		PROGRAM CODE:	
		PROJECT NUMBER:	

Exhibit 12.2 – TTP Bridge Program Certification Checklist**TTP BRIDGE PROJECT** _____

Project Name: _____ Project Number: _____

Structure No. (item 8): _____ ID Number: _____ Region: _____

Agency: _____ Reservation: _____

County: _____ State _____

Project Location: _____

General Description of the Work: _____

Ownership: _____ BIA: _____ If non-BIA owned, provide the following:

Name of Owner: _____ Point of contact (name): _____

Point of Contact's phone number: _____

Sufficiency Rating: _____ (Note: Attach SI&A data sheet on which this project is based)

Status:

Type of Construction: _____ ADT (item 29): _____

Detour Length (item 19): _____ (miles) Truck ADT (item 109) _____ Function Class (item 26): _____

Do School Buses use this bridge? _____ How many trips per day? _____

Safety Issues involved with this project? _____

Does the bridge project have Right of Way? _____ If Yes, date obtained: _____

NEPA Compliance, Date: _____ Archeological/Cultural Resource Compliance, Date: _____

PS&E Approval, Date: _____

Estimated cost of the construction contract (funds Requested): \$ _____

Remarks: _____

We certify that the bridge project PS&E package is complete, approved, and the project is ready to proceed to construction and request funding:

Tribal Transportation Director (approval): _____

Date: _____