



Systems Engineering and Architecture Compliance (23 CFR 940.11) Checklist

For all federally funded Intelligent Transportation Systems (ITS) projects, a Systems Engineering and Architecture Compliance Checklist must be submitted to the Federal Highway Administration (FHWA) as part of the federal authorization paperwork. Prior to FHWA submittal, this checklist needs to be completed and submitted to Arizona Department of Transportation (ADOT) Transportation Technology Group (TTG) Manager for review and approval.

Section 1 – Project Information	
1.1 Project Manager and Contact Information:	
1.2 Project Title:	
1.3 ADOT TRACS Number:	Federal-aid Project Number:
1.4 Project Description:	
1.5 Project Location:	
1.6 Budget: State Federal Other (Please Specify)	
1.6 Nature of Work ("√" appropriate box):	
<input type="checkbox"/> Software/Integration	<input type="checkbox"/> Planning
<input type="checkbox"/> Construction	<input type="checkbox"/> Equipment Upgrades
<input type="checkbox"/> Operations	<input type="checkbox"/> Other (Please Specify):
<input type="checkbox"/> Evaluations	
Section 2 – Regional or Statewide Architecture Conformance	
2.1 Regional or Statewide Architecture:	
<input type="checkbox"/> MAG	<input type="checkbox"/> PAG
	<input type="checkbox"/> Statewide
2.2 User Service Bundles Implemented:	
<input type="checkbox"/> Travel and Traffic Management	<input type="checkbox"/> Emergency Management
<input type="checkbox"/> Public Transportation Management	<input type="checkbox"/> Advanced Vehicle Safety
<input type="checkbox"/> Electronic Payment	<input type="checkbox"/> Information Management
<input type="checkbox"/> Commercial Vehicle Operations	<input type="checkbox"/> Maintenance and Construction Management



2.3 Market Packages Implemented:

2.4 Changes recommended to Regional or Statewide Architecture?

Yes No

If "Yes", please specify and provide detail:

Section 3 - Participating Agencies and their Roles

3.1 Lead Agency:

3.2 Participating Agencies:

3.3 Is an Intergovernmental Agreement (IGA/JPA) Needed for this Project?

Existing To be Developed No

Please describe operational and budgetary relationships:

Section 4 – Requirements Definitions and Alternatives Analysis

4.1 Project Purpose and Need Summary

Is there a project scoping document defining the issue? Yes No

If "No", please provide information:

Is there a project scoping document defining proposed alternatives? Yes No

If "No", please provide information:

4.2 Project Documentation

	Existing	Existing to Be Modified	To be Developed	Comment/Document Reference
Feasibility Study	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	



	Existing	Existing to Be Modified	To be Developed	Comment/Document Reference
Alternative Analysis	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Concept of Operations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Design / Post Design	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

5.2 Procurement Methods:

- | | |
|--|--|
| <input type="checkbox"/> Construction Contract | <input type="checkbox"/> Procurement Contract |
| <input type="checkbox"/> Request for Proposal | <input type="checkbox"/> Other (Please Specify): |
| <input type="checkbox"/> Invitation to Bid | |

5.3 Equipment to be purchased:

5.4 Procurement Contract Numbers to be used:

Section 6 – ITS Standards

6.1 Which specific [National ITS Standards](#) will be used in this project such as NTCIP and IEEE?



If no National ITS Standards can be identified please explain why not:

Section 7 – Systems Testing

7.1 Systems Testing Documentation

	Existing	Existing to Be Modified	To be Developed	Comment/Document Reference
System Test Plan	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
System Validation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Section 8 – Operational Resources

8.1 Procedures and Resources needed for Operation:

Section 9 - Schedule

9.1 Expected Completion Date:

9.2 Relationship to Other Federal, State, County, and Local Projects and Phases:



Section 10 – Strategic Plans for System Update

10.1 Plans for system upgrade and lifecycle (“√” appropriate box)

	Existing	Existing to Be Modified	To be Developed	Comment/Document Reference
System Update Plan	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

ADOT Transportation Technology Group Manager Signature _____

Date _____