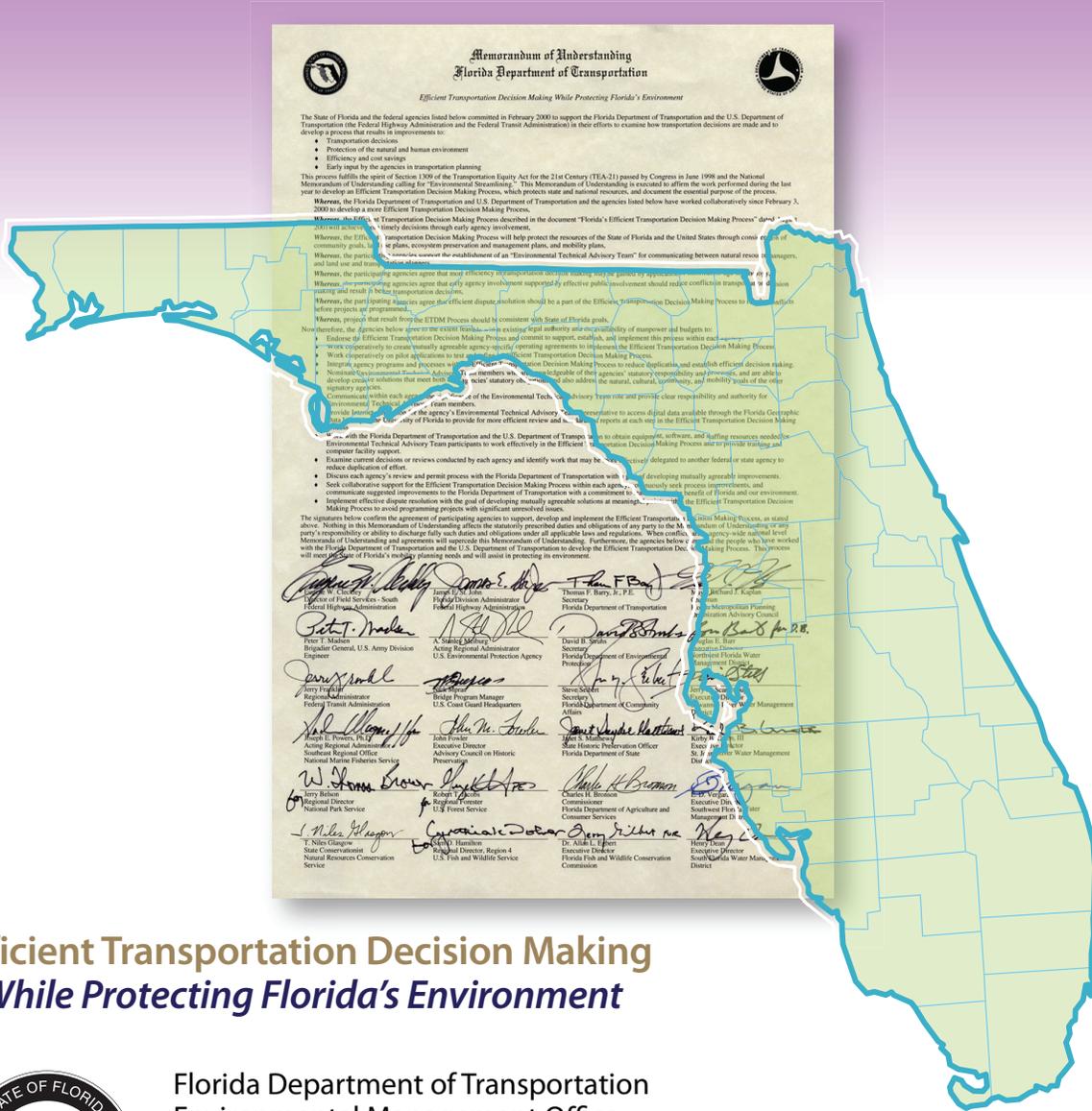


etdm

Efficient Transportation Decision Making

FDOT Funded Positions Reference Handbook



Efficient Transportation Decision Making
...While Protecting Florida's Environment



Florida Department of Transportation
Environmental Management Office
Mail Station 37
605 Suwannee Street
Tallahassee, FL 32399-0450
Phone: (850) 414-4447
www.dot.state.fl.us/emo

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Chapter 1 Purpose of Handbook

1.1 Introduction

This handbook provides an overview of funded position requirements, as established through the Efficient Transportation Decision Making (ETDM) Process Funding Agreements and invoicing procedures. It also includes step-by-step guidance to develop, process, review, and submit invoices.

1.2 Background

The ETDM Process facilitates planning phase interaction among transportation planners, federal and state agencies, Native American Tribes (collectively referred to as the Environmental Technical Advisory Team [ETAT]) and affected communities in order to gain their input on qualifying transportation projects and in turn improve planning and environmental review and decision-making.

For more information on the ETDM Process, please see the ETDM Manual.

1.3 ETDM Support and Maintenance Activities

The authority to execute funding agreements with ETAT partner agencies is pursuant to Section 1305 of Moving Ahead for Progress in the 21st Century (MAP-21), which allows funding for process elements that include development of general permits, programmatic agreements, systems-level mitigation programs/plans; efforts to integrate Section 404/National Environmental Policy Act (NEPA) processes; interagency coordination for streamlining purposes, and other similar activities which produce an efficient project delivery and decision-making system acceptable to the ETAT agency, FDOT, and FHWA.

Moreover, FDOT, in partnership with FHWA provides technical assistance, support and funding for the development, management, and maintenance of the ETDM Process consistent with the streamlining initiatives outlined in Section 1309 of TEA-21, Sections 6001 and 6002 of Safe, Accountable, Flexible, Efficient Transportation Act – A Legacy for Users (SAFETEA-LU), Section 1310 of Moving Ahead for Progress in the 21st Century (MAP-21), and the ETDM Memorandum of Understanding (MOU) and implementing agreements.

Besides funding for ETAT participation, the following environmental streamlining activities are eligible for federal funding and reimbursement:

- Activities essential to maintain, update, and develop Geographic Information System (GIS) databases essential to ETDM.
- Activities essential to maintaining, developing, storing, and using the Environmental Screening Tool (EST) - the online, interactive database, and mapping application that supports the ETDM Process, including the operation of an EST Help Desk.
- Activities essential to developing and updating sociocultural data and analysis, indirect and cumulative data and analysis, public involvement programs, and any other issue related to planning or NEPA.
- Activities essential to developing, updating, and maintaining an online performance management system, including data collection, monitoring, and reporting.
- Activities essential to developing, conducting and periodically updating online and classroom-based training for ETDM-related program areas, such as the EST, and Project Development & Environment (PD&E).
- Consultant staffing support needed to implement ETDM and ETAT agency program management, invoicing, and funding as established by individual ETAT agency agreements.

- Statewide environmental streamlining initiatives to implement SAFETEA-LU by linking planning and NEPA, establish efficiencies in NEPA and environmental programs and processes, procedures, and resource agency ETAT meetings, or any other program development activities.
- All Native American coordination activities related to environmental streamlining and NEPA.

Chapter 2 Interagency Agreements

2.1 Introduction

This chapter describes the purpose and content of the three agency agreements (Master Agreement [MA], Agency Operating Agreement [AOA], and Funding Agreement [FA]), which define ETAT agency roles and responsibilities, and their potential resource needs. For specific details, each ETAT agency should refer to their executed FA, AOA and MA.

2.2 Master Agreement

The MA defines the ETDM process, outlining general process participants, stages, and supplemental components, for instance ETDM-related training opportunities. The MA is a general agreement (i.e., not agency specific) and the same for each agency. Recent program evaluations revealed the desire to consolidate the content of existing MAs into AOAs to create a single document. This merger is ongoing and coincides with AOA renewal and renegotiation efforts.

2.3 Agency Operating Agreements

The AOA supplements the MA (if the agreements are still separate) by specifying agency statutory and regulatory review responsibilities and authorities within the ETDM process. Specifically, the AOA describes an agency's unique engagement with the ETDM process and establishes review expectations, timelines, activities, performance objectives, and products specific to the agency's authorities and expertise.

2.4 Funding Agreements

The FA specifies the work products or services expected in exchange for receiving funds to participate in the ETDM process. The two types of FAs include: Reimbursement of Funds and Advance Payment of Funds. FAs are for agencies that are willing but unable to provide FDOT projects with expedited, priority review without an additional funding source. Examples of funded activities include:

- Staffing (e.g. Full Time Equivalent [FTE], Other Personnel Services, [OPS])
- Travel
- Training and equipment

The billable hours submitted by review specialists from funding provided in FAs shall represent work done exclusively (100%) on reviewing FDOT projects, providing expedited project coordination, technical assistance, and document review as identified in the agency's AOA. The following are typical tasks contained in FAs:

- Review and comment on ETDM projects
- Participate in agency scoping for PD&E
- Review and comment on resource inventory and impact assessment activities
- Provide preliminary environmental analyses, guidelines, and review
- Represent the agency at meetings
- Participate in the development and implementation of written FDOT and agency guidance

- Provide technical assistance and commentary, as requested by FDOT, to satisfy data needs on permits and environmental and technical documents
- Coordinate and provide training on resource issues
- Organize meetings and conference calls to clarify problems at the request of the agency or FDOT
- Provide reporting, billing, and other administrative functions

Agencies providing goods and services to FDOT should be aware of the following timeframes. Upon receipt, FDOT has five (5) working days to inspect and approve the goods and services. FDOT has twenty (20) days to deliver a request for payment (voucher) to the Florida Department of Financial Services (FDPS). The twenty (20) days are measured from the latter of the dates the invoice is received or the goods or services are received, inspected, and approved pursuant to Section 215.422, F.S.

2.5 Amendment of Agreements

Agreements can only be amended before their expiration date. In the event that an agency needs to modify their MA, AOA, or FA prior to the expiration date, FDOT will submit an Exhibit A - Modification to Agreement form along with full justification to the agency for review and signature. Proposed modifications are effective the day all authorized signatures are obtained on the Exhibit A - Modification to Agreement. Examples of agreement modifications include requests for personnel approval, increases in advance payment, or time extensions. A sample of the Exhibit A – Modification Agreement Form is included as **Appendix A**.

Should an agency identify the need for additional funding and/or additional staff in order to maintain expedited project review requirements, the standard Exhibit A - Modification to Agreement form (**Appendix A**) is also used. When generating this request, please review and provide answers to the questions supporting the justification found in **Appendix B**.

An ETAT agency's method of payment (advance payment or reimbursement) cannot be amended during the term of the agreement. Changing the method of payment requires the development and execution of a new FA.

Agreements may also be terminated by any party to the agreement; refer to the termination conditions found in each executed agreement for more details.

2.6 Renegotiation of Expiring Agreements

Prior to the expiration of an agreement, an ETAT agency, FDOT, and FHWA will meet to review the funding program and identify program issues and accomplishments. This serves as the basis for agreement renegotiation, which involves the following steps:

- 1) The draft agreement is reviewed and coordinated within Central Environmental Management Office (CEMO).
- 2) The draft agreement is coordinated with the ETAT agency contact, and FHWA representatives.
- 3) Any questions or issues are answered and addressed in order to reach consensus.
- 4) The proposed agreement is reviewed within FDOT (including Legal and the Comptroller's Office) and by FHWA.
- 5) The final agreement is coordinated with the agency contact for final review and acceptance.
- 6) Once accepted, the CEMO will process the agreement for signature and execution.

2.7 Single Audit Requirements

The administration of resources awarded by FDOT to other agencies as defined in the Office of Management and Budget (OMB) Circular A-133, as revised, may be subject to audits and/or monitoring by FDOT, as described in the Single Audit Language contained in **Appendix C**.

Chapter 3 ETDM Funding Agreements

3.1 Funding Levels

The ETDM Process currently provides funding for the equivalent of 20.0 full-time positions. The funding sources for the agency positions are FDOT and FHWA.

3.2 Funding Agreement Budgets

An estimated cost breakdown or proposed budget is required to justify each ETDM funded position, including all associated direct and indirect costs. The budget can be included as a yearly total or itemized as follows:

- Salary and benefits, including overhead
- Other direct and indirect costs
- Consultant outsourcing

Budgets are prepared by the agency and submitted to the CEMO Project Screenings and Technologies Administrator for review, modification and approval. Budgets should not exceed five year terms and must identify all staffing requirements, including FTEs, OPS, and administrative support staff to be funded by the program.

3.3 Expenses Not Eligible for Funding

Examples of expenses not eligible for funding include but are not limited to:

- Awards and certificates (e.g. Employee of the Year)
- Employee Relocation Expenses

Each agency agrees to coordinate with CEMO prior to conducting any undefined or questionable activity to ensure funding eligibility.

3.4 Department of Financial Services (DFS) Pre-Approval

DFS pre-approval must be obtained prior to signing an FA for:

- Advance payment
- Federal travel rates

3.5 Advance Payment

All Advance Payment request must be approved annually by DFS. Federal travel regulations and rates must be approved separately from the Advance Payment request. Advance Payment approval is requested using the Application for Comptroller Approved Advance (**Appendix D**), and must be obtained prior to signature of the FA. An agency who wishes to receive Advance Payments must send either an e-mail or a letter stating that their Agency requires Advancement Payment and provide sufficient justification why the agency is unable to enter into a reimbursable agreement. This e-mail is attached to the Application for Comptroller Approved Advance. Advance Payment applications must be coordinated with the Comptroller's Office and approved by DFS. Advance payments occur quarterly. Lump sum advance payments are not permitted by DFS. All public agencies receiving advance payments must establish an escrow account, (if agency regulations permit the

establishment of an interest-bearing account) and the FA must allow for any unspent balance plus accrued interest to be returned to FDOT within 90 days of the close of the contract. Interest can also be returned to FDOT yearly. All interest returned to FDOT is used for Work Program activities.

3.6 FDOT Funding Encumbrance Process

Once FDOT, FHWA, and the ETAT agency establish that a FA is required to accomplish the expedited project review and technical assistance activities identified in the AOA, FDOT begins the encumbrance and authorization process with the Federal Aid and Work Program offices. Funds are requested to support the FA and assuming approval, the funds are allocated to the FA within the FDOT Work Program. Once in the FDOT Five-Year Work Program, the funds are assigned a financial number and the authorization request is sent for Legislative approval as part of FDOT's budget.

After receiving formal approval by the Legislature at the start of the fiscal year on July 1, FDOT encumbers the necessary funds into the existing or newly executed agreements. Although the budget submitted by the agency is for a five-year funding agreement, FDOT is only authorized to encumber and commit the current year funds. FDOT tentatively commits each remaining year, pending yearly formal Legislative approval.

3.7 Certification of Completion and Close-Out

ETAT agencies are responsible for proper billing of any reimbursable costs or charges and the timely submission of invoices and documents necessary to close-out an FA.

At the end of the FA contract period a Certification of Completion Agreement will be prepared by the FDOT Invoice Administrator and signed by the ETAT agency and FDOT. Preparation of the Certification of Completion Agreement includes a balancing of the funds covered by the FA, and stipulates:

- The amount, if any, that is still due to the agency; or
- The unspent amount of any Advance Payment funds and accrued interest, if any, that will be returned to FDOT within 90 days of certification; or
- Certification that all ETAT agency invoices have been submitted and paid, and there is no balance due to either party.

After the Certification of Completion has been signed by all parties, the FDOT Invoice Administrator completes an Agency File Completion Review (summary sheet for close-out), and forwards it and the Certification of Completion Agreement to the Fiscal Office. The account is closed out, and any remaining funds are unencumbered by the Fiscal Office. The Certification of Completion Agreement Form is provided in **Appendix E**.

The signed Certification of Completion Agreement is returned to the FDOT Invoice Administrator at the following address:

Mary Harger
Project Management Analyst
Florida Department of Transportation
Central Environmental Management Office
605 Suwannee Street, Mail Station 37
Tallahassee, Florida 32399-0450

Chapter 4 Agency Invoicing and Reporting

4.1 Purpose

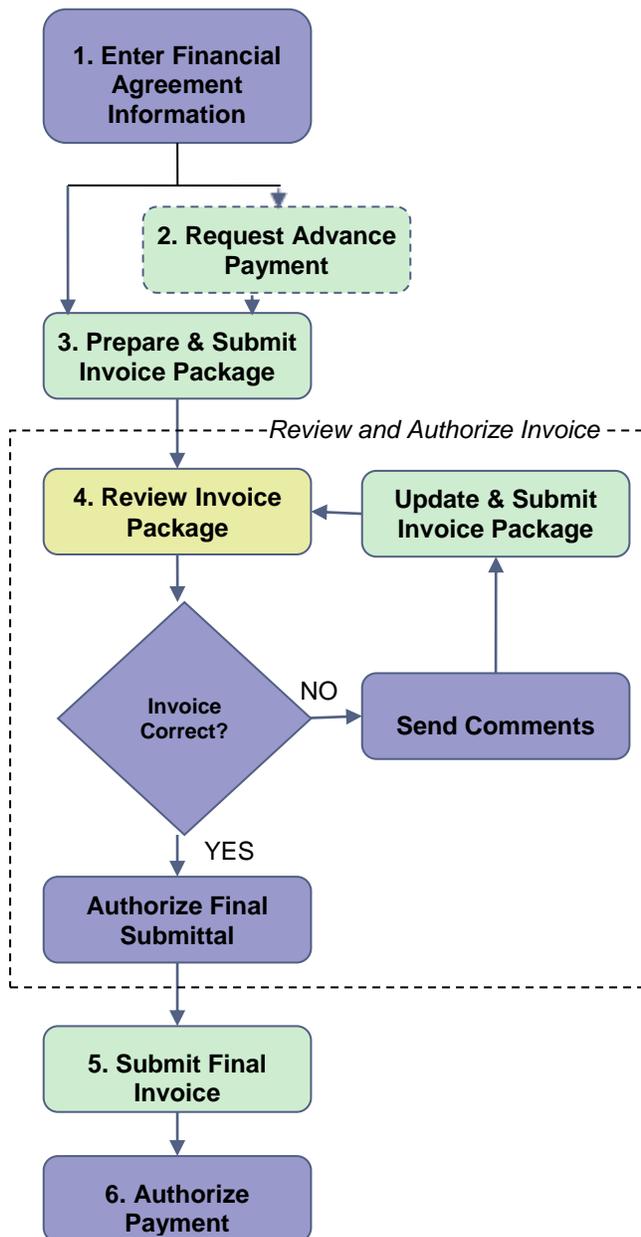
This chapter provides instructions for managing and submitting invoices associated with agency participation in the ETDM Process through the EST – contact the EST Help Desk at help@fla-etat.org, or 850-414-5334 for further assistance.

The objectives of the ETDM agency invoicing system are to:

- Reduce paperwork
- Expedite the invoicing process
- Reduce errors

4.2 Invoice Process Overview

The diagram to the left illustrates the work flow required to process invoices. Detailed information about each step is provided in subsequent sections of this document.



Step 1 – Enter Financial Agreement Information: When an Agency FA is signed, the FDOT Invoice Administrator enters basic information about the FA into the EST. Agencies with reimbursement funds can proceed to Step 3.

Step 2 (contract dependent) – Request Advance Payment: For agencies authorized to receive advance payment, the Agency Invoice Submitter submits an advanced payment request using the Advance Payment Request Form.

Step 3 – Prepare and Submit Invoice Package: In accordance with the specific contract schedule, the Agency Invoice Submitter prepares a draft invoice package and submits it to the FDOT via the EST.

Step 4 – Review and Authorize Invoice: When an invoice is submitted, the FDOT Invoice Administrator and Invoice Reviewers receive an email informing them a draft invoice is ready for review. Invoice Reviewers include CEMO and District staff. District Invoice Reviewers only receive emails for invoices associated with agencies identified by the District ETDM Coordinator (using the **District Review Preferences** tool).

Within 40 work hours (five workdays) of receiving the email, the Invoice Reviewers review the invoice and submit any comments via the EST. When all comments are received, the FDOT Invoice Administrator reviews the comments to determine if the draft invoice is correct and identifies any

reconciliation items. If it is correct, the Invoice Administrator authorizes the agency to submit a final invoice. If it is not correct, the Invoice Administrator compiles the comments and forwards them to the Agency Invoice Submitter. The Agency Invoice Submitter makes all necessary corrections and re-submits the invoice for review. This step is repeated until the invoice is correct.

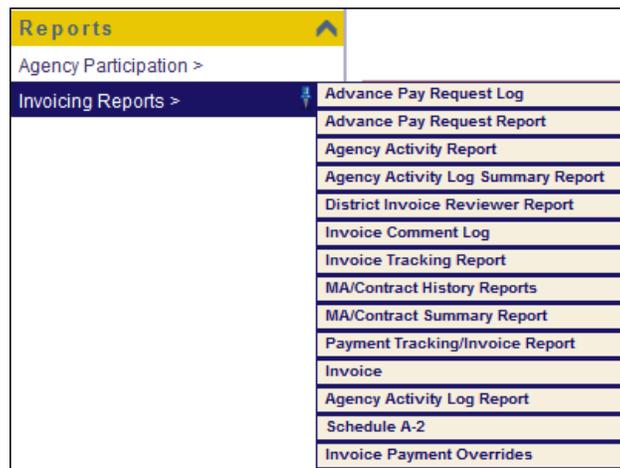
Step 5 – Submit Final Invoice: Upon authorization by the Invoice Administrator, the Agency Invoice Submitter submits the final invoice. The Invoice Administrator receives an email notification of the final invoice submittal. Should an error be identified in the final submission, the Invoice Administrator will reject the invoice, contact the Invoice Submitter to reconcile the error and resubmit the corrected invoice for processing.

Step 6 – Authorize Payment: When there are no outstanding corrections the Invoice Administrator processes the invoice for payment.

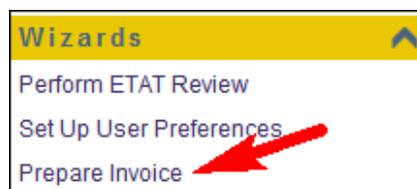
4.3 Environmental Screening Tool Website

The reports, wizards, and tools described below are located on the EST at <http://www.fla-etat.org>. Access to these tools and reports are dependent on an individual’s role in the EST. Moreover, reports only return data associated with each user’s agency and only the FDOT Invoice Administrator and Invoice Reviewers are able to view invoicing data for all agencies.

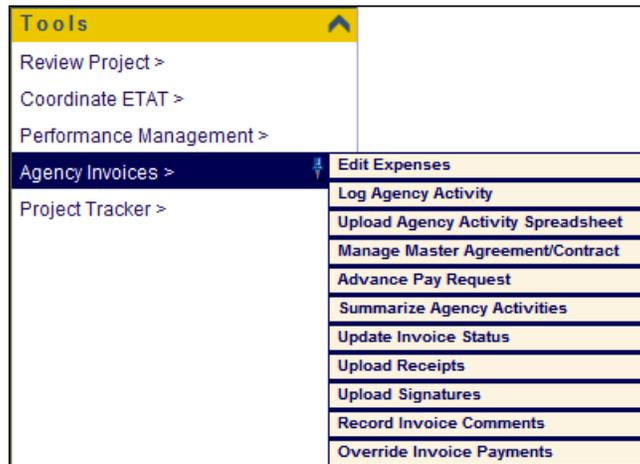
To access reports related to invoicing, click **Invoicing Reports** in the **Reports** menu. EST screenshots may not be reflective of what is seen by each user because of unique roles and due to the fact that we are always enhancing the EST, but the directions we give are always accurate.



To access wizards related to invoicing, go to the **Wizards** menu, and then click **Prepare Invoice**.



To access Tools related to invoicing, go to the **Tools** menu, and then click **Agency Invoices**.



4.4 Roles and Responsibilities

This section describes the roles and tasks performed by personnel involved in processing agency invoices using the EST.

4.4.1 Agency Invoice Submitter

Within each of the funded agencies, one ETAT representative or their designee, submits invoices on behalf of the agency. Agency Invoice Submitters:

- Develop a budget
- Record information about activities and expenses
- Submit Advance Pay requests and invoices in accordance with the contract schedule
- Submit and make edits to draft invoices
- Submit final invoices

4.4.2 Invoice Administrator

The Invoice Administrator maintains contract information, receives and reviews invoice submittals, and processes them. Invoice Administrators:

- Set up initial contract information, such as contract numbers, amounts, contacts, and schedules, as well as keeps the information current
- Review draft invoices for completeness and correctness
- Compile comments from Invoice Reviewers
- Authorize final invoice submittals
- Process final invoices for payment
- Update invoice override information, as needed

4.4.3 Invoice Reviewer

Invoice Reviewers submit comments related to draft invoices to the Invoice Administrator. Invoice Reviewers:

- Review draft invoices for completeness and correctness
- Submit comments to the Invoice Administrator via the EST, noting any errors or omissions

4.5 How to Prepare a Reimbursement or Advance Pay Invoice

A wizard and a number of standalone tools are available within the EST to assist with generating, completing, verifying, and submitting agency invoices.

4.5.1 Prepare Invoice Wizard



The **Prepare Invoice** wizard can be used by agencies with either a Reimbursement or Advance Pay FA. The wizard interface takes the Agency Invoice Submitter chronologically through all the steps involved in preparing and submitting an invoice. The wizard begins at **Step 2** of the diagram for advanced pay agencies or **Step 3** for reimbursement agencies as seen in Section 4.2 Invoice Process Overview. **Step 1** is handled by the Invoice Administrator prior to invoice creation.

The first screen of the **Prepare Invoice** wizard displays the agency associated with the Agency Invoice Submitter's username and password. In the example below, a username and password associated with the US Environmental Protection Agency's Invoice Submitter was used. The first screen is also populated with information about agency-associated agreements and the **Invoicing Period Start** date (which is based on the end date of the previous invoice for the selected agreement). If there is more than one agreement for the agency, the Agency Invoice Submitter selects the agreement for which the invoice is being prepared from the **Agreement** pull-down menu.

Note: Always remember to save your entries as you proceed through the steps of preparing an invoice. Many of the steps include a **Save Draft** button, which can be clicked at any time to save the information entered to that point.

A screenshot of the 'Invoice Wizard' interface. The title is 'Invoice Wizard'. Below the title is a subtitle: 'Select an Agency & Agreement and create a new or edit an existing Invoice'. The form contains the following fields:

Agency:	US Environmental Protection Agency
Agreement:	BDF45 54106422813
Invoice:	Create a New Invoice.
Invoicing Period Start:	08/04/2011
Invoicing Period End:	

At the bottom of the form are two buttons: 'Back' and 'Next'.

4.5.2 Enter the Invoicing Period End Date

The Agency Invoice Submitter enters the **Invoicing Period End** date for the invoice being prepared. The Agency Invoice Submitter can enter the date either directly using the **mm/dd/yyyy** format, or by selecting the date using the built-in **Calendar** feature. If using the **Calendar** feature the Agency Invoice Submitter clicks on the Calendar icon  to the right of the **Invoicing Period End** field and then selects the appropriate date, as shown here.



After entering or selecting the **Invoicing Period End** date, the Agency Invoice Submitter clicks the **Next** button at the bottom of the screen.

4.5.3 Advance Pay Request Form (for Advance Payment Agencies only)

This screen can only be seen by Advance Payment agencies.

Enter the compensation amounts for labor and direct/indirect expenses.

Compensation Elements are as follows:

Element Description	Method of Compensation	Amount
Labor	Direct Salary plus Overhead	0
Expenses	Actual Expenditures	0
Amount of Advance Requested		\$0.00

After the compensation amounts have been entered, the EST automatically calculates the total Advance Payment requested.

Element Description	Method of Compensation	Amount
Labor	Direct Salary plus Overhead	2000
Expenses	Actual Expenditures	6000
Amount of Advance Requested		\$8,000.00

The total Advance Payments to date (including the current request) and the balance remaining in the contract are automatically totaled and displayed under **Final notes and submitting**.

Final notes and submitting:

Other notes

Total Advances to Date (including this one): \$8,600.00 Balance: \$2,900.00

By submittal of this advance pay Request, the above named Agency certifies that this is a reasonable estimate of the work to be performed as described in Attachment A (Project Report)

4.5.3.1 Add Notes and Save Invoice

Add notes about the Advance Pay Request using the **Other notes** textbox. When finished, click **Save** and the entered data will be added to the database, and displayed on the Payment Tracking Report summary of the current invoice submittal.

Final notes and submitting:

Other notes

Total Advances to Date (including this one): \$8,000.00 Balance: \$1,086,232.00

By submittal of this advance pay Request, the above named Agency certifies that this is a reasonable estimate of the work to be performed as described in Attachment A (Project Report)



Payment Tracking Report

Summary

Agency	US Environmental Protection Agency			
Address	Address does not exist.			
Report Number	2			
Federal Project	005			
MA Number	BDF45			
Financial No	54106422813			
Notice to Proceed Date	09/30/2007			
End of Service Date	09/30/2010			
AOA Renewal Date	04/15/2010			
FA Renewal Date	04/15/2010			
MA Renewal Date	04/15/2010			
Current Invoicing Period Dates	08/10/2011 to 10/05/2011			
Previous Invoicing Period Dates	08/04/2011 to 08/09/2011			
Current Reporting Period Dates	09/30/2007 to			
Contact Person	Fran Smith			
Telephone Number				
Date Prepared	08/08/2011			
Contractual Limits				\$1,094,232.00
Advanced Funds				\$8,000.00
Current Spending				\$0.00
Spent to Date				\$213.00
Balance to be Advanced				\$1,086,232.00
Agency Cash In Hand				\$7,787.00

Advance Pay Requested	Advance Requested Current Period	Previous Advance Payouts	Advanced Funds	Balance to be Advanced
Salary Related Costs & Benefits(Labor)	\$2,000.00	\$0.00	\$2,000.00	
Direct Expenses	\$6,000.00	\$0.00	\$6,000.00	
Total	\$8,000.00	\$0.00	\$8,000.00	\$1,086,232.00

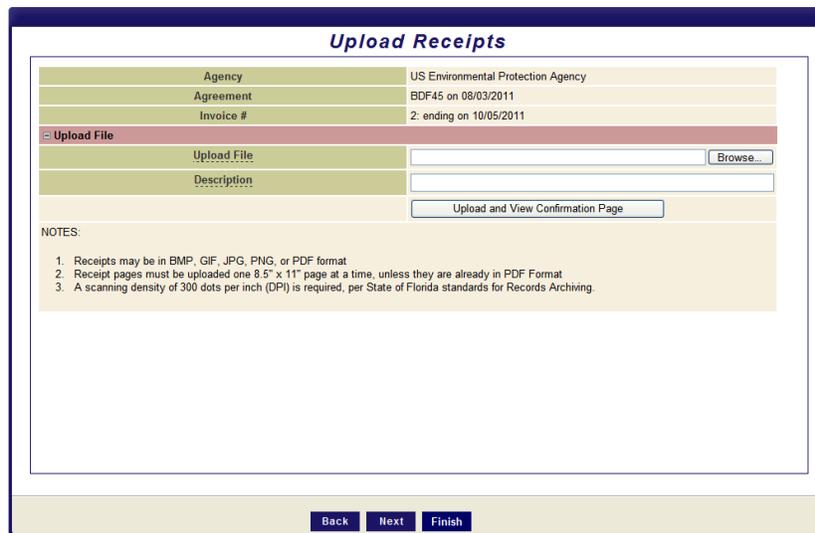
Advance Pay Spending History	Total Spent to Date	Previously Spent	Current Spent	Balance	Agency Cash in Hand
Salary Related Costs & Benefits	\$13.00	\$13.00	\$0.00		
Direct Expenses - Travel	\$200.00	\$200.00	\$0.00		
Direct Expenses - Training	\$0.00	\$0.00	\$0.00		
Direct Expenses - Other	\$0.00	\$0.00	\$0.00		
Total	\$213.00	\$213.00	\$0.00	\$1,094,019.00	\$7,787.00

By submittal of this invoice, the Agency certifies that all expenditures contained in this invoice represent actual project costs as reflected in our accounting records, and those expenditures are allowable, reasonable, necessary, and in accordance with the Funding Agreement.

4.5.4 Upload Receipts

Invoice packages require scanned copies of expense receipts. Attach copies of any receipts associated with the invoice being prepared with the Upload Receipts screen; either screen two or three of the wizard depending on whether you are an Advanced Payment or Reimbursement agency. For agencies authorized to receive advance payment, the Advance Pay invoice package, i.e. receipts, agency activity log, etc., includes the Advance Pay Request form for the next invoicing period and a record of expenditures for the previous invoicing period (referred to as the Reporting Period).

Receipts must be scanned at a density of 300 DPI and may be in BMP, GIF, JPG, PNG or PDF (PDF is the preferred format) format. Note, however, that receipts must be uploaded one 8-1/2 x 11-inch page at a time unless they are in PDF format. To locate and select the file containing the image of the receipt to be uploaded use the **Browse** button and then add a brief description of the attached document in the **Description** textbox. After attaching all receipts, click the **Upload and View Confirmation Page** button. All receipts must have a unique name.



4.5.5 Confirm Uploaded Receipts

Preview the PDF version of an attached receipt and either keep the receipt as part of the invoice package or delete it on the Confirm uploaded receipt screen. After reviewing the PDF version of the receipt displayed in the lower portion of the screen, the Agency Invoice Submitter clicks either **Yes – keep receipt** or **No – delete receipt** for each uploaded attachment. When finished, the Agency Invoice Submitter clicks the **Next** button to continue on through the wizard or press the **Finish** button once you are completed.



4.5.6 Editing Expenses

Enter invoice amounts for all contract expenses, including personnel charges, travel expenses, training expenses and other expenses on the Edit Expenses screen. The top portion of the screen is populated with information about the invoice being prepared (i.e., agency name, agreement number, number assigned to the current invoice, and the invoicing period start and end dates). The Agency Invoice Submitter can change the **Invoicing Period End (A)** date by typing in a date or using the **Calendar** feature to select a date. This can occur if for example during the development of the invoice it becomes apparent that the invoice reporting period needs to be shortened to a different end date than originally anticipated due to lack of the necessary back-up documentation. Any expenses you submit should represent an expense occurring within the invoicing timeframe. For an Advance Pay invoice, the timeframe coincides with the current reporting dates and for a Reimbursable invoice it coincides with the invoicing period.

Use the **Save Draft** button at any time when entering expenses in order to return to the invoice at a later time without having to re-enter expense information.

Edit Expenses

Select an Organization and Master Agreement/Contract				
Agency:	US Environmental Protection Agency			
Agreement	BDF45 on 08/03/2011			
Invoice	#2: ending on 10/05/2011			
Currently editing Invoice #2.				
Invoicing Period Start (from previous invoice)		Invoicing Period End		
08/10/2011		10/05/2011 <input type="text"/>		
Add/Remove Personnel				
Start of Reporting Period (from previous invoice)		End of Reporting Period		
09/30/2007		<input type="text"/>		
Name and Job Class	Hours Expended	Average Hourly Rate	Cost this Period	
Additional Overhead Amount	<input type="text"/>	Total Cost	\$0.00	
		Total w/Overhead	\$0.00	<input type="button" value="Add Personnel"/>
Add/Remove Travel Expenses				
Description	Amount	Receipt		
Total Cost	\$0.00		<input type="button" value="Add Expense"/>	
Add/Remove Training Expenses				
Description	Amount	Receipt		
Total Cost	\$0.00		<input type="button" value="Add Expense"/>	
Add/Remove Other Expenses				
Description	Amount	Receipt		
Total Cost	\$0.00		<input type="button" value="Add Expense"/>	
Totals				
Total Cost For Entire Invoice			\$0.00	<input type="button" value="Save Draft"/>
Additional Notes: <input style="width: 100%; height: 20px;" type="text"/>				
<input type="button" value="Back"/> <input type="button" value="Next"/> <input type="button" value="Finish"/>				

4.5.6.1 Edit Personnel Expenses

Enter personnel charges for the invoicing period using the next portion of the **Edit Expenses** screen. To begin, click **Add Personnel** button (red arrow under B).

Add/Remove Personnel				
Start of Reporting Period (from previous invoice)		End of Reporting Period		
09/30/2007		<input type="text"/>		
Name and Job Class	Hours Expended	Average Hourly Rate	Cost this Period	
Additional Overhead Amount	<input type="text" value="0"/>	Total Cost	\$0.00	
		Total w/Overhead	\$0.00	<input type="button" value="Add Personnel"/>

A line is then added to the form for entering a person's name and job classification, number of hours worked during the reporting period, average hourly rate, and additional overhead amount. As information is entered, the **Total Cost w/Overhead** is automatically calculated.

Add/Remove Personnel				
Start of Reporting Period (from previous invoice)		End of Reporting Period		
09/30/2007		<input type="text" value="07/30/2008"/>		
Name and Job Class	Hours Expended	Average Hourly Rate	Cost this Period	
<input type="text" value="John Smith AA1a"/>	<input type="text" value="40"/>	<input type="text" value="30.00"/>	\$1,200.00	<input type="button" value="Remove"/>
<input type="text" value="John Smith AA1b"/>	<input type="text" value="5"/>	<input type="text" value="30.00"/>	\$150.00	<input type="button" value="Remove"/>
<input type="text" value="Susan Jones AA1"/>	<input type="text" value="30"/>	<input type="text" value="30.00"/>	\$900.00	<input type="button" value="Remove"/>
Additional Overhead Amount	<input type="text" value="8"/>	Total Cost	\$2,250.00	
		Total w/Overhead	\$2,258.00	<input type="button" value="Add Personnel"/>

If personnel charges for more than one person are being invoiced, click **Add Personnel** to enter the charges for each additional person. Entries for personnel charges must have a unique identifier. When entering a person and job class more than once, include a unique identifier with each **Name and Job Class** entry (for example AA1a for the first entry, AA1b for the second entry, and so forth).

All fields must contain data, so if a line is not going to be used, it must be deleted by clicking the **Remove** button next to the line. Use the **Remove** button to also delete personnel charges that were previously entered and are no longer needed or to correct previous entries prior to finalizing and submitting the invoice.

4.5.6.2 Edit Travel, Training and Other Expenses

Use the next portion of the **Edit Expenses** screen to enter travel expenses for the invoicing period. (The **Training Expenses (D)** and **Other Expenses (E)** screens look similar to the **Travel Expenses (C)** screen and are completed in the same way.)

Add/Remove Travel Expenses			
Description	Amount	Receipt	
Total Cost	\$0.00		<input type="button" value="Add Expense"/>

To begin click **Add Expense** button (red arrow under C).

Add/Remove Travel Expenses C		
Description	Amount	Receipt
Total Cost	\$0.00	Add Expense

Enter a description of the travel expense and amounts on the line added to the form, as illustrated below. Please note that an image of the receipt for each travel, training, and other expense amount must be selected from the list of receipts entered on the Upload Receipts screen earlier in the wizard before an invoice can be finalized and submitted.

Add/Remove Travel Expenses C			
Description	Amount	Receipt	
Hotel	400.00	BDF45 Receipts	Remove
Car	200.00	BDF45 Receipts	Remove
Total Cost	\$600.00		Add Expense

Click the **Add Expense** button again to include additional travel, training, and other expenses. Note that entries in the travel, training and other expense **Description** field must be unique. If an employee has more than one travel, training, and other expense for the invoice period, each entry must include a unique identifier (for example, Smith 01-04-06, Smith 02-01-06, and so forth). Click the **Remove** button to delete any unused lines. Use the **Remove** button to also delete expenses that were previously entered and are no longer needed or to correct previous entries prior to finalizing and submitting the invoice.

Add/Remove Travel Expenses C			
Description	Amount	Receipt	
Hotel	400.00	BDF45 Receipts	Remove
Car	200.00	BDF45 Receipts	Remove
Total Cost	\$600.00		Add Expense

4.5.6.3 Finalizing the Expense Page

Use the final portion of the **Edit Expenses** screen to enter additional notes (**F**), if needed. This portion of the screen displays the total cost for the entire invoice being prepared and is automatically calculated based on the amounts entered for personnel, travel, training, and other expenses. Click **Save Draft** to save the entries made.

Totals F	
Total Cost For Entire Invoice	\$2,860.50
Additional Notes:	
Save Draft	

Click the **Next** button at the bottom of the screen to proceed to the next step for preparing the invoice.

4.5.7 Summarize Agency Activities

Enter information about agency activities for the invoicing period by entering it in the **Summarize Agency Activities** screen.

Summarize Agency Activities

Select an Organization and Master Agreement/Contract	
Agency:	US Environmental Protection Agency
Existing Agreements	BDF45 on 08/03/2011
Load an unsubmitted invoice	#2: ending on 10/05/2011
Currently editing Invoice #2.	
Invoicing Period Start (from previous invoice)	Invoicing Period End
08/10/2011	10/05/2011
Accomplishments Made During Period	
Start of Reporting Period (from previous invoice)	End of Reporting Period
09/30/2007	
Administrative or Supervision Tasks	
Coordination	
Performance Measures	

The top portion of the screen is populated with information about the invoice being prepared (i.e., agency name, agreement number, number assigned to the current invoice, and the invoicing and reporting periods start and end dates).

The remaining portions of the screen are used to enter comments documenting or highlighting agency activities. There are separate sections to capture details about **Accomplishments Made During Period**, **Summary of ETDM Screening Activities**, and **Anticipated Accomplishments for Next Period**.

Enter information about accomplishments made during the invoicing period in the first section of the screen.

For the categories under **Accomplishments Made During Period** provide the following information:

- **Administrative or Supervision Tasks** – management and/or supervision tasks performed during the period.
- **Coordination** – non-field interagency and FDOT coordination.
- **Performance Measures** – attainment on the Performance Measures outlined in the Agency’s AOA or MA (if applicable).
- **Problems Encountered/Suggestions for Improvement** – problems discovered or anticipated regarding the ETDM Process and any actions that would improve the process.

Under **Summary of ETDM Screening Activities**, describe any problems encountered using the EST and any other comments you wish to communicate to FDOT.

Summary of ETDM Screening Activities	
Problems or Issues Encountered using the Environmental Screening Tool	
<input type="text"/>	
Other Comments	
<input type="text"/>	

Under **Anticipated Accomplishments for Next Period**, briefly describe anticipated activities for the next invoicing period, the number of people, and anticipated hours needed to perform the anticipated activities. When finished, click the **Save Draft** button, and then click **Next**.

Anticipated Accomplishments for Next Period	
Description of Activities	
<input type="text"/>	
Total Staff Hours Anticipated	<input type="text" value="0"/>
Total Number of People Involved	<input type="text" value="0"/>
<input type="button" value="Save Draft"/>	

4.5.8 Logging Agency Activities

On this screen, provide details about all agency activities. These activities may include additional screening activities, meetings, technical support of non-ETDM projects, Advance Notification and technical document review, permit coordination, etc. Log each activity individually; however, activities such as “Administrative Tasks” should be grouped by week or month. Also multiple days spent in travel, meetings or reviewing the same project can be grouped as well; put the start date in the **Date of Activity** field and put the date range in the **Activity Description**.

Agency activities for the period can be entered by uploading a spreadsheet with the information or by entering the information directly into the **Log Agency Activity** screen.

Log Agency Activity

Select an agency and start a new or edit an existing Activity Log A

Agency	US Environmental Protection Agency		
Load/Edit Existing	Stephanie Clemons: Informal Coordination on 01/01/2008 (.5 hours)	<input type="button" value="Load"/>	<input type="button" value="delete"/>
<input type="button" value="Clear/Create New"/>	Editing a new Activity Log		

Agency Activity Log

Date of Activity	<input type="text"/>	Activity Type	Informal Coordination
Work Program Phase	Not Applicable	B	
FDOT Districts	<input type="button" value="Clear Selection"/> <input type="button" value="Select All"/> FDOT District 1 FDOT District 2 FDOT District 3 FDOT District 4 FDOT District 5 FDOT District 6 FDOT District 7 Florida's Turnpike Enterprise	Counties	<input type="button" value="Clear Selection"/> <input type="button" value="Select All"/> Desoto County Dixie County Duval County Escambia County Flagler County Franklin County Gadsden County Gilchrist County Glades County
Project Type	ETDM <small>(Click to toggle)</small>		
Project	ETDM # <input type="text"/>	C	Name <input type="text"/>
FDOT FM Number	<input type="text"/> D		
ETAT Representative	Fran Smith	<input type="button" value="Include Disabled Users"/>	E
Hours	<input type="text"/>	Work hours should be whole numbers or with decimals (.25 = 1/4, .5 = 1/2) F	
Activity Description			
<input style="height: 20px;" type="text"/>			
Results or Anticipated Actions			
<input style="height: 20px;" type="text"/>			
<input type="button" value="Save"/>			

Use this screen to edit previously submitted Activity Logs, as well.

Begin by either loading from the pull-down menu an existing Agency Activity Log to be edited, or click **Clear/Create New** to start a new Agency Activity Log. Use the form that opens to enter or make edits in the agency activity information.

If it is a new Agency Activity Log (**B**), first enter the date of the activity by either typing it in (**mm/dd/yyyy** format) or selecting it from the calendar control by clicking the calendar icon

Next, use the menus to select **Activity Type**, **Work Program Phase**, **FDOT Districts**, and **Counties**.

If the activity is related to an ETDM project, type the ETDM project number in the **ETDM # (C)** field.

If the activity is not directly related to an ETDM project, click the **ETDM** button to toggle to **Non-ETDM (C)**.

Type the project name in the **Name** field.

In the **FDOT FM Number (D)** field, type the FDOT FM Number, if known.

In the **ETAT Representative (E)** field, click the drop-down arrow  and select the ETAT Representative who performed the activity. The list only displays enabled EST users within the agency. To include past users who no longer have enabled accounts click **Include Disabled Users**. If the person who performed the work does not have access to the EST, the information can be entered by the ETAT Representative (or their designee). The ETAT Representative's name will show in the **ETAT Representative** field and the name of the person who did the work can be entered into the **Activity Description** field.

ETAT Representative  Include Disabled Users 

In the **Hours (F)** field, enter the number of hours associated with the activity.

Hours Work hours should be whole numbers or with decimals (.25 = 1/4, .5 = 1/2) 

Next, type a brief description of the activity being logged in the **Activity Description** textbox. Use the **Results or Anticipated Actions (G)** textbox to describe any actions taken by FDOT or the agency as a result of the logged activity or any actions anticipated.

Click the **Save** button to save the information entered and then click **Finish** to proceed viewing and submitting the invoice.

Activity Description

 Results or Anticipated Actions



Note that activities may also be entered or edited at any time by any of the agency's ETAT representatives, using the **Log Agency Activity** tool located under **Invoicing Tools** in the **EST Tools** menu.

4.5.8.1 Agency Activity Summary Report

The Agency Activities hours should always match the Schedule A-1 hours being invoiced. To check this, go to the **Reports** menu, select the **Invoicing Reports**, and then select **Agency Activity Log Summary Report**. The report provides the Invoice Submitter and the ETATs the ability to make sure the hours match.

Activity Log Summary Report      

Select an Organization and Master Agreement/Contract

Agency:

Agreement:

Invoices:

Summary of hours logged by Individual (Agency Activity Log)

Name	Number of Log Entries	Hours
Madolyn Dominy	11	1040.0
Maher Budeir	12	1040.0
Total Hours		2080.0

Summary of hours billed by Individual (Schedule A-1)

Name	Hours
Budeir - GS-13	1040.0
Dominy - GS-13	1040.0
Total Hours	2080.0

4.5.9 View/Submit an Invoice

The **View/Submit Invoice** screen includes a **Payment Tracking Report** and **Agency Activity Report** for the prepared invoice. The **Payment Tracking Report** includes an **Advance Pay Request Report** section (if applicable), as well as agency agreement information pertaining to the invoice, followed by completed **Schedule A-1** (Salary Related Costs), **Schedule E-1** (Reimbursable Direct Expense – Travel), **Schedule E-2** (Reimbursable Direct Expense – Training), and **Schedule E-3** (Reimbursable Direct Expense – Other) forms. The **Agency Activity Report** includes the information entered on the **Summarize Agency Activities** screen and the **Log Agency Activity** screen (if applicable). Examples of a **Payment Tracking Report** and **Agency Activity Report** are shown on the following pages.

Example: Payment Tracking Report

The **Summary** section of the **Payment Tracking Report**:

Payment Tracking Report					
Summary					
Agency	US Environmental Protection Agency				
Address	Address does not exist.				
Report Number	2				
Federal Project	005				
MA Number	BDF45				
Financial No	54106422813				
Notice to Proceed Date	09/30/2007				
End of Service Date	09/30/2010				
AOA Renewal Date	04/15/2010				
FA Renewal Date	04/15/2010				
MA Renewal Date	04/15/2010				
Current Invoicing Period Dates	08/04/2011 to 10/05/2011				
Previous Invoicing Period Dates	09/30/2007 to 08/03/2011				
Current Reporting Period Dates	09/30/2007 to				
Contact Person	Fran Smith				
Telephone Number					
Date Prepared	08/03/2011				
Contractual Limits					\$1,094,232.00
Advanced Funds					\$8,000.00
Current Spending					\$0.00
Spent to Date					\$0.00
Balance to be Advanced					\$1,086,232.00
Agency Cash In Hand					\$8,000.00
Advance Pay Requested	Advance Requested Current Period	Previous Advance Payouts	Advanced Funds	Balance to be Advanced	
Salary Related Costs & Benefits(Labor)	\$2,000.00	\$0.00	\$2,000.00		
Direct Expenses	\$6,000.00	\$0.00	\$6,000.00		
Total	\$8,000.00	\$0.00	\$8,000.00	\$1,086,232.00	
Advance Pay Spending History	Total Spent to Date	Previously Spent	Current Spent	Balance	Agency Cash in Hand
Salary Related Costs & Benefits	\$0.00	\$0.00	\$0.00		
Direct Expenses - Travel	\$0.00	\$0.00	\$0.00		
Direct Expenses - Training	\$0.00	\$0.00	\$0.00		
Direct Expenses - Other	\$0.00	\$0.00	\$0.00		
Total	\$0.00	\$0.00	\$0.00	\$1,094,232.00	\$8,000.00

By submittal of this invoice, the Agency certifies that all expenditures contained in this invoice represent actual project costs as reflected in our accounting records, and those expenditures are allowable, reasonable, necessary, and in accordance with the Funding Agreement.

Date	Change Notes

Example: Payment Tracking Report (continued...)

If applicable, a list of attachments follows the schedule sections.

Schedule A-1	
Agency	US Environmental Protection Agency
MA/Contract Number	BDF45
Financial ID No.	54106422813

Name and Job Class	Hours Expended	X	Average Hourly Rate	=	Cost This Period
Total Direct Salary Costs					\$0.00
Overhead					\$0.00
Total Salary Related Costs					\$0.00

Schedule E-1	
Agency	US Environmental Protection Agency
MA/Contract Number	BDF45
Financial ID No.	54106422813

REIMBURSABLE DIRECT EXPENSE -TRAVEL (1)	
Item Description	Amount
Total Reimbursable Direct Travel Expenses	\$0.00

(1) All requests for reimbursement for travel expenses must be supported by a completed State of Florida Voucher for Reimbursement of Travel Expenses or similar Federal forms per 41CFR, chapter 301 and accompanied with receipts, invoices, etc.

Schedule E-2	
Agency	US Environmental Protection Agency
MA/Contract Number	BDF45
Financial ID No.	54106422813

REIMBURSABLE DIRECT EXPENSE -TRAINING	
Item Description	Amount
Total Reimbursable Direct Training Expenses	\$0.00

All requests for reimbursement must be accompanied with receipts, invoices, etc.

Schedule E-3	
Agency	US Environmental Protection Agency
MA/Contract Number	BDF45
Financial ID No.	54106422813

REIMBURSABLE DIRECT EXPENSE -OTHER	
Item Description	Amount
Total Reimbursable Direct Other Expenses	\$0.00

All requests for reimbursement must be accompanied with receipts, invoices, etc.

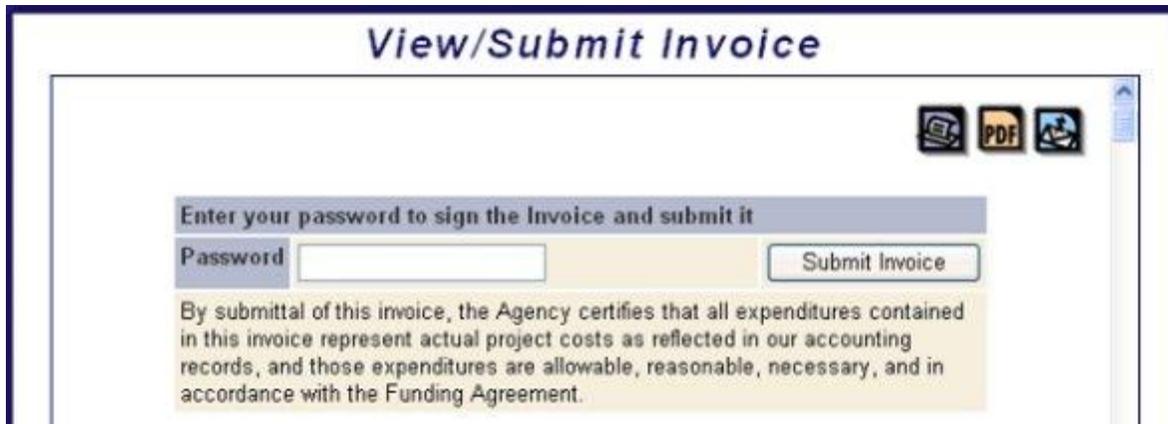
- Attachments**
- [BDF45 Receipts](#)

Example: Agency Activity Report

Agency Activity Report			
Accomplishments Made During Reporting Period: 05/18/2007 to 11/27/2009			
Administrative or Supervision Tasks			
Coordination			
Performance Measures			
Problems Encountered/Suggestions for Improvement			
Total Staff Hours	0.0	(From Schedule A-1)	
Total Number of People Involved	0	(From Schedule A-1)	
Summary of ETDM Screening Activities			
Number of Projects Reviewed:	14		
Number of Alternatives Reviewed:	20		
Number of Reviews Found:	342		
Number of Projects Reviewed by Screening Event			
Planning	10		
Programming	3		
Number of Projects Reviewed By Issue			
Aesthetics	11	Air Quality	8
Coastal and Marine	8	Contaminated Sites	8
Economic	9	Farmlands	8
Floodplains	8	Historic and Archaeological Sites	8
Infrastructure	8	Land Use	9
Mobility	9	Navigation	8
Recreation Areas	9	Relocation	9
Secondary and Cumulative Effects	4	Section 4(f) Potential	8
Social	9	Special Designations	9
Water Quality and Quantity	10	Wetlands	10
Wildlife and Habitat	9		
Number of Projects by Degree of Effect			
Moderate	4	Substantial	2
Potential Dispute	1	N/A / No Involvement	2
None	7	Minimal	9
Problems or Issues Encountered using the Environmental Screening Tool			
Other Comments			
Anticipated Accomplishments for Next Period			
Description of Activities			
Total Staff Hours Anticipated	0.0		
Total Number of People Involved	0		

If changes need to be made before submitting the invoice, click the close button  on the far right of the screen to exit the wizard and then reopen it by selecting **Prepare Invoice** on the **Wizards** menu. Choose the current invoice from the list of invoices, and proceed to make any necessary changes. Note that a submitted invoice cannot be edited unless it is returned by the Invoice Administrator for update and resubmittal.

If changes are not required, print or PDF the invoice for recording keeping purposes using the icons at the top of the **View/Submit Invoice** screen. To submit the invoice, the Agency Invoice Submitter enters their password and clicks **Submit Invoice**.



When the invoice is submitted, a PDF file of all its components is created and stored in the database. The PDF has the submittal date and DRAFT printed on each page. The Invoice Administrator and Invoice Reviewers receive an email informing them the draft invoice is available on the EST for their review. The Agency Invoice Submitter receives a copy of the email, as well. The email identifies the invoice by agency, agreement number, invoice number, and submittal date.

4.6 Editing Individual Invoice Package Components

Individual tools are accessible through the EST which allows quick editing access to a specific portion of an invoice package. A tool exists for each screen of the wizard shown above.

Chapter 5 Policy Decisions Related to Funded Positions

Decisions related to funded positions and the general administration of the ETDM Process is based upon federal and state legislative authorities, including but not limited to TEA-21, SAFETEA-LU, and MAP-21, as well as agency business practices.

5.1 Training

ETDM training, PD&E training, or training that furthers an ETAT representative's area of expertise are eligible for funding and/or reimbursement. Funding ETAT attendance at professional development activities is limited to no more than two meetings, workshops, and/or national conferences per year and is subject to prior written authorization from the FDOT Project Screenings and Technologies Administrator. All requests must include enough details describing the event and justification identifying the benefits FDOT and FHWA should expect to receive by approving the ETAT representative's participation. With approval, one ETAT funded position may attend a conference, workshop, or meeting to represent the agency. Other ETAT attendees are welcome to attend provided there will be no impact to project review and technical support activities and so long as FDOT is not expected to pay any of the expense for the additional attendee. The reimbursable ETAT attendee must provide a brief report for information sharing purposes to their agency and FDOT. See **Section 5.4.2** for information regarding travel reimbursement.

5.2 Start-up Costs

Prorate start-up costs for funded positions. Start up costs can consist of advertising to fill the ETDM position. Start-up costs are eligible for reimbursement if the position is intended to work solely for FDOT per the AOA and FA. These qualifying charges should be billed as a direct cost to the project. If the advertisement is for multiple positions, one of which is the ETDM position, FDOT will pay prorated costs.

5.3 Funding of the ETDM Program

5.3.1 Planning through Production Phases

Funds are used to support activities tied to expedited project review or technical assistance on qualifying transportation projects regardless of when they are screened through the ETDM Process or subsequent project development phases. Additionally, activities that promote environmental streamlining, improve ETDM processes and procedures, result in greater efficiencies, or which expedite an individual project, are eligible for funding.

The following are two examples of ETAT specific activities and/or programs that have been determined as eligible for ETDM funding:

- Regional General Permit (USACE established eligibility for funding in cooperation with FDOT) – Permit conditional upon ETDM screening.
- NFWFMD Regional Mitigation Program (NFWFMD established eligibility for funding in cooperation with USACE and FDOT for ETDM screened projects).

ETDM funds may be used to pay for positions that assist Metropolitan Planning Organizations (MPOs) and FDOT in the transportation planning process for corridor studies, Long Range Transportation Plans (LRTPs), Strategic Intermodal System (SIS) projects, Florida Transportation Plan (FTP) projects, and other activities that integrate full consideration of early identified environmental resource issues, including mitigation opportunities, into transportation planning and policy development. These activities are consistent with the intent of SAFETEA-LU in linking NEPA and the metropolitan and statewide transportation planning processes, as well as MAP-21 section 1310; Integration of Planning and Environmental Review.

5.3.2 Reimbursement for Travel

State agencies receiving ETDM funding, are eligible for travel reimbursement consistent with state travel procedures and must comply with Section 112.061, Florida Statutes (F.S.). For a copy of Florida Statute Section 112.061, visit www.leg.state.fl.us (see Title X Public Officers, Employees, and Records, Chapter 112).

Federal agencies that receive ETDM funding are eligible for travel reimbursement consistent with federal travel procedures (once approved by DFS) and must comply with Code of Federal Regulations (CFR), Chapter 301. For a copy of CFR, Chapter 301, visit www.gpoaccess.gov (see Chapter 301, Title 41, Public Contracts and Property Management).

Out-of-state travel by an ETAT agency needs to be pre-approved by the CEMO Project Screening & Technologies Administrator. **Appendix F** is the Out-of-State Travel Request Form that must be used when traveling outside of Florida. ETAT agencies based in a state other than Florida must complete the Out-of-State Travel Request Form for all travel that occurs outside of their home state or area of jurisdiction unless in Florida. Travel within an ETAT agency's home state and within Florida is considered part of the normal scope of work and will not require the completion of the Out-of-State Travel Request Form.

Travel funds can be used for public and professional outreach initiatives to educate and inform the citizenry and other interest groups about the ETDM Process and the integration of natural resource preservation programs and plans with transportation planning and project development. The public are to be made aware of the collective efforts of the state and federal ETDM partners to streamline the transportation decision-making process and to protect natural resources and the human environment. Note, however, that the foremost priority of a funded position is the ETDM program, processes, and projects; therefore, travel provisions for outreach should be made with a sense of economy and require prior approval by the FDOT Project Screening & Technologies Administrator.

5.3.3 Disclosure of Funding for Vendors

Periodically, FDOT receives letters from external auditors requesting information about funding amounts paid to vendors and/or recipients' of state grants or contracts. It is FDOT's position not to provide that type of information, but only confirm numbers that are sent to us. This approach is consistent with the purpose of confirmations (to corroborate management assertions) and the requirements of the Florida Single Audit Act, which requires independent audits for accountability and monitoring purposes.

5.4 Tangible Personal Property

If the agreement includes the purchase of Tangible Personal Property as defined in Chapter 273, F.S., and is acquired in accordance with Rule 60A-1.017, Florida Administrative Code (FAC), upon completion of services or the end of the agreement, whichever comes first, the Tangible Personal Property will be transferred to and controlled by FDOT. Upon receipt of property, the Vendor forwards to FDOT a copy of the purchase invoice, property description, serial number, and date of receipt. The Vendor maintains the Tangible Personal Property on their inventory lists until such time as it is transferred back to FDOT.

5.6 Contacts

Contacts associated with administration of agency FAs are provided in **Table 5-1**.

Table 5-1: Funding Agreement Administrative Contacts

Name/Position	Agency	Address	Contact Information
Peter McGilvray Contract Manager Project Screening & Technologies Administrator	Florida Department of Transportation	605 Suwannee Street Mail Station 37 Tallahassee, FL 32399-0450	Phone: 850-414-5330 peter.mcgilvray@dot.state.fl.us
Mary Harger Project Management Analyst Agreements and Invoicing	Florida Department of Transportation	605 Suwannee Street Mail Station 37 Tallahassee, FL 32399-0450	Phone: 850-414-5319 mary.harger@dot.state.fl.us
Matthew Muller Technology Resource Coordinator	Florida Department of Transportation	605 Suwannee Street Mail Station 37 Tallahassee, FL 32399-0450	Phone: 850-414-5329 matthew.muller@dot.state.fl.us

Appendix A
Agreement Modification Form

EXHIBIT A – Modification to Agreement

FDOT Project/Program Manager

Date

Florida Department of Transportation
605 Suwannee Street, M.S. 37
Tallahassee, Florida 32399-0450

Address

RE: Contract Number: _____
Request Number: _____

Vendor Number: _____
Financial Number: _____

Action Request: _____ Personnel Approval
_____ Overtime
_____ Travel
_____ Equipment Authorization
_____ Increased Advance Pay
_____ Increased Compensation
_____ Relocation
_____ Sub-Consultant
_____ Time Extension

Approval of the above is requested. The following is justification/explanation of the requested action:

"I certify that the above requested action is necessary for the operation of this project and is in compliance with the terms of the project agreement."

ETAT Authorized Agency Signature/Date

Department Action _____ APPROVED _____ DISAPPROVE

Remarks: _____

"I certify to that to the best of my knowledge and belief, the above requested action is not in violation of the terms of the project agreement and is necessary for the operation of this project."

FDOT Authorized Signature/Date

FHWA Authorized Signature/Date

Appendix B
New or Additional Position Justification

New or Additional Position Justification Questions

The following information, as a minimum, should accompany any written request for a new or additional position.

1. What is the current level of service provided by the agency?
 - a. Types of services provided
 - b. Amount of services provided (quantitative)
2. What additional services will the agency be providing as a result of the position?
3. Regarding the new position:
 - a. What are the functions?
 - b. What are the benefits to be accrued to the program?
 - c. What efficiencies will result?

Appendix C
Single Audit Language

The administration of resources awarded by the Florida Department of Transportation (FDOT) to (Insert recipient's name) may be subject to audits and/or monitoring by FDOT, as described in this section.

MONITORING

In addition to reviews of audits conducted in accordance with OMB Circular A-133 and Section 215.97, F.S., as revised (see "AUDITS" below), monitoring procedures may include, but not be limited to, on-site visits by FDOT staff, limited scope audits as defined by OMB Circular A-133, as revised, and/or other procedures. By entering into this agreement, the recipient agrees to comply and cooperate fully with any monitoring procedures/processes deemed appropriate by FDOT. In the event FDOT determines that a limited scope audit of the recipient is appropriate, the recipient agrees to comply with any additional instructions provided by FDOT staff to (Insert recipient's name) regarding such audit. (Insert recipient's name) further agrees to comply and cooperate with any inspections, reviews, investigations, or audits deemed necessary by Florida's Chief Financial Officer (CFO) or Auditor General.

AUDITS

PART I: FEDERALLY FUNDED

Recipients of federal funds (i.e. state, local government, or non-profit organizations as defined in OMB Circular A-133, as revised) are to have audits done annually using the following criteria:

1. In the event that the recipient expends \$500,000 (\$500,000 for fiscal years ending after December 31, 2003) or more in Federal awards in its fiscal year, the recipient must have a single or program-specific audit conducted in accordance with the provisions of OMB Circular A-133, as revised. EXHIBIT 1 to this agreement indicates Federal resources awarded through FDOT by this agreement. In determining the Federal awards expended in its fiscal year, the recipient shall consider all sources of Federal awards, including Federal resources received from FDOT. The determination of amounts of Federal awards expended should be in accordance with the guidelines established by OMB Circular A-133, as revised. An audit of the recipient conducted by the Auditor General in accordance with the provisions of OMB Circular A-133, as revised, will meet the requirements of this part.
2. In connection with the audit requirements addressed in Part I, paragraph 1, the recipient shall fulfill the requirements relative to auditee responsibilities as provided in Subpart C of OMB Circular A-133, as revised.
3. If the recipient expends less than \$500,000 (\$500,000 for fiscal years ending after December 31, 2003) in Federal awards in its fiscal year, an audit conducted in accordance with the provisions of OMB Circular A-133, as revised, is not required. In the event that the recipient expends less than \$500,000 (\$500,000 for fiscal years ending after December 31, 2003) in Federal awards in its fiscal year and elects to have an audit conducted in accordance with the provisions of OMB Circular A-133, as revised, the cost of the audit must be paid from non-Federal resources (i.e., the cost of such an audit must be paid from recipient resources obtained from other than Federal entities).
4. Federal awards are to be identified using the Catalog of Federal Domestic Assistance (CFDA) title and number, award number and year, and name of the awarding federal agency.

PART II: STATE FUNDED

Recipients of state funds (i.e. a nonstate entity as defined by Section 215.97(2)(1), Florida Statutes) are to have audits done annually using the following criteria:

1. In the event that the recipient expends a total amount of state financial assistance equal to or in excess of \$500,000 (\$500,000 for fiscal years ending on September 30, 2004, and thereafter) in any fiscal year of such recipient, the recipient must have a State single or project-specific audit for such fiscal year in accordance with Section 215.97, Florida Statutes; applicable rules of the Executive Office of the Governor and the CFO; and Chapters 10.550 (local governmental entities) or 10.650 (nonprofit and for-profit organizations), Rules of the Auditor General. EXHIBIT 1 to this agreement indicates state financial assistance awarded through FDOT by this agreement. In determining the state financial assistance expended in its fiscal year, the recipient shall consider all sources of state financial assistance, including state financial assistance received from FDOT, other state agencies, and other nonstate entities. State financial assistance does not include Federal direct or pass-through awards and resources received by a nonstate entity for Federal program matching requirements.
2. In connection with the audit requirements addressed in Part II, paragraph 1, the recipient shall ensure that the audit complies with the requirements of Section 215.97(7), Florida Statutes. This includes submission of a financial reporting package as defined by Section 215.97(2)(d), Florida Statutes, and Chapters 10.550 (local governmental entities) or 10.650 (nonprofit and for-profit organizations), Rules of the Auditor General.
3. If the recipient expends less than \$500,000 in state financial assistance in its fiscal year (\$500,000 for fiscal years ending on September 30, 2004, and thereafter), an audit conducted in accordance with the provisions of Section 215.97, Florida Statutes, is not required. In the event that the recipient expends less than \$500,000 (\$500,000 for fiscal years ending on September 30, 2004, and thereafter) in state financial assistance in its fiscal year and elects to have an audit conducted in accordance with the provisions of Section 215.97, Florida Statutes, the cost of the audit must be paid from the nonstate entity's resources (i.e., the cost of such an audit must be paid from the recipient's resources obtained from other than State entities).
4. State awards are to be identified using the Catalog of State Financial Assistance (CSFA) title and number, award number and year, and name of the state agency awarding it.

PART III: OTHER AUDIT REQUIREMENTS

The recipient shall follow up and take corrective action on audit findings. Preparation of a summary schedule of prior year audit findings, including corrective action and current status of the audit findings is required. Current year audit findings require corrective action and status of findings.

Records related to unresolved audit findings, appeals, or litigation shall be retained until the action is completed or the dispute is resolved. Access to project records and audit work papers shall be given to the FDOT, the Comptroller, and the Auditor General. This section does not limit the authority of FDOT to conduct or arrange for the conduct of additional audits or evaluations of state financial assistance or limit the authority of any other state official.

PART IV: REPORT SUBMISSION

1. Copies of reporting packages for audits conducted in accordance with OMB Circular A-133, as revised, and required by PART I of this agreement shall be submitted, when required by Section .320 (d), OMB Circular A-133, as revised, by or on behalf of the recipient directly to each of the following:

- A. Florida Department of Transportation at each of the following addresses:

Peter McGilvray
Environmental Quality Performance Administrator
Environmental Program Director
Central Environmental Management Office
Florida Department of Transportation
Mail Station 37
605 Suwannee Street
Tallahassee, Florida 32399-0450

- B. The Federal Audit Clearinghouse designated in OMB Circular A-133, as revised (the number of copies required by Sections .320 (d)(1) and (2), OMB Circular A-133, as revised, should be submitted to the Federal Audit Clearinghouse), at the following address:

Federal Audit Clearinghouse
Bureau of the Census
1201 East 10th Street
Jeffersonville, IN 47132

- C. Other Federal agencies and pass-through entities in accordance with Sections .320 (e) and (f), OMB Circular A-133, as revised.

2. In the event that a copy of the reporting package for an audit required by PART I of this agreement and conducted in accordance with OMB Circular A-133, as revised, is not required to be submitted to FDOT for reasons pursuant to section .320 (e)(2), OMB Circular A-133, as revised, the recipient shall submit the required written notification pursuant to Section .320 (e)(2) and a copy of the recipient's audited schedule of expenditures of Federal awards directly to each of the following:

Peter McGilvray
Contract Manager
Environmental Quality Performance Administrator
Central Environmental Management Office
Florida Department of Transportation
Mail Station 37
605 Suwannee Street
Tallahassee, Florida 32399-0450

In addition, pursuant to Section.320 (f), OMB Circular A-133, as revised, the recipient shall submit a copy of the reporting package described in Section .320 (c), OMB Circular A-133, as revised, and any management letters issued by the auditor, to Florida Department of Transportation at each of the following addresses:

Peter McGilvray
Contract Manager
Environmental Quality Performance Administrator
Central Environmental Management Office
Florida Department of Transportation
Mail Station 37
605 Suwannee Street
Tallahassee, Florida 32399-0450

3. Copies of financial reporting packages required by PART II of this agreement shall be submitted by, or on behalf of the recipient directly to each of the following:
 - A. Florida Department of Transportation at each of the following addresses:

Peter McGilvray
Contract Manager
Environmental Quality Performance Administrator
Central Environmental Management Office
Florida Department of Transportation
Mail Station 37
605 Suwannee Street
Tallahassee, Florida 32399-0450
 - B. The Auditor General's Office at the following address:

Auditor General's Office
Room 401, Pepper Building
111 West Madison Street
Tallahassee, Florida 32399-1450
4. Copies of reports or the management letter required by PART III of this agreement shall be submitted by, or on behalf of the recipient directly to:
 - A. Florida Department of Transportation at each of the following addresses:

Peter McGilvray
Contract Manager
Environmental Quality Performance Administrator
Central Environmental Management Office
Florida Department of Transportation
Mail Station 37
605 Suwannee Street
Tallahassee, Florida 32399-0450
5. Any reports, management letter, or other information required to be submitted to FDOT pursuant to this agreement shall be submitted timely in accordance with OMB Circular A-133, Florida Statutes, and Chapters 10.550 (local governmental entities) or 10.650 (nonprofit and for-profit organizations), Rules of the Auditor General, as applicable.
6. Recipients, when submitting financial reporting packages to FDOT for audits done in accordance with OMB Circular A-133 or Chapters 10.550 (local governmental entities) or 10.650 (nonprofit and for-profit organizations), Rules of the Auditor General, should indicate the date that the reporting package was delivered to the recipient in correspondence accompanying the reporting package.

PART V: RECORD RETENTION

1. The recipient shall retain sufficient records demonstrating its compliance with the terms of this agreement for a period of at least five years from the date the audit report is issued, and shall allow FDOT, or its designee, CFO, or Auditor General access to such records upon request. The recipient shall ensure that audit working papers are made available to FDOT, or its designee, CFO, or Auditor General upon request for a period of at least five years from the date the audit report is issued, unless extended in writing by FDOT.

EXHIBIT 1

FEDERAL RESOURCES AWARDED TO THE RECIPIENT PURSUANT TO THIS AGREEMENT CONSIST OF THE FOLLOWING:

Federal Program – Federal Highway Administration, Highway Planning and Construction, CFDA#20.205 (Insert \$ Amount - per fiscal year)

COMPLIANCE REQUIREMENTS APPLICABLE TO THE FEDERAL RESOURCES AWARDED PURSUANT TO THIS AGREEMENT ARE AS FOLLOWS:

Federal Program: CFDA #20.205 - Highway Planning and Construction (Federal-Aid Highway Program)

1. Implementation of ETDM Process, State of Florida
2. Compliance with Agreement and Title 23: Surface Transportation Acts.
3. Compliance with the Use and Use Restrictions; Post Assistance Requirements; and Regulations, Guidelines, and Literature sections of the Highway Planning and Construction program required.

STATE RESOURCES AWARDED TO THE RECIPIENT PURSUANT TO THIS AGREEMENT CONSIST OF THE FOLLOWING:

Matching Resources for Federal Programs:

No state resources were awarded to match federal resources in this agreement

Subject to Section 215.97, Florida Statutes:

No state resources were awarded in this agreement

COMPLIANCE REQUIREMENTS APPLICABLE TO STATE RESOURCES AWARDED PURSUANT TO THIS AGREEMENT ARE AS FOLLOWS:

Not applicable. State resources were not awarded in this agreement.

Note: Remember to include the single audit language and the respective funding information in Exhibit 1 to amendments and/or supplemental agreements created in order to add additional funding to the original contract.

Appendix D
Application for Comptroller Approved Advance

STATE OF FLORIDA DEPARTMENT OF TRANSPORTATION
**APPLICATION FOR ADVANCE PAYMENT
(ACCOUNTABLE ADVANCES ONLY)**

350-000-10
COMPTROLLER
10/09

Contract Information

Vendor Name: _____ Vendor Number: _____
Contract Number: _____ FPN Number: _____
Participating or Non-Participating: _____ WPI Fund Code: _____
Contract Execution Date: _____
Estimated Start Date: _____ Estimated Completion Date: _____
Amount of Contract: _____ Amount of Advance Requested: _____
Org: _____ EO: _____ Object: _____
Funds Already Encumbered for Advance (Y/N): _____
New Object Code Needed for Advance (Y/N): _____
If Yes, First Four Digits of Object Being Used for Disbursement: _____
Category: _____ Category Year: _____
DOT Contract Contact if Different From Requester: _____
Telephone Number: _____
Justification: _____

Sender/Requester Information

Requester's Name: _____ Requester's Title: _____
Requester's Office: _____
District/Mail Station: _____ Cost Center: _____
Telephone Number: _____

Signature of Sender/Requester Date Requested

Application should be forwarded to Office of Comptroller, Attn: Comptroller, MS 24.

Comptroller Approval

I certify that the above request for advance payment has been granted in accordance with Section 334.044(29), F.S.

Amount Approved

Signature (Comptroller)

Date Approved

Appendix E
Certification of Completion Agreement

CERTIFICATION OF COMPLETION AGREEMENT

Contract No. _____

Project Name _____

Financial No _____

Vendor No. _____

Federal No. _____

THIS CERTIFICATION OF COMPLETION AGREEMENT, made and entered into this ____ day of _____, by and between the STATE OF FLORIDA DEPARTMENT OF TRANSPORTATION, an agency of the State of Florida, hereinafter called the "FDOT," and the _____ hereinafter called the "Agency."

WITNESSETH:

WHEREAS, the FDOT and the Agency heretofore on _____, entered into a voluntary _____ year Agreement whereby the FDOT agreed to fund the Agency to furnish certain services in connection with Efficient Transportation Decision Making Process; and

WHEREAS, the services which the Agency agreed to furnish are 100% complete on _____, for which the Agency is entitled to as detailed below:

Total Amount Funded \$ _____

and;

WHEREAS, there has been previously paid to the Agency under the terms of said Agreement the sum of \$ _____

- Leaving a balance of \$ _____ still due to the Agency by the FDOT.
- Leaving an unspent balance of \$ _____ due and payable to the FDOT by the Agency within 90 days of certification of completion of the contract.
- All invoices have been paid, and the balance due to either party is \$0.

NOW, THEREFORE, THIS INDENTURE WITNESSETH: That the Agency, does hereby agree with the FDOT to the completion of the Agreement dated _____. The Agency agrees that the amount to be paid is the final payment due for services rendered pursuant to the Agreement.

IN WITNESS WHEREOF, the parties hereto have caused these presents to be executed, effective the day and year first above written.

Name of Agency

STATE OF FLORIDA
DEPARTMENT OF TRANSPORTATION

BY: _____
Authorized Signature

BY: _____

(Print/Type)

(Print/Type)

Title:

Title:

Date:

Date:

Appendix F
Out-of-State Travel Request Form



FDOT TRAVEL REQUEST FORM

Required for Out-of-State Travel Only

Employee Name

Employee Position

Agency Name and Office Location

Purpose of Travel:

TRAVEL REQUESTED

Date

Origination

Destination

Date

Origination

Destination

ESTIMATED TRAVEL COST

Estimated Total Cost for Travel: \$

AUTHORIZATION BY CEMO ADMINISTRATOR

Verbal Authorization

Date

Authorization

Date

AGENCY SIGNATURES

Employee Signature

Date

Travel Approved by Direct Supervisor

Date



Florida Department of Transportation
Environmental Management Office
Mail Station 37
605 Suwannee Street
Tallahassee, FL 32399-0450
Phone: (850) 414-4447

www.dot.state.fl.us/emo