



Federal Aid Technical Bulletin

Bulletin No. 12-01

Date: January 20, 2012 **Revised May 16, 2012 (see email at end of the bulletin)**

Subjects:

- Identification of responsible local agency for LAP projects
- Closing documents required for all LAP projects
- **Bid-Build pushbutton contracts for safety funds (guidance on this topic has been withdrawn and will be re-issued at a later date)**
- ARRA indirect accumulated from non-ARRA funds
- OOC initiating closing authorization requests once the audit letter is finalized and to add indirect.
- Modifying federal authorizations on projects using NHAC, IMAC and BRAC fund codes

Identification of responsible local agency for LAP projects

FHWA is requiring the Department to identify in the STIP the local agency responsible for all LAP Projects.

Effective immediately, Districts should begin inputting the "External Agency" field in Project Suite Enterprise Edition for all Local Agency Program (LAP) projects. Attached to this Bulletin are detailed instructions on how to enter this information in Project Suite.

The district LAP coordinators have the designated responsibility to ensure all LAP projects have the responsible external agency identified in Project Suite. Once entered in Project Suite, this data field will also be displayed in WPA on the WP23 screen with the option "Display External Agencies" is set to "Y".

This responsible agency identification ***must be completed*** for all LAP projects in **all years** of the new Tentative Work Program ***prior to its adoption on July 1, 2012.***

The State (Central Office) LAP Administrator can provide a detailed listing by district of all the LAP Projects in the current Tentative Work Program.

Closing documents required for all LAP projects

ARRA LAP projects and LAP projects subject to full FHWA oversight will be subject to the full project close out package as required by Chapter 14 of the Review and

Issued by Federal Aid Management Office



Administration Manual. Other LAP projects for which the LAP Agreement was already executed as of the date of this bulletin (1/20/12) will be grandfathered in and be allowed to close with just a material certification, final invoice and final inspection and acceptance.

All ARRA and full FHWA Oversight LAP projects will still need to provide the full closing package required by Chapter 14 of the Review and Administration Manual and the FHWA Partnership Agreement.

For all other LAP projects where the LAP agreement was executed subsequent to 1/20/12 an abbreviated process has been devised when finalizing and closing out a LAP project.

The attached "LAP Project Close out Package Transmittal Memorandum" will be used to list the items in the close out package. A PDF version of this memorandum template is attached to this bulletin, and a Word version is attached to the email transmitting this bulletin.

The package will include:

- LAP Record of Final Plans and Documents.

This newly designed form No. 525-010-47 is available on the Forms and Procedures website (including instructions for its use). A PDF version of this document is also attached to this bulletin, and a Word version is attached to the email transmitting this bulletin.

- Final Invoice from Vendor

The final invoice must include the final construction project cost and final plan quantities.

- Local Agency Program Final Inspection and Acceptance of Federal Aid Project

This is form No. 700-010-42 issued by the Production Support Office and is available on the Forms and Procedures website.

This form may also be generated automatically at the following Federal Aid Management Office Infonet web address by entering the appropriate LAP contract number:

<http://webapp02.dot.state.fl.us/fmsupportapps/federalaid/finalacceptance.aspx>

- Materials Certification



If the project is off the state highway system the materials certification will come from the local government. The certification will come from the State Materials Office if the project is on the state highway system or an off system critical project as defined in LAP Manual Chapter 23.1.3.

- **Schedule of Values**

The schedule of values is only required for Design/Build projects.

The complete close out package should be uploaded into the LAPIT application. At the same time an email notification should be sent to:

- District Federal Aid Coordinator,
- Federal Aid Management Office, Mr. Richard Lutten
- Other District personnel who may be involved in the close out process.

The email notification should contain the following project specific information:

- Federal-Aid Project Number
- Financial Project Number
- LAP Agreement Number
- Local Contract Number
- Local Agency

If you have any questions regarding this guidance, please contact the State Local Agency Program Administrator, Mr. Roosevelt Petithomme at 850-414-4383 or by email at Roosevelt.Petithomme@dot.state.fl.us or the Alternative Contracting & Contract Administration Specialist, Mr. Alan Autry at 850-414-4195 or by email at Alan.Autry@dot.state.fl.us.

ARRA Indirect accumulated from non-ARRA funds

The EBOH that has accumulated on ARRA projects as a result of costs generated from non-ARRA federal funds on the project should be associated to the federal aid project number.

If there are excess ARRA funds that don't have commitments an authorization request modification moving the authorization to the x9 from the direct phase can be submitted to FHWA for approval in order to minimize the amount of ARRA funds that are released from the project.



If the ARRA funds have already been maximized on the project, the EBOH should be cost transferred to EB with an OH distribution area due to the prohibition of no advanced construction allowed on an ARRA project.

Unless the ARRA funds are being maximized, a \$10K threshold should apply, at the federal project level, before the x9(s) are associated to the project.

Office of Comptroller (OOC) will be initiating closing Authorization Requests once the audit letter is finalized and to add indirect.

Due to a recent process change and to expedite the closing of federal projects, OOC will be submitting closing AR's to modify projects that are ready to close if the total amount of change to the project is less than \$10K.

OOC will also be authorizing indirect after transferring cost from EBOH to EB with an OH distribution area.

OCC will send an e-mail communicating their action to the District any time that a project is modified and the action will be subject to review and approval by CO-Federal Aid Management Office prior to certification and transmittal to FHWA for final approval and project closure.

Modifying federal authorizations on projects using NHAC, IMAC and BRAC fund codes

Federal Aid Technical Bulletin No. 10-05 issued April 10, 2010, addressed a change to the way in which AC funds are managed in the statewide program categories. More specifically, the following guidance was issued:

Beginning in state fiscal year 2010/2011 the fund codes NHAC, IMAC and BRAC will no longer be used on new projects.

Beginning in state fiscal year 2010/2011 the new fund codes will be ACNH, ACIM and ACBR for the state funds used in the AC program, and NH, IM and BRT for the federal funds.

Additionally, the bulletin stated that projects which already were authorized with NHAC, IMAC or BRAC would not be changed to the new fund codes ACNH, ACIM or ACBR, and that



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Any future authorization modifications that increased the federal funding would also continue to use the old fund codes NHAC, IMAC or BRAC.

This bulletin supersedes the guidance shown above regarding which fund codes to use for authorization modifications that increase the federal funding on these projects.

Effective immediately, any authorization modifications that increase the federal funding on projects that were initially authorized using the old fund codes NHAC, IMAC or BRAC will no longer use these fund codes for future authorization modifications. Instead, please use the new fund codes ACNH, ACIM or ACBR.

This change in guidance will facilitate our statewide management of the AC program.

If you have any questions regarding the subjects contained in this bulletin, please do not hesitate to contact us.

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Jobe, James

To: FEDTECH Bulletin Recipients
Subject: Revision to FEDTECH 12-01
Date: May 16, 2012

Included in Federal Aid Technical Bulletin 12-01 was the topic of closing documents required for all LAP projects.

In the bulletin we indicated that LAP projects which had already entered into the "ready final voucher" processing status as of 1/20/12 would be grandfathered in and be allowed to close with just a material certification, final invoice and final inspection and acceptance.

This has been revised to state that projects which had already executed the LAP Agreement prior to 1/20/12 would be grandfathered in and be allowed to close with just a material certification, final invoice and final inspection and acceptance.

The specific revisions are shown below, and the revised bulletin is attached and may also be found at the following web address: <http://infonet/programdevelopmentoffice/federal/fedtech.shtm>

Closing documents required for all LAP projects

ARRA LAP Pprojects and LAP projects subject to full FHWA oversight will be subject to the full project close out package as required by Chapter 14 of the Review and Administration Manual. Other LAP projects for which the LAP Agreement was already executed as of the date of this bulletin (1/20/12) ~~have already entered the ready final voucher processing status as of the date of this bulletin~~ will be grandfathered in and be allowed to close with just a material certification, final invoice and final inspection and acceptance.

All ARRA and full FHWA Oversight LAP projects will still need to provide the full closing package required by Chapter 14 of the Review and Administration Manual and the FHWA Partnership Agreement.

For all other LAP projects where the LAP agreement was executed subsequent to 1/20/12 an abbreviated process has been devised when finalizing and closing out a LAP project.

Thank you.



James B. Jobe CPA, CGFM

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FLORIDA DEPARTMENT OF TRANSPORTATION

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The External Agency Module

The External Agency Module is used to document when an external agency is responsible for a project.

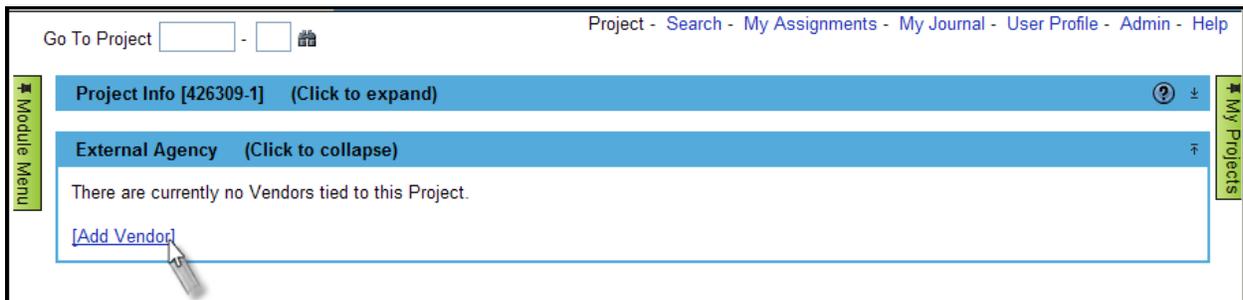
To View the External Agency Module

1. Select the **External Agency** module from the Module Menu.



Adding External Agencies in PSEE

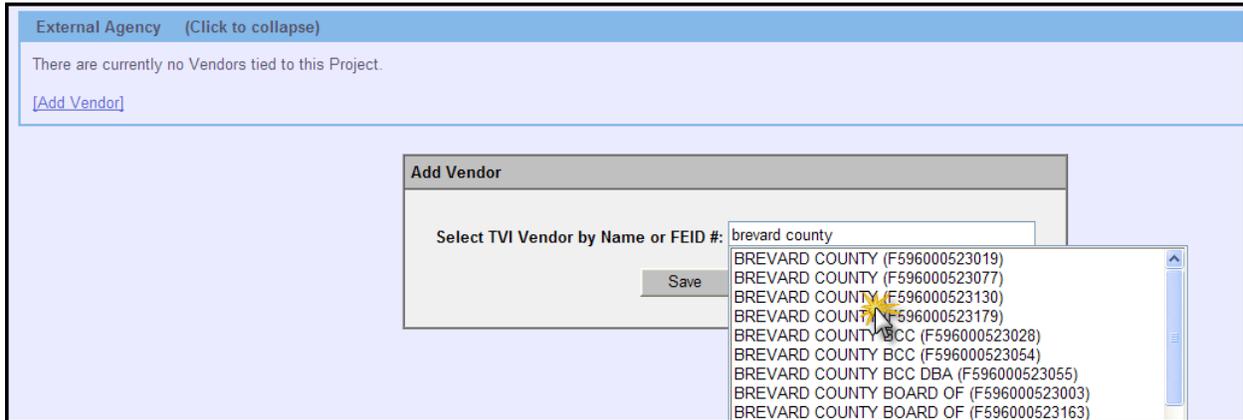
1. Select the **Add Vendor** link.



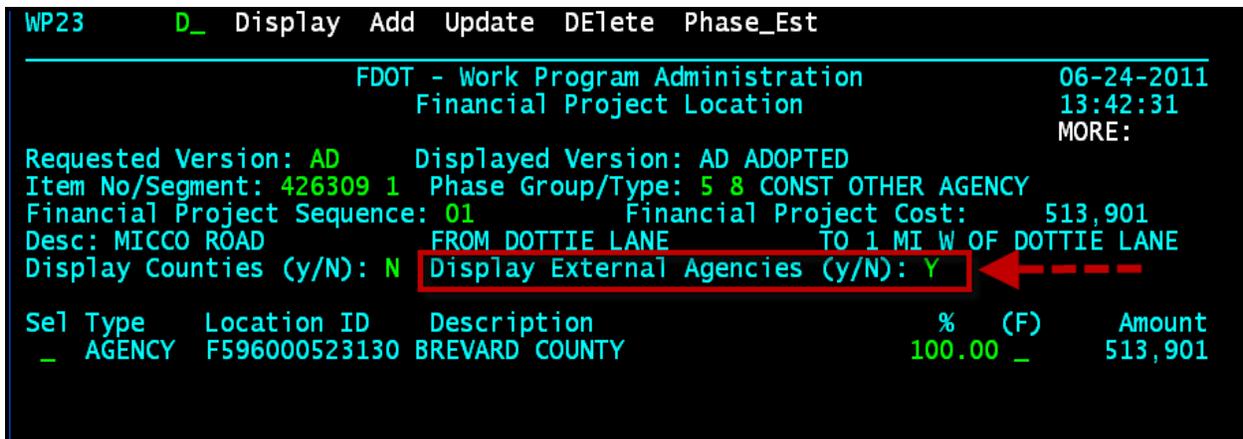
Attachment to Federal Aid Technical Bulletin No. 12-01

Topic: STIP Responsible Agency

2. Begin typing the name or Federal ID Number of the needed external agency. Any matching names will begin to appear in a drop down list. Select the external agency to add them to the list. One vendor may have several F numbers because of multiple offices or locations. Make sure to choose the correct vendor number down to the last 3 digits.



3. The External Agencies added through PSEE will show in Work Program on screen WP23 when the option Display External Agencies is set to "Y".



LAP Project Close out Package Transmittal Memorandum

Date:

To: Manager, Federal Aid Management Office

From: District LAP Administrator

Copies: District Federal Aid Coordinator

Subject:

Federal-Aid Project Number:

Financial Project Number:

LAP Agreement Number:

Local Contract Number:

Local Agency:

Project Description:

Final Pass:

Or

Qualified Pass:

- _____ 1. LAP Record of Final Plans and Documents
- _____ 2. Final Invoice
 - Must show Final Construction Project Cost and Final Plan Quantities
 - Supporting Documentation must attest that all DBEs and subs have been paid
- _____ 3. Final Inspection and Acceptance of Federal Aid Project
- _____ 4. Materials Certification (**From Locals for Off System, From State Materials for On System**)
- _____ 5. Schedule of Values (**For Design Build Only**)

If this is a resubmission, please state reason for update:

STATE OF FLORIDA DEPARTMENT OF TRANSPORTATION
**LOCAL AGENCY PROGRAM (LAP) RECORD OF FINAL PLANS
 AND DOCUMENTATION**

525-010-47
 PRODUCTION SUPPORT
 01/12

PROJECT DESCRIPTION:					DBE PARTICIPATION %:			
FINANCIAL PROJECT ID:					CONTRACT NO.:			
FEDERAL AID PROJECT NO.(S):					ORIGINAL CONTRACTED COST: FINAL CONSTRUCTION COST:			
LOCAL AGENCY: PROJECT LOCATION: <input type="checkbox"/> ON SYSTEM <input type="checkbox"/> OFF SYSTEM <input type="checkbox"/> CRITICAL PROJECT					LETTING DATE: CONTRACT EXECUTION DATE:			
CONTRACTOR NAME:								
CEI:								
LOCAL AGENCY PROJECT ADMINISTRATOR/MANAGER:								
AS BUILTS RETAINED BY FDOT: <input type="checkbox"/>					AS BUILTS RETAINED BY LOCALS: <input type="checkbox"/>			
DATE CONTRACT TIME BEGAN:			DATE CONTRACT TIME END:			DATE WORK BEGAN:		
ORIGINAL CONTRACT DAYS:			FINAL CONTRACT DAYS:			LOCAL AGENCY FINAL ACCEPTANCE DATE:		
Change Order #	PARTICIPATION AMOUNT				TIME OVERRUNS/UNDERRUNS			
	LOCAL	STATE	FEDERAL	TOTAL		LOCAL AGENCY	STATE	FEDERAL
				\$0.00				
				\$0.00	Calendar Days Elapsed (used)			
				\$0.00	Calendar Days Underrun			
				\$0.00	Calendar Days Overrun			
				\$0.00	Liquidated Damages Calculation			
				\$0.00	Per Day Rate			
				\$0.00	No. of Days			
				\$0.00	Total Amount \$0.00			
				\$0.00	Were Liquidated Damages Assessed to the Contractor:	YES <input type="checkbox"/>	NO <input type="checkbox"/>	
QUANTITY OVERRUNS/UNDERRUNS								
ITEM #	ITEM DESCRIPTION				ORIGINAL AMOUNT	FINAL AMOUNT		PERCENT CHANGE

COUNTY/CITY ENGINEER OR DESIGNEE (PRINT NAME) _____ TITLE _____

SIGNATURE _____ DATE _____

The contract information contained on this form is based on the Local Agency's contract, not the LAP Agreement.

Local Agency Program (LAP) Record of Final Plans and Documentation

The information captured on this form is specific to the contract between the Local Agency and the Contractor. For example the Original Contracted Cost is the original construction contract cost between the Local Agency and its Contractor, rather than the Original LAP Agreement amount between the Department and the Local Agency. This logic should be applied to all fields on the form unless specifically stated otherwise. This form summarizes the final plans and documentation, and should capture all contract changes. The necessary justifications and supporting documentation should be retained by the Local Agency and made available upon request by the Department, Federal Highway Administration (FHWA) or applicable auditors. This form is submitted as part of the construction project close out package. The construction close out package must at a minimum contain the items listed below:

1. LAP Record of Final Plans and Documents (**Form 525-010-47**)
2. Final Invoice
 - Must show Final Construction Project Cost and Final Plan Quantities
 - Supporting Documentation must attest that all DBEs and Subs have been paid
3. Final Inspection and Acceptance of Federal Aid Project (**Form 525-01-042**)
4. Materials Certification (**From Locals for Off System Projects, From State Materials Office if On System or Critical Project**)
5. Schedule of Values (**For Design Build Only**)

Definitions

Contract No.: The number that the Local Agency assigns to its contract with the Contractor.

Original Contracted Cost: The cost of the original contract between the Local Agency and the Contractor cost based on the bid amount.

Final Construction Cost: The final construction cost of the contract between the Local Agency and the Contractor. This includes the Original Contracted Cost plus or minus the value of any contract changes.

Overrun: The positive variation between the designer's original estimated quantities and the construction final quantities.

Underrun: The negative variation between the designer's original estimated quantities and the construction final quantities.

Local Agency Final Acceptance Date: Date that the Local Agency accepts the project after all items of work have been completed satisfactorily.

Final Inspection: An inspection conducted by the Engineer which finds that all work has been satisfactorily completed.

Date Contract Time Began: The date that work starts on the contract.

Date Contract Time Ends: The date the work ends and the Local Agency determines that all items of work have been completed satisfactorily