Work Program Instruction Changes

Tentative Work Program FY 16/17 - FY 20/21

Chapter No.	Chapter Name	Description	Date Revised	Supplement
Part II	General Instructions	Chapter 1, Section C, pages 3-4: Replaced references of "gaming" with the new term "tentative work program development cycle"; Chapter 2, Section A, page 1: Replaced references of "gaming" with the new term "tentative work program development cycle"; Chapter 2, Section B, pages 2-3: Updated the requirements for project selection; Minor editorial and formatting changes throughout; Section B, page 3: Link to Federal Aid Technical Bulletin added (**not available on internet version of Work Program Instructions**)	1/29/2016	3
Part III, Chapter 1	Administration	Section D.1.e, page 5: Replaced "gaming" reference with new term "tentative work program development cycle"; Section H, page 10: Section on Concrete Pavement Initiatives added to chapter.	1/29/2016	3
Part III, Chapter 3	Amendments	Section F.1, page 4: Replaced "gaming" reference with new term "tentative work program development cycle"	1/29/2016	3
Part III, Chapter 7	CIGP	Section B.3, page 3: Program number correction from 02 to 87 for projects off the State Highway System, on the Federal System; Section B.6, page 6: Added new District 4 CIGP Coordinator.	1/29/2016	3
Part III, Chapter 9	Economic Development	Section B, page 2: Added new District 4 Coordinator; minor formating changes throughout	1/29/2016	3
Part III, Chapter 11	Environmental	Section E, pages 4-5: Added new parts within the section to provide instruction for Projects Qualifying for DEM Funds and Project Selection; Section F.1, page 7: Updated language regarding Section 373.4137(3)(e) & 373.4137(3)(d) for mitigation	1/29/2016	3
Part III, Chapter 12	Federal Aid off the SHS	Section B, page 1: Added additional information regarding contingency for off-system projects	1/29/2016	3
Part III, Chapter 13	FCO	Section B, page 4: Section F.3, page 7; Section H.1, page 7: Replaced "gaming" reference with new term "tentative work program development cycle"	1/29/2016	3

Part III, Chapter 15	FLP	Section G.3, page 17: Editorial changes to comments column of chart for Program no. PO/ fund POED	1/29/2016	3
Part III, Chapter 18	LAP	Section A, page 1: Added additional information regarding contingency for off-system projects	1/29/2016	3
Part III, Chapter 19	Local Funds	Section C.1, page 9: Replaced "game" reference with new phrasing.	1/29/2016	3
Part III, Chapter 26	Project Costing	Section C.2 & C.2.b, pages 3 & 6; Application Development added to examples of IT applications.	1/29/2016	3
Part III, Chapter 28	Resurfacing	Section A.4, page 3: Topic on Concrete Pavement Initiatives has been moved to Chapter 1 - Administration, Section H.	1/29/2016	3
Part III, Chapter 29	Right of Way	Section A.3.d, page 3: Replaced "gaming" reference with new term "tentative work program development cycle"	1/29/2016	3
Part III, Chapter 34	Special Contracting	Section E.2.c&d, page 13: Added language regarding DB Finance Contractor Fund Advance and Programming Guidelines for project advancement.	1/29/2016	3
Part III, Chapter 36	SIS	Section F.1, page 9: Replaced "gaming" reference with new term "tentative work program development cycle"	1/29/2016	3
Part III, Chapter 40	TRIP	Section A, page 1 and Section B, page 4: Removed bullet point regarding capacity; Section B, page 6: Added new District 4 TRIP Coordinator	1/29/2016	3
Part III, Chapter 41	Turnpike Enterprise and Other Toll Facilities	Section B.4.b, page 6: Replaced "gaming" reference with new term "tentative work program development cycle"	1/29/2016	3
Part III, Chapter 44	WPA Reports	Section D.2, page 5: Replaced "gaming" reference with new term "tentative work program development cycle"; Section E.11, page 51: Edit#46 - updated language to reflect new logic; Section E.11, pages 53-54: Edit #61 - Correct report numbering; correct Report 7 to match logic	1/29/2016	3
Part IV	Federal Aid	Ch. 1: Updated with FAST-Act modifications	1/29/2016	3
Appendix D-1	Definitions	#9, page 3: Added language to show the Old Item Number field is no longer used; #12, page 5: Removed highlight of the Old Item Number field in example; #17, page 11: Updated the Distribution Area Codes; Minor editorial and formatting changes throughout.	1/29/2016	3

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PART II - CHAPTER 1: DEVELOPING, ADOPTING AND MANAGING THE WORK PROGRAM

A. POLICY GUIDANCE

1. THE FLORIDA DEPARTMENT OF TRANSPORTATION MISSION STATEMENT

Development of the work program is guided in the broadest sense by the Florida Department of Transportation's (department's) mission statement set forth below:

"The department will provide a safe transportation system that ensures the mobility of people and goods, enhances economic prosperity and preserves the quality of our environment and communities."

2. FLORIDA TRANSPORTATION PLAN (FTP)

A statewide transportation plan that considers and documents the following:

- The department's long and short range goals and objectives, which must be established and defined within the context of the State Comprehensive Plan
- State mandates
- Federal mandates and authorizations
- Prevailing principles of preserving the existing transportation infrastructure thereby enhancing Florida's economic competitiveness
- Improving travel choices to ensure mobility are also considered in development of the FTP.

The FTP has two components:

- A long-range component encompassing the next 50 years which identifies the goals and objectives required to address the needs of the state transportation system, effective and efficient use of all modes of transportation necessary to meet such needs and provide a comprehensive intermodal transportation system.
    - Goal 1 - Invest in transportation systems to support a prosperous, globally competitive economy
    - Goal 2 - Make transportation decisions to support and enhance livable communities
    - Goal 3 - Make transportation decisions to promote responsible environmental stewardship
    - Goal 4 - Provide a safe and secure transportation system for all users
    - Goal 5 - Maintain and operate Florida's transportation system proactively

- Goal 6 - Improve mobility and connectivity for people and freight

- A short-range component which identifies those objectives and strategies necessary over the next 10 years to implement the overarching goals and objectives identified in the long-range component. The short-range component defines the relationship between the long-range goals and the short-range objectives, and identifies transportation strategies necessary to efficiently achieve the goals and objectives.

The FTP provides the policy framework for the department's Program and Resource Plan, legislative budget request and the work program.

3. INVESTMENT POLICY (ALLOCATION OF FLEXIBLE CAPACITY FUNDS)

The department has the principal responsibility for the statewide and interregional movement of people and goods and shares responsibility with other public and private interests in addressing system safety, the preservation and operation of transportation facilities, and local and metropolitan area mobility needs. Accordingly, the Strategic Intermodal System (SIS) is the department's highest transportation capacity investment priority. The department is also increasing its emphasis on regional travel and improving regionally significant facilities. Toward those ends, the department will allocate 75 percent of new discretionary capacity funds to the SIS.

4. PROGRAM AND RESOURCE PLAN

The Program and Resource Plan provides the link between the Florida Transportation Plan (FTP), the department's numerous programs (as reflected in the project specific work program) and the department's legislative budget request. The Program and Resource Plan is essential to understanding the major programs of the department, the resources required and the product to be delivered. The Program and Resource Plan contains the specific long range goals and objectives from the FTP, as well as selected operating policies and performance measures, which guide the development of each program in the department.

Fund allocations and program targets are published in Schedule A and Schedule B and are included as Appendix A and B in these instructions, respectively. These levels and targets are the result of the department's finance plan program and resource planning process, which produce a Program and Resource Plan balanced to anticipated revenues. Programs that are not included in Schedules A or B, such as non-allocated discretionary funds, must be programmed in accordance with the Federal Highway Administration (FHWA) apportionment notices and the program plan crosswalk (see link below).

The Program and Resource Plan establishes the programming framework by which the work program is developed. The work program instructions 'translate' the FTP through the Program and Resource Plan into specific guidelines for work program development consistent, to the maximum extent feasible, with metropolitan planning organizations and local government priorities.

FDOT employees can access the program plan crosswalk by using the following link:

http://webapp02.dot.state.fl.us/fmsupportapps/itemsegmentsearch/ProgramPlanCrosswalk.aspx

B. DEVELOPING, ADOPTING AND MAINTAINING THE WORK PROGRAM

The work program is a five-year plan developed and maintained to maximize the department's production and service capabilities. The work program capitalizes on the innovative use of resources, increased productivity, reduced cost, and strengthened organizational effectiveness and efficiency.

- Adopted Work Program - refers to the five-year plan approved by the Secretary of Transportation on July 1 of each year. Any changes (additions, deletions, deferrals, etc.) to projects in the first year of the adopted work program (current year) must be approved by the Executive Office of the Governor (EOG) via an EOG work program amendment request.

- Preliminary Tentative Work Program - refers to the five-year plan encompassing the five years after the current work program year. Two weeks prior to the legislative session, the tentative work program is submitted to the Florida Legislature, the EOG, the Florida Transportation Commission (FTC) and the Department of Economic Opportunity (DEO) for review.

- Tentative Work Program – refers to the tentative work program submitted two weeks after the beginning of the legislative session to the Florida Legislature, the EOG, the FTC and the DEO.

On July 1, the tentative work program becomes the adopted work program. The first year of this adopted work program becomes the current work program year. The new tentative work program represents the last four years of the current adopted work program plus any project programming in the new fifth year.

For the department to maintain a viable work program, all modifications must reflect the most up-to-date, factual information. When modifying the work program, maintain fiscal responsibility and data integrity by mandating periodic review of the work program and its associated budget -- to include the Program and Resource Plan, the 36-Month Cash Forecast and the 5-Year Finance Plan.

C. UPDATING THE WORK PROGRAM IN THE WORK PROGRAM ADMINISTRATION SYSTEM (WPA)

1. STAGES OF WORK PROGRAM DEVELOPMENT

The development of the tentative work program is a combined effort between districts, central office and the Turnpike Enterprise. It involves the use of the Work Program Administration (WPA) system and takes place in a staged approach called the Tentative Work Program Development Cycle.

- The period of time between mid-July and mid-January (with the exception of apportionment years which compress the tentative work program development cycle to four months) in which the districts, turnpike enterprise and central office can update or add to the projects currently programmed within the tentative work program years.

- The tentative work program development cycle allows WPA users to program project scenarios, run reports to analyze their impacts and determine their final plan. All programming adjusted in WPA during the tentative work program development cycle must comply with the funding levels established in the Program and Resource Plan.

- At the end of the tentative work program development cycle, WPA access is restricted and a snapshot is taken of the established programming. This snapshot then becomes representative of the new tentative work program.

- When making modifications during the tentative work program development cycle, first priority should be given to the projects programmed in the last four years of the current adopted work program in WPA.

- Project phases programmed in WPA must be supported by realistic schedules in the Project Scheduling and Management (PSM) system to ensure that phases can be initiated as programmed.

- Comments on the dollar amount, fund and reason for programming changes are required for every programming change. These comments are critical and are used to respond to questions from the Florida Legislature, EOG, FTC and the executive leadership team.

2. WPA SYSTEM VERSIONS/FILES

WPA uses various versions of programming to provide a clear picture of additions, modifications and approved programming throughout the development process.

- Adopted (AD): The adopted version/file of the work program is approved by the Secretary of Transportation on July 1 of each fiscal year. Current year programming, including fund code changes and estimate updates to projects in the adopted work program, may be programmed in the adopted version/file. New fifth year estimates for adopted projects will be added in the adopted file. All other programming in the new fifth year of the tentative must be programmed in the tentative work program development cycle version/file.

- Amended (AM): The amended version/file is used to request the addition of completely new projects and/or the addition of new phases for existing projects in the current year of the adopted work program. The majority of programming changes made in the amended version must be submitted to the EOG for final approval (see the Amendments chapter). Once approved by the EOG, programmed changes in the amended version/file will be automatically or manually adopted and included in the adopted version/file of WPA. They will no longer be reflected in the amended version/file. Existing boxes must be updated in the adopted file.

- Tentative Work Program Development Cycle (G1): The tentative work program development cycleversion/file is used to make programming changes to the first four years and establish new fifth year projects in the tentative work program. The tentative work program development cycle version is not used to change current year programming. Programming changes in the tentative work program development cycle file do not require EOG approval. The tentative work program development cycle file displays the most current programming in the adopted, amended and G1 work program versions.

  Additional tentative work program development cycle versions (G2 - G9) are snapshot copies of current G1 programming. These versions/files are used to update G1 programming based on specific programming scenarios and analyze their financial impacts without actually making changes in the G1 version/file. These additional tentative work program development cycle versions/files provide static information and do not reflect any changes made to the G1 version/file since their creation.

- Candidate (CA): The candidate version/file is used to create new projects to be amended into the current year work program or added into the tentative work program. Items created in the candidate file do not impact the work program until they are either amended or added to the tentative work program.

  Reports can be run to include candidate items. This allows the analysis of the impacts resulting from adding the individual candidate projects without actually impacting the existing programming and funding levels.

D. USE OF STATE FUNDS

Per Section 339.08(1), F.S., the following rules restrict the State Transportation Trust Fund (STTF) monies to the following purposes:

- To pay administrative expenses of the department, including administrative expenses incurred by the districts, but excluding administrative expenses of commuter rail authorities that do not operate rail services

- To pay the cost of construction of the State Highway System (SHS)

- To pay the cost of maintaining the SHS

- To pay the cost of public transportation projects in accordance with Chapter 341 and Sections 332.003 - 332.007, F.S.

- To reimburse counties or municipalities for expenditures made on projects in the SHS upon legislative approval

- To pay the cost of economic development transportation projects in accordance with Section 339.2821, F.S.

- To lend or pay a portion of the operating, maintenance and capital costs of a revenue-producing transportation projects that is located on the SHS or that is demonstrated to relieve traffic congestion on the SHS

- To match any federal-aid funds allocated for any other transportation purpose, including funds allocated to projects not located in the SHS

- To pay the cost of county road projects selected in accordance with the Small County Road Assistance Program as created in Section 339.2816, F.S.

- To pay the cost of county or municipal road projects selected in accordance with the County Incentive Grant Program created in Section 339.2817, F.S. and the Small County Outreach Program created in Section 339.2818, F.S.

- To provide loans and credit enhancements for use in constructing and improving highway transportation facilities selected in accordance with the State Infrastructure Bank (SIB) program

- To pay the cost of projects on the Florida Strategic Intermodal System created in Section 339.61, F.S.

- To pay other lawful expenditures of the department

- To pay the cost of transportation projects selected in accordance with the Transportation Regional Incentive Program created in Section 339.2819, F.S.

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PART II -
CHAPTER 2: DEVELOPMENT OF DISTRICT AND TURNPIKE ENTERPRISE WORK PROGRAMS

A. REQUIREMENTS MANDATED BY FLORIDA STATUTES

The tentative work program is a compilation of all district/turnpike enterprise work programs of the Florida Department of Transportation (department). Each district/turnpike enterprise work program is subject to (unless otherwise indicated) the following requirements indicated by Section 339.135 F.S.:

- Before submitting the district/turnpike enterprise work programs to the central office, each district/turnpike enterprise shall hold a public hearing in at least one urbanized area in the district. The districts/turnpike enterprise are responsible for placing advertisements for public hearings in local newspapers.

- District/turnpike enterprise will meet with each Metropolitan Planning Organization (MPO) within the district. A presentation will be given with the purpose of determining the necessity of making any changes to projects included in the district/turnpike enterprise work program. The district/turnpike enterprise will hear requests for additions and/or deletions to the work program. For the purpose of work program development, The Board of County Commissioners will function as MPOs in those counties not located in an MPO. Section 339.135 (4)(c)1 F.S.

- Publish advertisements for public hearings in the Florida Administrative Register (FAR), https://www.flrules.org/. The FAR is published each Friday of the year except those Fridays that are observed as official state holidays designated by Section 110.117 F.S. When Friday is observed as a holiday, publication shall be on the last working day of the week in which the Friday holiday is observed. The deadline for each issue is set under Department of State Rule 1-1.011 Florida Administrative Code. The deadline is Wednesday at noon for publication in the following Friday's FAR. The deadline becomes Monday if there is a Wednesday, Thursday, or Friday holiday, e.g., always on Monday for Thanksgiving week.

- Throughout and at the conclusion of the public hearing process, the districts/turnpike enterprise will record changes made to the work program and submit them to central office at the close of the tentative work program development cycle. Central office will then summarize these changes and provide the information to the Florida Transportation Commission (FTC). The FTC uses this information during the annual statewide public hearing.

- By **October 1**, the MPOs must submit their annual transportation improvement program (TIP) list of project priorities and/or TIP priority changes to the district/turnpike enterprise. The department and MPOs may, in writing, cooperatively agree to vary this submittal date.

- Prior to district work program submittal, the district/turnpike enterprise shall provide the affected MPO with written justification for any project proposed to be rescheduled or deleted from the district/turnpike enterprise work programs, if the project is part of the MPO's TIP and is contained in the last four years of the previous adopted work program.

- No later than 14 days after submittal of the district work program, affected MPOs may file an objection with the Secretary for rescheduling or deletions to the work program.

- The districts/turnpike enterprise and MPOs shall minimize changes, deletions, or adjustments to projects or phases contained in the four common years of the adopted work program and the tentative work program. The first three years of the adopted work program stand as the commitment of the state to undertake transportation projects. Local governments must be able to rely on these 3 years for planning, development and amendment of the capital improvements elements of their local

government comprehensive plans. Section 339.135(4) F.S.

- The districts and turnpike enterprise must provide the MPO with a written explanation for any project in the TIP that is not in the district/turnpike enterprise work program. The MPO may request further consideration from the district/turnpike secretary. District secretaries shall acknowledge and review these considerations prior to submitting their work program to the central office.

- Unless the Secretary approves rescheduling/deletions, all projects included in the second year of the adopted work program must be advanced into the first year in the development of the tentative work program. Should rescheduling/deletions occur, central office will identify and document them for inclusion in the reports that accompany the tentative work program.

- Only by joint action between the MPOs and the department, may projects included in MPO TIPs that have advanced to the design stage of preliminary engineering, be removed or rescheduled in a subsequent TIP. The following exception applies:

  - When recommended in writing by the district secretary or the executive director of Florida's Turnpike Enterprise for good cause, any project removed from or rescheduled in a subsequent TIP shall not be rescheduled by the MPO in that subsequent TIP earlier than the fifth year of such TIP. Section 339.175(8) F.S.

- The department will amend the adopted work program if a project listed in the MPO's TIP should have a change in status and meet the criteria as provided in Section 339.135(7) F.S. (see Amendments chapter). The district/turnpike enterprise will notify the affected MPO of the proposed work program amendment and provide a complete justification for the amendment. The district/turnpike enterprise is encouraged to develop amendments cooperatively with the MPOs by:

  - Notifying MPOs expeditiously of the need for a work program amendment

  - Explaining how an amendment may affect the work program

  - Allowing MPOs sufficient time for review and response to proposed amendments.

  - Allowing sufficient time for the MPO to amend the TIP to incorporate the project changes (the department's MPO Program Management Handbook) and requesting the Office of Policy Planning to amend the State Transportation Improvement Program (STIP) accordingly.

B. REQUIREMENTS MANDATED BY THE TITLE 23 UNITED STATES CODE

Title 23 USC Section 135 requires the state to develop a statewide transportation improvement program (STIP) for all areas of the state. This is very similar to the requirements of Section 339.135, Florida Statutes which require the state to develop a listing of transportation projects, by year, for implementation over a multi-year period of time. In the Florida statutes this is called a Five-Year Work Program. In Title 23 USC this is called a four-year STIP.

The Florida statutory requirements for the development of the Five Year Work Program were in existence before the federal requirements for a four year STIP were enacted. So the Florida FHWA Division Office has given FDOT approval to consider the first four years of the Adopted Five Year Work Program as FDOT's four year STIP.

Title 23 Section 134 United State Code requires each MPO to develop a transportation improvement program (TIP) in cooperation with the state (FDOT) and any affected public transportation operator. 23 CFR Part 450 defines "cooperation" in this context to mean "*the parties involved in carrying out the*

transportation planning and programming processes work together to achieve a common goal or objective".

The federal laws and regulations do not dictate the particular process a state DOT, MPOs and affected public transportation operators establish to develop their respective TIPs and statewide STIP. In Florida this is accomplished by having each MPO prepare a list of project priorities which are submitted to the appropriate district of FDOT for inclusion in the new fifth year of the work program, in accordance with Florida Statutes.

Projects using federal funds that may only be spent in large urban areas of over 200,000 population are identified for inclusion in the TIPs and STIP by MPOs *in cooperation with FDOT*. Projects using all other federal funds are identified for inclusion in the TIPs and STIP by FDOT *in consultation with* MPOs. 23 CFR Part 450 defines "consultation" in this context to mean "*the party confers with other identified parties in accordance with an established process and, prior to taking action, considers the views of the other parties and periodically informs them about action taken"*.

For a more extensive comparison of state and federal requirements regarding the identification of projects for inclusion in the Work Program/STIP and MPO TIPs, and selection of said projects for implementation, please refer to Federal Aid Technical Bulletin 16-01. Federal Aid Technical Bulletins may be found (behind FDOT's firewall; not available on the internet) at the following link: Federal Aid Technical Bulletins

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PART II -
CHAPTER 3: RESPONSIBILITIES FOR WORK PROGRAM DEVELOPMENT

A. DISTRICT SECRETARIES AND EXECUTIVE DIRECTOR OF FLORIDA'S TURNPIKE ENTERPRISE

Responsibilities of the district secretaries and executive director of the Florida Turnpike Enterprise:

- Ensure district/turnpike enterprise work program compliance with work program instructions, department policies and procedures, federal rules and regulations, and Florida laws, statutes and administrative rules and regulations

- Ensure proper conduct of local public hearing processes prescribed by law and the work program instructions

- Provide a certification of conformity prior to the Secretary's review of the tentative work program. Certificate should state, to the best of their knowledge and belief:

    - District/turnpike enterprise work programs have been developed to ensure all project phases, to the maximum extent feasible, and can be delivered as programmed

    - District/turnpike enterprise work programs comply with work program instructions, the Florida Transportation Plan (FTP), Modal Systems Plan, departmental policies and procedures, applicable federal rules and regulations, and applicable Florida laws, statutes, and administrative rules and regulations

    - District/turnpike enterprise developed their work programs cooperatively with the metropolitan planning organizations. Work programs are consistent, to the maximum extent feasible, with transportation improvement programs and local government comprehensive plans.

    - District/turnpike enterprise certify accurate review of estimates within the work program and their intent to meet specified production levels.

B. CENTRAL OFFICE

Central office responsibilities for work program development fall into four categories:

- Promulgation of procedures, instructions and other guidelines to assist in the orderly development of the five-year work program

- Provide technical support and other assistance to district/turnpike enterprise offices during the development and management of the tentative/adopted work program

- Development of transportation programs, which have not been decentralized and are managed on a statewide basis

- Oversight of decentralized transportation programs managed by the district/turnpike enterprise. Facilitate the annual central office review and the department's quality assurance process.

The following offices have specific duties in work program development:

1. OFFICE OF WORK PROGRAM & BUDGET:

- Work Program Development and Operations Office – Responsible for developing the work program instructions and coordinating the development, review, and administration of the work program. Ensure work program development is consistent with these instructions, departmental policies and procedures, and federal and state laws.

- Production Management Office – Responsible for reviewing the five-year work program as it relates to the complete scheduling of all road and bridge projects in the tentative. This review focuses primarily on the first three years of the program. Review Lettings (phase 52s) for activity event dates, complete schedules and proper alignment of project phasing. In addition, review the letting plan for the first year of the tentative from a statewide perspective looking for balanced lettings in terms of dollars, type of work and number of projects let each month. Review consultant phases (12, 22, 32, 42 and 62) in the first year of the tentative for proper schedules and commitment dates that support production.

- Federal Aid Management Office – Responsible for the management of the department's annual obligation authority plan and for the federal authorization of individual projects in the current year of the adopted five-year work program. This office promulgates instructions and guidelines pertaining to authorizing projects with the Federal Highway Administration (FHWA) and serves as primary liaison with FHWA on matters relating to the financial administration of federally funded projects.

- Financial Management Support Office – Provides support for the generation of automated reports and other diagnostic tools used for analysis and review of project information retained in the Financial Management System (FM) and related systems. In addition, the staff provides support and training to system users. Liaison to the Office of Information Systems to define enhancements and maintenance requirements.

- Finance, Program and Resource Allocation Office – Responsible for ensuring work program development within financial constraints imposed by the department's Five-Year Finance Plan (includes developing federal aid forecasts and Bond Sale Plans). In addition, coordinates executive leadership workshops relating to program allocations, allocating funds for programs and districts and establishing target levels for production. This office also monitors and reports on the use of the department's programs, resources and achievement of program targets. Activities include development of the Program and Resource Plan, Program and Resource Plan Document, Schedule A – fund allocations, Schedule B – program targets, Resurfacing Monitor, Five Year Finance Plans and the Program Objectives and Accomplishments Report.

- Budget Office – Responsible for preparing and submitting the department's legislative budget request to the Executive Office of the Governor (EOG) and the Florida Legislature. The Budget Office requests spending authority to support the department's operations and the first year of the work program. The Budget Office serves as the department's primary interface with the EOG and the legislative appropriation committees during the consideration of the department's budget request. The Budget Office submits budget amendments that impact current year appropriations.

2. OFFICE OF THE COMPTROLLER:

- Financial Management Office – Responsible for ensuring the work program is developed within the financial constraints of the department's 36-Month Cash Forecast. The Financial Management Office provides assistance to the district/turnpike enterprise in the processing and classification of financial transactions that affect the current year of the adopted work program.

- Project Finance Office – Responsible for the major project oversight, public/private partnerships (P3s) and legislative review of financial provisions of law. In this capacity, the Project Finance Office participates in project programming and funds management during the development of the work program. In addition, this office is responsible for the operation and management of the

state and federal-funded infrastructure bank (SIB) program, toll operations reporting and fund approval.

- General Accounting Office – Responsible for developing forecasts of state revenues, bond planning & feasibility analyses, various bond programs, and analyzing various legislative packages.

C. STATEWIDE PROGRAM MANAGERS

Statewide programs are managed by the offices responsible for each program. The Work Program Development and Operations Office provides support to other central office managers for these program areas.

The following statewide program managers are responsible for programming project phases in coordination with district/turnpike enterprise staff:

PROGRAM AREA	STATE-WIDE MANAGER	TELEPHONE
Transportation Disadvantaged	Steve Holmes	850-410-5706
Fixed Capital Outlay	Mark Weigly	850-414-4360
Bridge	Iman Ameen	850-414-4611
Safety	Lora Hollingsworth	850-414-4177
Statewide Planning	Lee Calhoun	850-414-4453
Transportation Regional Incentive Prog.	Maria Cahill	850-414-4820
Weigh Stations	Craig Wilson	850-410-5462
Rest Areas	Dean Perkins	850-414-4359
Local Gov. Advance/Reimb.	Lisa Saliba	850-414-4649
SIS/Interstate Construction	Susan Wilson*	850-414-4524
Intelligent Transportation Systems	Fred Heery	850-410-5606
*Intrastate Projects will be identified and prioritized by the Assistant Secretaries		

The following table provides other central office contacts for assistance in other program areas:

PROGRAM AREA	CONTACT	TELEPHONE
Applied Research	Patti Brannon	850-414-4616
Materials/Testing	Tim Ruelke	352-955-6620
Equal Opportunity Employment (EEO)	Art Wright	850-414-4749
State Infrastructure Bank	Jennifer Weeks	850-414-4459
Emergency Bridge Repair	John Clark	850-410-5757
Strategic Intermodal System	Chris Edmonston	850-414-4813
County Incentive Grant Program	Maria Cahill	850-414-4820

Resurfacing Monitor	Dawn Rudolph	850-414-4465

D. DISTRICT/TURNPIKE ENTERPRISE WORK PROGRAM MANAGERS

The following table provides contacts for the district/turnpike enterprise work programs:

DISTRICT	WORK PROGRAM MANAGER	TELEPHONE
District 1	Steve Walls	863-519-2662
District 2	Karin Charron	386-758-3772
District 3	Cheryl McCall	850-330-1216
District 4	Antonette Adams	954-777-4624
District 5	Steve Friedel	386-943-5449
District 6	Linda Glass-Johnson	305-470-5329
District 7	Karen Corman	813-975-6418
Turnpike Enterprise	Tim George	407-264-3131

E. DETAIL LISTING OF WORK PROGRAM RESPONSIBILITIES

1. ASSISTANT SECRETARY FOR ENGINEERING AND OPERATIONS

a. Chief Engineer

- Construction estimates of major projects
- Preconstruction production resources (in-house and consultant)
- Right of way requirements (right of way acquisition, advanced acquisition, estimates and manpower support)
- Construction requirements (in-house and consultant construction engineering inspection support)
- Materials and testing
- Resurfacing program including interstate, turnpike & arterial highways
- Bridge repair and maintenance
- Contract maintenance program (consultants, rest areas and bridge tenders)
- Motor carrier size and weight
- Routine maintenance and minor betterment program
- Highway beautification program
- Rest area program

- Interstate preservation and safety program
- Intelligent Transportation System

b. Chief Safety Officer

- Highway safety improvement program
- Highway safety grant program
- High risk rural roads
- Safe routes to school
- Bicycle and pedestrian considerations

2. ASSISTANT SECRETARY FOR INTERMODAL SYSTEMS DEVELOPMENT

- Aviation
- Transit
- Intermodal
- Rail
- Seaport development
- State transportation development administrator
- Transportation needs
- Metropolitan area long-range plans and transportation improvement programs
- Florida's transportation planning process
- Work program consistent with policies, goals and objectives of the FTP
- Consistency to the maximum extent feasible with local government comprehensive plans and the state transportation improvement program (STIP), which includes the first three years of the current adopted work program, the metropolitan planning organization transportation improvement programs, the Indian reservation roads transportation improvement program, and the public lands highway program
- Strategic Intermodal System (SIS), consistent with SIS 2040 cost feasible plan
- Interstate capacity improvement program, consistent with ten-year interstate plan
- Review of planning consultants and grants
- Air quality conformity in non-attainment and maintenance areas
- Coordination of regional planning with state transportation planning
- Environmental management

- Highway beautification program

3. FLORIDA RAIL ENTERPRISE

- High speed rail

4. ASSISTANT SECRETARY FOR FINANCE AND ADMINISTRATION

a. Office of Work Program & Budget Director

- Compliance with work program instructions, federal and state laws, and departmental policies and procedures.
- Fund balances (including use of state and federal funds and federal aid obligating authority, in coordination with the Production Management Office)
- Contingencies (allowances, pending litigation)
- Work program and STIP amendments
- Reporting requirements (coordinating with districts/turnpike enterprise when necessary)
- Overall coordination of central office review
- HPR/PL federal program
- Bridge replacement program
- Production schedule versus project phasing
- Advance production targets/assessment of potential
- Contract letting schedules (balance and loading)
- Alternative contracting (scheduling and letting plans)
- Small County Road Assistance Program
- Federal obligation authority plan (including advanced construction plan component)
- Federal authorization processing
- Finance Plans
- Bond Sale Plans
- Monitoring county allocations of the state comprehensive enhanced transportation system tax (use of District Dedicated Revenue [DDR] funds)
- Budget amendments
- Reporting requirements (coordinating with districts/turnpike enterprise when necessary)
- Reconciliation of the statewide planning program to the Program and Resource Plan

- Schedule A – fund allocations, Schedule B – program targets, and Resurfacing Monitor
- Program and Resource Plan
- Program Objectives and Accomplishments Report
- Fixed capital outlay

b. Comptroller

- 36-Month Cash Forecast
- Financial contingency levels pertaining to construction contracts
- Review of direct districtwide jobs
- SIB program
- P3s
- Bonding programs

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PART II -
CHAPTER 4: RESPONSIBILITIES FOR REVIEW OF THE TENTATIVE WORK PROGRAM

A. OVERVIEW

The Florida Department of Transportation (department) central office review ensures district/turnpike enterprise work program compliance with work program instructions, departmental policies and procedures, applicable federal rules and regulations, and applicable Florida law, statutes, and administrative rules and regulations. In addition to the review, the following also represent quality assurance processes and activities:

- Departmental Training Programs - Departmental training programs teach adherence to established procedures and guidelines, thereby reducing the number of exceptions noted during the various compliance reviews.

- System Controls - Implementation of enhancements and internal controls within computer applications utilized by the department. These enhancements and controls significantly reduce programming incompatibilities and inconsistencies.

- Annual Central Office Review - The annual central office review of the work program is a group effort drawing on expertise from throughout the department. Major areas of compliance are examined, and any issues or exceptions resolved. Confirmation of these resolutions is obtained as part of the ongoing quality assurance conducted throughout the year by the various offices within the department.

- Quality Assurance Reviews - As part of the quality assurance review process, offices within the department are required to determine the critical requirements for their areas, determine if these critical requirements are being carried out and track noncompliance until corrected or resolved. A "critical requirement" is defined as one that could prevent or reveal significant problems or produce significant benefits to the department and the public. This comprehensive effort significantly improves compliance with applicable quality standards. Quality assurance reviews ensure proper accountability within the department.

- Periodically, the department and other entities conduct audits and run reports to check compliance with applicable standards.

    - The department's Inspector General performs audits of various areas within the department to check compliance with applicable departmental policies and procedures, federal rules and regulations, and Florida law, statutes, administrative rules and regulations.

    - The Office of the Auditor General conducts periodic financial compliance audits.

    - The Office of Program Policy Analysis and Government Accountability performs reviews of selected departmental programs to make recommendations as to the future status of such programs.

    - The Department of Economic Opportunity annually reviews the department's tentative work program for consistency with local government comprehensive plans.

    - The FTC annually reviews the department's tentative work program for compliance with applicable laws and departmental policies.

    - The department routinely prepares reports on its performance to the Florida Legislature, FTC, other organizations, and the general public to assure compliance with state goals and the

program objectives defined in Florida Statutes.

B. ANNUAL CENTRAL OFFICE REVIEW

The Work Program Development and Operations Office conducts the annual central office review in a systematic approach as follows:

- Scheduling for the review
- Development of a compliance-oriented checklist
- Dissemination of information
- Agenda development
- Facilitating the review of work programs amongst entities involved throughout the districts and central office. Examining any exceptions noted and seeking resolution, documenting input from participants and recording actions taken to address and correct discrepancies
- Participants provide documentation to the Work Program Development and Operations Office of all exceptions noted, any written responses or disposition exceptions. The Work Program Development and Operations Office provides a summary of exceptions during the Secretary's review.

The offices of the assistant secretaries will ensure conformance of the work program and report on compliance to the standards in conjunction with one or more of the following activities:

- Review major critical requirements during the annual central office review of the work program.
- For those compliance areas that cannot be checked during the review, responsible offices will report on compliance as part ongoing quality assurance reviews.

Every effort will be made to document and address for final resolution any outstanding findings prior to adoption of the tentative work program.

C. FLORIDA TRANSPORTATION COMMISSION

The FTC is required by statute to review the tentative work program and conduct a statewide public hearing. As part of the public hearing, the FTC must conduct an in-depth evaluation of the tentative work program for compliance with all applicable laws and departmental policies. Part of the FTC's work program review process is an annual assessment of the progress that the department and its transportation partners have made in realizing the goals of economic development, improved mobility and increased intermodal connectivity of the Strategic Intermodal System. The FTC will also evaluate and monitor the implementation of the 2005 Growth Management Legislation. If the FTC determines that the work program is not in compliance, it must report its findings and recommendations to the Florida Legislature and the Executive Office of the Governor. The FTC will appoint a time and place for the statewide public hearing on the tentative work program pursuant to Section 339.135 F.S., prior to submittal of the final tentative work program to the Legislature.

Each district secretary and the executive director of Florida's Turnpike Enterprise, or their designee, will be required to be in attendance at the statewide public hearing.

No later than 14 days after the regular legislative session begins, the FTC must submit to the Executive Office of the Governor and the legislative appropriations committees a report that evaluates the tentative work program for:

- Financial soundness
- Stability
- Production capacity
- Accomplishments (including program objectives)
- Objections and requests by metropolitan planning organizations
- Policy changes and effects thereof
- Identification of statewide and/or regional projects
- Compliance with all other applicable laws

In addition, Section 20.23(4)(a), F.S., notes that major transportation policy initiatives or revisions will be submitted to the FTC for review.

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PART II -
CHAPTER 5: SUBMISSION AND ADOPTION OF TENTATIVE WORK PROGRAM

A. OVERVIEW

Specific criteria are outlined in the Florida Statutes pertaining to submitting the tentative work program to the Governor for review and approval, as follows:

- A preliminary copy of the tentative work program is due to the Executive Office of the Governor (EOG), the legislative appropriations committees and the Florida Transportation Commission (FTC) at least 14 days prior to the commencement of the regular legislative session. Following evaluation by the FTC, the Florida Department of Transportation shall submit the final tentative work program to the EOG and the legislative appropriation committees no later than 14 days after the regular legislative session begins.

- The Department of Economic Opportunity reviews the tentative work program for consistency with the local government comprehensive plans and provides the commission with a list of inconsistent projects (the list cannot include projects that are in a metropolitan planning organization (MPO)'s transportation improvement program unless the MPO is notified of that inconsistency during DEO's review).

- The FTC schedules and conducts the statewide public hearing and is responsible for the public notice. Florida Statutes require the FTC to perform this review and public hearing prior to recommending the tentative work program to the legislature.

- The final tentative work program must include an Intrastate Highway System report, a balanced 36-Month Cash Forecast and a Five-Year Finance Plan. All reports are generated by the central office.

- In conjunction with submitting the tentative work program, each district/turnpike enterprise, and the central office are to respond to certain questions, which are based in statute and posed by the FTC.

B. LEGISLATIVE BUDGET REQUEST

- The original approved budget for the department is the General Appropriations Act (GAA) and any other act containing appropriations that include the first year of the tentative work program.

- The legislative budget request must include a balanced 36-month forecast of cash and expenditures and a Five-Year Finance Plan.

- The legislative budget request shall be amended to conform to the tentative work program, and may be amended, along with the tentative work program, based on the most recent revenue estimates (Revenue Estimating Conferences held in November/December and April/May) and the most recent federal aid apportionments (received in October).

C. ADOPTION OF TENTATIVE WORK PROGRAM

- Immediately following the conclusion of the legislative session each year, the tentative work program is adjusted as required to comply with legislative intent and to conform to the General Appropriations Act and any other act containing applicable appropriations.

- Prior to the beginning of the fiscal year (July 1), the Secretary formally adopts the tentative work program and it becomes the department’s official adopted five-year work program.

- Project phases not certified forward may be part of the roll forward for the next fiscal year of the adopted work program. Any phases certified forward but with subsequent bid rejections may become part of the roll forward. Spending authority associated with the phases is advanced through the budget amendment process.

- The adopted work program is the approved tentative work program plus any roll forward.

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PART III - CHAPTER 1: ADMINISTRATION

A. OVERVIEW

The administration program includes central office and district staff, buildings, equipment and materials required to perform information management development (data processing), fiscal, budget, minority programs, personnel, executive leadership team direction, document reproduction, internal audit and contract functions of the Florida Department of Transportation (department). The costs to perform these functions are operating in nature (overhead costs) and are not programmed as line items in the department's work program. An exception to this is when human resource development (HRD) or consultant budget is appropriated for specific activities requiring the execution of a contract. These consultant activities are programmed in the department's work program to facilitate the recording of encumbrances in the accounting system.

Budget coordinators for the program areas of finance and administration, engineering and operations, and district intermodal systems development are responsible for coordinating with the applicable work program manager to ensure consultant fees budget (category 100686-operating budget) and HRD budget for consultants are programmed. The basis for the levels programmed will be the applicable amounts requested in the department's legislative budget request. The original LAS/PBS issue number must be specified in the extra description field of the item in the Work Program Administration system (WPA).

B. GENERAL PROGRAMMING GUIDELINES

- Consultant fees (operating category 100686) for central office planning and engineering and finance and administration (excluding equal opportunity programs) are to be programmed under transportation systems 13, 03, 05; phase A2 and program number 00 (administration consultants) using D funds.

- Equal opportunity programs should be programmed under transportation system 13, phase A2 and program number 00 using either SSM or D funds. SSM funds are unmatched federal funds that are made available by the Federal Highway Administration for the department to develop, conduct and administer training and assistance programs, so minority and women owned businesses may achieve proficiency to compete on an equal basis for contracts and sub-contracts. The D funds are set up to comply with budget to contract with surety companies to bond the disadvantaged business enterprises (DBEs) for the department's construction projects. This was to guarantee the successful completion of a project once initiated by a participant in the DBE program.

- In-house projects may be programmed to support and identify use of staff and resources according to management objectives. Use program number 00 and phase A1 to program in-house administrative activities.

C. HUMAN RESOURCE DEVELOPMENT

1. OVERVIEW

HRD activities are appropriated in a special budget category to be expended for expense items, equipment purchases and contracted training programs. The use of HRD budget for in-house activities is included in the in-house targets required to be programmed. However, when this budget is used for contractual purposes, a separate financial project must be established to facilitate the department's contractual and fiscal processes.

2. PROGRAMMING GUIDELINES

Consultant contracts for trainers using HRD budget must be programmed under transportation systems 03, 05, 13; phase A2 and program number 00. Use D funds if the HRD budget is appropriated in the administration, planning, public transportation, Gainesville materials and testing, or maintenance program areas. Use DIH or available federal funds if HRD budget is appropriated in the production or construction program areas.

D. FINANCIAL CONSIDERATIONS

1. BOXES (CONTINGENCY, RESERVE AND TARGET)

a. Overview

Box items are programmed in each year of the work program and are identified as contract class 8 along with box codes. Their purpose is to hold funds to be used to protect the adopted work program and to ensure the priorities of the department are met. No expenditures may be made from a box item. There are three types of box items: targets (TG), reserves (RV) and contingencies (CN).

- Targets are defined as financial resources established to ensure certain work program levels are identified in program areas. Only use TG box code if all years are for targets. No target boxes should be programmed in the current year of the adopted work program and the first two years of the tentative work program.

- Reserves are divided into project reserves and program area reserves.

    - Program reserves are defined as items that should be programmed in the tentative work program for future needs where specifics are not known but a future need has been identified. These amounts are manually identified by the program managers based on executive leadership team direction and will be used for specific projects/programs in the future.

    - Project reserves are defined as items that should be programmed in the tentative work program for a future need where specifics are not known or for which funds are being gathered, e.g., a federal earmark for construction dollars on a specific project but not enough to fully fund construction. Project reserves must be approved by central office. Only use RV box code if all years are for reserves.

- Contingencies represent the amount for cost overruns, claims in litigation, estimate changes and supplemental agreements. Use CN box code for all contingencies. Contingency funds for all federal funds should be programmed and maintained at a minimum acceptable level to cover ongoing work and ensure contingency needs for projects off the State Highway System are covered. Federal boxed funds must be adjusted frequently to ensure they are fully utilized each federal fiscal year. State or other funds should be boxed in lieu of federal funds to protect projects on the State Highway System.

b. Programming Guidelines

- All box items are to be coded as contract class 8.

- Use box code TG for target boxes, CN for contingency boxes and RV for reserve boxes.

- Supplemental agreements, cost overruns and other types of potential financial impacts that are eligible for federal reimbursement shall be programmed with federal funds.

- Program box items for each budget category and each fund in each year of the tentative work program, as appropriate. ACXX funds may be programmed in contingency box items.

c. Methodology for Box Item Analyses

The system generated box analyses relate only to the highway and bridge programs. Programs for public transportation (including intermodal); planning; maintenance and operations; fixed capital outlay (FCO) and administration are not included in the box analyses due to their nature**.** These programs relate to grant categories, consultant agreements with fixed amounts or routine/scheduled operational expenditures, which normally do not require supplemental agreements or litigation. The individual program offices for the non-highway and bridge programs will be responsible for identifying, documenting and establishing criteria for boxed amounts.

1) Criteria for District Targets

- In-House: Phase type 1; Based on box codes

- PE Consultant: Program plan L03 including phase 62/program 40 post design; Based on box codes

- Resurfacing: Program plan J; Current year plus first two years of the tentative are contingencies; Last four years of the tentative are based on the box code of CN for contingencies, TG for target (years three to five) and RV for reserves

- Advanced Construction (ACSA, ACSU, ACSL, ACSN, ACTA, ACTL, ACTU, ACTN, ACCM): This is a minimum target; The review is cumulative and consists of prior year programming plus current year and the first year of the tentative work program

2) Criteria for District Reserves

- Bridge Repair: Program plan K01**;** Based on box codes

- Safety: Program plan I01; Based on box codes

- Advance Acquisition: Program plan C03 and C04; Based on box codes

- Utilities: Phase 56 with LF funds; Current year plus all five years of the tentative are reserves

- Project specific: Current year plus all five years of the tentative are reserves

3) Criteria for Statewide Reserves

- PE reserve: Bridge program – current year plus all five years of the tentative; the Strategic Intermodal System (SIS) is current year plus all years of the tentative and SIS Plan

- Bridge inspection**:** Current year plus all five years of the tentative
- ITS, weigh stations, rest areas: Current year plus all years of the tentative and SIS Plan
- Operational quick fixes**:** Current year plus all years of the tentative and SIS Plan
- Advance acquisition: Current year plus all years of the tentative and SIS Plan
- Rail/highway crossing program 53**:** Current year plus first two years of the tentative are contingencies; Last three years of tentative are reserves

4) Criteria for Highway and Bridge Programs Contingency Analysis

When reports are generated with instructions for "all phases and program numbers," the following program numbers are excluded: 37 (FCO), 39 (local government advance reimbursement), 52 (AC conversion), 61 (repayment to SIB), 69 (transfer to SIB), 75 (transfer from SIB), 78 (TFRTF reimbursement) and 26 (disaster recovery).

5) SIS Program (Statewide Funds)

Use fund codes ACNP, DI, BNIR, EBNH, ACEN, NHPP, STED, GMR; include all phases and program numbers using these fund codes on transportation systems 01 (intrastate interstate), 02 (intrastate turnpike), 03 (intrastate state highway), 04 (intrastate toll), 13 (non-system specific). Use fund code DIS; include all phases and program numbers using this fund code on any transportation system. Contingencies and reserves are determined by reports with IN.. funds, and program level is determined as IN01 (including all funds on items) excluding boxes.

6) Bridge Program (Statewide Funds)

Use fund codes NHBR, ACBR, BRT, BRTZ, ACBZ, BNBR, EBBP, ACEP, RBRP, IBRC, SABR, ACSB and BRP; include all phases and program numbers using these fund codes. Contingencies and reserves are determined by reports with BR++ funds, and program level is determined as BR++ excluding boxes.

7) Intelligent Transportation System (ITS) Program (Statewide Funds)

Use fund code DITS, include all phases and program numbers using these fund codes. Contingencies and reserves are determined by reports with DITS funds, and program level is determined as DITS excluding boxes.

8) Rest Area Program (Statewide Funds)

Use fund code DRA, include all phases and program numbers using these fund codes. Contingencies and reserves are determined by reports with DRA funds, and program level is determined as DRA excluding boxes.

9) Weigh Station Program (Statewide Funds)

Use fund code DWS, include all phases and program numbers using these fund codes. Contingencies and reserves are determined by reports with DWS funds, and program level is determined as DWS excluding boxes.

10) Safety Program

Safety is the department's number one priority. Therefore, all safety funds (e.g., HSP) are to be used. Contingencies for unforeseen conditions or cost overruns on safety related projects are to be programmed with state funds (DDR for on-system) or flexible federal funds (other STP funds) if a safety box item is needed.

11) District Programs

Use all district fund codes, excluding the statewide fund codes noted above. ACXX funds and the funds listed below in the General Assumptions section, include all phases and program numbers using these fund codes, on transportation systems 01 (intrastate interstate), 03 (intrastate state highway), 04 (intrastate toll), 06 (non-intrastate off state highway). Contingencies are determined by reports of all district funds with contract class 8, and program level is determined as all programs excluding transportation system 01, both dependent upon criteria listed above.

12) Turnpike Enterprise Programs

The turnpike enterprise analysis should include all turnpike funds and transportation system 02 (intrastate turnpike). Contingencies are determined by reports with turnpike funds only, and program level is determined as transportation system 02 (intrastate turnpike) excluding statewide funds (bridge and SIS described above).

d. General Assumptions

- Amounts included for contingency analyses only address contract class 8.
- 30% of district projects programmed using statewide funds for SIS and/or bridge will be considered as part of the district programmed level for contingency analysis.
- RBRP, SCOP, SCRA, GRSC, SIBE, TFRT, CIGP, CIGR and TRIP will not be included in the box analysis.
- Earmark funds will be excluded if programmed as a contract class 5 or if programmed as a transportation system 06 or 16.
- SE funds will be excluded if programmed as a contract class 5.
- Boxed items for the Miami Intermodal Center (MIC) are not included in the box analysis, regardless of the funds programmed.
- LF funds on a contract class 8 will be included as a reserve account, regardless of box code.

e. Construction Cost Inflation Factors

Inflation factors for construction costs will be utilized in the development of the tentative work program as indicated below. These inflation factors will automatically generate the new estimates for anything gamed in WPA by applying these factors to the present day costs (PDC's) in WPA. All estimate changes must be made in the adopted file; do not make estimate changes in the proposed file (tentative work program development cycle). Shaded areas beginning in fiscal year 21/22 cover the 10-year period for the SIS program.

FISCAL YEAR	INFLATION FACTOR	MULTIPLIER	FISCAL YEAR	INFLATION FACTOR	MULTIPLIER
16/17	2.5%	1.025	**21/22**	**2.7%**	**1.169**
17/18	2.7%	1.053	**22/23**	**2.8%**	**1.201**
18/19	2.8%	1.082	**23/24**	**2.9%**	**1.236**
19/20	2.6%	1.110	**24/25**	**3.0%**	**1.273**
20/21	2.5%	1.138	**25/26**	**3.1%**	**1.313**

Note: Base year is 15/16.

2. TARGETS (SCHEDULE B)

a. Overview

Schedule B defines district targets for programming in selected program categories. Any acceptable fund code may be used to achieve these required program levels. These targets must be met within the tolerance allowed as defined below. Targets in product categories result from decisions of the executive leadership team for distribution of resources to support policy and program objectives of the department. Targets in product support categories are established to assure sufficient levels for in-house staff direct charges.

For the latest target guidelines, click on the following link:

Program and Resource Allocation - Target Guidelines

b. Target Definition and Review Criteria

1) Strategic Intermodal System Highway Corridors

This is a **minimum** target reviewed on an annual basis based on statutory requirements. Target is reviewed at the statewide level.

2) In-House (AINH)

- AINH consist of a rollup of PE, CEI, R/W, Traffic Operations-DPIN

DPIN Target includes: preliminary engineering (PE), combined construction engineering inspection (CEI) and materials and research (MR), right of way support (R/W) and traffic operations (TO). The basis for these targets is the program component operating budget amount by district from the General Appropriations Act (GAA). The target value equals the program component budget (net of administered funds) reduced by estimated indirect cost. The remaining direct cost portions should be programmed as productive labor on specific project phases. These are **minimum** programming levels evaluated in work program reviews on a cumulative basis of the 5 year tentative work program. Five year totals for the four targets taken as a whole is the basis for evaluation criteria. Emphasis should be made to program to direct projects. Over-programming of this target is encouraged with reductions in corresponding indirect charges.

3) Planning and Environmental

These Targets are composed of Federal HP (Federal Highway Planning) Funds and State D (Unrestricted State Primary) Funds. The Targets have a **zero tolerance** and must be

balanced annually for each of the Five Years of the Tentative Work Program. Other Funds may be programmed but will not be counted towards the Schedule B Target.

The Planning Targets are composed of five programming targets identified from the Program Plan Q01 (In-House) and Q02 (Consultant Grants): Operating Budget for Planning and Environment Consultants, (HPPC) with Federal HP Funds

- Operating Budget for Planning and Environment Consultants and Expenses, (PLNI) with State D Funds for non-federal activities
- Operating Budget for Planning and Environment, (PLHP) with Federal HP Funds – Statewide Planning and Research Program
- Work Program Planning Consultants, (PLEM) with Federal HP Funds
- Work Program Planning Consultants, (PLNC) with State D Funds

4) In-House (Maintenance (**MNTI**))

This is a **zero tolerance** target, reviewed on an annual basis. Target is set based on 100% of in-house budget from GAA program component. No over- or under-programming is allowed.

5) Intelligent Transportation Systems Operations (TOTI) and Replacements (TOTR)

This is a **zero tolerance** target reviewed on an annual basis using statewide DITS, ACNH, ACNP, DI, NH, NHAC and NHPP funds. Other district funds may be programmed but will not be counted towards the Schedule B target. No over- or under-programming is allowed.

6) Maintenance (Maintenance Highway M&O Contract (**MHWY**), Maintenance Department of Corrections M&O Contract (**MDOC**), Maintenance Highway Beautification (**MHWB**), Maintenance Service Patrol Contract (**MSPC**), National Pollutant Discharge Protection System (**MNPD**), Maintenance Contract Bridge Inspection Non-Federal (**MCNF**), Maintenance Contract Bridge Inspection Federal (**MCCF**))

These are **zero tolerance** targets reviewed on an annual basis and established to ensure programming of non-allocated D, TMxx and turnpike district funded maintenance program are at the level approved by the executive leadership team. No over- or under-programming is allowed.

7) PE Consultant (PECN)

The basis for this district target is approved by the executive leadership team. This a **minimum** target and over-programming is encouraged to support a continuing advanced production construction program. The review is cumulative from current year through the last year of the tentative work program; however, the current year and the first two years of the tentative work program must be met annually.

The overall objective of the PE Consultant target relates to the advance production inventory. Each district should have a level of PE Consultants programmed to ensure there are a sufficient amount of plans on the shelf which could be moved up should the department continue to experience bid savings or if it receives additional resources. Each district is responsible for maintaining, in advance production, 25% of their planned project lettings (phase 52) for each year. Each district should recommend for approval by the executive

team, PE Consultant targets which enable the desired advance production levels to be maintained.

8) Advanced Construction (ACSA, ACSU, ACSL, ACSN, ACTA, ACTL, ACTU, ACTN, ACCM)

This is a **minimum** target. The review is cumulative and consists of prior year programming plus current year and the first year of the tentative work program.

9) Freight, Logistics & Passenger Operations

These are **minimum** targets reviewed on an annual basis and established to comply with the Florida Statutes' direction to program 15% of non-exempt state transportation trust fund revenues for public transportation projects.

See instructions on submitting a projection analysis report (also known as the target analysis report) in the WPA Screens and Reports chapter of these instructions.

3. PAVEMENT CONDITION ALLOCATIONS

To reduce redundant reporting, resurfacing program targets are no longer published in Schedule B and are excluded from the target analysis report. The resurfacing compliance monitor will be the only report used to manage this program. These are minimum allocations which must be met annually from current year through the last year of the tentative work program.

Lane mile allocations are established in accordance with the criteria of safety, preservation of the system (cracking or structural deficiency), ride (roughness, measured by the laser profiler), or other as needed to maintain the integrity of the system.

Statewide arterial lane mile allocations are based on the following:

- FY 2016: 4.00% of the estimated system size
- FY 2017: 3.00% of the estimated system size
- FY 2018: 3.00% of the estimated system size
- FY 2019: 3.00% of the estimated system size
- FY 2020: 3.00% of the estimated system size
- FY 2021: 3.00% of the estimated system size

For more information regarding resurfacing requirements, districts and statewide program managers should refer to the Resurfacing chapter of these instructions and use the resurfacing monitor to manage their resurfacing program and compare the tentative work program to approved lane mile and funding allocations.

4. RIGHT OF WAY AND BRIDGE BONDS

Section 17 of Article VII of the Florida Constitution provides that the state may sell bonds for "the cost of acquiring real property or the rights to real property for state roads as defined by law, or to finance or refinance the cost of state bridge construction, and purposes incidental to such property acquisition or state bridge construction." Section 337.276, F.S., gives the authority to sell the bonds. Per

Section 206.46(2), F.S., notwithstanding any other provisions of law, from the revenues deposited into the State Transportation Trust Fund, a maximum of seven percent in each fiscal year shall be transferred into the Right of Way Acquisition and Bridge Construction Trust Fund to pay for debt service coverage of right of way and bridge construction bonds. The annual amount transferred under this subsection shall not exceed an amount necessary to provide the required debt service coverage levels for a maximum debt service not to exceed $275 million.

Schedule A contains allocations of right of way and bridge bond proceeds for the acquisition of right of way in the following programs:

- Non-turnpike: BNDS funds
- Intrastate: BNIR funds
- Bridge construction: BNBR funds

Bond funds may be used for right of way acquisition, bridge construction, operations working on right of way activities and consultants supporting acquisition or construction. Bond funds may not be used for in-house support phases. Bond funds may not be used for payments to the Department of Environmental Protection for wetlands mitigation except when associated with a bridge construction project.

E. ESTIMATES

Phases need to be programmed to the full amount of the department's estimate.

Note: Programming of minor amounts ($1-$100) as placeholders is not allowed.

F. LEGAL EXPENSES DIRECTLY RELATED TO A SPECIFIC FINANCIAL PROJECT

1. OVERVIEW

Legal expenses directly related to a construction project are considered part of the overall cost of construction management of the project. Legal expenses, e.g., expert witness or outside attorney fees, will be programmed and managed by central office staff in the Office of the General Counsel, with assistance from the Office of Work Program and Budget. These expenses may occur prior to construction or after construction begins.

2. PROGRAMMING GUIDELINES

A central office (managing district 10) work program item number 405877-1-62-01 has been established and is administered by the Office of General Counsel. DC funds will be programmed on the item. The transportation system is 13. General type legal services not directly related to a specific financial project should be paid from an operating category and not charged directly to the above work program item. Examples of these types of expenditures are defending a patent, personnel issues, claims filed due to traffic accidents (except those occurring during construction), etc.

G. RURAL ECONOMIC DEVELOPMENT INITIATIVE

All projects specifically programmed in rural areas of opportunity (RAO) counties, as well as the rural counties of Flagler, Nassau, Wakulla and Walton, shall include "REDI" as an item group identifier. See the Rural Economic Development Initiative (REDI) chapter of these instructions for additional details and a listing of RAO counties.

H. CONCRETE PAVEMENT INITIATIVES

The executive leadership team has set aside $17 million per year of statewide funds to cover costs associated with the Florida concrete test road. The remaining funds available each year shall be used to assist districts with the initial costs for interstate or SIS projects utilizing concrete pavement, at the chief engineer's discretion. These funds are only intended to cover the cost difference between asphalt and concrete pavements. The districts shall submit candidate projects for the third year and later for this funding to the Pavement Management Section by July 31st each year. The submittal shall include a completed pavement type selection report for each project following the guidance in Procedure 625-010-005, Pavement Type Selection Manual. The candidate projects will be reviewed and prioritized by the Pavement Management Section for funding selection by the chief engineer. If a non-interstate project is selected for use of the $17 million set aside, a fund swap with other available statewide managed or district managed state funds would be required.

Funding for concrete pavement in excess of the annual $17 million set aside by the executive leadership team shall be provided through district managed funds.

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PART III - CHAPTER 3: AMENDMENTS

A. OVERVIEW

The Florida Department of Transportation (department) may amend the adopted work program at any time during the fiscal year. The official amendment process accommodates major changes to the current year of the work program in accordance with Section 339.135(7) Florida Statutes. In order to translate statutory provisions into practical guidelines, the department must make certain assumptions when dealing with actual situations encountered in work program administration. Refer to the Clarifications for Determining When an Executive Office of the Governor (EOG) Amendment Is Required section when making the determination of when to apply the statutory provisions of the work program amendment process.

For purposes of defining a project or project phase as referenced in the Florida Statutes, a project in the Work Program Administration (WPA) system is an item/segment. Work program phase is a project phase. However, WPA relates data elements for project cost amount and fiscal year to work program sequence. Therefore, amendments must be consistent with changes at the item/segment/phase level.

Modifications to the work program will be in accordance with the instructions outlined below.

B. WORK PROGRAM AMENDMENT THRESHOLDS

- Cost estimate changes will be allowed as office changes and are not subject to the statutory work program amendment process.

In accordance with Section 339.135(7)(c) F.S., the amendments below require approval of the EOG:

- To ADVANCE or DEFER the following project phases:
    - A right of way, construction or public transportation phase costing over $1,500,000 appropriated funds
    - A project development and environmental (PD&E), preliminary engineering (PE), environmental consultant or design phase costing over $500,000 appropriated funds
    - No amendment required, regardless of amount, for advancement of a phase by one year to the current fiscal year, or deferral of a phase for a period of 90 days or less from the letting or contract execution date

Note: For the purposes of determining if an amendment requires EOG approval, exclude non-budgeted funds in the computation of cost. Include only funds appropriated by the Legislature in computing the threshold amounts.

- To ADD a project or project phase costing over $500,000 appropriated funds

Note: For the purposes of determining if an amendment requires EOG approval, exclude non-budgeted funds in the computation of cost. Include only funds appropriated by the Legislature in computing the threshold amounts.

- To DELETE a project or project phase costing over $150,000

Note: For the purposes of determining if an amendment requires EOG approval, exclude non-budgeted funds in the computation of cost. Include only funds appropriated by the Legislature in computing the threshold amounts.

- To LOAN funds (three years max) to maximize use or amount of funds available to the state

Pursuant to Section 139.135(7)4(c) F.S., starting July 1, 2013, the department shall index the amendment threshold amounts to the Consumer Price Index or similar inflation indicators no more than once a year. The Office of Work Program and Budget will review the Consumer Price Index annually for major changes. If there are no major adjustments, the thresholds will be updated every five years.

C. WORK PROGRAM AMENDMENT NOTIFICATIONS

1. PRIOR TO SUBMITTAL TO THE OFFICE OF WORK PROGRAM AND BUDGET

Prior to presenting proposed EOG work program amendments to the Office of Work Program and Budget (OWPB) for deferrals or deletions of construction phases on capacity projects, the requesting district office must provide written notification (including copies of the notifications in the proposed EOG work program amendment package) of proposed amendments to the chief elected official of each affected county, each municipality in the county, and the chair of each affected metropolitan planning organization (MPO).

Affected counties, municipalities and MPOs shall have 14 days to provide written comments to the district regarding how the proposed amendments will impact its respective concurrency management systems, including whether any development permits were issued upon the capacity improvements, if applicable. Include all written comments in the amendment package. Districts should note in the amendment package if no response(s) was/were received.

Districts should review programmed work mixes and item group identifiers to determine if construction phase deferrals/deletions are for capacity projects.

The following is suggested language for the district pre-notification cover letter/memo:

> Pursuant to Section 339.135(7)(f), Florida Statutes, attached/enclosed is a proposed work program amendment for the deferral/deletion of item # _____ ***(insert project item & segment #)*** from the current year of the Florida Department of Transportation's adopted work program. Each affected county and each municipality in the county is encouraged to coordinate with each other to determine how the amendments affect local concurrency management and regional transportation planning efforts.
>
> Please provide _____ ***(insert name and email address/fax number for assigned district staff)*** with any written comments by _____ ***(enter a date 14 days after notification issuance).*** Thank you.

2. UPON SUBMITTAL TO THE EXECUTIVE OFFICE OF THE GOVERNOR

Send out notification(s) when proposed amendments are sent to the EOG. Per Section 339.135(7) F.S., the Governor may not approve a proposed amendment until 14 days after receipt. Therefore, the minimum time it will take for the Governor's approval, following notification is 14 days. The 14-day clock begins when EOG receives the amendment package and puts the package in a status of "on consultation."

Work Program Development and Operations Office notify:

- Chairmen of both legislative appropriations committees
- Chairmen of both legislative transportation committees

District Work Program Offices notify:

- Each legislator who represents a district/turnpike enterprise affected by the proposed amendment
- Each metropolitan planning organization (MPO) affected by the proposed amendment
- Each local government affected by the proposed amendment

The Work Program Development and Operations Office will notify the districts when their amendments are submitted to the EOG. The districts may forward this notification to their legislators, affected MPOs and affected local governments.

Within 14 days of notification, the Senate President or House Speaker may object in writing to the proposed amendment. If this occurs, the Governor shall disapprove the proposed amendment.

D. FLORIDA SEAPORT TRANSPORTATION AND ECONOMIC DEVELOPMENT COUNCIL

Submit Florida Seaport Transportation and Economic Development Council (FSTED) work program amendments (Section 311.09(09) F.S.), to the EOG within 10 days after either the FSTED's request is received by the department or the effective date of the amendment, termination, or closure of the applicable funding agreement between the department and the affected seaport, as required to release the funds from the existing commitments – whichever is the later of the two dates.

Transfers of budget relating to any FSTED work program amendment cannot occur until after the work program amendment is approved by EOG.

E. BUDGET AMENDMENTS AND THE LEGISLATIVE BUDGET COMMISSION

In accordance with Section 216.181 F.S., the department may request a budget adjustment through the EOG and approved by the Governor and the Legislative Budget Commission (LBC). Per 339.135(7)(g) F.S., if the LBC does not meet within 30 days of the amendment submittal, then the chair and vice chair of the LBC may authorize amendment approval as per Section 216.177 F.S.

Budget amendments are required to:

- Realign budget within the fiscal year (between entities, appropriation categories, or both)
- Roll forward budget (from one fiscal year to the next)
- To increase approved level of budget (limited circumstances)

Budget amendments require the standard EOG Budget Amendment Processing System (BAPS) amendment form. The form must be completed with all the appropriate signatures, and project detail pages. The signed amendment forms are not be subject to the notification process normally required for EOG work program amendments. EOG uses budget amendments to assess impacts to the associated work program. For further information on the budget process, see the Budget Office SharePoint site at the following link: Work Program – Budget.

F. PROCESSING WORK PROGRAM AMENDMENTS

1. CREATING AN AMENDMENT

- Submit amendments to central office within 30 days of proposal.
- Write the justification in plain English. Amendment form justification is derived from the Amendment Definition (WP24) screen under comments. If an outside agency requests a deferral or deletion, include a copy of the request in the submittal package.
    - Include in the justification:
        - **what** is being done
        - **why** is it being done. Also provide reason(s) why the project was not included in the adopted work program and why it must be added now versus the normal tentative work program development cycle
        - **where** the budget is coming from
        - **who** requested the amendment. Provide the name of the local government (county, city, MPO, etc.). Do NOT use specific names of people.

2. STATUS DESIGNATIONS

EOG amendments require the following status designations in WPA:

- Status 01-03: District creates, prints and submits the amendment(s) to central office.
    - Prior to submittal to central office, districts must ensure:
        - Signature of the district secretary or his/her delegate
        - Note: It is strongly recommended that the district representative (rep) in the Work Program Development and Operations Office review the proposed amendment prior to obtaining the district secretary's signature to avoid having him or her resign it if corrections are needed.
        - Proposed action is checked
    - Check consistency of the Transportation Improvement Program (TIP) and Statewide Transportation Improvement Program (STIP). See STIP and TIPs section of Part IV, Federal Overview of these instructions for further information.
        - Signature of the contact person
        - An accurate budget summary (lack of summary will result in rejection for corrections)

    Note: When preparing multiple amendments from the same budget category, print each amendment form immediately after placing a project in amended status, so the budget summary section clearly shows the change in available budget. Otherwise the budget summaries will be identical, and the development of the budget amounts will be difficult to explain to the EOG. Amendments received without separate budget summaries will be rejected for corrections.

- Applicable supporting documentation:
    - Responses received from affected counties, municipalities and MPOs on deferrals or deletions of construction phases on capacity projects.
    - Statement that no responses were received (See Work Program Amendment Notifications section above)
    - Letters from outside agencies requesting deferrals, deletions or termination agreements for deletions when a letter is not available

- Status 04: Received by central office (OWPB).
    - District reps and/or the work program manager will review amendments prior to packaging.
    - Once packaged, work program manager will review package for approval.
    - A typical package contains at least four or five amendments; therefore, some amendments are held until there is enough for a package.

- Status 05-06: Sent to and approved by the Budget Office. Step may be skipped if a budget amendment is not required.

- Status 07-08: Sent to and approved by the comptroller or deputy comptroller verifying amendments are balanced to cash flow.

- Status 09-10: Work program amendment package sent to and approved by the director of OWPB. A form is then generated reflecting approval by the manager of work program development and operations, the budget officer (if a budget amendment is required), the comptroller and the director of OWPB.

- Status 11: Work program amendment package sent to the EOG, Legislature, MPO and local government entities.

- Status 12: Amendments approved by the EOG after a minimum of 14 days (required by Florida Statute).

The following are alternate statuses that may be used in WPA:

- Status 13: Amendment is rejected by EOG.

- Status 14: Amendment is being cancelled after submission. It is determined that the amendment will no longer be pursued.

- Status 15: It is decided that the amendment process should be stopped. This is used when there is a possibility that the amendment may be resubmitted at a later time.

G. CLARIFICATIONS FOR DETERMINING WHEN A WORK PROGRAM AMENDMENT IS REQUIRED

Because of the complex, dynamic nature of the work program, the provisions within Section 339.135 F.S., cannot address every situation. Assessments must be made as to the applicability of statutory provisions pertaining to amending the adopted work program. With concurrence from the EOG and legislative staff, the department makes the following assumptions when applying statutory provisions.

- When statutory provisions refer to "deleting any project or project phase costing over $150,000" or "adding a project estimated to cost over $500,000," this refers to only primary phases for the highway and bridge components (Statutory provisions apply to all phases of public transportation projects). Primary phases mostly include contract phases for planning, preliminary engineering, right of way land acquisition, environmental consultants/contracts and construction. **Planning and preliminary engineering in-house phases programmed on an item without consultants are primary phases. These require work program amendments consistent with the statutory provision referenced above.** In addition, payments to local governments (phase x8) are considered primary if there is not an existing primary phase for the phase group. When the addition or deletion of support phases to existing primary phases do not alter the scope or timing of primary phases, no amendment is required. In-house phases are considered support phases except as noted above.

- The following table itemizes those support phases to which this assumption refers:

Primary Phase	Support Phase
12- Planning Consultant/Contractor	11 - In-House
14 - Planning Grant	11 - In-House
22 - PD&E Consultant/Contractor	21 - In-House
32 - Preliminary Engineering Consultant 38 - PE Other Agency	31 - In-House
43 - Right of Way Purchase 48 – Right of Way Other Agency	41 - In-House 42 - Consultant/Contractor 4B - Service Contract 45 - Right of Way Relocate 46 - Right of Way Utility
52 - Construction Contractor 58 - Construction Other Agency	61 - In-house 53 - Construction Purchase 56 - Utility 57 - Railroad 5A - Contract Incentive 62 - Consultant/Contractor C8 - Environmental Other Agency
54 - Construction Grant	
72 - Maintenance Consultant/Contracter	71 - In-House
78 - Maintenance Other Agency	71 - In-House
7B - Maintenance Service Contract	71 - In-House
82 - Operations Consultant/Contractor	81 - In-House
84 - Operations Grant	81 - In-House
88 - Operations Other Agency	81 - In-House
93 - Capital Purchase	
94 - Capital Grant	
B2 - Research Consultant/Contractor	B1 - In-House
B4 - Research Grant	B1 - In-House
C2 - Environmental Consultant/Contracter	C1 - In-House
C4 - Environmental Grant	C1 - In-House

All support phases are considered primary phases if there is not a primary phase.

- The general assumption is that any change to the adopted work program, which is essentially transparent to the public, should not be subject to the statutory provisions. For example, a preliminary engineering phase is programmed as in-house, but, in order to balance workloads, a proposal is made to contract this work with consultants. This change has no effect on project scope or the timing of when this work is to be accomplished. Therefore, this is not the type of change subject to the statutory provisions for amendments. This same logic applies to merging or splitting projects when the overall scope of work does not change.

- Adjustments to box items (targets, reserves or contingency) with contract class 8 do not require work program amendments. Box adjustments should be internal office changes only. No commitments are made against boxes.

- The following table provides additional descriptions of specific situations encountered in managing the adopted work program that need clarification relative to the work program/budget amendment process. Determination of the applicability of statutes to these situations is based upon the assumptions listed above.

Situation	WP Amendment requiring EOG approval	Statutory notifications required	Budget Amendment required	Comments
Proposal to advance or defer a right of way, construction, FLP over $1,500,000 or a PE or construction, engineering and consultant (CEI) (primary) consultant phase over $500,000.	Yes.	Yes.	Yes, if advancing a project or phase and budget is not available.	
Proposal to add or delete a support phase to an existing primary phase, regardless of the dollar value of the support phase. Proposal to delete a support phase that does not have an associated primary phase costing over $150,000. Proposal to defer a support phase over $500,000 that does not have an associated primary phase.	No. Yes. Yes.	N/A. Yes. Yes.	No, if a box item in the same budget category can be reduced for the amount of budget needed. Yes, if the budget is to be taken from another budget category.	Support phases that traditionally accompany primary phases (PE, right of way, and construction) do not require EOG amendments. This applies to both additions and deletions of support phases, <u>as long as these actions do not adversely affect the accomplishment of the work specified in the primary phase.</u>
Proposal to reduce a phase 52 by a certain amount, then add a new item number & phase 52 in the same amount as the reduction. Scope of work and limits for the sum of both phase 52s remain the same as the original phase 52.	No. Viewed as technical adjustment to split the project into two parts. The same applies to all primary phases.	N/A.	No, if the total amount of budget used and the category used remain the same.	Total scope of work has not changed. This type of change is transparent to parties outside the department. The work will be accomplished regardless of how the project is technically programmed.
Proposal to merge (delete) an existing phase 52 into another phase 52 on another item number. The combined scope and limits for the remaining phase remains the same as the sum of the two original phase 52s.	No. Viewed as technical correction to accomplish the work in a more efficient manner. The same applies to all primary phases.	N/A	No. Total amount of budget used and the category used is the same either way.	Total scope of work has not changed. This type of change is transparent to parties outside the department. The work will be accomplished regardless of how the project is technically programmed.
Proposal to change from in-house to consultant and vice versa.	No. This is viewed as a technical adjustment to balance the workload of in-house forces. The same applies to right of way in-house, operations/consultant and CEI phases.	N/A.	No, if going from a consultant category to an in-house category. No, if going from an in-house category to a consultant budget category, and budget is available from a box item in that same consultant category.	Total scope of work has not changed. This type of change is transparent to parties outside the department. The work will still be accomplished whether performed by in-house forces or by consultants. This also applies to proposals that go from in-house or consultant to a phase 38 where a local government will do the PE work.
Proposal to split out (create) a new item number and phase from an existing "program" box. (Example: Seaports Program where a statewide box is programmed until such time as individual projects can be identified).	Yes, if over $500,000.	Yes, if over $500,000.	No.	This applies to all programs where box items are programmed until such time as individual projects are identified.

Situation	WP Amendment requiring EOG approval	Statutory notifications required	Budget Amendment required	Comments
Proposal to add a current year phase to a prior year project.	No.	N/A.	No, if a box item in the same budget category can be reduced for the amount of budget needed. Yes, if the budget is to be taken from another budget category.	Total scope of work has not changed. This type of change is transparent to parties outside the department. The work will be accomplished regardless of how the project is technically programmed. The phase added must be same phase as prior year phase.
Proposal to add, delete, defer, or advance a fixed capital outlay (FCO) project.	N/A.	N/A.	Yes, if increasing or decreasing an existing FCO appropriation category.	Work program amendments are not required on DOT FCO facilities.
Proposal to delete a support phase in current year with primary phase adopted in next year.	No.	No.	No.	
Proposal to delete prior year phase.	Yes, if primary phase costing over $150,000.	Yes.	No.	
Fund loans between districts.	Yes, if loan is in current year.	Yes, if loan is in current year.	Yes, if budget crosses appropriation categories. No, if budget stays in the same category.	

H. EMERGENCY SITUATIONS

If an emergency situation exists where, as a result of the 14-day period for required notifications, it would be detrimental to the interests of the state to comply with the statutory work program amendment provisions, the Secretary may request a waiver of the notification period. Section 339.135(7)(g) F.S., provides detailed language on the procedure that must be followed. An amendment will be needed if the item meets the amendment criteria as discussed above, within three days after the emergency.

I. CHANGES TO THE TENTATIVE WORK PROGRAM

When the tentative work program is completed, it is submitted to the EOG, the Legislature, and the Florida Transportation Commission. This program represents what the department plans to do for the next 5 fiscal years. No changes should be made to this program unless absolutely necessary.

In the event a change is absolutely necessary, it must be submitted to the Work Program Development and Operations Office for review and approval. Change is defined as any action that affects the budget, adds or deletes a project/phase(s), or advances/defers a project/phase(s). If the budget will be impacted in the first year of the tentative work program, a work program amendment is required, regardless of the work program amendment thresholds. These amendments will be processed the same as current year work program amendments. If a change is approved, a work program amendment must be manually prepared with all applicable parties notified. Amendments are required for **any** year of the tentative work program. The changes must be made in the tentative (G1) file.

When estimate changes are required, it is necessary to update the file and keep the program current. In these cases, a boxed item must be reduced to keep the funds and budget balanced. Amendments are not required for estimate changes (as long as an equal offset is made to an existing box).

J. REFERENCES

Section 339.135(7), F.S.

Procedure 340-000-001, Legislative Budget Preparation, Allocation and Administration

Section 311.09(09), F.S.

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PART III - CHAPTER 7: COUNTY INCENTIVE GRANT PROGRAM

A. OVERVIEW

The County Incentive Grant Program (CIGP) was created for the purpose of providing grants to counties, to improve a transportation facility including transit which is located on the State Highway System (SHS) or which relieves traffic congestion on the SHS, per Section 339.2817, Florida Statutes. Such projects may include resurfacing and paving dirt local roads as long as the statutory requirement is clearly met. For example, if an application is received for CIGP funds to pave a dirt road, the justification must indicate how paving the dirt road would relieve congestion on the SHS.

Each eligible project must be consistent to the maximum extent feasible with the Florida Transportation Plan, Metropolitan Planning Organization Plan where applicable, and any appropriate local government comprehensive plan. Counties may submit projects that are not in the Metropolitan Planning Organization Long Range Transportation Plan or local government comprehensive plan; however, if selected, the projects must be amended into these plans within six months and supporting documentation should be provided to the Florida Department of Transportation (department).

The department will consider, but is not limited to, the following criteria for evaluation of projects for county incentive grant program assistance:

- The extent to which the project will encourage, enhance, or create economic benefits
- The likelihood that assistance would enable the project to proceed at an earlier date than the project could otherwise proceed
- The extent to which assistance would foster innovative public-private partnerships and attract private debt or equity investment
- The extent to which the project uses new technologies, including intelligent transportation systems, which enhance the efficiency of the project
- The extent to which the project helps to maintain or protect the environment
- The extent to which the project includes transportation benefits for improving intermodalism and safety.

A municipality may apply to the county where the municipality is located for funding under the county incentive grant program. The county must evaluate municipal applications for funding as provided in Section 339.2817(5), F.S. Municipal applications selected by the county for funding will be considered by the department using the same evaluation criteria mentioned above for projects funded under the county incentive grant program.

1. FUND DISTRIBUTION

Funds provided for this program shall be distributed to the districts via statutory formula.

The department shall provide 50 percent of eligible costs for eligible projects. For the purposes of the match requirement for CIGP, a project is defined as any eligible phase or combination of phases proposed for funding. Certain rural communities and counties may be eligible for a waiver of or reduction of the required match for CIGP funds. Instructions to request a waiver of the match can be found in the Rural Economic Development Initiative (REDI) chapter of these instructions. Only that geographic portion of the project falling within the qualified rural area is eligible for the waiver.

Federal earmarks may not be used as the match for CIGP funds. However, federal earmarks may be used to arrive at the 'project cost' amount for determining the amount of CIGP funds that need to be used to fund the project. Federal earmarks are deducted from the total project costs to determine the project costs for matching purposes. In other words, the 50/50 split would be calculated based on the total project cost less the amount of the federal earmark.

Federal SU funds may be used as a match for the CIGP funds provided it is for a STP eligible project. FTA funds may be used as a match for transit capital projects. Note: Using federal funds on a project managed by a county or city requires the project to meet all federal requirements and the jurisdiction to be LAP certified.

In-kind services or right of way that comprise integral parts of the project and contribute to its ultimate completion may be used as all or part of the local matching funds. A detailed report of the costs incurred as recorded in the cost accounting system must be provided to the district to substantiate the amount of in-kind services costs to be used as the county's share of participation. The department may conduct random audits of supporting documentation for in-kind services. The county shall provide documentation to the department to ensure the right of way is valued at the current market value and meets the programming guidelines for right of way in-kind match as outlined below.

At the discretion of the district secretary of the district involved, the department may agree to participate in cost overruns on a project subject to availability of funds. However, the county is ultimately responsible for all cost overruns. If the county has been granted a match waiver, the department may cover the overrun or reduce the scope of work.

2. PROJECT SELECTION AND RANKING

Projects to be included in this program are selected in order of rank from the most recent district rank-order listing to the extent that adequate funds are made available by appropriation. Projects selected shall be made part of the tentative work program.

3. PROJECT AGREEMENTS

Subsequent to the district's selection of a project for inclusion in the county incentive grant program, a joint participation agreement (JPA) or local agency program (LAP) agreement must be executed.

- The agreement shall specify the terms and conditions of state participation in the project. The project shall be programmed in accordance with the terms of the agreement.
- If the county has not executed the JPA or LAP agreement within six months after selection of the project, the district may make the funds available for the next highest-ranking project for which there are adequate funds.

B. PROGRAMMING GUIDELINES

1. PROJECTS MANAGED BY A COUNTY

a. Program for the department's share of the program

- Fund code: CIGP for the existing program
- Allocation type: 1
- Program number: 87

b. Program for the local's share of the program

- Fund code: LFP
- Allocation type: 4
- Program number: 87

Example: To program a typical construction project managed by a county or city using CIGP and local funds

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
54	01	87	CIGP	$500,000	1	20XX
54	01	87	LFP	$500,000	4	20XX

Example: To program a typical construction project managed by a county or city using CIGP and SU funds

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
54	01	87	CIGP	$500,000	1	20XX
54	01	87	SU	$500,000	1	20XX

2. PROJECTS MANAGED BY THE DEPARTMENT

a. Program for the department's share of the program

- Fund code: CIGP for the existing program
- Allocation type: 1
- Program number: 87

b. Program for the local's share of the program

- Fund code: LFP
- Allocation type: 1
- Program number: 87

Example: To program a typical construction project managed by the department using CIGP funds and local funds.

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
52	01	87	CIGP	$500,000	1	20XX
52	01	87	LFP	$500,000	1	20XX

Example: To program a typical construction project managed by the department using CIGP funds and SU funds.

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
52	01	87	CIGP	$500,000	1	20XX
52	01	87	SU	$500,000	1	20XX

3. PROGRAMMING PROJECTS OFF THE STATE HIGHWAY SYSTEM, ON THE FEDERAL SYSTEM

Federal system projects/off the SHS. For projects off the SHS but on the federal system, the district/MPO may use federal SU funds or local funds for the required match.

Example: Programming (project managed by the department): Total estimated cost - $1,000,000:

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
52	01	87	CIGP	$500,000	1	20XX
52	01	87	SU	$500,000	1	20XX

Note: In the above example, the federal SU funds are to be authorized at 100% in the Federal Aid Management System (FAMS). If there are any non-participating costs associated with the project, local funds must be programmed to cover this.

Example: Programming (project managed by local government): Total estimated cost - $1,000,000.

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
54	01	87	CIGP	$500,000	1	20XX
54	01	87	SU	$500,000	1	20XX

Note: In the above example, federal SU funds are to be authorized at 100% in FAMS. If there are any non-participating costs associated with project, local funds must be programmed to cover this.

NOTE: Using federal funds on a project managed by a county or city requires the project to meet all federal requirements and the jurisdiction to be LAP certified.

4. PROGRAMMING AN IN-KIND MATCH

In-kind match: In-kind services are goods, commodities, or services received in lieu of cash payments.

- Goods and commodities should be valued based on their current market value in accordance with generally accepted accounting standards as determined by the Office of the Comptroller. The value for land donated should be determined in accordance with guidelines established by the Office of Right of Way. (See the Right of Way chapter of these instructions).

- Property donated by local governments for right of way as the local share for a qualified project must comply with the requirements of the Federal Uniform Relocation Assistance implementing federal regulations, 49CFR, Part 24 and 23, Part 710, if federal funds will be used in any phase of the project. Other requirements for the acquisition of right of way should be determined in accordance with guidelines established by the Office of Right of Way.

- Departmental right of way acquisition procedures must be followed by the local governments on all CIGP funded projects located on the SHS regardless of the phase of work being funded through CIGP. Local governments may use their own right of way acquisition procedures for CIGP funded projects off the SHS unless federal funds are or will be used on the project. In that case, the local government must comply with the Federal Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended.

- The excess of an in-kind match valued in excess of the required match will not generally be applied towards another project. On a case by case basis, an exception may be made for project segments in another corridor that are part of an implementation plan for that corridor.

- The in-kind match must be used dollar for dollar to match CIGP funds.

- Use appropriate phase and transportation system.

Example: To program a project when using only local funds as the local match: A local government offers $300,000 in right of way plus cash as required match for a $500,000 CIGP project. The total cost of the project for matching purposes would be $1,000,000 or $500,000 each.

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
43	01	87	LF	$300,000	4	20XX
54	01	87	CIGP	$500,000	1	20XX
54	01	87	LFP	$200,000	4	20XX

Example: To program a project when using local funds and SU funds as the local match: A local government offers $300,000 in right of way plus cash as required match for a $500,000 CIGP project. The total cost of the project for matching purposes would be $1,000,000 or $500,000 each.

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
43	01	87	LF	$300,000	4	20XX
54	01	87	CIGP	$500,000	1	20XX
54	01	87	SU	$200,000	1	20XX

Note: Using federal funds on a project managed by a county or city requires the project to meet all federal requirements and the jurisdiction to be LAP certified.

5. PROGRAMMING WITH A FEDERAL EARMARK

Example: To program a project when using federal earmark and local funds as the local match: A federal earmark may be used in funding the total project cost. In this example, a construction project estimated at $1,000,000 may be funded as follows:

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
54	01	87	HPP	$200,000	1	20XX (earmark)
54	01	87	CIGP	$400,000	1	20XX
54	01	87	LFP	$400,000	4	20XX

Example: To program a project when using federal earmark and SU as the local match: A federal earmark may be used in funding the total project cost. The federal earmark is deducted from the total project costs to determine the project costs for matching purposes. In this example, a construction project estimated at $1,000,000 may be funded as follows:

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
54	01	87	HPP	$200,000	1	20XX (earmark)
54	01	87	CIGP	$400,000	1	20XX
54	01	87	SU	$400,000	1	20XX

Note: Using federal funds on a project managed by a county or city requires the project to meet all federal requirements and the jurisdiction to be LAP certified.

- Use appropriate phase and transportation system.

- There is no restriction on which phases may be programmed with CIGP funds with the exception of in-house support.

- Certain rural communities and counties may be eligible for a waiver of or reduction in the required match for CIGP funds (see the Rural Economic Development Initiative chapter of these instructions). Only that portion of the project which falls within the qualified rural area is eligible for the waiver.

Questions related to the program should be addressed to the Office of Policy Planning. Questions related to programming should be addressed to the Work Program Development & Operations Office.

6. PROGRAMMING USING FTA FUNDS

FTA funds may be used as a match for CIGP funds for capital infrastructure projects provided they meet the statutory criteria in Sections 339.2817(2) and (3), F.S.

Example: CIGP funds are used to fund a park and ride lot for a local transit agency. The total cost of the project is $1,000,000.

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
94	01	87	CIGP	$500,000	1	20XX
94	01	13	FTA	$500,000	4	20XX

District CIGP Coordinators

District	Name	Phone
Central Office	Lorraine Moyle	(850) 414-4383
One	Carol Wakley Lisa Brinson	(863) 519-2225 (863) 519-2836
Two	Jordan Green Kim Evans	(904) 360-5646 (386) 961-7402
Three	Regina Battles Dustin Castells Myra Suggs	(850) 330-1270 (850) 330-1227 (850) 330-1563
Four	Leslie Wetherell Sabrina Aubery	(954) 777-4438 (954) 777-4585
Five	Lisa Buscher	(386) 943-5452
Six	Aiah Yassin	(305) 470-5485
Seven	Suzanne Monk	(813) 975-6115

C. REFERENCES

Sections 339.135 (5) and (7), F.S.

Section 339.2817, F.S.

Procedure 525-010-015-c, District Administration of County Incentive Program

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PART III - CHAPTER 9: ECONOMIC DEVELOPMENT

A. OVERVIEW

The Economic Development Transportation Fund (EDTF) is one of 12 economic incentive programs used by the state of Florida to encourage specific businesses to locate, expand or remain in our state. The program was transferred from the Department of Economic Opportunity to the Florida Department of Transportation (department) on July 1, 2012 with the creation of Section 339.2821, Florida Statutes.

The EDTF requires the department to enter into contracts with local entities for the development of transportation projects that induce a specific company to locate, expand or remain in the state by alleviating transportation impediments that adversely impact the company's location or expansion decision. Eligible projects include but are not limited to safety and capacity improvements to existing roadways; the development of new roads and rail spurs; and certain airport and spaceport infrastructure improvements.

Program applications are submitted to Enterprise Florida (EFI), which serves as Florida's business development and recruitment agency. EFI acts on behalf of the department to ensure that the project meets the job creation and economic development requirements of Section 339.2821, F.S. The final funding decision is made by the department's central office after considering the comments or recommendations provided by EFI, the Departments of Economic Opportunity and Environmental Protection, and the department district in which the project is located.

Each district has a designated EDTF Coordinator responsible for coordinating all program related district activities, which includes working with their respective work program staff to program the new EDTF projects within 10 days of the initial grant award.

B. PROGRAMMING GUIDELINES

The districts should program economic development transportation projects using program number 10 and the SED fund code. Budget should crosswalk to budget category 088865.

Department budget and funding requests are coordinated by the department's central office economic development coordinator.

Example: To program economic development construction items pursuant to Section 339.2821, F.S.:

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
54	01	10	SED	$100,000	1	20XX

The following table provides contact information for the EDTF coordinators in each district and central office:

DISTRICT	COORDINATOR NAME
District 1	Lisa R. Brinson District Local Program Administrator Program Management Office, MS 1-48 801 North Broadway Avenue Bartow, Florida 33830 Phone: (863) 519-2836

DISTRICT	COORDINATOR NAME
District 2	Jordan L. Green, P.E. Rural Area Transportation Development Engineer Planning and Environmental Management Office (PLEMO) 1109 South Marion Avenue – MS 2007 Lake City, FL 32025 Office: (386) 961-7884 Mobile: (386) 365-5732 Fax: (386) 961-7508
District 3	Dustin Castells District 3 Local Program Administrator 1074 Highway 90 East Chipley, Florida 32428 Phone: (850) 330-1227 Fax: (850) 330-1130
District 4	Leslie Wetherell District 4 Program Management Administrator Florida Department of Transportation, District 4 3400 W Commercial Blvd Ft Lauderdale, FL 33309 Phone: (954) 777-4438 Fax: (954) 777-4074 Sabrina Aubery District 4 Program Administration Engineer Florida Department of Transportation, District 4 3400 W. Commercial Blvd Ft. Lauderdale, FL 33909 Phone: (954) 777-4585 Fax: (954) 777-4074
District 5	Lisa Buscher District 5 Local Government Program Administrator Florida Department of Transportation, District 5 719 South Woodland Blvd, MS 4-548 DeLand, FL 32720-6800 Phone: (386) 943-5452
District 6	Aiah Yassin District 6 Local Program Administrator Florida Department of Transportation, District 6 Program Management Office Adam Leigh Cann Building 1000 NW 111th Avenue, Room 6112A Miami, Florida 33172-5800 Phone: (305) 470-5485 Fax: (305) 470-5179
District 7	Lee A. Royal, AICP Community Liaison Administrator FDOT, District Seven 11201 N. McKinley Drive, MS 7-500 Tampa, FL 33612 Phone: (813) 975-6427 Fax: (813) 975-6443
Central Office	Jasmin Raffington Senior Policy Advisor Office of the Assistant Secretary for Intermodal Systems Development Florida Department of Transportation 605 Suwannee Street, MS 57 Tallahassee, FL 32399 Phone: (850) 414-5266 Fax: (850) 414-4443

C. REFERENCES

Section 339.2821, F.S.

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PART III - CHAPTER 11: ENVIRONMENTAL

A. CONTAMINATION ASSESSMENT AND REMEDIATION (CAR)

1. OVERVIEW

The contamination assessment and remediation program (CAR) provides funds for the identification and evaluation of potential contamination problems within or adjacent to existing or proposed R/W and for the remediation and clean-up of known contamination sites. The desired approach on proposed transportation improvements is to discover all contamination problems as early in the project development process as possible in order to limit or avoid liability by the Florida Department of Transportation (department), establish remediation costs, prevent delays during construction, supply information for the property valuation during the acquisition process and identify appropriate worker safety concerns. For department owned facilities, this program may be used to evaluate suspected contamination problems, spills or other incidents, including the development of remediation plans and the cost of the remediation work. The Federal Highway Administration (FHWA) has approved hazardous waste contamination assessment and remediation activities as qualifying for federal reimbursement.

Note: When remediation work is performed after the construction phase (routine maintenance of the site), refer to the Maintenance chapter of these instructions for programming guidelines.

2. IMPACT ON COST ESTIMATES

Districts cannot know the full extent of hazardous waste contamination or the costs of cleanup for most projects in the later years of the work program. Therefore, it will be necessary for districts to include an estimate of future CAR costs when programming reserve boxes in the tentative work program.

Districts shall review the FDOT/ Florida Department of Environmental Protection (FDEP), Memorandum of Understanding (MOU) dated June 16, 2014 addressing discharges of petroleum pollutants for cost sharing consideration established in the MOU. Three options have been identified for remediation of petroleum contamination at eligible sites that are determined to be impacting economically significant transportation projects. These options are:

- FDEP will complete assessment and/or remediation ahead of the road work. This is the most efficient option.
- For immediate work, FDEP will issue a purchase order to FDOT for a proposal prepared by a FDOT contractor.
- FDEP will reimburse FDOT for work completed by their contractor.

Per Procedure 650-000-001, Project Development and Environment Manual, prior to R/W acquisition, a level one (contamination screening evaluation) and level two (contamination impact assessment) investigation is necessary. Levels one and two should be completed prior to when the R/W phase would normally begin. After the impact to construction has been assessed, a remedial action plan on how to accomplish the contamination clean-up must be completed early enough in the project design process in order to limit or avoid department liability, establish remediation costs, prevent delay claims during construction, identify appropriate worker safety concerns and supply information for the property valuation during the acquisition process.

This plan and its associated cost should be provided to the district work program manager as early as possible for inclusion in the tentative work program. When the construction project cost estimates are available from the project manager, the district work program manager will then have the complete picture of budgetary needs to do the project. It is critical that the district work program manager

receive the best information possible in order to program the project's cost estimate in the tentative work program.

3. PROGRAMMING GUIDELINES

- For in-house charges relating to CAR contracts such as on-site inspections, consultant review, etc., the following phases should be used with program number 00 and the appropriate transportation system:

  - Phase 21 (project development and environmental - PD&E) should be used to support activities required to conduct PD&E studies for specific transportation improvements.

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
21	01	00	DIH	$10,000	1	20XX

  - Phase C1 (environmental) should be used when environmental activities are necessary to support statewide or districtwide program efforts.

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
C1	01	00	DIH	$10,000	1	20XX

  - Phase 71 should be used during operations and maintenance.

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
71	01	00	DIH	$10,000	1	20XX

- Preliminary assessment (screening) work, in accordance with Procedure 650-000-001, Project Development and Environment Manual, will be initiated during the PD&E phase accordingly; the assessment portion of the contract will be programmed as part of the PD&E contract on phase 22.

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
22	01	00	DS	$10,000	1	20XX

- Detailed assessments and remediation work may also be accomplished during the design and R/W phases. When this occurs, use program phase C2 (environmental consultant/contracts).

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
C2	01	00	DS	$10,000	1	20XX

- For remediation of petroleum contamination based on a proposal by the FDOT contractor. Please notify the General Accounting Office, LFA Section when utilizing DEP funds as the source of LF programming for contamination work.

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
C2	01	00	LF	$10,000	1	20XX

B. CULTURAL ASSESSMENTS

1. OVERVIEW

The National Historic Preservation Act of 1966, as amended, and Chapters 253 and 267, Florida Statutes, contain legislation requiring an archaeological and historical resource assessment on all transportation projects. These cultural assessments are accomplished as part of the PD&E work on a project, and in almost all cases the work is performed by consultants.

2. PROGRAMMING GUIDELINES

- For in-house charges relating to cultural assessments, such as on-site inspections, consultant reviews, etc., the following phases should be used with program number 00 and the appropriate transportation system:
  - Phase 21 should be used when supporting PD&E activities.

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
21	01	00	DIH	$10,000	1	20XX

  - Phase C1 should be used when supporting environmental activities necessary to support statewide or districtwide efforts not directly related to a specific PD&E project.

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
C1	01	00	DIH	$10,000	1	20XX

- Standard project related surveys and assessments will be programmed on phase 22 and program number 00.

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
22	01	00	DS	$10,000	1	20XX

- Use phase C2, program number 00 for the following activities:
  - Excavations of significant archaeological sites as a result of project related activities
  - Relocation of historically significant properties as a result of project activities
  - Emergency cultural resource activities discovered during the R/W or construction phases of a project
  - Rehabilitation of structures as a result of project related activities and emergency cultural resource activities for sites discovered during the construction phase of a project
  - Non-project related activities, such as inventories, assessments and maintenance, or development of a preservation plan of department owned properties

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
C2	01	00	DS	$10,000	1	20XX

C. ENVIRONMENTAL RESOURCE PERMITS

1. OVERVIEW

The following two methods are used by the department to obtain water management district permits from the Department of Environmental Protection (DEP), water management districts (WMD), and local governments:

2. PROGRAMMING GUIDELINES

- Payment is made by a consultant directly to the WMD or to DEP: use phase 32 and program number 00.

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
32	01	00	DS	$10,000	1	20XX

- Payment is made directly to the WMD or to the DEP by the department: use phase C8 and program 00.

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
C8	01	00	DS	$10,000	1	20XX

Note: If funded by federal funds, it is critical that funds are authorized prior to making the payment.

D. NATIONAL POLLUTANT DISCHARGE ELIMINATION SYSTEM (NPDES) PROGRAM / MUNICIPAL SEPARATE STORM SEWER SYSTEM (MS4) PROGRAM

Instructions for the NPDES-MS4 program have been moved to the Maintenance Chapter.

E. ADVANCED ENVIRONMENTAL MITIGATION

1. OVERVIEW

A statewide program using DEM funds (state) has been established for the purchase of advanced mitigation of wetlands and other surface water impacts and species impacts of transportation projects and for ecosystem or environmental management projects. DEM funds can be used to perform mitigation related activities, research, and to purchase land to bank for future environmental mitigation opportunities. The program is intended to provide funds to take advantage of mitigation opportunities in areas of the state where mitigation options are quickly disappearing or will become cost-prohibitive due to urbanization, uniqueness or competitive factors Coordination with the appropriate regulatory agency is required when compensatory mitigation is proposed. Funds can be programmed for district use in coordination with the State Environmental Management Office (SEMO).

The department has allocated $6 million annually (beginning in fiscal year 2015) for this program. DEM funds can be used for research, planning, design, and construction of mitigation sites as well as purchase of mitigation credits and management costs associated with mitigation projects.

2. PROJECTS QUALIFYING FOR DEM FUNDS

- Advance mitigation for wetland and species impacts of transportation projects
- Projects that complement other state land acquisition initiatives and the conservation and recreational lands program, greenways program, ecosystem management program and others.
- Proposals for land acquisition and ecosystem management when these projects provide mitigation opportunities or meet mitigation needs.
- Research projects supporting ecosystem and environmental management.

3. PROJECT SELECTION

Projects are nominated, selected and approved based on the following:

- Projects will be proposed by the district(s) and submitted to the SEMO for determination of applicability and prioritization. Inter-district coordination of multiple projects is encouraged. These projects or activities should be programmed by the districts as candidate projects in the work program pending approval.

- SEMO will submit selected projects to the assistant secretary for Intermodal Systems Development, or designee, for approval. Funds for this program will initially be boxed until such time as candidate projects are approved and then programmed.

- SEMO will notify the district(s) of project approval and the district(s) will proceed with programming of DEM funds. The district(s) will notify SEMO of completion of programming activities for the approved project.

- Districts receiving DEM funds must provide annual updates to SEMO on the status of the approved project until DEM funds have been exhausted. DEM funds not needed for a project must be returned to SEMO for use in other qualifying projects.

4. PROGRAMMING GUIDELINES

- For advance mitigation projects, the following phases should be used with program 70:

  - Use a C2 phase for purchase of credits, studies, management or planning.

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
C2	01	70	DEM	$10,000	1	20XX

  - Use a 32 phase when the department will design the mitigation.

  - Use a 4X phase for land purchases when purchase price is based on the value of the land.

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
4X	01	XX	DEM	$10,000	1	20XX

  - Use a 52 phase for when the department will construct the mitigation.

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
52	01	70	DEM	$10,000	1	20XX

- In-house costs should be programmed with DIH or HP funds.

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
21	01	00	DIH	$10,000	1	20XX

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
C1	01	00	DIH	$10,000	1	20XX

- DEM funds may be used for R/W land acquisition when the purchase price is based on the value of the land, including R/W, OPS and consultants. These projects will be programmed to the appropriate 4X phase.

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
41	01	00	DIH	$10,000	1	20XX
43	01	00	DEM	$50,000	1	20XX

- DEM funds can be used for mitigation bank credit purchases. Projects should be programmed with phase C2 and program number 70 (environmental mitigation).

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
C2	01	70	DEM	$10,000	1	20XX

- DEM funds can be used for ecosystem or environmental management projects with another governmental agency including any studies and management or planning associated with such projects. Projects should be programmed with phase C2, unless specifically for mitigation, which should be programmed as phase C8 and program number 70.

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
C8	01	70	DEM	$10,000	1	20XX

- DEM funds can be used for mitigation design and construction. Projects should be programmed with phase 32 and/or phase 52 and program number 70.

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
52	01	70	DEM	$10,000	1	20XX

Note: Approved district projects may require the transfer of both funds and budget to the district.

F. ENVIRONMENTAL MITIGATION – WETLANDS

1. OVERVIEW

Section 373.4137, F.S. denotes that environmental mitigation for the impact of transportation projects proposed by the department or a transportation authority established pursuant to Chapter 348 or Chapter 349, F.S., can be more effectively achieved by regional long-range mitigation planning rather than on a project by project basis. It is the intent of the Legislature that the department fund wetlands mitigation to cover the adverse wetland effects of transportation projects. The mitigation is carried out by using mitigation banks and any other mitigation options that satisfy state and federal requirements. Mitigation can also be carried out by the DEP, the WMD or the department. This legislation does not address uplands environmental mitigation.

By July 1 of each year, the department or a transportation authority established pursuant to Chapter 348 or Chapter 349, F.S., which chooses to participate in the program, shall submit a list of its projects in the work program to be adopted on July 1 and an environmental impact inventory of habitats, which may be impacted by its plan of construction for transportation projects in the next three years of the tentative work program (i.e., if the adopted work program is for fiscal year 2016 - 2020, the next three years of the tentative would be fiscal years 2017, 2018 and 2019). The department or a transportation authority established pursuant to Chapter 348 or Chapter 349, F.S., may also include in its inventory the habitat impacts of any future transportation project and current year funds may be used to fund these mitigation activities.

Once the mitigation plan is developed, no programming changes for mitigation funds may be made until the WMD is contacted and a determination is made as to the status of the mitigation.

To fund the development and implementation of the mitigation plan for the projected impacts identified in the environmental impact inventory, the department shall identify funds quarterly within the State Transportation Trust Fund for the environmental phase of the projects budgeted by the department for the current fiscal year.

In accordance with section 373.4137(3)(e), “For mitigation activities occurring on existing water management district or Department of Environmental Protection mitigation sites initiated with Department of Transportation mitigation funds before July 1, 2013, the water management district or the Department of Environmental Protection, as appropriate, shall invoice the Department of Transportation or a participating transportation authority at a cost per acre of $75,000 multiplied by the projected acres of impact as identified in the environmental impact inventory”.

Each July 1, the cost per acre shall be adjusted annually, based on the percentage change in the Consumer Price Index (CPI). Listed below are the costs per acre to be used in programming payments to DEP and the WMDs. The first year is the actual CPI adjusted cost per acre and the remaining five years is an estimate for programming future year payments.

FISCAL YEAR	COST PER ACRE
2015/16	$ 113,156
2016/17	$ 113,975
2017/18	$ 115,131
2018/19	$ 117,551
2019/20	$ 120,441
2020/21	$ 123,439

In accordance with section 373.4137(3)(d), for projects identified in the Environmental Impact Inventory on or after July 1, 2014, the department will provide funding to the DEP or WMD to offset only the impacts of transportation projects identified including planning, design, construction, maintenance and monitoring, and other costs necessary. The DEP or WMD will provide an estimate of funds required for mitigation services. Section 373.4137, F.S. does not specify a mitigation cost per credit when the department selects to purchase mitigation credits through a Mitigation Bank or In Lieu Fee entity. The department should estimate the amount of funds needed to fund the DEP or WMD for mitigation services or to purchase the appropriate number of credits needed to offset project impacts.

Beginning in fiscal year 2009/10, each WMD shall be paid a lump-sum amount per acre based on the above table for federally and non-federally funded transportation projects that have an approved mitigation plan. All mitigation costs including, but not limited to, the costs of preparing conceptual plans and the costs of design, construction, staff support, future maintenance and monitoring the mitigation areas shall be funded through these lump-sum amounts.

The mitigation plan shall be updated quarterly to reflect the most current department work program and project list of a transportation authority established pursuant to Chapter 348 or Chapter 349, F.S., if applicable, and may be amended throughout the year to anticipate schedule changes or additional projects, which may arise.

In developing the tentative work program, districts must program environmental mitigation to be accomplished by mitigation banks, the DEP, the WMDs or the department.

2. PROGRAMMING GUIDELINES

- Specific projects may be excluded from the mitigation plan, in whole or in part, and are not subject to this section upon the election of the department, transportation authority, if applicable, or the appropriate WMD. In these cases, mitigation can be programmed using the environmental phase (phase C2) and program number 70 for projects which will be mitigated through the purchase of mitigation bank credits, or can be programmed using the construction phase (phase 5X) and program 70 for projects which will be mitigated by department.

  Note: Mitigation bank credits can be purchased in advance.

- To separate environmental payments to mitigation banks, program phase C2 and program number 70. The phase C2 may be programmed in advance and the funding can be used to make such purchases in advance.

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
C2	01	70	DS	$10,000	1	20XX

- To separate environmental payments to the WMD or other governmental agency, program phase C8 (Environmental Other Agency) and program number 70. The phase C8 may be programmed three years in advance, but not later than the year of construction. Caution should be exercised to avoid programming too early where permits may expire.

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
C8	01	70	XXXX	$10,000	1	20XX

- To program environmental mitigation that is built by the department, use phase 52 and program number 70.

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
52	01	70	DS	$10,000	1	20XX

- If the project is eligible for federal aid participation, FHWA has agreed to 100% participation in our environmental mitigation program. Therefore, it is critical that funds are authorized prior to making payment.

- R/W and bridge bond funds **may not** be used to fund phase C8, unless associated with a bridge construction project.

- In order to facilitate reporting by WMD, use the following item group identifiers when programming environmental mitigation projects:

  - NWF - Northwest Florida Water Management District
  - SR - Suwannee River Water Management District
  - SJ - St. Johns Water Management District
  - SWF - Southwest Florida Water Management District
  - SF - South Florida Water Management District

G. INTERCONNECTED MULTIUSE TRAILS

1. OVERVIEW

Beginning in state fiscal year 2014, the department is empowered by legislative authority to use revenues in the State Transportation Trust Fund (STTF) for the establishment of a statewide system of interconnected multiuse trails. As set forth in Section 335.065, F.S., the department may use appropriated funds to pay the cost of planning, land acquisition, design, and construction of such trails and related facilities.

a. PROJECT SELECTION & RANKING

Pursuant to Section 335.065(4), F.S., the department shall give funding priority to projects that:

- Are identified by the Florida Greenways and Trails Council as a priority within the Florida Greenways and Trails System under Chapter 260, F.S.

- Support the transportation needs of bicyclists and pedestrians

- Have national, statewide, or regional importance

- Facilitate an interconnected system of trails by completing gaps between existing trails

In addition, a project funded under Section 335.065(4), F. S. shall be included in the department's work program developed in accordance with Section 339.135, F.S.

b. PROJECT SPECIFICATIONS

Projects are to be constructed following standard guidelines for shared use paths as defined in the Plans Preparation Manual (PPM) and Florida Greenbook. Generally, if a local sponsor/agency desires a trailhead, a restroom or other trail amenities, that entity will need to secure separate funding for those facilities and oversee their development.

Per Section 335.065(5), F.S., upon completion of construction, the project shall be operated and maintained by an entity other than the department. The department is not obligated to provide funds for the operation and maintenance of the project.

c. PROJECT AGREEMENTS

Local funds are programmed when a portion of the funding for a project is being provided from an outside source. This source could be a city, a county, an expressway authority, etc. Local funds should only be programmed when there is a reasonable expectation that the funds will actually be received. If the local agency intends to provide local funds for any portion of a project, please reference the Local Funds chapter of the Work Program Instructions for additional programming details.

d. WHEELS ON THE ROAD TAG AND TITLE FEE REVENUES

In 2015, the Florida Legislature passed SB 2514-A, amending s 320.072 F.S. increasing the distribution of revenues generated by certain motor vehicle registration transactions. Per the new legislation, "Wheels on Road" revenues will be deposited into the State Transportation Trust Fund (STTF) for use by the department. These revenues shall be used under the newly established fund code TLWR.

2. PROGRAMMING GUIDELINES

Projects will be managed by the department.

- Transportation System
  Use 13 – non-system specific

- Fund Codes
  Funding for projects may come from any discretionary funds the District receives on an annual basis. This includes transportation alternative funds as well as state funds. A list of fund codes is provided below.

CODE	DESCRIPTION	CODE	DESCRIPTION
ACSA	Advance Construction (SA)	EB	Equity Bonus
ACSE	Advance Construction (SE)	LF	Local Funds
ACSL	Advance Construction (SL)	LFP	Local Funds For Participating
ACSN	Advance Construction (SN)	RECT	Recreational Trails
		SA	STP, Any Area
ACSU	Advance Construction (SU)	SE	STP, Enhancement
ACTA	Advance Construction TALT	SL	STP, Areas <= 200K
ACTL	Advance Construction TALL	SN	STP, Mandatory Non-Urban <= 5K

ACTN	Advance Construction TALN	SU	STP, Urban Areas > 200K
ACTU	Advance Construction TALU	TALL	Transportation ALTS- < 200K
CM	Congestion Mitigation – AQ	TALN	Transportation ALTS- < 5K
DDR	District Dedicated Revenue	TALT	Transportation ALTS- Any Area
DIH	State In-House Product Support	TALU	Transportation ALTS- > 200K
DS	State Primary Highway & PTO	TLWR	Non-motorized Trail Network for Wheels on the Roads

- Phase

Use X2 – for department-let contract

- Program Number

Use the Program Plan/Work Program/Budget Crosswalk link in References section of this chapter for the appropriate program number combinations.

- Contract Class

Use 1 – for contracts let in Tallahassee
Use 7 – for contracts let in the District
Use 9 –for contracts that are design-build

- Allocation Type

Use 1- for projects that require use of state budget

3. CONTACTS

If you have questions or need further information, please contact the central office/districts listed below.

District	Contact	Phone Number
Central Office	Carmen Monroy	(850) 414-4800
	Yvonne Arens	(850) 414-4816
1	David Jones	(863) 519-2447
	Providance Nagy	(239) 225-1983
2	Derek Dixon	(904) 360-5653
	Jennifer Graham	(904) 360-5636
3	Olen Pettis	(850) 330-1543
4	Maria Anaya de Yeats	(954) 777-4582
	Jennifer Fierman	(954) 777-4318
	Jeff Weidner	(954) 777-4670

5	Joan Carter	(386) 943-5335
	Deborah Tyrone	(407) 482-7897
6	William Abin	(305) 470-5406
	Zakary Lata	(305) 470-5308
7	Stephen Benson	(813) 975-6255
	Lori Marable	(813) 975-6405

H. TRANSPORTATION ALTERNATIVES PROGRAM (TAP)

MAP-21 eliminated the surface transportation program (STP) set-aside for transportation enhancements. Previously apportioned STP enhancement (SE) funds are available for SE eligible activities until they are obligated and expended, rescinded, or until they lapse. MAP-21 establishes a new program to provide for a variety of alternative transportation projects, including many that were previously eligible activities under separately funded programs. The TAP replaces the funding from pre-MAP-21 programs including transportation enhancements, recreational trails, safe routes to school and several other discretionary programs, wrapping them into a single funding source. See the transportation alternatives in the Surface Transportation Program Section of Part IV, Federal-Aid Programs, of these instructions. Stand-alone landscaping projects are no longer eligible under the new program, but prior year apportionment balances forward from SE, if available, may still be used for this purpose.

I. REFERENCES

Chapter 253, F.S.

Chapter 260, F.S. Florida Greenways and Trails Act

Chapter 267, F.S.

Chapter 348, F.S.

Chapter 349, F.S.

Florida Greenbook, Pedestrian Facilities

Manual, Plans Preparation, Shared Use Paths

Section 339.135, F.S.

Section 373.4137, F.S.

Sections 335.065(4) and (5), F.S.

Procedure 350-020-200, Contract Funds Approval

Procedure 350-020-300, Locally Funded Joint Participation Agreements (Non-PTO) Financial Provisions and Processing

Procedure 650-000-001, Project Development and Environment Manual

Procedure 650-000-002, Efficient Transportation Decision Making Manual

Policy 000-625-001, Environmental Policy

Transportation Alternatives Program Guidance

To access the program plan crosswalk use the link below:
http://webapp02.dot.state.fl.us/fmsupportapps/itemsegmentsearch/ProgramPlanCrosswalk.aspx

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PART III - CHAPTER 12: FEDERAL AID FUNDS USED OFF THE STATE HIGHWAY SYSTEM

A. OVERVIEW

The Florida Department of Transportation's (department's) policy is to "soft match" all federal funds which are eligible for soft matching with toll credits and which would otherwise require a non-federal match. If sufficient hard match for state and local funds is associated to the federal project, soft-match will not be necessary. The Federal Aid Management System (FAMS) performs this calculation in the background and any necessary soft-match is recorded in the subsidiary ledger of the database established for this purpose. For further information related to "soft match," see "Use of Toll Credits for Non-Federal Share" in the Federal Aid Programs chapter of these instructions. For more information on federal funds, see the Federal Aid Programs chapter of these instructions.

Damages to roads on the Federal Aid Highway System, including roads off the State Highway System (SHS) may be eligible for emergency relief funding. Expenses for emergency repairs performed more than 180 days after the event and expenses for permanent repairs may be reimbursed by FHWA at a percentage less than 100%. In the event that the percentage reimbursable is less than 100% for roads off the SHS, with the exception of emergency repairs performed by the department more than 180 days after the event, the local agency with ownership of the road will be responsible for any amounts not reimbursable by Federal Highway Administration (FHWA). The emergency relief program is not eligible for soft matching with toll credits.

B. OFF THE STATE HIGHWAY SYSTEM PROJECT DELIVERY

Off-system projects are defined as projects not located on the State Highway System. The department's primary mechanism for delivering off-system projects included in the Five-Year Adopted Work Program is the Local Agency Program (LAP) as defined in ***Chapter 18***. In certain circumstances a local agency may be unable to deliver a prioritized off-system project and request the department deliver the project on the agency's behalf. A local agency governing board(s) must approve a resolution or equivalent approval (hereinafter collectively referred to as the "resolution") endorsing the department's delivery of the project. This holds true whether the department delivers the project on behalf of an agency unable to deliver the project, or if the department is delivering the project for efficiency, innovation, cost or time savings, or other reasons that may optimize project delivery.

Resolutions endorse the department's delivery of the project within the local agency's right of way/local jurisdiction. Multi-jurisdictional projects must be endorsed by each affected agency. Endorsed resolutions shall describe the project using the identification information as provided by the local agency in the project application or as identified in the Department's Adopted Work Program. Local agencies that are not able to endorse the Department's delivery of the off-system project via resolution will be required to administer the project(s).

Resolutions shall be obtained from the local agency no later than October 1 of the prior fiscal year in which the project is programmed for delivery. Projects added in current year shall be endorsed as soon as possible, but no later than 60 days prior to the Department letting of the contract.

The Department is responsible for establishing project delivery roles and responsibilities with the local governments for inclusion in project agreements. The local government should be made aware that any non-participating costs (FHWA will not reimburse the Department for these costs) will be their responsibility and this wording included in the agreement. When the initial contingency pay item is established for off-system federally funded projects, it should be funded with local funds. In the rare occasion that the locals cannot contribute, then the eligible state fund for local programs (TRIP, CIGP, SCOP, SCRAP, etc) will be used for the initial contingency pay item to allow the project to commence. The use of the eligible state fund will need approval from the Office of Work Program Development on a case by case basis, prior to the programming of the state fund. The actual total amount attributable to the initial contingency will be the final non-participating costs.

C. PROGRAMMING GUIDELINES

To demonstrate the programming of federal funds used off the SHS, one project will be used as an example. This project is to be programmed with STP urban funds (SU). A similar methodology is used for programming STP non urban (SL) funds.

Example: A construction phase funded with SU funds (STP urban funds) for work off the SHS. The construction cost of the project in the example is $1,000.

1. FUND CODES

There are several different fund codes used to program local funds depending upon how the local funds are being used, as follows:

LF **–** used to program local funds that are not used as a match for federal dollars for non-participating items (items not eligible for federal funding, such as decorative lighting on a project that is off the SHS) or for utility relocation that is not on an interstate project. LF should also be used to program non-budgeted (allocation type 4) local funds, that are not used as a match for federal dollars.

LFP – used to program local funds that are not used as a match for federal dollars but will be used towards participating items (items eligible for federal aid).

See the Local Funds chapter in these instructions for additional programming conventions for other types of local funds.

2. PROGRAMMING STP URBAN FUNDS

The department will manage the project (the locals will provide funds to the department to be deposited into the State Transportation Trust Fund (STTF), or the Turnpike General Reserve Trust Fund, or escrow account with the Department of Financial Services (DFS), pursuant to the locally funded agreement):

Local Government Participating Funds - Use LFP to program the local participation. In this example, that amount is $400.

PHASE	SEQUENCE	FUND	AMOUNT	ALLOC TYPE	% OBLIGATED in FAMS
52	01	SU	$600	1	100%
52	01	LFP	$400	1	

The local government will manage the project (the local funds are not required for deposit):

Local Government Participating Funds - Use LFP to program the local participation. In this example, that amount is $400. Use allocation type 4 since the local funds will not flow through the department.

PHASE	SEQUENCE	FUND	AMOUNT	ALLOC TYPE	% OBLIGATED in FAMS
58	01	SU	$600	1	100%
58	01	LFP	$400	4	

The local government will advance the funding for the project with payback by the department. The department will manage the project (the locals will provide funds to the department to be deposited into the STTF, or the Turnpike General Reserve Trust Fund, or escrow account with the DFS, pursuant to the locally funded agreement):

Local Government Provides Matching Funds **-** local funds that will be paid back are programmed with the LFR/LFRF fund code, as appropriate with a fund allocation type of 1. The pay back is programmed with the SU fund code and an allocation type of 1. The programming will be as follows:

PHASE	SEQUENCE	PGM #	FUND	AMOUNT	ALLOC TYPE	% OBLIGATED in FAMS	YEAR
52	01	05	LFR	$1000	1		2017
A8	01	39	ACSU	$1000	1	100%	2019
A8	01	52	SU	$1000	1		2019

The local government will advance the funding for the project with payback by the department. The local government will manage the project (the local funds are not required for deposit):

Local Government Provides Matching Funds **-** local funds that will be paid back are programmed with the LFR/LFRF/LRSC fund code, as appropriate with a fund allocation type of 4. The pay back is programmed with the SU fund code and an allocation type of 1. The programming will be as follows:

PHASE	SEQUENCE	PGM #	FUND	AMOUNT	ALLOC TYPE	% OBLIGATED in FAMS	YEAR
58	01	05	LFR	$1000	4		2017
A8	01	39	ACSU	$1000	1	100%	2019
A8	01	52	SU	$1000	1		2019

Note: For additional information on the local government advance/reimbursement program, please see the Local Funds chapter of these Instructions.

3. PROGRAMMING STP NON-URBAN FUNDS

The department will manage the project (the locals will provide funds to the department to be deposited into the STTF, or the Turnpike General Reserve Trust Fund, or escrow account with the DFS, pursuant to the locally funded agreement):

Local Government Participating Funds - Use LFP to program the local participation. In this example, that amount is $400.

PHASE	SEQUENCE	FUND	AMOUNT	ALLOC TYPE	% OBLIGATED in FAMS
52	01	SL	$600	1	100%
52	01	LFP	$400	1	

The local government will manage the project (the local funds are not required for deposit):

Local Government Participating Funds - Use LFP to program the local participation. In this example, that amount is $400. Use allocation type 4 since the local funds will not flow through the department.

PHASE	SEQUENCE	FUND	AMOUNT	ALLOC TYPE	% OBLIGATED in FAMS
58	01	SL	$600	1	100%
58	01	LFP	$400	4	

The local government will advance the funding for the project with payback by the department. The department will manage the project (the locals will provide funds to the department to be deposited into the STTF , or the Turnpike General Reserve Trust Fund, or escrow account with the DFS, pursuant to the locally funded agreement):

Local Government Provides Matching Funds **-** local funds that will be paid back are programmed with the LFR/LFRF fund code, as appropriate with a fund allocation type of 1. The pay back is programmed with the SL fund code and an allocation type of 1. The programming will be as follows:

PHASE	SEQUENCE	PGM #	FUND	AMOUNT	ALLOC TYPE	% OBLIGATED in FAMS	YEAR
52	01	05	LFR	$1000	1		2017
A8	01	39	ACSL	$1000	1	100%	2019
A8	01	52	SL	$1000	1		2019

The local government will advance the funding for the project with payback by the department. The local government will manage the project (the local funds are not required for deposit):

Local Government Provides Matching Funds **-** local funds that will be paid back are programmed with the LFR/LFRF fund code, as appropriate with a fund allocation type of 4. The pay back is programmed with the SL fund code and an allocation type of 1. The programming will be as follows:

PHASE	SEQUENCE	PGM #	FUND	AMOUNT	ALLOC TYPE	% OBLIGATED in FAMS	YEAR
58	01	05	LFR	$1000	4		2017
A8	01	39	ACSL	$1000	1	100%	2019
A8	01	52	SL	$1000	1		2019

4. PROGRAMMING EMERGENCY RELIEF (ER) FUNDS

When the department manages a permanent repair project off the SHS where the locals will provide funds to the department to be deposited into the STTF or the Turnpike General Reserve Trust Fund, or escrow account with the DFS, pursuant to the locally funded agreement.

Local Government Provides Matching Funds **-** Local funds required to match federal aid funds that flow through the department, will be programmed with an allocation type 1 and will carry the LFF fund code. The programming will be as follows:

PHASE	SEQUENCE	FUND	AMOUNT	ALLOC TYPE	% OBLIGATED in FAMS
52	01	ER	$820	1	100%
52	01	LFF	$180	1	

When a local government manages an emergency repair project off the State Highway System and repairs are performed more than 180 days after the event or a permanent repair project off the State Highway System where the local funds are not required for deposit.

Local Government Provides Matching Funds **-** Local funds required to match federal aid funds that will not flow through the Department, will be programmed with an allocation type 4 and will carry the LFF fund code. The programming will be as follows:

PHASE	SEQUENCE	FUND	AMOUNT	ALLOC TYPE	% OBLIGATED in FAMS
58	01	ER	$820	1	100%
58	01	LFF	$180	4	

D. REFERENCES

Section 339.135, F.S.

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PART III - CHAPTER 13: FIXED CAPITAL OUTLAY

A. OVERVIEW

1. DEFINITION

Section 216.011.(1)(p), Florida Statutes, defines fixed capital outlay (FCO) as the appropriation category used to fund real property (land, buildings including appurtenances, fixtures and fixed equipment structures, etc.) including additions, replacements, major repairs and renovations to real property which materially extend its useful life or materially improve or change its functional use, including furniture and equipment necessary to furnish and operate a new or improved facility, when appropriated by the Legislature in the FCO budget category.

In accordance with the Executive Office of the Governor (EOG) Capital Improvement Program Plan Instructions, Glossary Definitions, the FCO budget category **cannot** be used for the following:

- Normal, routine maintenance repairs that are a part of an ongoing maintenance program implemented by Florida Department of Transportation (department) employees
- Replacements of movable equipment or furnishings
- Equipment additions or replacements needed for facilities other than new ones or the improved portion of an existing facility

2. TYPES OF FCO PROJECTS

The FCO appropriations are comprised of three different types of buildings and grounds projects: major projects, statewide projects and minor projects.

- FCO major projects are new facilities or major additions/renovations to existing facilities costing $1 million or more over a single or multiple years. FCO major projects are named and budgeted in unique budget categories.
- FCO statewide projects are those which have broad application across the department such as environmental site restoration (budget category 088763) and underground storage tank program-statewide (budget category 088542), etc. Environmental site restoration projects are generally budgeted at the level requested in years two through five of the prior year budget request. If appropriate, a change in budget level may be requested.
- FCO minor projects are those that cost less than $1 million and are designed to renovate, accommodate changing use requirements, appreciably extend the useful life, upgrade for more efficient use or restore capacity to existing facilities. Minor projects are budgeted in the category for minor repairs/ improvement-statewide (budget category 080002).

3. FCO PROGRAM EXCLUSIONS

The FCO program excludes road and bridge facilities: rest areas, welcome centers, radio towers/buildings, microwave towers/buildings, railroad cars/facilities, credit unions, motorist aid towers/buildings, Fairbanks facilities, leased buildings, weigh facilities, bridge tender houses, toll/turnpike roadway facilities and buildings incidental to the roadway system. These facilities (i.e., non-FCO buildings) are supported by either the department's work program or operating budget categories.

4. TURNPIKE ENTERPRISE

The Florida Turnpike Enterprise (turnpike enterprise) FCO program is subject to the same level of review and control as other department buildings. Turnpike enterprise buildings, which are not involved in the collection of turnpike revenue or not directly related to a specific turnpike project, will be considered part of the department's FCO program. More specifically, those buildings on Florida's Turnpike System, which are primarily administrative in nature and not associated with collection of turnpike enterprise revenue, such as toll plazas, sales facilities, service stations or facilities required for the operations of a specific revenue producing project, are included in the department's FCO program.

5. FCO CERTIFICATION FORWARD

FCO appropriations are certified forward on February 1st and June 30th. Based on written project justifications from FCO coordinators, the FCO program manager prepares the certification forward request for submittal to the budget officer.

- February 1st certification forward: As authorized on July 1st, the department has 19 months from the effective appropriation date to have a project under contract, per Section 216.301(2)(a), F.S. Failure to meet this requirement may cause funds to revert. Historically, the EOG guidelines state in part that the appropriation may be certified forward if it falls within one of the following:

  - The appropriation is under contract (i.e., a formal contract between the state and a construction contractor exists or a notice to award has been issued to the selected competitive bidder)

  - The appropriation was made for a non-construction project (e.g., for land acquisition, planning or design consulting fees necessary prior to construction)

  FCO encumbrances and purchase orders are certified forward as of February 1st to a particular project, vendor and scope.

  Note: Memo encumbrances for construction projects that have not yet been awarded to a contractor/vendor are subject to reversion if not under contract by January 31st per Section 216.301(2)(b), F.S.

  The department's budget officer submits its February 1st certification forward request to the EOG to certify outstanding obligations of FCO appropriations as of February 1st.

- June 30th certification forward: The department's Office of the Comptroller, in coordination with the Budget Office, prepares and submits its annual June 30th certification forward request to the EOG to certify outstanding obligations of FCO appropriations on or before August1st per Section 216.301(2)(c), F.S.

  Note: FCO projects are excluded from the Work Program roll forward 12-month bid letting schedule. The FCO funds are programmed in the appropriation years and have19 months to commit to contract.

B. PROGRAMMING GUIDELINES

FCO projects are programmed with:

- Transportation System: 12

- Program Number: 37, unless otherwise noted

- FCO Fund Code (except for in-house phases, disasters and turnpike FCO projects; see the programming guidelines below for in-house phases; see the Emergencies chapter of these instructions for disaster; see the Turnpike Enterprise and Other Toll Facilities chapter of these instructions for turnpike projects)

- The phases used for FCO projects in the Work Program Administration (WPA) system include, but are not limited to, the following:

  - Phase 31 – In-house preliminary engineering work performed by department staff on FCO projects is programmed with phase 31.

    Note: Use program number 00, DIH funds and operating budget (salaries and benefits) for phase 31.

  - Phase 32 - Projects requiring preliminary engineering/consultant design services (architectural, mechanical, structural or electrical) are programmed with phase 32.

  - Phase 43 - Projects requiring land acquisition are programmed as phase 43.

  - Phase 52 - FCO construction projects are programmed as phase 52. FCO projects are eligible for the department's design build program. Design/build contracts are to be identified in WPA as phase 52, contract class 9. To program stipends for design build projects, see the Special Contracting Methods chapter of these instructions. The Financial Management System will not automatically generate DIH funds when a phase 52 is added to a FCO project. If in-house funding is needed, it must be manually added.

  - Phase 56 - FCO utilities projects are programmed as phase 56.

  - Phase 61 – In-house construction support work performed by department staff on FCO projects is programmed as a phase 61.

    Note: Use program number 00, DIH funds and operating budget (salaries and benefits) for phase 61.

  - Phase 62 – FCO post design projects (construction, engineering and inspection) are programmed as phase 62.

  - Phase 71 – In-house maintenance work performed by department staff on FCO projects is programmed as a phase 71. District FCO coordinators are responsible for notifying the district insurance coordinators as soon as the in-house maintenance is underway.

    Note: Use program number 00, D funds and operating budget (salaries and benefits) for phase 71.

  - Phase 72 - General operational (building and grounds) maintenance repair work is programmed as a phase 72. This work includes preventive and general maintenance repair activities and routine facility costs for the Department of Transportation's buildings and grounds maintenance and repair program when requested in the Legislative Budget Request.

    Note: Use program number CS, D fund, work mix 9925, and Contracted Services (Category 100777) budget for phase 72.

    The Contracted Services (program number CS) is excluded from counting against any maintenance targets.

  - Phase 93 - Furniture and equipment purchases necessary to initially furnish and operate a new or improved portion of a facility for FCO projects are programmed as phase 93.

- Phase C2 - FCO environmental site restoration projects are programmed with phase C2.

New item segments are established for each new appropriation year and budget category. However, for continuing projects where item-segments already exist, additional segments may be added to the existing item number (e.g., environmental site restoration: FY 2015/16 = Segment 1; FY 2016/17 = Segment 2; FY 2017/18 = Segment 3; FY 2018/19 = Segment 4, etc.).

Item-segment comments on the Item Segment Definition (WP01) screen (extra description lines) of all FCO projects shall include the following information: the budget entity, appropriation/budget category, expansion option (EO), initial allocation amount, organization code, fiscal year and object codes. Any transfers of funds between district item segments, budgeting districts or between items within a single district are included both in the WP01 and Item Segment Change History (WP06) screens with a new total after transfers have been made. Transfers between phases/sequences within the same item-segment are entered in WP06 comments but do not need to be entered on the WP01 screen.

- WP01 Example 1 – Line descriptions:
  - Line 1 = Budget entity, budget category, expansion option (EO), initial appropriation amount
    Example: 55150200-080002-13-$150,000
  - Line 2 = Org code-fiscal year-object codes
    Example: 55024040210- 15/16- 131231, 561031
  - Line 3 = Transfer amounts between item segments or districts and new total
- WP01 Example 2 – Transfer between item segments:
  - From: Project item segment 417895-6
    - ✓ Line 1 = 55150200-080002-13-$150,000
    - ✓ Line 2 = 55044010410-15/16- 131231, 561031
    - ✓ Line 3 = -$10,000 TO 417911-6-52-01; NEW TOTAL=$140,000
  - To: Project item segment 417911-6
    - ✓ Line 1 = 55150200-080002-13-$80,000
    - ✓ Line 2 = 55044010410-15/16-131231, 561031
    - ✓ Line 3 = +$10,000 FROM 417895-6-52-01; NEW TOTAL=$90,000
- WP01 Example 3 – FCO minor projects for outer years:

  (The FCO minor projects for outer years (years two through five) are programmed showing the district's minor projects ceiling amount for each of the four years.)
  - Line 1 = 55150200-080002-2014THRU2017-$3,276,352 (4-YR TOTAL)
  - Line 2 = 55014040110-2013/14THRU2016/17-5620XX ($819,088 EACH YR.)

The district FCO coordinators and district work program offices verify that the new FCO projects have been programmed (in the tentative work program development cycle) and balanced to the approved project list and funding as submitted in the department's legislative budget request (LBR).

C. FCO CIP PLAN AND PROGRAMMING IN WORK PROGRAM ADMINISTRATION SYSTEM

- The district FCO coordinators are responsible for the development and management of their district FCO program. Each district conducts an assessment of its unmet and forecasted future facility needs and develops their five-year Capital Improvement Program Plan (CIP) for inclusion in the department's LBR. District secretaries/assistant secretaries approve their respective district's five-year CIP Plan for submittal to the Budget Office. The central office management/executive team reviews and approves the department's proposed five-year CIP Plan. The first year of the department's five-year CIP Plan serves as the agency's FCO LBR and plan years two through five include a description of anticipated FCO projects and funding needs per Sections 216.0158 and 216.043, F.S.

- The FCO program manager gives the proposed five-year FCO funding levels to the Program and Resource Allocation Office to finance the CIP Plan. As soon as the central office management/executive team approves the final version of the proposed FCO CIP Plan, the FCO program manager submits proposed projects to the district FCO coordinators to include in their district work program. The districts are responsible for programming FCO projects according to the levels approved by central office management/executive team and as provided by the central office FCO program manager.

- Working with the district work program staff, and with assistance from the FCO program manager, the district FCO coordinators program the approved projects.

- The FCO program manager, district FCO coordinators and district work program staffs verify the FCO programming estimates to ensure they are in balance with the FCO LBR budget allocations.

- The purchase of furniture and equipment using FCO funds: Specifically, Section 216.011(1)(p) F.S., allows the use of FCO funds to purchase furniture and equipment necessary to furnish and operate a new or improved facility, when the project is appropriated in the General Appropriations Act (GAA) in the FCO category.

  Note: The cost estimate for furniture and equipment must be clearly identified in the CIP Plan narrative.

  Example: FDOT requested a major renovation project of a dilapidated facility in the City of Two Egg in the FCO legislative budget request which was approved in the GAA in an FCO budget category. The project includes renovation of office space with work stations, furniture and equipment and was identified in the narrative as a separate cost estimate in the CIP Plan. In this case, furniture and equipment may be purchased as part of the FCO project to initially furnish and operate the facility.

- If you plan to purchase furniture for public-private-partnership (P3) design-build projects or purchase replacement furniture independent of any new facility or improvement FCO project, please address this issue with your Budget Coordinator. A request for operating budget (i.e., expenses or operating capital outlay) may need to be submitted in the department's budget request. For assistance with programming furniture/equipment for P3 design-build projects, please contact your Work Program Development and Operations Office. Rule 60A-1.017, Florida Administrative Code, should be considered in specific instances where a construction/service contract provides for a vendor to purchase tangible personal property to ultimately be transferred to FDOT.

D. WORK PROGRAM ADMINISTRATION SYSTEM – SCHEDULE A AND B

The department's five-year FCO CIP Plan, is programmed in the WPA system to ensure FCO program objectives and funding levels are met.

- Schedule A of the Program and Resource Plan includes the FCO funding allocations to the districts by fund and fiscal year based on the five-year FCO CIP Plan requested in the department's LBR.

- Schedule B program targets by district and fiscal year are not issued for the FCO program since FCO funding allocation levels in the work program are reflected in Schedule A.

E. FLAIR CODES, PROJECT CORRELATIONS AND FCO IMMUNITY FILE FOR FCO PROJECTS

- After the department's FCO budget request has been approved in the GAA, preparations are made for the new FCO projects in FLAIR and the WPA system prior to the start of the new fiscal year.

- The FCO program manager provides FLAIR information for the authorized FCO budget categories (e.g., budget categories, entities, organizational codes and object codes) to the department's General Accounting Office to set up the new set indicators and object codes in FLAIR to ensure correct processing of invoice payments. The expansion options for FCO budget categories are the appropriation category fiscal years (e.g., FY 2013/14 = 14) with the exception of FCO hurricane categories, which are set up with distinctive expansion option codes.

- The FCO program manager provides a list of authorized new FCO projects (e.g., district/unit, fund, budget categories and year, budget entities, item segments, phase-sequences, estimates and project descriptions) to the Office of Comptroller's Project Cost Management section to set up initial project correlations for the FCO projects. This step is to ensure correct accounting in FLAIR and to keep track of the FCO project costs in the work program cost tables.

- The FCO program manager also provides the list of new projects to the Office of the Comptroller's Systems Support section for inclusion in a special FLAIR FCO immunity file to identify authorized FCO projects/budget categories in FLAIR. The immunity file retains project entries in FLAIR so that encumbrances and payments for FCO projects can be processed.

  Note: Project entries that are added manually to the FLAIR system without going through the FCO program manager will not be included in the FCO immunity file and the entries will drop out of the FLAIR system.

- The FCO program manager submits a listing of the new projects via email to the district FCO coordinators that shows FCO budget categories, object codes and expansion options that have been entered in FLAIR and the FCO project correlation list that shows the project items, estimates and related information by district.

- The district work program offices then adopt the new FCO projects in the WPA system.

F. WORK PROGRAM ADMINISTRATION SYSTEM - FCO BUDGET ALLOCATIONS, CROSSWALK AND PRODUCTION ACCOMPLISHMENT REPORT

1. FCO BUDGET ALLOCATION IN WORK PROGRAM SYSTEM

After the GAA is available, the FCO program manager provides a list of FCO district budget allocations to the analyst in the Work Program Development and Operations Office to enter in the WPA. This step is also completed for any FCO budget allocation changes reflected in the department's amended LBR (if applicable), FCO budget transfers between districts/units; and prior year reversions. The FCO program manager and central office work program analyst monitor the FCO budget allocations to ensure that FCO budget allocations in the WPA and FLAIR budget allocations are balanced.

2. CROSSWALK FOR FCO PROJECTS

At the beginning of the fiscal year, the approved FCO projects are entered in the WPA crosswalk, which identifies the correct transportation system, program of the Program and Resource Plan and budget category. The FCO program manager provides a list of FCO projects by trust fund, budget entity, budget category and item segment to the Financial Management Support Office to enter in the FCO crosswalk. This step is also completed for any FCO item segment adopted changes in the WPA.

3. PRODUCTION ACCOMPLISHMENT REPORT

The production accomplishment report (PAR) is used to track and balance the federal and state funding levels in the State Transportation Trust Fund (STTF) by fund, district and fiscal year. The PAR reflects the current year Schedule A FCO fund allocations for the department's five-year FCO CIP Plan. After the GAA is available, the FCO program manager provides a list of district FCO fund allocations to the appropriate Office of Work Program and Budget staff. If the FCO projects were not approved in the GAA, then appropriate adjustments are made in the FCO tentative work program development cycle estimates and the PAR. This step is also completed for any FCO fund allocation changes reflected in the department's amended LBR, if applicable, and for current year FCO budget transfers between districts/units. The FCO program manager and central office/district work program staff monitor the PAR periodically to ensure that FCO fund allocation levels and programming for district FCO projects are balanced.

Note: The Turnpike General Reserve Trust Fund FCO budget allocations are not entered in the PAR since turnpike projects are not in the STTF. FCO budget reconciliation/FCO reporting web reports are used by the FCO program manager to monitor the turnpike enterprise's FLAIR FCO budget and allocations.

G. FCO BUDGET AMENDMENT FOR 80% BUDGET RELEASE

- At the beginning of the fiscal year, the EOG typically releases 20% of the FCO appropriations for the fiscal year. The Budget Office submits a budget amendment requesting release of the remaining 80% of the appropriations (e.g., minor renovations repairs/ improvements, environmental site restoration, underground storage tank program and major project, if applicable).

- Usually, the department receives approval of the FCO budget amendment for the 80% release by the end of July.

H. FCO PROGRAMMING CHANGES

1. CHANGES WITHIN THE DISTRICT

After the FCO projects have been added to the tentative work program development cycle and initially adopted in the WPA, FCO funds may be transferred and programmed between FCO item segment projects within a single budgeting district in the same budget entity, budget category (e.g., minor repairs/improvement - statewide budget category 080002) and fiscal year. The item segment-phase where the funds are moved must be reduced to equal the amount that is added to another item segment-phase. The WP01 description lines of both projects involved must reflect the change. The districts must coordinate this transfer through the central office FCO program manager to review the budget prior to the transfer and to ensure that newly adopted item segment changes are added to the FCO crosswalk and FLAIR FCO immunity file.

2. CHANGES BETWEEN DISTRICTS

FCO budget and funds that have the same budget category (e.g., minor repairs/improvement - statewide budget category 080002 or statewide categories such as environmental site restoration -

budget category 088763), budget entity and year may be transferred and programmed between district projects. Again, the item segment-phase from where the funds are moved must be reduced to equal the amount that is transferred to another item segment-phase. WP01 description lines must be updated to reflect the change. No budget with supporting funds shall be moved from one item to another item between districts without prior allotment transfer approval processed through the Budget Office located in central office.

Note: A portion of an appropriation for a named FCO project (in the GAA) found to be in excess of that needed to complete the project may only be transferred to another project where a deficiency is found to exist and when there has been an appropriation in the same fiscal year from the same fund. Such a transfer requires that the transfer of funds does not change the scope of the project and that a budget amendment must be submitted through the EOG to the Legislative Budget Commission for approval (Section 216.292(4)(c), F.S.).

3. WPA ENTRIES

District FCO coordinators are responsible for ensuring:

- FCO project estimates shown on the Item Segment Phase (WP04), Phase Estimate Detail (WP20) and Phase Financial Summary (WP21) screens of each item segment remain balanced with the total amount shown on the description lines of the item segment comments on the WP01 screen

- All FCO work program items remain balanced (if one item or phase is increased, another item segment(s) or phase(s) must be decreased)

- The extra description lines of the item segment comments are included on the WP01 and the appropriate history change notes are made on WP06 screen

I. REQUESTING TO ADOPT FCO PROGRAMMING CHANGES

- District FCO coordinators request to adopt changes to FCO projects through the FCO program manager and the central office work program district representative.

- The FCO program manager reviews the requested FCO programming change; the central office work program district representative adopts the requested item change and notifies the FCO program manager, district FCO coordinator and district work program office when the item is adopted.

- The FCO program manager submits a request to the Office of Comptroller for the addition of newly adopted projects to the FLAIR program FCO immunity file and requests addition of the new FCO item to the crosswalk.

- The district work program staff correlates the new project/change after the project is adopted.

  Note: Work program amendments are **not** required for changes to the FCO projects and are exempt from the work program amendment process as provided in Section 339.135, F.S.

J. ALLOTMENT TRANSFERS: POSTING BUDGET ADJUSTMENTS IN FLAIR / WORK PROGRAM CHANGES

Allotment transfers allow budget authority and funds to be moved between districts and must be in the **same** budget entity, budget category and fiscal year. Budget for named, project-specific budget categories are **not** transferred between projects or districts (i.e., Lake City Sign Shop, Replace-Bartow HVAC, etc.).

The FCO program manager coordinates the FCO allotment transfer requests between districts in conjunction with the district FCO coordinators. After the approved budget adjustments are posted in FLAIR, the FCO program manager notifies the respective district FCO coordinators, budget coordinators, Work Program Development and Operations Office and the Program and Resource Allocation Office. The district FCO coordinators are responsible for coordinating with their district work program office to have item estimate changes programmed in the WPA system.

K. REFERENCES

Transportation Capital Improvements Plans for Fiscal Years 2014-15 through 2018-19

Section 216.011(1)(p), F.S.

Section 216.301(2)(a),(b),(c), F.S.

Section 216.0158, F.S.

Section 216.043, F.S.

Section 216.292(4)(c), F.S.

Section 339.135, F.S.

Rule 60A-1.017, FAC

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PART III - CHAPTER 15: FREIGHT, LOGISTICS & PASSENGER OPERATIONS

A. GENERAL OVERVIEW

The areas of responsibility for the freight, logistics and passenger operations (FLP) program are: transit, aviation, rail, spaceports, intermodal and seaports. The districts are responsible for programming the freight, logistics and passenger operations projects. The central office is responsible for statewide projects and ensuring that program objectives are addressed.

The Florida Department of Transportation's (department's) freight, logistics, and passenger operations staff are responsible for coordinating with over 100 airports, two spaceports, 15 railroads, 15 seaports, and over 180 transit providers throughout the state. Statewide, these partners work with the department to provide a safe transportation system that ensures the mobility of people and goods. In response to the needs of our various transportation partners and their initiatives to improve mobility and connectivity, we must allow flexibility in our programs to ensure our combined efforts contribute to the overall multimodal transportation system.

B. GENERAL PROGRAMMING GUIDELINES

Section 206.46(3), Florida Statutes, requires that a minimum of 15% of all state revenues deposited into the state transportation trust fund be allocated to freight, logistics and passenger operations programs. Only DPTO, DDR, and PORT funds will be included in the 15% calculation. DPTO funds allocated for freight, logistics and passenger operations in Schedules A and B must be fully programmed. The Schedule B target for DDR funds is set at 15% of each district's total DDR allocation.

Fund codes shown in programming matrixes will be used to program state funds for transit, aviation, spaceport, rail, intermodal and seaport projects.

Schedule B will include state budgeted funding targets for freight, logistics and passenger operations programs. Districts must program at least this minimum target amount.

All projects programmed against the targets in Schedule B must be consistent, to the maximum extent feasible, with approved local government comprehensive plans.

Applicable federal funds may also be programmed in accordance with each federal program requirements. For Florida Freight Mobility and Trade Plan requirements, please see Part IV Chapter 1 (page 4) in the Work Program Instructions.

The programming guidelines specific to each functional area in freight, logistics and passenger operations are found in the respective sections.

Increased Federal Share for "Prioritization of Projects to Improve Freight Movement"

Authorizes the department to allow a maximum federal share of 95% for an interstate system project (or of 90% for a non-interstate system project) if the project makes a demonstrable improvement in the efficiency of freight movement and is identified in a state freight plan (as described in Section 1118 of MAP-21). [§1116]

The Florida Freight Mobility and Trade Plan will contain projects from all transportation modes, not just highways. Projects in the entire freight plan will be identified with the item group identifier FRGT.

C. DEFERRED REIMBURSEMENT AGREEMENT (DRA) PROGRAMMING GUIDELINES

DRA projects are programmed to advance projects in the adopted work program and the local entity will be reimbursed in the future, within the five years of the adopted work program.

All DRA projects have to be tagged with item group identifier DRAD (deferred reimbursement agreement - department) or DRAL (deferred reimbursement agreement - local). These projects should be programmed individually and separated from non-DRA projects with the use of a separate item segment.

The item status on the Item Segment Definition (WP01) screen in the Financial Management (FM) system should be 070 or greater (contract executed) for projects that have been executed.

Fund code LFR (local fund reimbursement) will be used to program phase X4 for the department's commitment in the year to which the project/phase is advanced as reflected in the agreement. Phase X4 will be programmed if the department is letting the contract or doing the work with allocation type 1 (budgeted) and the project will be tagged with item group identifier DRAD. Phase X4 will be programmed if other agency (airport, seaport, etc.) is letting the contract or doing the work with allocation type 4 (non budgeted) and the project will be tagged with item group identifier DRAL.

Fund code LF (local fund) will be programmed on the primary phase if local entity is contributing funds for the total project cost (local match) with allocation type 4 (when there is a reasonable expectation that the funds will actually be received). The program number used for programming the local funds is the same as that being used for the major portion of the phase. If the local funds are the only funds on the phase, the program number should be that which is most appropriate for the type of work being performed (see Appendix D for a complete listing of current program numbers).

Fund codes DS, DPTO, DDR or GMR will be used to program the phase A8 in the year the reimbursement to the local entity is to begin. Use the program number for the specific area within FLP when programming the A8 phase for reimbursement. The amount programmed on phase A8 should equal the amount of the LFR programmed on phase X4.

Example: To program an aviation DRA when the department does the work or lets the contract, include DRAD as the item group identifier:

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
94	01	34	LFR	$100,000	1	2017 (letting)
A8	01	34	DPTO	$100,000	1	2019 (payback)

Example: To program an aviation DRA where the locals or another agency do the work or let the contract, include DRAL as the item group identifier:

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
94	01	34	LFR	$100,000	4	2017 (letting)
A8	01	34	DPTO	$100,000	1	2019 (payback)

D. AVIATION AND SPACEPORTS

1. OVERVIEW

The aviation program provides assistance to Florida's airports in the areas of development, improvement, land acquisition, airport access and economic enhancement. Matching funds assist local governments and airport authorities in planning, designing, purchasing, constructing and maintaining public–owned, public-use aviation facilities. Definitions and procedures for aviation programs are contained in department Procedures 725-040-040, 725-040-055, 725-040-060, 725-040-100, and 725-040-210.

All projects must be consistent with the role and function for each airport as defined by the Florida aviation system plan and the current airport master plan approved by the department.

Section 331.360, F.S,. directs the department to coordinate in the development of spaceports and related transportation facilities (including those contained in the Strategic Intermodal System Plan), encourage coordination between airports and spaceports and foster interagency efforts to improve space transportation capacity and efficiency. The law also authorizes the department to provide funding assistance to Space Florida for projects that improve aerospace transportation facilities in Florida.

Strategic Intermodal System (SIS) spaceport projects should be programmed under the aviation program, unless otherwise directed by the Aviation and Spaceports Office. No other spaceport projects may be programmed, except for Aviation and Spaceports Office approved grants to Space Florida.

All surplus of district allocated funds will be returned to central office, and Schedule B will be adjusted accordingly. District funds gained from prior years through monthly reconciliation will be returned to central office, and Schedule A will be adjusted accordingly.

2. PROGRAMMING GUIDELINES - AVIATION

- Transportation System: use System 09 - Aviation
- Work Mix: All aviation projects must have one of the following primary work mixes on the WP01 screen:
  - 8165 – PTO Studies
  - 8201 – Aviation Safety Project
  - 8203 – Aviation Security Project
  - 8205 – Aviation Preservation Project
  - 8207 – Aviation Capacity Project
  - 8209 – Aviation Environmental Project
  - 8211 – Airport Revenue/Operational Improvement
  - 9980 – Preliminary Engineering
- Additional work mixes may be used to describe the project on the Location Work Mix – Airport (WP12) screen. Additional work mix codes are listed on the Work Mix – List Display (WP93) screen.
- Phase: See the program plan crosswalk link in the References section of this chapter for appropriate phase information.
- Program number and fund code: See aviation project programming matrix.
- The airport discretionary capacity improvement program (program number 32) provides funding for projects which enhance intercontinental capacity at airports meeting criteria defined by Section 332.004(5), F.S., with funding authorized by Section 332.007(7), F.S. Eligible airports are: Ft. Lauderdale/Hollywood International, Miami International, Southwest Florida International, Orlando International, Orlando Sanford International and Tampa International Airports. Districts

cannot transfer aviation grant funds into or out of the airport discretionary capacity improvement program.

- Work program items shall be entered from a work program code sheet/JACIP (Joint Automated Capital Improvement Program) data card form provided to the district work program staff by the district aviation staff and includes the following information:
  - Enter the (JACIP) unique project identification number (UPIN) on the Item Segment Location - Airport (WP08) screen. The UPIN will be provided by the district aviation staff.
  - Each project must be reviewed by the district aviation staff prior to submitting the work program code sheet to the district work program office.
  - The airport site number must be coded on the WP12 screen for all applicable projects. The airport name on the work program code sheet/JACIP data card must be identical to the airport name and associated site number provided in the airport site number using the Quick Reference on the Office of Work Program and Budget's SharePoint site at the following link:

    http://webapp02.dot.state.fl.us/fmsupportapps/itemsegmentsearch/quickref.aspx

- Per Section 332.007(11), F.S., the department is authorized to fund strategic airport investment projects that:
  - Provide important access and on-airport capacity improvements;
  - Provide capital improvements to strategically position the state to maximize opportunities in international trade, logistics, and the aviation industry;
  - Achieve state goals of an integrated intermodal transportation system;
  - Demonstrate the feasibility and availability of matching funds through federal, local, or private partners.
  - Strategic airport investment projects may be funded at up to 100 percent of the project's cost.

- All strategic airport investment projects should be tagged with item group identifier SAI for tracking purposes.

  Note: All strategic airport investment projects funded above 50 percent of the project's cost must be approved by the Secretary or designee prior to programming.

- Aviation program matching ratios are authorized in Section 332.007, F.S., and are summarized as follows:

Department's Share of Project Funding		
Sponsor or Type of Project	**If federal funding is available**	**If federal funding is *not* available**
Commercial Service Airports	Department provides up to 50% of local share	Department provides up to 50% of total costs
General Aviation Airports	Department provides up to 80% of local share	Department provides up to 80% of total costs
Not-for-profit organizations	Not applicable	Department provides up to 100% of total costs
Economic Development	Not applicable	Department provides up to 50% of total costs
Airport Loans	Not applicable	Department provides 75% interest free for 10 years

Projects statewide in scope, research, state or regional studies	Department provides up to 100% of total costs	Department provides up to 100% of total costs
Strategic Airport Investment Projects	Department provides up to 100% of total costs	Department provides up to 100% of total costs

a. Limitations on the Amount of Aviation Program Funds that can be Programmed Annually to Individual Airports:

- The following three statutory requirements in Chapter 332, F.S., govern the maximum amount of aviation program funds that can annually be allocated to an airport:
  - No single airport shall secure airport or aviation development project funds in excess of 25 percent of the total aviation development project funds available in any given budget year.
  - Any airport which receives discretionary capacity improvement project funds in a given fiscal year shall not receive greater than 10 percent of total aviation development project funds appropriated in that fiscal year.
  - No single airport shall secure discretionary capacity improvement project funds in excess of 50 percent of the total discretionary capacity improvement project funds available in any given budget year.

When determining the maximum amount of aviation program funds, only use district dedicated revenue funds (DDR), state FLP funds (DPTO), state primary highways and FLP funds (DS), and Strategic Airport Investment funds. Do not include non-aviation funds, such as: strategic intermodal funds (DIS or GMR); state infrastructure bank (SIB) funds; transportation regional incentive program (TRIP) funds; local funds (LF); federal aviation administration funds (FAA); SAFE funds (SAFE); and other modal program funds, such as rail program funds, since they were created or included after the requirement became law and are allocated to the airports by other department programs or processes.

The compliance calculations are computed and reflected in the Florida Aviation Database – Joint Aviation Capital Improvement Program and monitored by the central Aviation and Spaceports Office and the districts.

Aviation Programming Example:

The department has committed to funding 80% of the capital costs of the construction of a multi-use hangar at a general aviation airport, subject to a 20% local funds commitment. A joint participation agreement is being negotiated for an 80/20 state and local funds match. Total project cost, including final design, is $1 million. Using the Work Program Code Sheet/JACIP Data Card, the project is programmed as follows:

FUNDS	AMOUNT	PROGRAM NO.	ALLOC TYPE
DPTO	$800,000	34	1
LF	$200,000	34	4

3. PROGRAMMING GUIDELINES - "UNITED WE STAND" LICENSE PLATE PROCEEDS

Proceeds from the "United We Stand" license plate are dedicated to the department pursuant to Section 320.08058(32), F.S., and Chapter 2010- 225 Laws of Florida, and must be used for airport management/security training (Phase 82, Program No. 20) or to fund security-related aviation projects (Phase 94, Program No. 33 or 34 depending on airport classification Commercial or General Aviation Airport).

- The central office Freight, Logistics and Passenger Operations – Aviation and Spaceports Office coordinates the programming with the districts.

- Transportation System: Use System 09 – Aviation.

- Work Mix: Use appropriate work mix (see appendix D for work mix codes).

- Phase: See the program plan/work program/budget crosswalk link in the References section of this chapter for appropriate phase information.

- Program Number and Fund Code: See Aviation Project Programming Matrix.

AVIATION PROJECT PROGRAMMING MATRIX

System 09 Pgm. Nos.	Budget Category 088719 Program Name	District Allocation Method	Budgeted Federal Fund	Non-Budgeted Federal Fund	Non-Budgeted Local Fund	State Fund	Phase	Comments
33	Commercial Service	Needs Based **		FAA	LF	DS/DDR DPTO DIS/GMR SAFE	*	Administered by Districts - Procedure Ref. 725-040-040
34	General Aviation	Needs Based **		FAA	LF	DS/DDR DPTO SAFE	*	Administered by Districts - Procedure Ref. 725-040-040
91	Aviation Land Acquisition	Needs Based **		FAA	LF	DS/DDR DPTO	*	Administered by Districts - Procedure Ref. 725-040-040 & 725-040-055
99	Airport Economic Development	Needs Based **			LF	DS/DDR DPTO	*	Administered by Districts Procedure Ref. 725-040-060
32	Discretionary Capacity	Needs Based **		FAA	LF	DS/DDR DPTO	*	Administered by Districts
System 09 Pgm. Nos.	**Budget Category 088719 Program Name**	**District Allocation Method**	**Budgeted Federal Fund**	**Non-Budgeted Federal Fund**	**Non-Budgeted Local Fund**	**State Fund**	**Phase**	**Comments**
28	Master Plan (Airport Planning Projects)	Needs Based **		FAA	LF	DS/DDR DPTO	*	Administered by Districts - Procedure Ref. 725-040-100 & 725-040-040
20	Technical Assistance	Statewide	DU			DS/ DPTO SAFE	*	Administered by Statewide Central Office managing District 30

* See the program plan crosswalk link in the References section of this chapter for appropriate phase information.
** Needs Based means the districts submit SIS project candidates to central office and projects are funded based on program criteria.

4. PROGRAMMING GUIDELINES - SPACEPORTS

- The central office Freight, Logistics and Passenger Operations – Aviation and Spaceports Office coordinates the programming with the districts .

- Transportation System: use System 09 – Aviation.

- Work Mix: All spaceport projects must have one of the following primary work mixes on the WP01 screen:
  - 8880 – Spaceport Safety Project
  - 8881 – Spaceport Security Project
  - 8882 – Spaceport Preservation Project
  - 8883 – Spaceport Capacity Project
  - 8884 – Spaceport Environmental Project
  - 8885 – Spaceport Revenue/Operational Improvement
- All spaceport projects should be tagged with item group identifier SPT for tracking purposes.
- Phase: See the program plan crosswalk link in the References section of this chapter for appropriate phase information.
- Program Number and Fund Code: See spaceport project programming matrix.
- A state share or matching ratio of up to 50% of eligible project costs must be used for spaceport infrastructure projects programmed with work program phase 94 (Capital Grant). A match is not required for spaceport consultant/grant work, including: planning, project development and environmental work, project management, engineering support/evaluations, etc., programmed as work program phase 12 or 14.
- Pursuant to Section 331.371, F.S., the department may, in consultation with Space Florida, fund up to 100% of spaceport launch support facilities investment projects, as defined in Section 331.303, F.S. if:
  - Important access and on-spaceport and commercial launch facility capacity improvements are provided;
  - Capital improvements that strategically position the state to maximize opportunities in international trade are achieved;
  - Goals of an integrated intermodal transportation system for the state are achieved; and
  - Feasibility and availability of matching funds through federal, local, or private partners are demonstrated.

SPACEPORT PROJECT PROGRAMMING MATRIX

System 09 Pgm. Nos.	Budget Category 088719 Program Name	District Allocation Method	Budgeted Federal Fund	Non-Budgeted Federal Fund	Non-Budgeted Local Fund	State Fund	Phase	Comments
SF	Spaceport Projects	Statewide				DS/ DDR/ DPTO/ GMR/ DIS	*	Administered by Statewide Central Office managing District 30

* See the program plan crosswalk link in the References section of this chapter for appropriate phase information.

E. INTERMODAL ACCESS PROGRAM

1. OVERVIEW

The intermodal access program provides assistance for major capital investment in fixed guideway transportation systems; access to seaports, airports and other transportation terminals, providing for the construction of intermodal or multimodal terminals; and to otherwise facilitate the intermodal or multimodal movement of people and goods. It supports projects which provide improved access to intermodal or multimodal transportation facilities and the construction of multimodal terminals. Projects funded under this program include rail access to airports and seaports, interchanges and highways which provide access to airports, seaports and other multimodal facilities. This program is authorized by Section 341.053, F.S.

Section 311.101, F.S., provides that intermodal logistics center infrastructure support program (ILC) project funds may be used for connector projects; roads, rail facilities or other means of conveying goods or shipment of goods to or from an ILC through one or more seaports listed in Section 311.09, F.S. The department may provide funds up to 50% of project costs for eligible projects proposed to be funded in the tentative work program developed pursuant to Section 339.135(4), F.S. All projects funded through this program should have the ILC item group identifier added on the Item Segment Group (WP03) screen.

2. PROGRAMMING GUIDELINES

In programming projects, the transportation system should reflect the facility involved in the project. For example, a highway project that provides access to an airport would be programmed with a highway transportation system, e.g., transportation system 03 (Intrastate State Highway). Transportation system 15 (Multimodal) would be used for those projects that lie within the boundaries of a multimodal facility; e.g., the Miami Intermodal Center.

- The program number should reflect the purpose of the project, e.g. program number 05 (Resurfacing). Program number 11 (Intermodal Access) would be used for capacity projects only, such as:
    - Intermodal studies (feasibility, preliminary design and engineering)
    - Fixed guide-way systems
    - Capacity road and capacity rail projects that are designed to terminate at major modal facilities (airports, seaports, railroad and transit terminals, etc.)
    - Intermodal and multi-modal transportation terminals
    - Development of dedicated bus lanes
    - Private or public projects which otherwise facilitate the intermodal movement of people and goods
    - Joint projects involving private carriers or facility operators are eligible provided a demonstrable public benefit will result from the intermodal project
- Transportation System: Should reflect the facility involved in the project as explained above
- Work Mix: Must be one of the following work mixes approved for intermodal projects.

  Note: A capacity work mix or a primary FLP work mix is required.

- Valid Work Mixes For Intermodal

  0037, 8053, 8099,8165, 8201, 8203, 8205, 8207, 8209, 8211, 8310, 8335, 8340, 8345, 8350, 8355, 8360, 8401, 8402, 8403, 8404, 8406, 8407, 8420, 9980

- Capacity Work Mixes (Valid for Intermodal)

  0002, 0020, 0023, 0025, 0026, 0213, 0218, 0229, 0230, 0232, 0234, 0236, 0547, 0549, 0550, 0551, 0630, 0750, 0752, 0753, 0754, 0756, 0760, 2000, 8051, 8140, 8207, 8350, 8401, 9916, 9982, 9999

- Phase: See the program plan crosswalk link in the References section of this chapter for appropriate phase information.

- Fund Code: See intermodal project programming matrix.

Examples:

A project to construct the internal roadway system within the boundaries of an intermodal center would be programmed using transportation system 15, program number 11, with a capacity work mix.

A project to widen and add lanes to a highway to provide improved direct access to an airport (roadway terminates at the airport) would be programmed with a roadway transportation system, program number 11, with a capacity work mix. A project to widen and add lanes to a highway which may provide access to an airport but does not terminate at the airport would be programmed with a roadway transportation system, with program number 02, with a capacity work mix.

All intermodal access projects must have an item group identifier on them. These are listed in the table below.

Item Group	Description
ARPT	Airport Projects
SEAP	Seaport Projects
RAIL	Rail Projects
TRNS	Transit Projects
TERM	Intermodal Terminal Projects
FFND	Future Funding/Districtwide Projects
MIC	All Miami Intermodal Center Projects, including Terminals

Intermodal Access Program Project Programming Matrix

System (See Xwalk) Pgm. Nos.	Budget Category 088809 Program Name	District Allocation Method	Budgeted Federal Fund	Non-Budgeted Federal Fund	Non-Budgeted Local Fund	Budgeted Local Fund	Budgeted State Fund	Funding Ratios F=Federal L=Local S=State	Phase	Comments
11	Intermodal Development (FLP Grants and Consultants)	Formula	CM STP DFTA	FTA FTAT	LF		DS/DDR DPTO	S = not to exceed ½ non-federal share unless project is of statewide or regional significance.	*	Administered by FDOT- These projects are primarily grants to local governments. May be funded at 100% if statewide or regional. See Technical Guidelines for typical eligible projects.
11	Intermodal Development (Highway Contract Letting)	Formula	CM STP DFTA	FTA FTAT				F = 100%	*	Administered by District. Construction & Consultant Projects

System (See Xwalk) Pgm. Nos.	Budget Category 088777 Program Name	District Allocation Method	Budgeted Federal Fund	Non-Budgeted Federal Fund	Non-Budgeted Local Fund	Budgeted Local Fund	Budgeted State Fund	Funding Ratios F=Federal L=Local S=State	Phase	Comments
11	Intermodal Development R/W Category	Formula	CM STP DFTA	FTA FTAT				F = 100%	*	Administered by District. For R/W projects in the Intermodal Development Program
System 15 Pgm Nos.	**Budget Category 088809 Program Name**	**District Allocation Method**	**Budgeted Federal Fund**	**Non-Budgeted Federal Fund**	**Non-Budgeted Local Fund**	**Budgeted Local Fund**	**Budgeted State Fund**	**Funding Ratios F=Federal L=Local S=State**	**Phase**	**Comments**
11	Intermodal Logistics Center Infrastructure Support Program	Allocated by FDOT			LF		DPTO DS	Up to 50% S=but not more than 50% of available funds in a single fiscal year	*	Administered by Central Office to provide funds for on-hub infrastructure connector/access projects. Funding in a single fiscal year may be distributed among several projects and no single project will receive in excess of 50% of available program funds in a single fiscal year.

* See the program plan crosswalk link in the References section of this chapter for appropriate phase information.

F. RAIL

1. OVERVIEW

The rail program includes financial and technical assistance for intermodal projects, rail safety inspections, regulation of railroad operations and rail/highway crossings, identification of abandoned rail corridors, recommendations regarding acquisition and rehabilitation of rail facilities and assistance for developing intercity rail passenger service or commuter rail service. Definitions and procedures for rail programs are contained in Procedures 000-725-002, South Florida Rail Corridor Grade Crossing; 000-725-003, South Florida Rail Corridor Clearance; and 725-080-002, Rail Office Programs Handbook Adoption Procedure.

In December 2009, House Bill 1B established the Florida Rail Enterprise.

2. PROGRAMMING GUIDELINES

- Transportation System: Use system 10 – Rail.
- Work Mix: All rail projects must have one of the following primary work mixes on the WP01 screen:
  - 8115 – Technical Assistance
  - 8165 – PTO Studies
  - 8310 – Purchase Rail Right of Way
  - 8335 – Rail Safety Project
  - 8340 – Rail Security Project
  - 8345 – Rail Preservation Project
  - 8350 – Rail Capacity Project
  - 8355 – Rail Environmental Project

- 8360 – Rail Revenue/Operational
- 8420 – Intermodal Hub Capacity

Additional work mixes may be used to describe the project on the location work mix – road (WP11) screen. Additional work mix codes are listed on the WP93 screen.

- Phase: See the program plan crosswalk link in the References section of this chapter for appropriate phase information.
  - Use phase 57 for all Signal Safety Improvement (Program 53) projects and for production projects where a highway project has a small rail component. Use phase 37 for rail studies, surveys, and planning prior to rail construction.
- Program Number and Fund Code: See rail project programming matrix.

The department may fund up to 50% of the non-federal and non-private share of the costs of any eligible railroad capital improvement project that is local in scope.

The department is authorized to fund up to 100% of the cost of any eligible railroad capital improvement project that is statewide in scope or involves more than one county if no other governmental unit of appropriate jurisdiction exists (non-state owned can be funded up to 100% with Assistant Secretary approval).

The department is authorized to fund up to 100% of the costs of any railroad capital improvement project involving the acquisition of right of way for future transportation purposes. Department fund participation in such projects shall be credited as part of the appropriate share of participation by the department in total project cost for any future project involving such right of way.

Monies in the state transportation trust fund (STTF) may not be used for administrative expenses of commuter rail authorities that do not operate rail service. Work mix 8350 rail capacity projects must include railroad post locations at the beginning and end points of the capacity project. Rail ID and milepost may be obtained from the department's rail base map.

Example: The department has committed to funding 75% of the capital costs of the construction of a short-line railroad bridge, subject to a 25% commitment from the railroad company. A joint rail project agreement is being negotiated for a 75/25 state and local funds match. Total project cost is $1 million. The project is programmed as follows:

FUNDS	AMOUNT	PROGRAM NO.	ALLOC TYPE
DPTO	$750,000	29	1
LF	$250,000	29	4

3. HIGHWAY-RAIL GRADE CROSSING SAFETY IMPROVEMENT PROGRAM

a. Overview

Highway-rail grade crossing safety improvement program projects are programmed based on diagnostic field review team recommendations using 100% federal funds. Such projects are funded with RHH (Rail/Highway Crossing - Hazard Elimination), RHP (Rail/Highway Crossing – Protective Devices), and HSP (Highway Safety Program) funds. This program funds installation of traffic control devices and other related safety work at highway-rail grade crossings. Diagnostic teams are comprised of multidiscipline individuals and must include personnel from district and central rail and the railroad partner; and may include traffic operations, safety offices, and local government representatives. Projects are selected for review and implementation based on signal safety index priority; comprehensive corridor reviews; collision history; rail

frequency/speed; Federal Railroad Administration, railroad or inspector noted safety issues; and low cost safety improvement programs. Final projects are selected by the central Rail Office on an annual basis and programmed in the first year of the tentative work program by the district. Remaining outer-year funds are programmed in a statewide box by the central Rail Office. Districts are to submit cost estimates for all locations reviewed during diagnostic field reviews to the Rail Office prior to August 31st of each year.

Schedule B contains eligible fund allocations in the current and first available years. Rail/highway crossing funds cannot be used on interstate projects nor in-house phases.

Projects shall be submitted, reviewed, and implemented in accordance with Procedure 725-080-002, Rail Office Programs Handbook Adoption Procedure.

b. Programming Guidelines

- Transportation System: Use Systems
  - 03 -Intrastate State Highway
  - 05 -Non-Intrastate State Highway
  - 06 - Non-Intrastate Off State Highway, or
  - 16 -Off State Hwy Sys/Off Fed Sys
- Work Mix: Use 8335 – Rail Safety Project for the primary work mix on the WP01 screen. Additional work mixes may be used to describe the project on the Location Work Mix – Road (WP11) screen. Additional work mix codes are listed on the Work Mix – List Display (WP93) screen.
- Item segment comments: item segment comments must include all railroad crossing numbers associated with the project.
- Phase: See the program plan crosswalk link in the References section of this chapter for appropriate phase information.
- Program number and fund code: See the rail project programming matrix.

Crossing closure incentive: The department may make matching railroad crossing closure incentive payments to local governments up to $7,500. Use program 53 RHP or RHH funds, phase 94, work mix 8335, allocation type 1, and matching LF funds, allocation type 4.

4. SOUTH FLORIDA RAIL CORRIDOR

a. Overview

The South Florida Rail Corridor (SFRC) was purchased in 1988 by the department to preserve a transportation corridor paralleling existing interstate 95 right of way. This project increased railroad capacity in the southeast Florida area. The acquisition included revenue producing assets that are assigned to the department as part of the purchase agreement. The department allocates these revenues back into the corridor as DL funds. The revenue allocations are provided by the comptroller to the SFRC coordinator monthly. These revenues are not sufficient to meet all programming needs for the corridor. Corridor funding is subsidized by portions of the state funds allocated for the intermodal program. Program 29 funds (rail passenger service development) are used to subsidize DL funds. The department annually provides $4,000,000 ACNP funds for SFRC operating assistance.

b. Programming Guidelines

- Transportation System: Use System 10 – Rail.
- Work Mix: Use 8350 for SFRC and the double tracking project. Use 8360 for SFRC operating assistance.
- Phase: See the program plan crosswalk link in the References section of this chapter for appropriate phase information.
- Program Number and Fund Code: See rail project programming matrix.

5. PROGRAMMING OF SROM FOR SUNRAIL OPERATIONS AND MAINTENANCE FROM SUNRAIL REVENUES

The fund code SROM was created in order to program the various revenues that are received from the other revenue sources associated with SunRail (usage fees, ROW leases, advertising, etc.)

The Project Finance Office in coordination with the General Accounting Office will set the fund allocation for SROM.

When programming, use transportation system 08 (Transit); work mix 8420 (Intermodal Hub Capacity); phase 82.

Rail Project Programming Matrix

System 10 Pgm. Nos.	Budget Category 088808 Program Name	District Allocation Method	Budgeted Federal Fund	Non-Budgeted Federal Fund	Non-Budgeted Local Fund	Budgeted Local Fund	State Fund	Funding Ratios F=Federal L=Local S=State	Phase	Comments
29	Rail Passenger Service Development	Needs Based **	ACNP DFTA	FTA	LF	DL	DS DDR DPTO GMR TRIP	½ the non-federal share. 100S (statewide significance. or more than 1 county) 50S/50F 100S	*	Administered by FDOT- Used for capital and operating assistance for commuter rail, intercity and rail passenger services. Per Section 341.303 (5)(a)(b), F.S.
62	Rail Rehabilitation & Preservation	Benefit cost analysis of candidate projects	FRA					100F Grants	*	Administered by Central Office - Federal grant controls implementation of program.
36	RR xing Safety Improvements for Designated High Speed Rail Corridors	Results of diagnostic reviews	HSR					100F Grants	*	Administered by District - Section 1103(f) program; these funds are to be used for improving safety in the high speed passenger rail corridor between Tampa, Orlando and Miami.
36	Railroad Crossing Signal Maintenance	By Crossing Agreement					DS DPTO	100S	*	Administered by Central Office – Section 335.141; 341.303, F.S.
20	Rail Consultants	Needs Based **					DS DPTO	100S	*	Administered by Central Office
53	Rail/Highway Crossing Safety Improvement Prog. Statewide. – Protective Devices	Results of diagnostic reviews	RHP					100F	*	Administered by Central Office to be used for improving safety in all rail corridors Statewide

Rail Project Programming Matrix

System 10 Pgm. Nos.	Budget Category 088808 Program Name	District Allocation Method	Budgeted Federal Fund	Non-Budgeted Federal Fund	Non-Budgeted Local Fund	Budgeted Local Fund	State Fund	Funding Ratios F=Federal L=Local S=State	Phase	Comments
53	Rail/Highway Crossing Safety Improvement Prog. Statewide – Hazard Elimination	Results of diagnostic reviews	RHH					100F	*	Administered by Central Office to be used for improving safety in all rail corridors Statewide.
29	South Florida Rail Corridor	Reprogram revenue back to project				DL		100L	*	Administered by District Four to reprogram revenue back into project.
29	Rail Freight Projects	Needs Based **			LF		DIS GMR	50S/50L 75S/25L	*	Administered by Central Office - Funding ratio depends on railroad class.

* See the program plan crosswalk link in the References section for appropriate phase information.
** Needs Based means the districts submit project candidates to central office and projects are funded based on program criteria.

G. SEAPORTS

1. OVERVIEW

The seaport program provides financial and technical assistance to the 15 public deepwater seaports in the state of Florida per Section 311.09, F.S.

Funding for Florida Seaport Transportation and Economic Development Program (Chapter 311) projects shall be state-funded on a 50/50 matching basis with any of the ports as contained in Section 311.09, F.S. An exception to the 50/50 match is projects that involve the rehabilitation of wharves, docks, berths, bulkheads, or similar structures shall require a 25% non-state match.

Additionally, seaport intermodal access projects (Chapter 311) funds that involve the dredging of deepening of channels, turning basins, or harbors; or the rehabilitation of wharves, docks or improvements to roadways or railroads, require a 25% match from port funds, federal funds, local funds or private funds.

Section 320.20, F.S., provides funding to pay debt service on bonds issued by the Florida Ports Financing Commission (FPFC). Section 320.20(4), F.S., requires that funding for seaport intermodal access projects shall be on a matching basis mutually determined by the Florida Seaport Transportation and Economic Development Council (FSTED) and the department. A minimum of 25% of total project costs shall come from local funds, private funds, or specifically earmarked federal funds.

Section 311.10, F.S., provides a minimum of $35M annually for strategic port investment initiative projects. The projects are selected from a priority list that meet the state's economic development goals of becoming a hub for trade, logistics and export-oriented activities. These projects should be programmed with the item group identifier SPII (strategic port investment initiative); this funding comes primarily from Strategic Intermodal System funds.

Section 12 of Chapter 2012-128, Laws of Florida, provides that $10 million annually shall be used for the seaport investment program (POED funds) which may fund any seaport project identified in the adopted work program. These funds may be bonded provided that the revenue bonds shall be issued by the Division of Bond Finance at the request of the department pursuant to the State Bond Act. This bond is in addition to any amounts provided for and appropriated in accordance with

Section 311.07 and Section 320.20(3) and (4), F.S. This program became effective in fiscal year 2013-2014. POED and federal funds must be programmed on separate financial project sequences. POED funds should be programmed with pay sequence 1, other state funds with pay sequence 2, and local funds with pay sequence 3.

2. PROGRAMMING GUIDELINES

- Transportation System: Use system 11 – Seaports.
- Work Mix: All seaport projects must have one of the following primary work mixes on the WP01 screen:
  - 8165 – PTO Studies
  - 8401 – Seaport Capacity Project
  - 8402 – Seaport Safety Project
  - 8403 – Seaport Security Project
  - 8404 – Seaport Preservation Project
  - 8406 – Seaport Environmental Project
  - 8407 – Seaport Revenue/Operational Improvement
  - 8408 – Seaport Intermodal Logistic Centers (ILC)

Additional work mixes may be used to describe the project on the Location Work Mix – Seaport (WP13) screen. Additional work mix codes are listed on the WP93 screen.

- Phase: See the program plan crosswalk link in the References section of this chapter for appropriate phase information.
- Program number and fund code: See seaport project programming matrix.
- Districts should consult with their respective ports regarding selection of eligible seaport grant projects.
- Use DPTO with distribution area FSTD for the additional state funds provided by the department to the Florida Seaport Transportation and Economic Development Program.
- Work Program items shall be entered from a Work Program/SeaCIP Data Card form provided electronically to the district work program office by the district seaport staff. This form will include the following information:
  - The SeaCIP unique project identification number (UPIN) on the Item Segment Location – Seaport (WP09) screen. The UPIN will be provided by the district seaport staff.
  - The seaport site codes are listed on the Work Program Administration Seaport (WP18) screen and must be coded on applicable seaport projects.

  Example: The department has committed to funding 50% of the capital costs of the construction of an on port facility, subject to a 50% commitment from the port. A joint participation agreement is being negotiated for a 50/50 state and local funds match. Total project cost is $6 million. The project is programmed as follows:

FUNDS	AMOUNT	PROGRAM NO.	ALLOC TYPE
PORT	$3,000,000	11	1
LF	$3,000,000	11	4

3. SEAPORTS - NON-BUDGETED

Projects partially funded using federal funds from the Army Corps of Engineers (COE) will be included in the work program for reporting purposes only.

Programming guidelines: These non-budgeted projects will be programmed in the department's tentative work program from a list of projects submitted by the FSTED. The district freight, logistics and passenger operations staff will be responsible for coordinating the programming of these projects with the district work program office and will also be responsible for ensuring the updating of cost estimates and status codes. See seaport project programming matrix below.

Seaport Project Programming Matrix

System 11 Pgm. Nos.	Category 088794 Program Name	District Allocation Method	Non-Budgeted Federal Fund	Non-Budgeted Local Fund	Budgeted State Fund	Funding Ratios F=Federal L=Local S=State	Phase	Comments
76	Seaports	Allocated by FSTED/ FDOT	COE	LF	PORT PORB POED	50L/50S 25L/75S	*	The Florida Seaport Transportation and Economic Development Council and FDOT determines seaport projects eligible for State funding and are programmed as budgeted in the work program.
76	Strategic Port Investment Initiative Program (SPII)	Allocated by FDOT		LF	DIS,GMR, DPTO,DDR, DS, POED	50L/50S 25L/75S		COE fund code is to be used when the U.S. Corps of Engineers participates in project funding.
System 11 Pgm. Nos.	**Category 088790 Program Name**	**District Allocation Method**	**Non-Budgeted Federal Fund**	**Non-Budgeted Local Fund**	**Budgeted State Fund**	**Funding Ratios F=Federal L=Local S=State**	**Phase**	**Comments**
71	Seaports	Statutory Mandate			PORT	100S	*	$15M (annually) for the Florida Ports Financing Commission to pay debt service cost on bonds issued per Section 320.20, F.S.
System 11 Pgm. Nos.	**Category 088791 Program Name**	**District Allocation Method**	**Non-Budgeted Federal Fund**	**Non-Budgeted Local Fund**	**Budgeted State Fund**	**Funding Ratios F=Federal L=Local S=State**	**Phase**	**Comments**
77	Seaport Access	Statutory Mandate			PORT	100S	*	$10M (annually) Florida Statute passed in 97 Legislative Session for access projects to Seaports only.

System 11 Prom. Nos.	Category 088794 Program Name	District Allocation Method	Non Budgeted Federal Fund	Non Budgeted Local Fund	Budgeted State Fund	Funding Ratios F=Federal L=Local S=State	Phase	Comments
PO	Seaport Investment Bond Fund	Statutory Mandate			POED	100S	*	$10M (annually) revenue stream to pay back bond funded projects, debt service for seaports only. Generated $150M in total funds through bond issuance. Section 339.0801, F.S.
PO	Seaport Investment Bond Fund	Allocated by FDOT		LF	POED	50S/50L 75S/25L	*	In addition to the original bond funded projects,eligible projects can be funded from the remaining revenue not needed for debt service.

* See the program plan crosswalk link in the References section of this chapter for appropriate phase information.

H. TRANSIT

1. OVERVIEW

The transit program provides financial and technical assistance to transit, paratransit and ridesharing systems. Definitions and procedures for transit programs are contained in department Policies 000-725-010, 000-725-025, 000-725-050 and department Procedures 725-030-001, 725-030-002, 725-030-003, 725-030-004, 725-030-005, 725-030-008, 725-030-010, 725-030-025, 725-030-030, 725-030-035 and 725-030-040.

2. FEDERAL TRANSIT ADMINISTRATION (FTA)

To ensure all transit projects funded with FTA funds are included in the State Transportation Improvement Plan (STIP), projects in the Metropolitan Planning Organization Transportation Improvement Plan (MPO/TIP) will be programmed in the department's five-year work program whether or not a state matching share is involved. Projects listed in the department's five-year work program with a status of less than 070 (contract executed), must roll forward and appear in the new STIP submitted to FTA before they will process the grants.

In July of each year, the work program staff will provide the district transit staff a list of all FTA non-budgeted projects for that year. The transit staff will be responsible for contacting the transit agencies throughout the year to confirm when the grants have been received. The transit staff will then inform the district work program staff and the status of the project can be adjusted to 070 (Contract Executed). With this status change, the project will not roll forward. As many of these projects have multiple years programmed on each project, the status will be in place for the entire item. If multiple years exist, the status should be set to 010 after July 1st each new year and not be re-set to status 070 until the grant for that fiscal year has been received. At such time that a particular grant should have rolled forward and the status was 070 or greater, the work program staff will have to manually roll the project forward.

When federal FTA discretionary funds are awarded that are non-budgeted (do not require a state match), these funds must still be programmed in the department's five year work program to align with the MPO's TIP and provide a STIP reference when the local agency eventually files a grant application with FTA. These discretionary projects should be programmed using program 16, even

though they may not be a capital project. The FTA fund code must be used and may include LF (local funds) if the discretionary grant requires a local match.

Intercity Bus (program number TB) - Section 5311(f) of Title 49, United States Code, requires each state to spend 15 percent of its annual Section 5311 apportionment to carry out a program to develop and support intercity bus transportation unless the governor certifies that the intercity bus service needs of the state are being adequately met. One objective of the funding for intercity bus service under Section 5311, is to support the connection between rural areas and the larger regional or national system of intercity bus service. Another objective is to support services to meet the intercity travel needs of residents in rural areas. A third objective is to support the infrastructure of the intercity bus network through planning, marketing assistance, and capital investment in facilities. Intercity bus funds are programmed and managed by the central office. Eligible activities include both capital and operating assistance. There is no local funding involved in this program. All projects are programmed at a 50/50 share: 50% federal DU and 50% state DPTO (see programing matrix).

3. PROGRAMMING GUIDELINES

- Transportation System: Use system 08 – Transit.
- Work Mix: Use appropriate work mix. (See appendix D for work mix codes.)
- Phase: See the program plan crosswalk link in the References section of this chapter for appropriate phase information.
- Program Number and Fund Code: See transit programming matrix.

Section 341.051 (5)(a), F.S., limits the state's participation in local capital projects to 50% of the non-federal share of total project costs. The state's share is not to exceed the local share.

All projects must be included in a MPO/TIP prior to being programmed in the work program with the exception of the United States Code (USC) Title 49, Section 5310, (Assistance for Elderly and Persons With Disabilities) projects in non-urbanized areas, Section 5311(Public Transit Assistance Outside Urbanized Areas) projects and Section 5303 (Planning Assistance to Urbanized Areas) projects. Section 5303 projects must be included in the MPO's Unified Planning Work Program (UPWP). For Section 5310 funds awarded in the urbanized areas, the district must provide a list of awards, agency and amount, to the MPO/TPO for inclusion in the local TIP. These projects do not go through the normal TIP/STIP process because they are programmed in the central office, not the districts. This applies to all of the urbanized areas excluding the Orlando and Kissimmee UZAs.

Schedule B and any accompanying transit system allocations will be supplied to the districts showing the proper distribution for the program.

Work program items shall be entered from a work program/TransCIP Data Card form provided electronically to the district work program office by the district transit staff, which includes the following information:

- The TransCIP unique project identification number (UPIN) on the Transit Grant Recipient (WP42) screen. The UPIN will be provided by the district transit staff.
- The transit system identification code designation programmed on the project. The code designation listing can be found on the WP Code Table Menu (WP30) screen. New codes should be entered on the WP42 screen.

4. JOB ACCESS AND REVERSE COMMUTE PROGRAM (JARC)

a. Overview

The JARC program funds transit projects designed to meet the needs of low income individuals who are not effectively served by public transportation. The JARC program was authorized under SAFETEA-LU. The program is discountinued under MAP-21; however, this program will remain until all SAFETEA-LU funding is consumed.

b. Urbanized Areas Over 200,000 In Population

It is now a formula program pursuant to changes made under SAFETEA-LU. The JARC program is discontinued under MAP-21. This program will remain until all SAFETEA-LU funding is consumed. The program funds will be allocated directly from FTA to designated recipients in urbanized areas over 200,000. Districts will program JARC funds as federal non-budgeted funds.

c. Urbanized Areas Between 50,000 – 200,000 in Population and Rural Areas

JARC funds will be state administered by a competitive grant solicitation process to eligible recipients in urbanized areas between 50,000 - 200,000 in population and rural areas. Districts solicit applications either on an annual or biennial schedule. Capital projects, in the non-budgeted category, are soft match eligible.

- The department receives an allocation of JARC funds annually to administer in population areas between 50,000 and 199,999.
- These funds are sub-allocated to the districts by formula and moved to the district work program box as DU budgeted funds.
- District Offices of Freight, Logistics and Passenger Operations solicits and selects projects annually (typically by March 1st for the next fiscal year).
- Awards made in the small urban category to a small urban FTA direct recipient may be transferred to FTA for direct application by the small urban transit system.
- Requests for fund transfers to FTA on behalf of small urban transits systems will be submitted to the central Office of Freight, Logistics and Passenger Operations with the appropriate program of projects for that fiscal year. Requests for fund transfers will only be accepted and processed during the time period from the close of the application process to the beginning of the state fiscal year (October through June). FTA does not allow for fund transfers after a grant has been obligated and awarded.
- Central Office of Freight, Logistics and Passenger Operations' staff will notify the districts when approval of the transfer request is received from FTA.
- Upon FTA approval, Schedule B will be updated in July to reflect the reduction in DU funds in the amount of the FTA transfers. District Office of Freight, Logistics and Passenger Operations will notify district work program staff to reduce the budgeted DU box in the appropriate program in the amount of the FTA transfer approval and reprogram the project as FTA non-budgeted. No work program changes can or should be made prior to written approval from FTA.
- DU funds in any program cannot be transferred among districts without approval from the central Office of Freight, Logistics and Passenger Operations grant program staff. DU funds cannot be transferred between different federal programs.

- Local agencies apply directly to FTA for the funding as authorized by FTA.

Communication is essential in this process, please ensure the following personnel are copied on all correspondence related to FTA transfers: the central Office of Freight, Logistics, and Passenger Operations, grants program administrator, federal program manager, budget and work program manager, work program and budget specialist, central office work program district representative, district transit staff, and district work program staff.

d. Programming Guidelines

- Transportation System: Use System 08 – Transit.
- Work Mix: Use work mix code 8170 for capital; 8171 for operating projects.
- Phase: See the program plan crosswalk link in the References section of this chapter for appropriate phase information.
- Program Number: Use JA.
- Fund Code: See transit programming matrix.

Capital projects will be programmed as 80/20 and operating projects as 50/50 matched funds. (See the transit programming matrix.)

5. NEW FREEDOM PROGRAM

a. Overview

The new freedom program is a new program that is authorized under SAFETEA-LU. This program is discontinued under MAP-21; however, this program will remain until all SAFETEA-LU funding is consumed. The new freedom program will provide federal funding for services beyond that required by the Americans with Disabilities Act (ADA) to assist persons with disabilities.

b. Urbanized Areas Over 200,000 in Population

New freedom program funds will be allocated directly by FTA to designated recipients in urbanized areas over 200,000 in population. Districts will program federal non-budgeted funds for recipients of these new freedom funds.

c. Urbanized Areas Between 50,000 – 200,000 in Population and Rural Areas

The central office will program new freedom program funds for recipients in urbanized areas between 50,000 – 200,000 in population and rural areas as federal budgeted funds. Districts solicit applications either on an annual or biennial schedule. Capital projects, with non-budgeted funds, are soft match eligible.

- The department receives an allocation of new freedom funds annually to administer in population areas between 50,000 and 199,999.
- These funds are sub-allocated to the districts by formula and moved to the district work program box as DU budgeted funds.
- District Office of Freight, Logistics and Passenger Operations solicits and selects projects annually (typically by March 1st for the next fiscal year).

- Awards made in the small urban category to a small urban FTA direct recipient may be transferred to FTA for direct application by the small urban transit system.

- Requests for fund transfers to FTA on behalf of small urban transit systems will be submitted to central Office of Freight, Logistics and Passenger Operations with the appropriate program of projects for that fiscal year. Requests for fund transfers will only be accepted and processed during the time period from the close of the application process to the beginning of the state fiscal year (October through June). FTA does not allow for fund transfers after a grant has been obligated and awarded.

- Central Office of Freight, Logistics and Passenger Operations staff will notify the districts when approval of the transfer request is received from FTA.

- Upon FTA approval, Schedule B will be updated in July to reflect the reduction in DU funds in the amount of the FTA transfers. District Office of Freight, Logistics and Passenger Operations will notify district work program staff to reduce the budgeted DU box in the appropriate program in the amount of the FTA transfer approval and reprogram the project as FTA non-budgeted. No work program changes can or should be made prior to written approval from FTA.

- DU funds in any program cannot be transferred among districts without approval from central Office of Freight, Logistics and Passenger Operations grant program staff. DU funds cannot be transferred between different federal programs.

- Local agencies apply directly to FTA for the funding as authorized by FTA.

Communication is essential in this process, please ensure the following personnel are copied on all correspondence related to FTA transfers: central Office of Freight, Logistics, and Passenger Operations, grants program administrator, federal program manager, budget and work program managers, work program and budget specialist, central office work program district representative, district transit staff, district work program staff.

d. Programming Guidelines

- Transportation System: Use System 08 – Transit.
- Work Mix: Use 8171 for operating projects; 8170 for capital projects.
- Phase: Use 84 for operating grant projects; 94 for capital grant projects.
- Program Number: Use NF.
- Fund Code: See transit programming matrix.

Operating projects will be programmed as 50/50 and capital projects as 80/20 matched funds. (See transit programming matrix.)

6. NEW STARTS TRANSIT PROGRAM

a. Overview

A new start project is defined as a fixed-guideway rail transit system or extension, or bus rapid transit system operating primarily on a dedicated transit right-of-way. The new starts program includes the small starts program. A small starts project is a new start of no more than $250 million total cost and the maximum federal participation is $75 million.

b. WHEELS ON ROAD TAG AND TITLE FEE REVENUES

In 2015, the Florida Legislature passed SB 2514-A, amending s 320.072 F.S. increasing the distribution of revenues generated by certain motor vehicle registration transactions. Per the new legislation, "Wheels on Road" revenues will be deposited into the State Transportation Trust Fund (STTF) for use by the department. These revenues shall be used under the newly established fund code NSWR.

c. Programming Guidelines

- Transportation System: Use System 08 – Transit.
- Work Mix: Use appropriate work mix. (See Appendix D for work mix codes.)
- Phase: See the program plan crosswalk link in the References section of this chapter for appropriate phase information.
- Program Number and Fund Code: See transit programming matrix.

A funding commitment to a specific rail fixed-guideway or bus rapid transit project with dedicated right of way shall be made by letter from the Secretary to the local agency. Maximum state contribution shall typically be up to 50% of the nonfederal share of the eligible capital costs of the project. This may include project development/preliminary engineering, engineering/final design, right of way acquisition, construction, procurement of equipment, etc. However for a railroad capital improvement project involving the acquisition of rights-of-way for future transportation purposes, the department is authorized to fund up to 100% of the costs.

A typical new starts project will be funded at 50% FTA / 25% LF / 25% NSTP/NSWR. However, federal contribution may vary based on negotiation with the FTA. Other federal funds (i.e., SU) may be included in the mix. Also, other categories of state funds, such as DPTO, TRIP, etc. may also be programmed, subject to requirements of these programs.

Departmental participation in the engineering/final design, right-of-way acquisition, and construction of an individual fixed-guideway project which is not approved for federal funding shall not exceed 12.5% of the total cost of each phase.

Federal funding approval may be accomplished through at least one of the following actions:

- Federal funds from any source have been programmed for use on the project, e.g., SU, CMAQ, etc.
- The project has been authorized for funding in federal law.
- A Letter of No Prejudice or similar provision has been received from the FTA.

For a project seeking FTA new starts/small starts funding, funds may be programmed subsequent to approval from the FTA for the project to enter into project development/preliminary engineering.

A JPA may not be executed for a programmed project seeking FTA new starts/small starts funding for project development/preliminary engineering, engineering/final design, right of way or construction until the project has achieved the appropriate FTA rating, or has otherwise been approved to receive FTA funding as an "exempt" project.

State and local funds can be programmed in advance of the allocation of federal funds, with the understanding that the local agency, with concurrence from FTA, shall ensure that expenditures do not prejudice the project's eligibility to receive and use future federal funding allocations.

All projects added pursuant to this legislation must use fund code NSTP or NSWR.

d. Transit Programming Example:

The department has committed to funding half of the non-federal share of the capital costs of an urban fixed-guideway project, subject to the commitment of local funds in an amount equal to or greater than the state contribution. The FTA has rated the project "medium," and a full funding grant agreement is being negotiated for 50% federal new starts funds (FTA fund code). The total project cost, including final design, right of way acquisition, construction, and vehicle procurement is $1 billion. The project would be programmed over multiple years and the district FLP will provide the project finance schedule.

FUNDS	AMOUNT	PROGRAM NO.	ALLOC TYPE
FTA	$500,000,000	97	4
LF	$250,000,000	97	4
NSTP	$250,000,000	97	1

7. TRANSFER OF STP FUNDS TO THE FEDERAL TRANSIT ADMINISTRATION

a. Overview

Title 23 U.S.C. Section 134(k) directs that districts may elect to use MAP-21 flexible federal funds for freight, logistics and passenger operations projects. If this option is exercised, the surface transportation program (STP) funds must be converted to federal transit administration funds. The fund code is FTAT for these converted funds. Congestion mitigation (CM) funds may also be converted. These funds will be in addition to those allocated to freight, logistics and passenger operations in Schedules A and B.

MAP-21 permits surface transportation program (STP) 23 U.S.C. 133(b)(2) funds and congestion mitigation (CM)(23 U.S.C. 149) funds to be used for freight, logistics and passenger operations capital projects and transportation demand management (TDM) projects. TDM projects promote the use of alternative transportation modes such as: carpooling, walking, and alternative work hours. These projects will be programmed in the system with the appropriate program number to which the project is applicable. If the transfer is to a federally budgeted category (i.e. program 18), the central office Transit Grant Programs Administrator must be copied on the transfer request.

Project eligibility includes:

- Freight, logistics and passenger operations capital projects that are eligible for assistance under the Federal Transit Act
- Publicly owned bus terminals and facilities
- Transportation demand management projects
- Surface transportation planning programs

Title 23 U.S.C. 103(b) 6 permits national highway system (NHS) funds to be used for transit capital projects and transportation demand management facilities, strategies and programs.

Subject to project approval by the Secretary, transit projects may be directly eligible for non-transferred NHS funds (funds eligible for transfer to FTA, but are administered by FHWA) if such projects:

- Are within, or in close proximity to, an interstate highway corridor

- Can demonstrate an improvement in the level of service on a specific interstate highway link and can improve regional travel

- Helps implement the preferred alternative defined in a completed interstate master plan

- Car/van pool projects are undertaken as a part of the implementation of the preferred alternative defined in a completed interstate master plan

For freight, logistics and passenger operations projects utilizing the transfer of STP urban funds (SU) and CM funds to the FTA, the following steps will be used.

At the district's discretion, they may assign the programmed state matching funds to the transit system for which the federal funds are being allocated. These state matching funds may be used to:

- Provide match for the FTA grant within the limits allowable under Florida Statute

- Supplement the local transit provider's public transit block grant allocation in accordance with Section 341.041(8), F.S.

- Supplement other department freight, logistics and passenger operations programs supporting the local transit provider

However, CM funds are soft-matched and a transfer to FTA will not result in additional state funds. Note in the description if soft-match will be requested or if the locals will be paying for the federal match requirements.

FTA Section 5339 replaced 5309 under MAP-21 and it has three components:

- Large Urbanized Areas

FTA Section 5339 allocates funding to designated recipients of large urbanized areas to fund transit operators within the large urbanized area. Only designated 5307 recipients are allowed to apply to FTA for the 5339 funding. Any direct recipients, will receive funding through the designated recipient for this FTA program. The following should be done when programming Section 5339 funds for the large urbanized areas:

On the WP01 screen, the words "Section 5339" and the designated recipient name must be included in the description. In the item segment comments section of this (use type 1, extra description lines, not type 2, miscellaneous) any direct recipients must be listed by name and amount of funds allocated to the direct recipients. This will allow all direct recipients and funding amounts to be available to the public in the designated recipient TIP document. When the TIP download is provided to the designated recipient, the download will capture the extra description line(s).

- Small Urbanized Areas

The department is the designated recipient for 5339 funding appointed for small urbanized areas. These funds will be allocated to each district based on the percentage of small urban population in each district. The central office will provide each district the formula amount for each small urban system in their district. The district will then program each system's funds as 80% federally budgeted (DU) funds and 20% toll credit match programmed as non-budgeted local funds. These funds appear in Schedule B under program number SS.

- Rural Areas

The department is the designated recipient for 5339 funding appointed for rural areas. These funds will be allocated to each district based on the percentage of rural population in each district. The central office will provide each district the formula amount for each rural system in their district. The district will then program each system's funds as 80% federally budgeted (DU) funds and 20% toll credit match programmed as non-budgeted local funds. If the district awards a vehicle that can be purchased from the department's Transit Research Inspection Procurement Services (TRIPS) contracts, then the district may elect to have the funds remain in the central office to be processed for a TRIPS vehicle purchase. These funds appear in Schedule B under program number RB.

FTA Section 5329(e)

Moving Ahead for Progress in the 21st Century Act (MAP-21), adopted as Section 5329(e), grants FTA the authority to establish and enforce a new comprehensive framework to oversee the safety of public transportation throughout the United States. This new law includes new requirements for State Safety Oversight (SSO) programs, through which states with heavy rail, light rail, and streetcar systems must establish safety oversight for these transit systems. This law directs FTA to distribute funding to states via an established formula to support SSO work. SSO Formula Grant Program funding must be used to carry out SSO programs in accordance with MAP-21. Section 341.061(1), F.S., designates the department as the SSO agency. Funds will be used by department Public Transit Office for SSO operational and administrative expenses, including training, travel, and equipment to support activities to develop or carry out program activities in accordance with MAP-21.

b. Programming Guidelines

- Transportation System: Use System 08 – Transit.
- Work Mix: Use appropriate work mix. (See Appendix D.)
- Fund Code and Allocation Type:
  - Program appropriate STP federal fund (100% federal dollars without state match) with allocation type = 6, indicating transfer to the FTA. STP federal funds remain programmed in the year the transfer takes place, regardless of the date FTA executes the contract. The FTAT funds will need to roll forward to remain in the TIP/STIP until the actual contract execution takes place.
  - Program state match (DS\DDR) with allocation type 1, indicating payment to the local agency unless soft match is requested or if locals will be matching 100% of the match.
  - Program local match (LFF) with allocation type 4, indicating the local matching share.
  - Program amount from the FTA to the local agency as FTAT with allocation type 4.

Soft match example: Congestion management (CM) funds are soft matched. There is no PAR adjustment required to state funds for a transfer of CM funds to FTA.

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE
94	01	16	CM	$750,000	6
94	01	16	FTAT	$750,000	4

Transit Project Programming Matrix

System 08 Pgm. Nos.	Budget Category 088774 Program Name	District Allocation Method	Budgeted Federal Fund	Non-Budgeted Federal Fund	Non-Budgeted Local Fund	State Fund	Funding Ratios F=Federal L=Local S=State	Phase	Comments
13	Transit Corridor	Needs Based **			LF	DDR DPTO	50L/50S 100S	*	Administered by Districts Procedure Ref. 725-030-003
14	Service Development	Needs Based **			LF	DDR DPTO	50L/50S 100S (when projects are of Statewide significance requires CO approval)	*	Administered by Districts Procedure Ref. 725-030-005
18	Section 5311 Operating	Formula	DU		LF		50F/50L	*	Administered by Districts Procedure Ref. 725-030-004
18	Section 5311 Capital	Formula	DU		LF		80F/20L	*	Administered by Districts Procedure Ref. 725-030-004
TB	Section 5311(f) Intercity Bus Capital/Operating	Statewide	DU			DDR, DPTO	50F/50S	*	Administered by Central Office, Ref. Section 339.135(4)(a)1, F.S.
RB	Section 5339 Rural Areas - Bus & Bus Facilities	Formula	DU		LF***		80F/20L (soft match eligible)		Administered by Districts - Toll Revenue Credit Policy No. 000-725-025. Must reference Toll Revenue Credits in Project Description as match to Federal Grant. District Urban Transit Capital Program guidance.

System 08 Pgm. Nos.	Budget Category 088774 Program Name	District Allocation Method	Budgeted Federal Fund	Non-Budgeted Federal Fund	Non-Budgeted Local Fund	State Fund	Funding Ratios F=Federal L=Local S=State	Phase	Comments
25	Block Grant Capital (Work Mix 8170) Operating (Work Mix 8171)	Formula Formula		FTA FTA	LF LF	DDR DPTO DDR DPTO	50L/50S 50F/50L 50F/25L/25S 50L/50S	*	Administered by Districts - Procedure Ref. 725-030-030. Funds allocated to the recipients by formula in Section 341.052, F.S. may not be reallocated among recipients by the District. If requested by the MPO or County, the District may supplement an eligible

									provider's allocation with funds outside the Freight, Logistics & Passenger Operations Schedule "B" allocation. All Block Grant criteria would apply to this supplement.
16	Urban Capital/FTA Discretionary	Needs Based **	STP CM STP CM	FTA FTAT FTA FTAT	LF LF***	DDR DPTO	80F/10L/10S 50L/50S 50F/50L 80F/20L (Soft Match Eligible)	*	Administered by Districts - Toll Revenue Credit Policy No. 000-725-025. Must reference Toll Revenue Credits in Project Description as match to Federal Grant. District Urban Transit Capital Program guidance.
21	Commuter Assistance/TMA/TMO	Needs Based **	STP CM	FTA FTAT	LF	DPTO DPTO	50L/50S 100S-	*	Administered by Districts Procedure Ref. 725-030-008. STP & CM funds need not be converted for TMA projects. Central Office is Managing District 30
22	Park and Ride	Needs Based **	STP CM	FTA FTAT	LF	DDR DPTO	80F/10L/10S 50L/50S 100S - see proc. F/S (STP,CM)	*	Administered by Districts - Procedure Ref. 725-030-002

System 08 Pgm. Nos.	Budget Category 088774 Program Name	District Allocation Method	Budgeted Federal Fund	Non-Budgeted Federal Fund	Non-Budgeted Local Fund	State Fund	Funding Ratios F=Federal L=Local S=State	Phase	Comments
23	State Bus Fleet	Statewide				DPTO	100S	*	Administered by Central Office - Procedure Ref. 725-030-001 Central Office is Managing District 30
17	Section 5310 Capital for Elderly & Handicapped	Formula	DU		LF	DDR DPTO DS	80F/10L/10S	*	Administered by Central Office - Procedure Ref. 725-030-010
17	Operating	Formula	DU		LF		50F/50L		Administered by Central Office - Procedure Ref. 725-030-010

31	Rural Transit Administration Program RTAP	Statewide	DU				100F		Administered by Central Office - Procedure Ref. 725-030-004 Central Office is Managing District 30
15	Section 5305 (d) MPO Planning Grants	Formula	DU		LF	DDR DPTO	80F/10L/10S	*	Administered by Districts -
19	Section 5305 (e) Statewide Planning Grants	Statewide	DU			DPTO	80F/20S	*	Administered by Central Office
20	Transit Consultants/Grants	Statewide				DPTO	100S	*	Administered by Central Office
97	New Starts Program	Statewide		FTA	LF	NSTP NSWR	50F/25S/25L 50S/50L 100S	*	Administered by Central Office – Ref. Section 341.051(5)(a), F.S. & Section 341.303(3), F.S.
JA	Job Access & Reverse Commute	Formula		FTA	LF***		50F/50L 80F/20L (Soft Match Eligible)	*	Applies to urban areas with populations over 200k
JA	Job Access & Reverse Commute	Needs Based **	DU		LF	DDR DPTO	80F/20L 50F/50L		Applies to small urban areas (50-200k) & rural areas
NF	New Freedoms	Formula		FTA	LF***		50F/50L 80F/20L (Soft Match Eligible)		Applies to urban areas with populations over 200k
NF	New Freedoms	Needs Based **	DU		LF	DDR DPTO	50F/50L 80F/20L		Applies to small urban areas (50-200k) & rural areas
SS	Section 5339 Small Urban Capital	Formula	DU		LF***		80F/20L (Soft Match Eligible)		Capital funding for small urban systems. Toll Revenue Credit Policy No. 000-725-025. Must reference Toll Revenue Credits in Project Description as match to Federal Grant. District Urban Transit Capital Program guidance.
SS	Section 5339 Large Urbanized Areas	Formula		FTA	LF***		80F/20L (Soft Match Eligible)		Capital funding for large urban system. Toll Revenue Credit Policy No. 000-725-025. Must reference Toll Revenue Credits in

									Project Description as match to Federal Grant. District Urban Transit Capital Program guidance.
SO	Section 5329(e) State Safety Oversight	Formula	DU			DPTO	80F/20S		For use by Department in administering State Safety Oversight

* See the program plan crosswalk link in the References section of this chapter for appropriate phase information.
**Needs based means the districts submit project candidates to the central office and projects are funded based on program criteria.
*** Program toll credits portion as LF allocation type 4 "non-budgeted".
Note: Districts may match up to ½ of the local share if states funds are available

I. STRATEGIC INTERMODAL SYSTEM (SIS) FOR FLP

1. OVERVIEW

It is the intent of the Legislature that the SIS consists of transportation facilities that meet a strategic and essential state interest and that limited resources available for implementation of statewide and interregional transportation priorities are focused on that system.

The system shall consist of appropriate components, which include:

- Airport
- Space facilities
- Seaport
- Inland waterways
- Intermodal facilities
- Intermodal freight rail terminals
- Intermodal highway access facilities
- Rail lines
- Rail facilities
- Passenger, transit, and freight terminals
- Local public transit systems that serve as existing or planned connectors
- Urban fixed guideway transit corridors that connect multiple urbanized area counties and serve regionally significant facilities within a single economic region

For more guidance on the SIS, please see the department's Policy Planning website. The official SIS Brochure and Map (September 2011) lists the adopted facility types, criteria and thresholds. Eligibility criteria are contained in the Funding Eligibility Matrix for Capacity Projects on SIS Facilities.

In accordance with the requirements of the SIS, the department must establish compatibility between the following FLP plans in order to develop and support a comprehensive well balanced and connected statewide transportation system:

- Freight Mobility and Trade Plan, Section 334.044(33),F.S.
- Rail System Plan, Section 341.302(3), F.S.
- Statewide Aviation System Plan, Section 332.006(1), F.S.
- Intermodal Development Plan, Section 341.053(2), F.S.
- Florida Seaport Mission Plan, Section 311.09(3), F.S.
- Statewide Seaport and Waterways System Plan, Section 311.14(1), F.S.
- Spaceport Master Plan, Section 331.360(3), F.S.
- Statewide Transit Plan, Section 341.041(1), F.S.

2. PROGRAMMING GUIDELINES

See the Strategic Intermodal Systems chapter of these instructions for programming guidance.

J. IN-HOUSE PROGRAMMING – FLP

1. OVERVIEW

Program each of the following activities as a separate item segment and financial project number. Multiple projects may be used to split out specific program attributes under a single work program item segment (i.e. grants management may be split out to urban and rural). General and administrative costs should be programmed and charged to a separate item segment.

2. PROGRAMMING GUIDELINES:

In-House FLP Programming Matrix

Program	Description	Central Office Program	District Program	Fund	Program
Administration	Activities of district PT managers, transit, aviation, rail, intermodal & seaport managers, secretarial and clerical	Establish one financial project per system	Establish one financial project for **ALL** systems	D	00
Safety	Airport inspection and licensing, transit safety inspection, rail grade crossing safety, rail safety inspectors	N/A	Establish one financial project per system as applicable	D	00
Program Management	QAR's, bus fleet, TD support, operations, planning activities	Establish one financial project per system	Establish one financial project per system as applicable	D	00
Technical Assistance	Grants oversight and other related technical assistance	Establish one financial project per system	Establish one financial project per system as applicable	D	00
RTAP (Expense)	Rural transit assistance program	Establish individual item segments	N/A	DU	31

Program	Description	Central Office Program	District Program	Fund	Program
Expense – Operations	Contracts – Category 040000	Establish individual item segments	N/A	D, DU	81
Consultant Operations	Contracts – Category 100686	Establish individual item segments	N/A	D, DU	82, IS
Contracted Services	Contracts – Category 100777	Establish individual item segments	N/A	D	81

- **Transportation Systems**
  - Transit (08)
  - Aviation (09)
  - Rail (10)
  - Seaports (11)
  - Multimodal (15)
- Work Mix: Use work mix code 8099 – Public Transportation In-House Support

K. REFERENCES

Department employees can access the program plan crosswalk by using the following link:
http://webapp02.dot.state.fl.us/fmsupportapps/itemsegmentsearch/ProgramPlanCrosswalk.aspx

- Transit

Procedure 000-725-010, Major Urban Corridor Studies

Procedure 000-725-025, Use of Toll Revenue Credits for Public Transit Capital Projects

Procedure 000-725-050, Transportation Demand Management Strategies

Procedure 725-030-001, Public Transportation Vehicle Leasing

Procedure 725-030-002, Park and Ride Lot Program

Procedure 725-030-003, Transit Corridor Program

Procedure 725-030-004, Section 5311 Program

Procedure 725-030-005, Public Transit Service Development Program

Procedure 725-030-008, Commuter Assistance Program

Procedure 725-030-010, Section 5310 Program

Procedure 725-030-025, Transit Vehicle Inventory Management

Procedure 725-030-030, Public Transit Block Grant Program

Procedure 725-030-035, Public Transit Substance Abuse Management Program

Procedure 725-030-040, Section 5303 Program

- Rail

Procedure 000-725-002, South Florida Rail Corridor Grade Crossing

Procedure 000-725-003, South Florida Rail Corridor Clearance

Procedure 725-080-002, Rail Office Programs Handbook Adoption Procedure

- Aviation

Procedure 725-040-040, Aviation Program Management

Procedure 725-040-055, Loans to Airports

Procedure 725-040-060, Airport Economic Development Program

Procedure 725-040-100, Airport Master Plans

Procedure 725-040-210, New Public Airport Funding Eligibility

- Seaport

The Seaport program has no specific procedure, refer to Rule 14B-1

- Intermodal

The Intermodal program has no specific procedure because intermodal funds are expended through the transit, aviation, rail and seaport programs in accordance with relevant program procedures.

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PART III - CHAPTER 18: LOCAL AGENCY PROGRAM (LAP)

A. OVERVIEW

The Florida Department of Transportation (department) is empowered by legislative authority to contract with other local agencies to plan, develop, design, acquire right of way (R/W) and construct transportation facilities. The department reimburses these local agencies for services provided to the public. Public Law 102-240 (Intermodal Surface Transportation Efficiency Act of 1991), called for the department to expand this program to increase the number of funding categories available to local agencies. This increase of funds and categories has also increased the involvement of the Federal Highway Administration (FHWA) in the contracts between the department and local agencies. Federally funded local agency projects are administered by the department through the Local Agency Program (LAP).

LAP is the Department's primary delivery mechanism for off-system projects included in the Five-Year Adopted Work Program, as opposed to the department administering off-system projects. Off-system projects are defined as projects not located on the State Highway System. Additional information regarding department delivery of off-system projects is found in ***Chapter 12***. Local agency project administration and delivery of Federal-Aid Highway Program projects is limited to LAP. Local agencies **must** be LAP certified per the requirements set forth in the ***LAP Manual (Topic No. 525-010-300)*** before entering into a LAP agreement for project delivery.

A local agency is defined as a unit of government with less than statewide jurisdiction or any officially designated public agency or authority of such a unit of government that has the responsibility for planning, construction, operation or maintenance of, or jurisdiction over, a transportation facility. The term includes, but is not limited to, a county, an incorporated municipality, a metropolitan planning organization (MPO), an expressway or transportation authority, a road and bridge district, a special road and bridge district or a regional governmental unit. If the department determines that a local agency is qualified, the local agency will receive one of the following certification types:

- Allow general (full) administration by the local agency of all projects
- Allow limited local agency administration on a project-by-project basis

The Department is responsible for establishing project delivery roles and responsibilities with the local governments for inclusion in project agreements. The local government should be made aware that any non-participating costs (FHWA will not reimburse the Department for these costs) will be their responsibility and this wording included in the agreement. When the initial contingency pay item is established for off-system federally funded projects, it should be funded with local funds. In the rare occasion that the locals cannot contribute, then the eligible state fund for local programs (TRIP, CIGP, SCOP, SCRAP, etc) will be used for the initial contingency pay item to allow the project to commence. The use of the eligible state fund will need approval from the Office of Work Program Development on a case by case basis, prior to the programming of the state fund. The actual total amount attributable to the initial contingency will be the final non-participating costs.

B. LAP AGREEMENT VS. JOINT PARTICIPATION AGREEMENT

It is FDOT policy that a local agency must be LAP certified if it is to utilize federal funds for construction or any related phase of work required to bring a project to construction, such as project development and environmental (PD&E), preliminary engineering (PE), R/W acquisition, and/or improvements that directly facilitate and control traffic flow including traffic control systems. Construction or leading to construction is defined in 23 USC 101(a)(4).

Federally funded work undertaken by a local public agency on behalf of the department that does not meet the definition in 23 USC 101(a)(4) may continue to utilize a joint participation agreement (JPA), so long as the state ensures that purchase orders or other contracts include any clauses required by federal statutes and executive orders and their implementing regulations 2 CFR 200. Examples of these types of projects are leasing of equipment or services (such as ferry boat or water taxi), purchase of equipment (such as buses for transit purposes), contracting for research or studies by a University, procurement of a consultant to make arrangements for a conference, developing a planning study, etc. Planning studies must be procured following all federal requirements including 23 CFR 172 and 2 CFR 200; therefore, the local agency must be LAP certified to procure professional services for a planning study. The JPA must contain the required federal statutes and executive orders and their implementing regulations 2 CFR 200. An example of these provisions can be found in Form 375-040-40, Terms for Federal-aid Contracts (Appendix I).

FDOT policy holds true regardless of the type of funding on the project, whether discretionary, congressional earmark, apportioned or allocated federal funds.

Federal authorization for each phase of work must be obtained prior to commencement of work when either a LAP Agreement or a JPA is the contracting method for the work.

C. PROGRAMMING GUIDELINES

LAP

- In the Work Program Administration system use contract class 5 and phase X8 for LAP projects. If the contract class 5 is for a project phase rather than the entire project, e.g., construction but not PE and R/W, use a separate item segment to differentiate between the contract classes. In the example, construction would be contract class 5, and PE and R/W would be under a separate segment number as a contract class 1, 7, etc. The phase group will depend on the type of work (38 for PE, 58 for construction, etc.). If budget is freight, logistics and passenger operations, use phase 94. Projects programmed with a contract class 5 only represent work that will be completed by a local agency or a local agency's contractor/consultant (excluding the department) and reimbursed with federal funds. LAP projects may be split-funded, which may include state funds. LAP projects cannot be 100% state-funded. Funding must be in place to award contracts.

    - Planning - phase 18
    - PD&E - phase 28
    - PE - phase 38
    - R/W Acquisition - phase 48
    - Construction - phase 58
    - Construction, engineering and inspection (CEI) - phase 68
    - Operations – phase 88

    When programming contract class 5 funds for any phase, ensure the local agency performing the work is fully aware of project requirements associated with the phase. For example, department procedures and federal requirements must be followed in the consultant acquisition process for a PE phase or specific construction specifications, materials testing and contract administration procedures may be necessary for a construction phase. The requirements the local agencies must meet are outlined in the Local Agency Program Manual.

- In-house phases are required on all LAP projects. If an hour or more of in-house staff time is devoted to activities directly related to the project, then this time should be charged to the project on the employee's timesheet.

- From time to time, a local agency may request additional funding for reimbursement of project management activities with its in-house forces. Local agency project management is eligible for indirect costs as defined by 2 CFR 200. The work performed by the consultant or contractor should have a different sequence from the project management performed by the local agency's staff. Indirect costs also require a different sequence. For example, if the local agency is performing project management for a design phase, the consultant's design services should be coded as phase-sequence 38-01, the local agency's in-house project management charges should be coded as phase-sequence 38-02, and indirect costs should be 38-03. This logic should be applied to all local agency in-house project management activities.

JPA

- JPA's that are issued for work on behalf of the department with a local agency should use phase type X8 and contract class 2:
    - leasing of equipment or services (such as ferry boat or water taxi),
    - purchase of equipment (such as buses for transit purposes),
    - contracting for research or studies by a University,
    - procurement of a consultant to make arrangements for a conference,
    - developing a planning study

D. PHASING

The in-house phase should relate to the phase of work to be authorized with FHWA.

Although in-house plans, specifications and estimate (PS&E) reviews may normally be charged to a phase 31, in the case of the LAP these are usually done in support of fulfilling the prerequisites to obtaining a federal authorization for a phase 58 construction phase.

Similarly, while R/W certifications may normally be charged to a phase 41, in the case of the LAP the R/W certification is usually done in support of fulfilling the federal prerequisites to obtaining a federal authorization for a phase 58 construction phase.

Examples include the following:

- Phase 58 - Construction – Program phase 61 for all direct in-house activities relating to preparing the LAP checklist, ensuring federal prerequisites are met to obtain federal authorization approval, and on-going activities during the life of the project.
    - Prior to advertisement and contract execution these activities include, but are not limited to, the following:
        - ✓ PS&E reviews
        - ✓ Environmental certifications

- ✓ R/W certifications
- ✓ Other federal compliance issues
- ✓ Preparation of LAP agreement and LAP checklists

- Subsequent to contract execution these activities include, but are not limited to, the following:
  - ✓ Project level reviews of the CEI field effort
  - ✓ Meeting with local government staff
  - ✓ Invoice reviews and other billing issues
  - ✓ Scope/location issues
  - ✓ Other federal compliance issues
  - ✓ Preparation of final estimate and final acceptance documents

- Phase 48 - R/W Acquisition – Program phase 41 for all direct in-house activities relating to assisting the local government with any R/W acquisition activities the local government is certified to administer. This instruction assumes the phase for which the federal authorization will be requested is the phase 48. If R/W activities are being performed to obtain an approved federal authorization for a phase 58, then these activities should be charged to a phase 61 instead of a phase 41.

- Phase 38 - PE – If applicable, program phase 31. This instruction assumes the phase for which the federal authorization will be requested is the phase 38. If PE activities are being performed to obtain an approved federal authorization for a phase 58, then these activities should be charged to a phase 61 instead of a phase 31.

- Phase 28 - PD&E – If applicable, program phase 21.

- Phase 18 - Planning – If applicable, program phase 11. If it is more general in nature (e.g. corridor study) then it should follow the MPO chapter instructions to use a phase 14 and include in the MPO UPWP.

E. FEDERAL AUTHORIZATION

The initial federal authorization will request approval for only the in-house phase of work, including the local agency project management (indirect costs) phase of work as applicable. It should be requested immediately prior to any in-house work being charged to employee timesheets.

All direct in-house activities should be charged to the project and not to an administrative overhead item segment. To do otherwise will risk the project going financially inactive before costs can be billed for the contractual phase of work.

Local agency project management charges are reimbursed per the process identified in the LAP Manual and 2 CFR 200.

The federal authorization will be modified to add the contractual phase 58 after the local agency submits the Construction Checklist Form No. 525-010-44 to the district LAP administrator.

- The district LAP administrator must provide a notice to proceed (NTP) to advertise to the local agency upon execution of the LAP agreement.

- The local agency must advertise the project (put the contract out for bid) as soon as possible, but no later than 30 days following receipt of the NTP to advertise from the department.

- No work, including advertisement, may commence prior to the local agency receiving the NTP from the department.

F. ESTIMATING IN-HOUSE COSTS

Cost estimates should be programmed in amounts which are conservatively derived. Over-estimating the in-house costs will result in federal funds being programmed on the project which will never be expended. If the initial estimate is not sufficient it can be increased later in the life of the project via modification to the federal authorization.

G. FUNDING

The strong preference is to use federal funds for in-house phases on all LAP projects. Use of state funds is discouraged but, if necessary due to lack of federal funds, they may **only** be used on LAP projects which are **on** the State Highway System (SHS). Be reminded that state-funded in-house phases are not billed to FHWA for reimbursement, and, therefore, cannot contribute to continuing financial activity on the federal books for the project.

The federal fund for the in-house phase will generally be the same federal fund as on the contractual phase (phase 58 in most cases), although any eligible federal fund may be used.

- Local agency advance/reimbursement program (LFR) or advances from outside the five-year work program (LFRF), see the Local Funds chapter of these instructions for programming guidelines.

- When the project is off the SHS and local funds are required as part of the match for federal funds, see the Federal Aid Funds Used Off the State Highway System chapter of these instructions for programming guidelines.

(See Part IV, Federal Aid Programs, of these Instructions for authorizing LAP projects.)

H. CONTACTS

The following table lists the name and telephone number for each central office/district LAP administrator:

DISTRICT	NAME	PHONE NUMBER
Central Office	Lorraine Moyle	(850) 414-4383
1	Lisa Brinson	(863) 519-2836
2	Roosevelt Petithomme	(386) 758-3759
3	Dustin Castells	(850) 330-1227
4	Christine Fasiska	(954) 777-4480
5	Lisa Buscher	(386) 943-5452

6	Aiah Yassin	(305) 470-5485
7	Suzanne Monk	(813) 975-6115

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Local Agency Program Manual

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PART III - CHAPTER 19: LOCAL FUNDS

A. LOCAL FUNDS

1. OVERVIEW

Local funds are programmed when a portion of the funding for a project is being provided from an outside source. This source could be a city, a county, an expressway authority, etc.

Local funds may be used for all program areas, but are mandatory for some. For example, projects funded under the Transportation Regional Incentive Program and County Incentive Grant Program may be programmed with a local match; however, projects funded with federal aid off the State Highway System (SHS) require a local match. Please see individual program areas for these requirements.

Local funds should only be programmed when there is a reasonable expectation that the funds will actually be received.

a. Local Funded Agreement

A local funded agreement is an agreement with a governmental entity to provide funding for a specific project.

When local funds are programmed, initial steps will commence to obtain a local funded agreement (LFA) or a department funded agreement (DFA) with the local authority. If the project is a freight, logistics and passenger operations (FLP) project, a DFA will be required. An LFA is used when the Florida Department of Transportation (department) is contracting for the work and the local government will provide funds to be put in an escrow account to be used for project expenditures. A DFA is used when the local government is contracting for the work and the department will be providing reimbursement for project expenditures. Districts must ensure that programmed amounts for local participation are consistent with the terms of the LFA/DFA. For example, if the LFA specifies that it includes construction oversight, a portion of the funds must be programmed for construction engineering and inspection (phase 61 or 62).

Funds approval by the Office of Comptroller (OOC) must be received prior to executing the LFA.

A copy of the executed LFA will be sent to the district federal aid coordinator for all federally funded projects having local participation. Also, a copy of the executed LFA and a completed LFA Summary Sheet will be sent to the OOC, LFA Section.

If tracking of costs covered by an LFA/DFA is required, a separate financial project (sequence on an Item) must be established. For example, a local government provides funding specifically for decorative lighting and wants a separate accounting for all items billed for that lighting. The local funds can only be used to pay for the decorative lighting and must be tracked with a separate sequence number.

For contract class 1 and 7 projects, the local portion may be included in phase 52. Verify with the district Construction or Utility Office whether a separate financial project is needed. Copies of all change orders and supplemental agreements on projects with local funding will be sent to the OOC, LFA Section, with an updated Summary Sheet. All encumbrance request using local funds must be approved by the LFA Section. This approval is based on the availability of the local funds on deposit.

b. Interest on Local Funds

On projects with an executed LFA, interest earned on the funds held in escrow is disbursed in accordance with the terms of the agreement. Typically, any interest earned belongs to the local government. Certain LFAs may allow for the use of accrued interest to cover increased project costs once all other funds have been expended.

Interest may only be programmed after it has accrued on the funds held in escrow and approval has been received from the local fund accountant in the OOC. For programming purposes, the same LF fund code that was used on the project should be used to program the additional interest.

In very limited situations, the LFA may specify earned interest belongs to the department. In that event, accrued interest may be used to substitute for state funds programmed on the project. Implementation of this provision is only anticipated for major multi-year funded public private partnership projects with a substantial contribution of local funds. In this situation, the amount of interest earned on the funds held in escrow will be verified by the OOC local funds accountant on or about May 1st of each fiscal year. At that time, the amount of accrued interest may be programmed on the project and a corresponding amount of state funds released, on the phase(s) specified in the LFA. The fund code LFI will be used for this purpose. It is anticipated that the majority of such programming would occur in future years on the project. As the future year funds would be encumbered, cost transfers will need to be made from the existing state funds to the newly programmed LFI funds prior to the release of the state funds.

2. PROGRAMMING GUIDELINES

a. Fund Codes

There are several different fund codes used to program local funds depending upon how the local funds are being used, as follows:

- LF – Used to program local funds that are not used as a match for federal dollars, but are used for expenditures for items not eligible for federal funds (non-participating items), such as decorative lighting on a project that is off the SHS or for utility relocation on a non interstate project. LF should also be used to program non-budgeted (allocation type 4) local funds, which are not used as a match for federal dollars.

- LFF – Used to program local funds that are used as part of the match for federal dollars including those used to program non-budgeted (allocation type 4).

- LFP – Used to program local funds that are not used as a match for federal dollars but will be used for expenditures that are federal aid eligible (participating items), such as additional local funds above the amount required to match the federal funds.

  Note: Although a project may not be funded with federal funds, local funds that are for items that would be federal aid eligible if the project were federally funded need to be coded with the LFP fund code.

- LFR – Local funds used to advance a project in the adopted work program. Local entity will be reimbursed in the future, within the five years of the adopted work program.

- LFRF – Local funds used to advance a project not in the adopted work program. Local entity will be reimbursed in the future. This reimbursement may be either inside or outside the five years of the adopted work program, depending upon the terms of the agreement with the local entity.

- LFD – This fund code is used to identify where a utility owner has refused to pay for required utility work, if known by the department before construction has begun. See the Utility Relocation Work chapter of these instructions for further guidelines.

- LFU - This fund code is used to identify where a utility owner has refused to pay for required utility work, if discovered during the construction phase. See the Utility Relocation Work chapter of these instructions for further guidelines.

- LFI - This fund code is used to identify interest earned on local funds held in escrow for major multi-year funded projects when the accrued interest is programmed for use on the project (See Interest on Local Funds section, above). The Work Program Administration (WP20) screen will always have the overrun flag set to "N" for LFI funds.

- LRSC - Local reimbursable – Small county is used to track a limit of $200 million for the advancement of projects outside the adopted work program, separate from the limit on our existing LFRF program. Section 339.12(4)(d), Florida Statutes, specifically provides that the $200 million cap applies to counties having a population of 150,000 or fewer, as determined by the most recent official estimate (as defined by Section 186.901, F.S.)

b. Program Number

The program number used for programming the local funds is the same as that being used for the major portion of the phase. If local funds are the only funds on the phase, the program number should be that which is most appropriate for the type of work being performed. (See Appendix D of these instructions for a complete listing of current program numbers.)

c. Fund Allocation Type

The fund allocation type is used to identify whether the funds will be managed within the department's state budgeting process. (See Appendix D of these instructions for a complete listing of fund allocation types.)

- Use fund allocation type 1 if the department is letting the contract or doing the work and specific costs will accumulate on the financial project in the department's accounting system.

    - If local entity is contributing funds either as a lump sum or as a fixed percentage of the total project cost and does not need specific project cost information, a separate financial project is not needed.

    - If the LFA/DFA requires that the department account back to the local entity with specific cost information, a separate financial project number (new sequence number) must be established.

- Use fund allocation type 4 if the local entity is letting the contract or doing the work and no costs will be accumulated for the financial project in the department's accounting system.

- Example: In the following example, local funds are being provided to assist the department in funding the project. No specific project cost information is required. The department will be letting the contract.

  Note: Although the project is not funded with federal funds, the local funds are coded with the LFP fund code. If there was a need to change the DS funding to a federal fund, the local funds would be used towards federally participating items.

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
52	01	00	DS	$100,000	1	20XX
52	01	00	LFP	$20,000	1	20XX

d. Off State Highway System Projects

Programming projects with federal funds off the SHS have specific rules regarding local fund contributions toward match requirements. Systematic production accomplishment report adjustments are made to account for the local fund requirement. Please see the Federal-Aid Funds Used Off the State Highway System chapter of these instructions for programming federal aid highway funds on projects off the SHS and the requirements for programming local fund matches, as applicable.

B. LOCAL GOVERNMENT ADVANCE/REIMBURSEMENT PROGRAM

1. OVERVIEW

Section 339.12, F.S., authorizes the local government advance/reimbursement program. In this program, a local entity provides the funding for a specific project in advance of when the department would be able to fund the project. The department reimburses the local entity in the year the project was initially funded. There are two separate sub programs, as follows:

- Advances within the five-year adopted work program (LFR)
- Advances from outside the five-year adopted work program (LFRF)

2. ADVANCES WITHIN THE FIVE-YEAR ADOPTED WORK PROGRAM (LFR)

The department and a governmental entity may execute an agreement by which the governmental entity agrees to perform; or the governmental entity agrees to contribute via bond proceeds, time warrants, cash or other goods and services of value. The department may (upon approval by the district secretary and the finance and accounting assistant secretary) agree to reimburse the governmental entity for the actual cost of (up to funds provided by the government entity) the following:

- A highway project or project phase that is contained in the five-year adopted work program, and not revenue producing
- Any public transportation project contained in the five-year adopted work program
    - Interest cost incurred by the local government is not eligible for reimbursement
    - The turnpike enterprise cannot participate in this program
    - Before agreeing to advance such projects through this program, the following must be accomplished:
        - ✓ Update the project cost estimate for present day costs (PDC)
        - ✓ Certify that the PDC estimate is accurate and consistent with the PDC amount estimated in the adopted work program
        - ✓ If the original PDC estimate and updated PDC estimate vary, the adopted work program must be changed to reflect the new PDC estimate
        - ✓ Ensure that the LFA is in compliance with the financial/funding provisions of DOT Procedure 350-020-300, Locally Funded Agreement Financial Provisions and Processing; execute the local funded agreement, which is to include the new PDC estimate.

- ✓ Amend the adopted work program according to procedures set out in Section 339.135(7), F.S., to reflect all corresponding changes to the affected project within the adopted work program; a copy of the final draft of the local funded agreement must be included in the amendment package

- ✓ If the project is being advanced to the current fiscal year and the department will be letting the project/performing the work, appropriate budget must be identified or a budget amendment will be required along with the work program amendment

- Repayment schedule – The repayment schedule is to be defined in the LFA or DFA in accordance with Procedures 350-020-300, Locally Funded Agreements Financial Provisions and Processing, and 350-020-301, Financial Provisions for All Department Funded Agreements. Any exception to the repayment methods must be sent to the OOC for approval.

- If federal aid funds are used, governmental entities other than the department are prohibited from performing the project or project phases unless the entity is qualified and authorized by the Federal Highway Administration (FHWA) to perform such work. These agreements will be done via the local agency program (LAP). See the Local Agency Program chapter of these instructions for further guidelines.

- Reimbursement to the government entity must be made from funds appropriated by the Legislature.

- Reimbursement is to begin in the year the project or phase is programmed in the adopted work program as of the date of the agreement.

- Bond funds may not be used to program the reimbursement.

- FHWA requires all federal funded projects, within an urbanized area, be included in the metropolitan planning organization (MPO) transportation improvement plan.

3. PROGRAMMING GUIDELINES – ADVANCES WITHIN THE FIVE-YEAR ADOPTED WORK PROGRAM

- See the program plan crosswalk link in the references section of this chapter for the appropriate transportation system, program number, phase and fund combinations.

- Advance the project under the same program number as originally programmed. If the department is letting the project, use the same phase as originally programmed. If the local entity is letting the project, use the appropriate X8 phase.

- Use the fund code LFR for the funds provided by the local entity. Program the amount based on PDC. Do not use the LFR fund code for the reimbursement.

- Include the participant name on the Item Segment Definition (WP01) screen or Item Comments (WP33) screen in the Financial Management (FM) system.

- When the department does the work or lets the contracts:

  - Reimbursement with state funds:

    - ✓ Program LFR funds in the year to which the project/phase is advanced.

    - ✓ Program fund allocation type 1 on the LFR funds.

    - ✓ Program the same program number as in the adopted work program.

- ✓ Program a phase A8 and program number 39 for the full reimbursement amount to the local entity in the year the reimbursement to the local entity is to begin. If two phases were originally programmed in different years, the payback may be in different years. The payback must be programmed in the original year for each phase. Do not use fund code LFR to program the A8 phase. For FLP deferred reimbursement agreements, use the program number for the specific area within FLP when programming the A8 phase for reimbursement, and use DRAD (deferred reimbursement agreement – department) as the item group identifier. For more information, please refer to the FLP chapter of these instructions.

- ✓ Example:

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
52	01	05	LFR	$100,000	1	2016 (letting)
A8	01	39	DDR	$100,000	1	2019 (payback)

- Reimbursement with federal funds:

  - ✓ Program LFR funds in the year to which the project/phase is advanced.

  - ✓ Program fund allocation type 1 on the LFR funds.

  - ✓ Program the same program number as in the adopted work program.

  - ✓ Program a phase A8, fund code ACXX, program number 39, allocation type 1, for the full reimbursement amount to the local entity, in the year the reimbursement to the local entity is to begin. Do not use fund code LFR to program the A8 phase.

  - ✓ Program federal funds on the A8 phase in an amount equal to the ACXX funds, with a program number 52 and an allocation type 1.

    - Since budget is not requested for conversion (program number 52), the budget for the reimbursement will not be doubled.

    - If the reimbursement is funded with ACNP or ACBR an estimate for conversion should not be programmed.

    - Federal authorization is requested on the A8 phase. Federal aid projects must be authorized in the advanced construction mode prior to commitment.

  - ✓ Example:

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
52	01	05	LFR	$100,000	1	2016(letting)
A8	01	39	ACSU	$100,000	1	2019 (payback)
A8	01	52	SU	$100,000	1	2019 (conversion)

- When the locals do the work or let the contract*:*

  - Reimbursement with state funds:

    - ✓ Program LFR funds with an X8 phase in the year to which the project/phase is advanced. For DRA projects, use phase X4 (refer to FLP chapter of these instructions for programming guidelines). Program fund allocation type 4 on the LFR funds.

    - ✓ Program the same program number as in the adopted work program.

- ✓ Program a phase A8 and program number 39 for the full reimbursement amount to the local entity in the year the reimbursement to the local entity is to begin. If two phases were originally programmed in different years, the payback may be in different years. The payback must be programmed in the original year for each phase. Do not use fund code LFR to program the A8 phase. For FLP deferred reimbursement agreements, use the program number for the specific area within FLP when programming the A8 phase for reimbursement, and use DRAL (deferred reimbursement agreement – local) as the item group identifier. For more information, please refer to the FLP chapter of these instructions.

- ✓ Example:

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
58	01	05	LFR	$100,000	4	2016 (letting)
A8	01	39	DDR	$100,000	1	2019 (payback)

- Reimbursement with federal funds:

  - ✓ Program LFR funds in the year to which the project/phase is advanced.

  - ✓ Program fund allocation type 4 on the LFR funds.

  - ✓ Program the same program number as in the adopted work program.

  - ✓ Program a phase A8, fund code ACXX, program number 39 and allocation type 1 for the full reimbursement amount to the local entity in the year the reimbursement to the local entity is to begin. If two phases were originally programmed in different years, the payback may be in different years. The payback must be programmed in the original year for each phase. Do not use fund code LFR to program the A8 phase.

  - ✓ Program federal funds on the A8 phase in an amount equal to the ACXX funds, with a program number 52 and an allocation type 1.

    - Since budget is not requested for conversion (program number 52), the budget for the reimbursement will not be doubled.

    - If the reimbursement is funded with ACNP or ACBR an estimate for conversion should not be programmed.

    - Federal authorization is requested on the A8 phase. Federal aid projects must be authorized in the advanced construction mode prior to commitment.

  - ✓ Example:

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
58	01	05	LFR	$100,000	4	2016 (letting)
A8	01	39	ACSU	$100,000	1	2019 (payback)
A8	01	52	SU	$100,000	1	2019(conversion)

C. ADVANCES FROM OUTSIDE THE FIVE-YEAR ADOPTED WORK PROGRAM (LFRF)

In accordance with Section 339.12(4)(c), F.S., the department may (upon approval by the district secretary and the finance and accounting assistant secretary) enter into an agreement with a local

entity to advance a project or project phase not included in the five-year adopted work program. The following provisions apply:

1. FOR SPECIFIC COUNTIES WITH A POPULATION GREATER THAN 500,000:

- Effective July 1, 2009, the total amount of these type advances is limited to $250 million statewide.

- Project advancements for any inland county with a population greater than 500,000 dedicating amounts equal to $500 million or more of local government infrastructure surtax pursuant to Section 212.055(2), F.S., for improvements to the SHS which are included in the local MPO's or the department's long range transportation plans shall be excluded from the calculation of the statewide limit of project advances.

- The project must represent a high priority of the local government entity

  - Reimbursement to the government entity must be from funds appropriated by the Legislature.

  - For implementation of LFRF program, the Florida Statutes specifically define a project phase as: acquisition of right of way, construction, construction inspection and related support phases. Project development and environmental and design may not be advanced under the LFRF program.

  - Bond funds may not be used to reimburse the local government.

  - Criteria for project selection – the following criteria shall be used in the selection of projects for the LFRF program:

    - ✓ Higher priority should be placed on projects included in the strategic intermodal system (SIS) or on projects that relieve congestion on the SIS.

    - ✓ Higher priority will be given to projects, which may be reimbursed at an earlier date.

    - ✓ Candidate projects must be included in the MPO's long-range transportation plan and the local governments' comprehensive plans.

    - ✓ Projects using statewide bridge funds should be to correct a structural deficiency.

    - ✓ Emphasis should be on projects that increase capacity.

- The Work Program Development and Operations Office is responsible for coordinating and controlling fund allocations for this program. Funds will be set a side at a statewide basis only and tracked by the Work Program Development and Operations Office to ensure future year payback is programmed according to the approved LFA and payback schedule. For the balance remaining in this program contact the Work Program Development and Operations Office.

- Department policy for tracking the $250 million cap dictates that when a repayment comes into the adopted work program it will be deducted from the cap, freeing up LFRF funds which may be used to advance another project.

- If a balance exists, candidate projects should be submitted to the manager of the Work Program Development and Operations Office. A justification to advance the project, the basis for project selection, and the payback schedule (by year) must be included. The projects will be consolidated and submitted to the director of the Office of Work Program and Budget for review and approval.

- When approved, the districts will be requested to add the projects in the tentative work program during the development cycle. The districts must also program the repayment.

  Note: the repayment must be programmed even if it is outside the new five year time period.

2. PROGRAMMING GUIDELINES – ADVANCES FROM OUTSIDE THE FIVE-YEAR ADOPTED WORK PROGRAM

- See the program plan crosswalk link in the references section of this chapter for the appropriate transportation system, program number, phase and fund combinations.

- Advance the project under the same program number as originally programmed. If the department is letting the project, use the same phase as originally programmed. If the local entity is letting the project, use the appropriate X8 phase.

- Use the fund code LFRF for the funds provided by the local entity. Program the amount based on present day costs (PDC). Do not use the LFRF fund code for the reimbursement.

- Include the participant name on the Item Segment Definition (WP01) screen or Item Comments (WP33) screen in the FM system.

- When the department does the work or lets the contracts:

  - Reimbursement with state funds:

    - ✓ Program LFRF funds in the year to which the project/phase is advanced.

    - ✓ Program fund allocation type 1 on the LFRF funds.

    - ✓ Program the appropriate program number for the type of project being advanced.

    - ✓ Program a phase A8 and program number 39 for the full reimbursement amount to the local entity in the year the reimbursement to the local entity is to begin. If two phases were originally programmed in different years, the payback may be in different years. The payback must be programmed in the original year for each phase. Do not use fund code LFRF to program the A8 phase. For FLP Deferred Reimbursement Agreements, use the program number for the specific area within FLP when programming the A8 phase for reimbursement, and use DRA as the item group identifier. For more information, please refer to the FLP chapter of these instructions.

    - ✓ Example:

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
52	01	05	LFRF	$100,000	1	2016 (letting)
A8	01	39	DDR	$100,000	1	2022 (payback)

  - Reimbursement with federal funds:

    - ✓ Program LFRF funds in the year to which the project/phase is advanced.

    - ✓ Program fund allocation type 1 on the LFRF funds.

    - ✓ Program the appropriate program number for the type of project being advanced.

    - ✓ Program a phase A8, fund code ACXX, program number 39 and allocation type 1 for the full reimbursement amount to the local entity in the year the reimbursement to the local

entity is to begin. If two phases were originally programmed in different years, the payback may be in different years. The payback must be programmed in the original year for each phase. Do not use fund code LFRF to program the A8 phase.

- ✓ Program federal funds on the A8 phase in an amount equal to the ACXX funds, with a program number 52 and an allocation type 1.
  - Since budget is not requested for conversion (program number 52), the budget for the reimbursement will not be doubled.
  - If the reimbursement is funded with ACNP or ACBR an estimate for conversion should not be programmed.
  - Federal authorization is requested on the A8 phase. Federal aid projects must be authorized in the advanced construction mode prior to commitment.
- ✓ Example:

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
52	01	05	LFRF	$100,000	1	2016 (letting)
A8	01	39	DDR	$100,000	1	2022 (payback)
A8	01	52	SU	$100,000	1	2022 (conversion)

- When the locals do the work or let the contract:
  - Reimbursement with state funds:
    - ✓ Program LFRF funds with an X8 phase in the year to which the project/phase is advanced.
    - ✓ Program fund allocation type 4 on the LFRF funds.
    - ✓ Program the appropriate program number for the type of project being advanced.
    - ✓ Program a phase A8 and program number 39 for the full reimbursement amount to the local entity in the year the reimbursement to the local entity is to begin. If two phases were originally programmed in different years, the payback may be in different years. The payback must be programmed in the original year for each phase. Do not use fund code LFRF to program the A8 phase.
    - ✓ Example:

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
58	01	05	LFRF	$100,000	4	2016 (letting)
A8	01	39	DDR	$100,000	1	2022 (payback)

  - Reimbursement with federal funds:
    - ✓ Program LFRF funds with an X8 phase in the year to which the project/phase is advanced.
    - ✓ Program fund allocation type 4 on the LFRF funds.
    - ✓ Program the appropriate program number for the type of project being advanced.

- ✓ Program a phase A8, fund code ACXX, program number 39 and allocation type 1 for the full reimbursement amount to the local entity in the year the reimbursement to the local entity is to begin. If two phases were originally programmed in different years, the payback may be in different years. The payback must be programmed in the original year for each phase.

- ✓ Program federal funds on the A8 phase in an amount equal to the ACXX funds, with a program number 52 and an allocation type 1.

  - Since budget is not requested for conversion (program number 52), the budget for the reimbursement will not be doubled.

  - If the reimbursement is funded with ACNP or ACBR an estimate for conversion should not be programmed.

  - Federal authorization is requested on the A8 phase. Federal aid projects must be authorized in the advanced construction mode prior to commitment.

- ✓ Example:

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
58	01	05	LFRF	$100,000	4	2016 (letting)
A8	01	39	ACSU	$100,000	1	2022 (payback)
A8	01	52	SU	$100,000	1	2022 (conversion)

D. ADVANCES FROM OUTSIDE THE FIVE-YEAR ADOPTED WORK PROGRAM (LRSC)

In accordance with Section 339.12(4)(c), F.S., the department may (upon approval by the district secretary and the finance and accounting assistant secretary) enter into an agreement with a local entity to advance a project or project phase not included in the five-year adopted work program. The following provisions apply:

1. FOR SPECIFIC COUNTIES WITH A POPULATION OF 150,000 OR FEWER:

- Effective July 1, 2009, the total amount of these type advances is limited to $200 million statewide.

- Counties having a population of 150,000 or fewer as determined by the most recent official estimate under Section 186.901, F.S.

- Project or project phases mean right of way acquisition, construction and construction inspection, as well as related support phases.

- The project must represent a high priority of the local government and must be included in the local government's adopted comprehensive plan.

2. PROGRAMMING GUIDELINES – ADVANCES FROM OUTSIDE THE FIVE-YEAR ADOPTED WORK PROGRAM

- See the program plan crosswalk link in the references section of this chapter for the appropriate transportation system, program number, phase and fund combinations.

- Advance the project under the same program number as originally programmed. If the department is letting the project, use the same phase as originally programmed. If the local entity is letting the project, use the appropriate X8 phase.

- Use the fund code LRSC for the funds provided by the local entity. Program the amount based on present day costs (PDC). Do not use the LRSC fund code for the reimbursement.

- Include the participant name on the Item Segment Definition (WP01) screen or Item Comments (WP33) screen in the FM system.

E. LFR/LFRF REIMBURSEMENT SCHEDULE

- If the project is $2M or less or federal funded (except AC funded) – the reimbursement will be made in a lump sum in the year the project was originally scheduled in the work program.

- If the project is $2M or less or federal funded (except AC funded) programmed over a multiple-year period – an annual amount equal to the original amount programmed will be reimbursed per year for the same number of years as the phase A8 is programmed. For example, if the reimbursement is programmed in fiscal year 2016 for $500,000 and fiscal year 2017 for $500,000, an annual payment of $500,000 will be made in fiscal year 2016 and in fiscal year 2017.

- If a resurfacing project is state funded and over $2M – payments will be made in six equal quarterly payments beginning in the year the project was programmed. For example, if a project was originally programmed in fiscal year 2018 for $5M and advanced to fiscal year 2016, reimbursement would begin July 2017 and cover six quarterly payments of $834,000 ending in October 2018.

- If a project is state funded and over $2M – payments will be made in ten equal quarterly payments beginning in the year the project was programmed. For example, if a project was originally programmed in fiscal year 2018 for $5M and advanced to fiscal year 2016, reimbursement would begin July 2017 and cover 10 quarterly payments of $500,000 ending in October 2019.

- AC funded projects will be reimbursed in the same manner as state funded projects.

- Earmarks will be reimbursed on a case by case basis as determined by the department's comptroller.

Any variation from the above options must be approved by the comptroller.

F. PROPORTIONATE FAIR SHARE AGREEMENTS

The growth management legislation passed in 2005 requires transportation concurrency before a local government may issue a development order. If there is an existing construction project in the first three years of the adopted work program on the corridor that will provide additional capacity necessary for transportation concurrency, the concurrency requirement is deemed as having been met and the local government may issue the development order.

The alternative to meeting the transportation concurrency requirement through projects in the first three years of the adopted work program is for the developer to enter into a proportionate fair share agreement with the local government. In such an agreement, the developer agrees to fund all or a portion of a future roadway project to mitigate traffic impacts. If a roadway which required concurrency mitigation is on the SIS, the department must also be a party to the agreement. In basic terms, the local government

negotiates with the developer for dollars to offset the impact of the development on the transportation corridor. Agreements are only to be executed for projects that can provide the required transportation concurrency (be under construction) within 10 years of the execution of the proportionate fair share agreement. By signing an agreement, the department is not guaranteeing the project will be under construction within 10 years, but is agreeing with the local government that sufficient funding is "reasonably anticipated."

Once the agreement is executed and the dollars have been paid to the local government, the development order can be approved. For those projects that are on the SIS, the department will receive the funds made available pursuant to the agreement. For other projects off the SIS but on the SHS, the department may also receive the funds for use towards a future project, and although not required by law, should be involved in the agreement. All proportionate share agreements are subject to a feasibility test by the Department of Economic Opportunity.

Under very limited circumstances, a letter of credit may be accepted at the time the proportionate fair share agreement is executed, with the funding to be provided at the time the project will move forward. This is not the preferred method and requires the approval of the department's comptroller prior to execution of the agreement.

Once an agreement is executed and funds are received by the department, a copy of the executed agreement and the check must be sent with a transmittal memorandum to the OOC General Accounting Office, MS 42B, to the attention of Jason Adank, Deputy Comptroller. The OOC will prepare and execute an escrow agreement with the Department of Financial Services whereby the funds will be held in the state treasury until they are to be used on a project. The OOC will provide a quarterly report for all funds held in escrow pursuant to proportionate fair share agreements. The transmittal memorandum needs to include a reference to the item number under which the funds are being programmed in the work program. Once the project is ready to move forward, the funds are released from the escrow account. At that time, any interest earned on the funds will be added to the amount programmed on the project.

The agreements will specifically state the corridor and limits that are being impacted and the capacity project that will provide the necessary concurrency, e.g. four laning of SR XYZ between Main Street and Third Avenue. There is no restriction in which phase(s) the funds can be used, but the funds should not be programmed for in-house costs. If for some reason the identified project could not move forward, e.g. due to environmental issues, the funds could be used on a project on another corridor if that project will reduce the congestion on the corridor identified in the proportionate fair share agreement. Questions on programming proportionate fair share agreements should be directed to the Work Program Development and Operations Office. Questions on all other issues related to proportionate fair share agreements should be directed to the Office of Policy Planning.

For programming purposes, the following guidance is provided:

- Use fund code LFP for programming funds received pursuant to a proportionate fair share agreement.

- If there is a project in year four or five of the adopted work program, the funds received pursuant to the proportionate fair share agreement may be substituted for or added to the existing funding.

- If the project is on the SIS and has been funded in the Ten-Year SIS plan, the funds received pursuant to the proportionate fair share agreement may be substituted for or added to the existing funding.

- If no project exists in the adopted work program or the Ten-Year SIS Plan, the funds shall be programmed in a reserve item (box) in year 10 of the work program. A specific reserve item will be established for each corridor identified in a proportionate fair share agreement. If more than one proportionate fair share agreement is executed for the same corridor, the funds may be programmed on the same item number. During the next gaming cycle, all proportionate fair share agreements will be reviewed and the projects considered for programming. Again, a proportionate fair share

agreement should not be executed unless it is anticipated that the project referenced in the agreement can be under construction within 10 years from the date of execution of the agreement.

- If no specific phase has been identified, the funds should be programmed with phase 52, allocation type 1 and fund code LFP using the appropriate transportation system. The phase may be changed as the project develops and a specific use for the funds is identified, as part of the normal work program processes.

- For programming purposes, letters of credit are treated as if the funds have been received, using the fund code LFP.

- Use item group identifier PFS for all projects programmed with funds received pursuant to a proportionate fair share agreement.

For programming after gaming is closed, the funds must be transmitted to the OOC whenever funds are received pursuant to a proportionate fair share agreement. If the funds received are to be programmed on an existing project in the adopted work program, the project can be amended to add the additional funds. If the funds are for a future project, the adopted work program would be amended to add a new reserve item, since the addition of a reserve item does not require a work program amendment. Once the project is fully identified and funded, the project would be added to the work program through the normal work program development cycle. Funds received would not be programmed in the current fiscal year.

G. REFERENCES

Procedure 350-020-200, Contract Funds Approval

Procedure 350-020-300, Locally Funded Agreements Financial Provisions and Processing

Procedure 350-020-301, Financial Provisions for All Department Funded Agreements

FDOT employees can access the program plan crosswalk by using the following link:
http://webapp02.dot.state.fl.us/fmsupportapps/itemsegmentsearch/ProgramPlanCrosswalk.aspx

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PART III - CHAPTER 26: PROJECT COSTING

A. OVERVIEW

Project managers are responsible for reporting the actual financial activity on a project as it compares to the estimated amount. Project costing is used to show the total costs of a project as well as the use of budget and funds in the Work Program Administration (WPA) system, so the Florida Department of Transportation (department) knows the financial status of its projects at any point in time. In addition, certain funds are reimbursable by other agencies and organizations, so accurate project costing is imperative for seeking reimbursement. The annual results of the department's project costing are also used as the statistical basis for future allocations of the department's indirect costs within the indirect cost allocation plan.

B. INDIRECT PROJECTS

1. DIRECT VERSUS INDIRECT PROJECTS

Definitions of direct and indirect projects are provided below:

- **Direct Project** - Direct jobs are identifiable as separate and quantifiable units of work that directly contribute to the accomplishment of a legislatively authorized specific product or program of the department. Examples include: preparation of design plans, supervision of consultants, right of way (R/W) acquisition, construction engineering supervision, traffic operations, routine maintenance, planning, MPO coordination, etc.

- **Indirect Project** - Indirect jobs are units of work which indirectly contribute to and support direct jobs. The costs collected into indirect jobs are re-distributed to direct jobs through an approved methodology. General administrative costs, such as personnel management, purchasing, accounting services, etc., are accumulated under indirect projects.

Programming of in-house resources may be directly or indirectly related to a specific work product of the department. In-house phases will be programmed for each of the department's direct projects to address oversight responsibilities. Employees who perform this role should be charging the majority of their time to the in-house phase for direct projects identified in the adopted work program. However, these units will have indirect costs related to personnel leave, training and position duties not directly supporting work program projects. In these instances, employees should charge to the indirect project approved for that specific purpose.

2. PRIMARY INDIRECT PROJECTS

Primary indirect projects have been established in each district/turnpike enterprise and central office and should be programmed to collect costs that are not directly related to any other direct or indirect specific project. The primary indirect cost projects are listed below:

Central Offices	190970 1 A1 01
District 1	201610 1 A1 02
District 2	213940 1 A1 02
District 3	223175 1 A1 02
District 4	232917 1 A1 03

District 5	243376 1 A1 02
District 6	252058 1 A1 02
District 7	259104 1 A1 02
Turnpike Enterprise	190970 1 A1 08

3. ESTABLISHING ADDITIONAL INDIRECT PROJECTS

Indirect projects are established to collect or isolate a group of indirect costs from any organizational unit to support management and administrative needs not involving direct projects. Indirect financial projects can be programmed when needed, allowing managers to capture costs for a wide range of activities without setting new accounting codes.

Examples include employee time and cost of travel, work program development, public involvement activities, budget preparation, process improvement team's effort, or other specific internal activities. District work program managers should make known to district managers this capability exists. Project managers should ensure employees record their time and effort to capture the desired results.

All cost centers will have some level of indirect costs. The targets in Schedule B allow for this. Organizationally, the majority of cost centers in executive leadership (administration) in central office, districts and turnpike enterprise will routinely charge to the primary indirect project.

The program plan crosswalk link cited in the references section of this chapter identifies the relationships between phase group and phase type program components. Currently, in-house direct programs (cost centers) are cross-walked to phases for direct costs, e.g., preliminary engineering to phase 31. The only indirect phase allowable is A1 cross-walking to administration. However, when cost centers other than administration need to charge to indirect, phase A1 should be used. Please note the type of cost center does not always determine the project or phase.

4. PROGRAMMING GUIDELINES

Program indirect projects as follows:

- Transportation system: 13 (non-system specific)
- Fund code: D
- Phase: A1
- Program number: 00

5. X9 PHASES

Each product and in-house work program phase will have a corresponding X9 phase. The work program fund used on these X9 phases will be DIOH corresponding to state funds, DIOH with distribution area OH corresponding to federal funds and PKOH corresponding to turnpike funds. If the direct phase is funded with DSBX, TOXX, TMXX, PKM1, or PKYO, the fund used on the X9 phase will be the same as fund used on the direct phase. There are exceptions to fund and rate allocations for certain DSBX programmed projects. Contact the Project Cost Section in the Financial Management Office for these exceptions.

The X9 phase will be generated for each fiscal year in which the corresponding contract and in-house phase is programmed. The agency program number will be 00. The generation and maintenance of the X9 phases is handled by an automated update to the work program. No specific programming is required.

In-house amounts programmed by districts/turnpike enterprise contain only direct charges. All indirect costs redistributed to a project will be generated on the appropriate X9 phase.

Indirect costs will be calculated on the basis of consultant, grants and construction amounts and in-house total direct costs.

C. DISTRICTWIDE AND GENERAL CONSULTANT PROJECTS

1. OVERVIEW

Districtwide and general consultant (GC) projects, while not site specific, must be definitive as to purpose and scope to be eligible for the related program. Districtwide programming should be limited. **It is not appropriate programming to refer to these projects in descriptions as contingency or target boxes. Direct districtwide projects accept charges, boxes do not.** Districtwide and GC projects will also have indirect costs allocated to them. Programming of direct districtwide jobs to accept charges may be appropriate where:

- The functional project does not divert charges from overhead that legitimately should be allocated to other production jobs, or

- Programming of specific individual jobs is impractical, e.g. traffic signals in arterial traffic operations, plans review, permitting work performed by traffic operations or safety accident analysis/safety improvements. Programming or charging individual activities would be excessive and not cost beneficial. While not site specific, neither are they indirect because the results are considered a product of the department.

Note: The use of districtwide programming reduces the ability to report on the specific location of some project expenditures (i.e. fair share report). Do not use districtwide where individual projects could be used.

2. WORK PROGRAM VERSUS OPERATING BUDGET

A significant portion of the amounts programmed for districtwide and general consultants are used as an extension of department staff in order to ensure required expertise and adequate resources are available to deliver planned transportation projects/services. When consultants are performing work related to specific projects or corridors, it is appropriate to pay for these costs with work program budget (08XXXX budget category). An example is the completion of a survey that is provided to in-house department staff to specifically support the design of a project. If the consultants are doing non-project specific work, these costs must be covered using operating consultant budget (budget category 100686).

Provided below are examples of activities/work performed under the districtwide (includes statewide) or GC contracts and the type of budget that should be used to cover these expenses. The majority of information technology (IT) applications (Geographic Information System (GIS), application development, scheduling, databases, websites, etc.), not including the use of existing applications, and administrative activities (support, training, preparation of reports, studies of trends not related specifically to a project, etc.) should be encumbered and paid for with operating consultant budget.

a. Districtwide/GC Activities - Work Program Budget

- Project specific planning or engineering consultants

- Special R/W and construction cost estimates for corridors that are not yet viable projects with financial project numbers (FPNs).
- Various department studies for non-FPN specific issues including safety and hazard studies, drainage studies, planning studies, etc.
- R/W property acquisition/relocation
- R/W property management/project delivery
- Various small general assignments for tasks not associated with FPN's including crash summaries, safety public involvement, bicycle safety studies, guardrail assessments, drainage structure repairs, development of shell copes, maintenance studies, etc.
- Activities and resources related to the identification, definition, selection, analysis, reporting, development and implementation of transportation facilities/service projects for all modes of transportation
- Turnpike studies for specific projects
- Minor design ($200,000 or less)
- Mapping and surveying
- Geotechnical
- Materials verification
- Architecture design
- Bridge inspection and design
- Planning studies/reviews – developmental regional impacts (DRIs), level of service (LOS) analysis and planned unit development (PUD) review.
- Planning studies/reviews - modal development/evaluation, including, but not limited to, the following:
    - Aviation, rail, seaport, transit, space master plans
    - Aviation, rail, seaport, transit system plans
    - Transit alternative studies
    - System maps
    - Specialized studies
- Design traffic
- Operational analysis
- Access management
- Efficient transportation decision making (ETDM) on existing and potential future project assessments

- Traffic operations – signal retiming, safety/operational studies
- National pollutant discharge elimination systems (NPDES) evaluation, inspection, design
- Project development and environmental (PD&E) assessments, drainage investigations
- Value engineering studies.
- Specification packages
- Aerial photography
- Architectural, electrical, civil and mechanical engineering support
- Minor architectural design ($100,000 or less)
- Emergency management planning, continuity of operations for transportation facilities (example: contraflow)
- General coordination with various agencies on non-specific project issues including: department policy standards for all modes of transportation, Americans with Disabilities Act, permit applications, utility liaison activities, etc.
- Request for proposal development
- Roadway characteristics inventory (RCI) data collection
- Statistics and data support for transportation projects
- Websites for specific projects
- Public information activities for specific projects
- Rail, transit, seaport, intermodal and aviation project support
- Project management/scheduling activities
- Automated Turnpike Toll Systems (Sunpass)

Note: Equipment purchased that is not used exclusively for this purpose should be funded with operating budget.

- Intelligent Transportation Systems (ITS) program, including, but not limited to, the following:
    - Replacement of aging equipment, both field and traffic management centers (TMCs)
    - Software needed to operate TMCs

    Note: Equipment purchased that is not used exclusively for this purpose should be funded with operating budget.

    - ITS design work
    - Construction engineering inspection (CEI) work to support the deployment of ITS
    - Power needs for field devices

b. Districtwide/GC Activities - Operating Budget

- Information technology (IT) applications, systems development and testing, including, but not limited to, the following:
    - RCI data systems development
    - Production management/scheduling systems application development
    - Website development (non-project specific; example: office websites)
    - Web Focus Managed Reporting Environment (MRE)
    - Geographical Information System (GIS) development
    - Application development
    - Maintenance service agreements.
- Various annual reports (example: annual turnpike report)
- Development of Emergency Management continuity of operation plans (COOP) for department personnel and facilities
- Electronic Document Management System (EDMS) assistance
- R/W property management/sale and leasing
- General public information activities (non-project specific)
- Non-project specific program management, coordination, quality assistance
- Contractual support services – includes writing grants, correspondence control, maintenance of files, etc.
- Management/administration services
- Correspondence control support, maintenance of files
- Non-specific project administrative activities
- Training department staff on an as needed basis
- Preparation/printing of newsletters (non-project specific)
- Intelligent Transportation Systems (ITS) program maintenance and facilities, including, but not limited to, the following:
    - Power needs for TMCs
    - Janitorial services for TMCs
    - TMC grounds upkeep (mowing and weed control)
    - Stand alone service agreements

- TMC building maintenance
- Security
- Phone service
- Water and sewer

3. PROJECT COST REDISTRIBUTION

Districtwide and general consultant contracts (both existing and new contracts) utilizing funds from fiscal year 2009 forward should adhere to the requirements of Procedure 360-050-005, Project Cost Reporting. A project cost redistribution (PCR) computer application has been established for purposes of redistributing districtwide and general consultant costs to component projects (the specific project for which the expenditures were incurred). Redistribution of expenditures through the PCR application will occur after services are performed by the consultant at the time of invoicing. The consultant will be responsible for submitting a spreadsheet or PCR file to the department with every invoice. The redistribution file will be an electronic file which will provide for charges for minor or sub tasks made directly to the districtwide or GC contract that will be redistributed to the various projects. **The redistribution will be made through an automated process whereby the estimate and commitment on the districtwide or GC contract will be reduced and the estimate and commitment on individual projects will be added/increased.** Phases 2C (PD&E), 3C (design), and 6C (CEI) will automatically be established on the individual projects to which the charges are being reallocated. **Direct programming to a phase XC is not permitted, since these phases are strictly to record the redistribution of charges from the districtwide or GC contract.** It is anticipated that R/W services and all planning contracts will not require submittal through the PCR computer application. R/W and planning contracts will not be flagged for PCR redistribution, not for existing or future contracts.

Primary work for PD&E, design or CEI should not be charged to a districtwide or GC project. Whenever possible, an attempt should be made to charge PD&E, design, or CEI work to the project specific number. However, it is recognized that some accommodations will need to be made for current business practices. Only costs for minor or sub tasks on districtwide/GC contracts related to PD&E, design or CEI may be reallocated to a specific individual project. At the time that PD&E or design activities are initially begun on an individual project, if the cumulative costs of minor or sub tasks for a specific individual project are anticipated to exceed $500,000, and no primary PD&E or design phase exists in the adopted work program, a work program amendment must be processed to add the appropriate X2 phase, and the activities must be charged to the specific X2 phase. If the cumulative costs of minor or sub tasks reallocated to a 2C or 3C phase on an ongoing individual project are anticipated to exceed $500,000, and no primary PD&E or design phase exists in the adopted work program, a work program amendment must be processed to add the appropriate 2C or 3C phase.

4. PROGRAMMING GUIDELINES

Districtwide and GC projects must carry enough descriptive definition to disclose their purpose. Do not use merely "districtwide."

- Contract class: Districtwide and GC projects should not be programmed as a contract class 8, box item. All other contract classes may be used, as applicable.
- Fund use: Generally, no local funds may be programmed on districtwide or GC projects. Federal funds may be programmed when specifically approved for districtwide purposes and are reimbursable from the Federal Highway Administration. Federal funds may not be used for GC contracts. DS funds may be programmed, except for planning, which will use D or HP funds.

- Transportation system: turnpike enterprise must use transportation system 02 for all districtwide projects. Other districts must use transportation system 13 for all districtwide projects.

- Phase and program number: Consultant activities (districtwide/GC) identified to be budgeted in an operating category, should be programmed with an applicable phase (12, 22, 32, 4B, 42, 62, 72 or 82) using program number IS. Districtwide/GC projects identified as work program, should be programmed as phase 12, 22, 32, 4B, 42, 62, or 72 and program number 00. Use phase 82, program number 08 for traffic operations/engineering consultants. Operating budget and work program budget amounts should be programmed on different financial project sequences if programmed on the same item segment.

Example: consultant (districtwide/GC) project funded with operating budget

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE
32	01	IS	DS	$100,000	1

Example: consultant (districtwide/GC) project funded with work program budget

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE
32	01	00	DS	$100,000	1

D. REFERENCES

Procedure 360-050-005, Project Cost Reporting Procedure

FDOT employees can access the program plan crosswalk by using the following link:

http://webapp02.dot.state.fl.us/fmsupportapps/itemsegmentsearch/ProgramPlanCrosswalk.aspx

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PART III - CHAPTER 28: RESURFACING

A. OVERVIEW

The resurfacing program deals with improvements to the structural condition of existing pavements on the State Highway System (SHS), including the interstate and turnpike enterprise. This program provides for pavement resurfacing, rehabilitation, minor reconstruction, and pavement milling and recycling. Such projects are intended to preserve the structural integrity of highway pavements. Exceptions and variances to roadway design standards should be made where appropriate for the facility and when in the best interest of the public.

Major construction or reconstruction projects, such as adding lanes and bridge replacements, are not included in the resurfacing program. Resurfacing work incidental to these jobs, such as when adding lanes to a roadway, is to be programmed as part of the intrastate or other arterial construction programs.

The objective for this program is to ensure that 80% of the pavement on the SHS meets Florida Department of Transportation (department) standards, which is required by Section 334.046, Florida Statutes. Lane mile allocations are developed for this program to ensure this statute is met.

1. RESPONSIBILITIES FOR THE RESURFACING PROGRAM

- The chief engineer will have specific authority for the identification and prioritization of projects for the interstate resurfacing program. The interstate resurfacing program shall be coordinated with the 10-year Strategic Intermodal System (SIS) Plan.

- The statewide programs manager will be responsible for programming construction and support phases for the interstate program. Projects will be developed by the districts.

- The district secretaries and the executive director of the turnpike enterprise will have specific authority for the project development, prioritization and programming for the non-interstate highways under their jurisdiction. Resurfacing projects need to be coordinated with the 10-year SIS plan and other capacity improvement projects on the SHS to ensure new pavement is not destroyed by construction of future capacity improvements in the near term. Access management improvements (turn lane modifications, closure of median openings and driveway consolidations) should be included in the resurfacing project if funding is available. Each district/turnpike enterprise maintenance engineer should be involved in establishing priorities of resurfacing projects.

- The district/turnpike enterprise directors of transportation operations will ensure that preliminary pavement condition survey results are reviewed by appropriate personnel and that any disagreements with the results are properly directed to the Materials Office in a timely manner and prior to the final report being issued.

- The district/turnpike enterprise directors of transportation development will be responsible for achieving annual district and turnpike enterprise pavement condition allocations.

2. PAVEMENT CONDITION ALLOCATIONS

Each district will typically meet its pavement condition target by programming resurfacing projects. Projects are established in accordance with the criteria of safety (friction, rutting, and/or raveling), preservation of the system (cracking or structural deficiency), ride (roughness, measured by the laser profiler), or other, as needed to maintain the integrity of the system. Lane mile allocations are developed annually as a tool to assist districts in meeting their pavement condition allocations. Lane mile allocations were developed for fiscal year 2016 through fiscal year 2021 as follows:

- Statewide arterial lane mile allocations are based on a series of factors:
    - FY 2016 4.00% of the estimated system size
    - FY 2017 3.00% of the estimated system size
    - FY 2018 3.00% of the estimated system size
    - FY 2019 3.00% of the estimated system size
    - FY 2020 3.00% of the estimated system size
    - FY 2021 3.00% of the estimated system size
- District arterial lane mile allocations are based on:
    - Fiscal year 2019 - fiscal year 2021 ratio of lane miles in each district predicted to be deficient by Florida Analysis System for Targets (FAST) to total lane miles statewide predicted to be deficient.
- District pavement condition allocations shall be met annually for all years of the work program. For pavements that are in good structural condition but deficient due to ride only, caused by things like manhole and utility valves in the wheel path and utility tie-in patches, the district design engineer may decide to only fix the ride deficiency, meet all American with Disabilities Act (ADA) requirements and not resurface the entire roadway segment. In this situation, the project should include the beginning and ending mile posts that were determined deficient on the pavement condition survey (PCS) and should use work mix 0015 (resurfacing – ride only).
    - The high priority placed on preservation of existing assets prior to expansion of the system is an important foundation expressed in Florida's transportation plan and in Florida Statutes. Preservation of this investment requires periodic resurfacing. Each year the department evaluates the condition of pavements on the State Highway System and projects future conditions. During this process the department requires each district to resurface a certain number of lane miles and sets aside funds for this purpose.
    - Four fund codes (DS, DDR, SA, NHRE) have been set aside in Schedule A, however any eligible fund code can be used to meet the lane mile requirements. The department retains the primary role in the use of DS, DDR and SA. Fund code NHRE can only be used in the resurfacing program.
- Only projects programmed on the SHS and using phase 52, 54 or 58 will count against a district's lane mile allocation. Urban and rural allocations are rolled together when determining if a district has fully programmed its allotted lane miles. Local funds, except LFR & LFRF, are not counted against a district's lane mile allocations. Districts will need to contact central office for LFR & LFRF funds used towards the lane mile allocations.
- If a district desires to add ancillary items to project scopes, the district is to notify the Central Office Resurfacing Monitor contact and it must supplement its resurfacing allocation with other district dedicated funds.
- Through FY 2020 Schedule A has four funds (DS, DDR, SA and NHRE) allocated to resurfacing. Recommended method is to use NHRE first since NHRE is only used for resurfacing. Beginning in FY 2021 Schedule A will have three funds (DS, DDR and SA) allocated to resurfacing.
- Fiscal year 2016 - After meeting lane mile allocations, remaining funds can be used for contingency or outside the resurfacing program.

- Fiscal year 2017 - After meeting lane mile allocations, remaining funds can be used for contingency or outside the resurfacing program.

- Fiscal year 2018 - After meeting lane mile allocations, program no less than 5% contingency (Total Programmed on Projects less LF fund) and any additional fund allocation in a reserve box in the resurfacing program using fund code DS (up to resurfacing DS allocation) then SA. Programming should be complete by September 30, 2015. If additional funds were used to meet lane mile allocations and 5% contingency, DS or SA resurfacing allocation will be increased to cover the overage. If allocated funds were not used to meet lane mile allocations and 5% contingency, DS (up to resurfacing DS allocation) then SA will be re-distributed by statutory formula.

- Fiscal year 2019 - After meeting lane mile allocations (projects and/or target boxes), program no less than 5% contingency (Total Programmed on Projects less LF fund) and any remaining funds should be programmed in a reserve box in the resurfacing program.

- Fiscal year 2020 and fiscal year 2021 - After meeting lane mile allocations (target boxes recommended but projects accepted), program no less than 5% contingency (Total Programmed on Projects less LF fund) and any remaining funds should be programmed in a reserve box in the resurfacing program.

Districts and statewide program managers should use the resurfacing monitor to manage their resurfacing program and compare the tentative work program to approved lane mile and funding allocations. Instructions for running the resurfacing monitor are in the Work Program Administration Screens and Reports chapter of these instructions. Districts and statewide program managers can monitor their pavement condition targets by using the FAST Performance Measure Review on the Pavement Management Section Infonet site:
http://infonet.dot.state.fl.us/PavementManagement/FAST/fastPerformanceHome.htm.

3. PROJECT ELIGIBILITY CRITERIA

The PCS rates pavement segments on a scale of zero (worst) to 10 (best). Flexible pavements are rated for rutting, cracking, and ride. Rigid pavements are rated on defect and ride. The PCS criteria are as follows:

- Pavement segments having any rating of 6.4 or below are classified as deficient. An exception to this is a segment with a posted speed limit of less than 50 mph and whose ride rating is between 5.5 and 6.4 while its other ratings are greater than 6.4. In this instance, the pavement would not be considered deficient. Projects shall be programmed to correct deficient segments.

- Construction phases for pavement segments rated 7.0 or lower and projected to be deficient by the year of construction may be gamed for adoption in the third year of the new five year work program for the arterial system, and in years one to three for the interstate and turnpike systems. However, due to the variability in pavement deterioration rates, it is not recommended that construction phases be gamed for non-deficient sections in the last two years of the work program.

- Written justification for any new resurfacing project that does not meet the above eligibility criteria will be required to be submitted to the Pavement Management Section.

4. CONCRETE PAVEMENT INITIATIVES

This topic has been moved to the Administration chapter because the Concrete Pavement Initiative is no longer restricted to resurfacing and the concrete test road.

5. PAVEMENT ONLY PROJECT (POP) MAINTENANCE RESURFACING GUIDELINES

Resurfacing projects that are not on the high crash list and that have been determined not to need an increase in structural capacity to achieve the required minimum pavement design life, may be designated as "maintenance resurfacing" projects and shall be 100% state funded. No federal funds are allowed; FHWA will not participate at this time.

These projects will be exempt from the resurfacing, restoration and rehabilitation (3R) requirements of Procedure 625-000-007, Plans Preparation Manual, Volume 1, Chapter 25, to reduce lane mile costs. The funding freed up from these projects will be available for other 3R projects in a district, allowing them to fully program their allotted lane miles without sacrificing pavement life. These projects shall be limited in scope to the items needed to address the functional rehabilitation of the pavement and installation/rehabilitation of ADA curb ramps, if applicable. Signing and pavement marking shall also be included. The number of projects designated as maintenance resurfacing is flexible.

Note that this does not change the pavement design process. To qualify for this category, pavement designs will still need to meet a minimum design life of 14 years, but the existing pavement structural number must be greater than the required structural number for the design period. Although the structural number of the pavement will increase with new pavement replacing distressed pavement, the primary purpose of the design must be to restore the functional condition of the pavement and not for adding structural capacity.

For example, a pavement may have an existing structural number of 4.4, but the top two inches are badly cracked. A traffic analysis may show that a structural number of only 4.2 is required to carry the next 14 years of truck loadings. Therefore a design of milling and resurfacing the top two inches can be classified as a maintenance activity to maintain the functional condition and to preserve the underlying pavement and not for increasing the structural capacity of the pavement.

The pavement design package shall document that additional structural capacity is not needed to achieve the design life. The structural number required for the design period shall not exceed the structural number of the existing pavement. Upon approval by the district design engineer, the district will change the work program work mix to 0226 (maintenance resurfacing - flex), and then may proceed with the design.

B. PROGRAMMING GUIDELINES

In programming a resurfacing project at a single location, input the applicable roadway identification, beginning and ending mile points, roadway side and lane information on the Item Segment Location-Road (WP07) screen. See the Location Information chapter of these instructions.

- Urban area resurfacing - A portion of arterial highway system resurfacing needs within each of the transportation management areas (TMA) should be funded with district dedicated revenues (DDR) or urban attributable funds. Schedule A has been developed consistent with the department's revised policy that one half of resurfacing needs in the large urban areas will be funded with DDR funds. Schedule A provides the amount of DDR funds estimated to be used for this purpose. With approval from the TMAs, urban attributable funds may be substituted for DDR funds.

- Railroad crossings - Districts may use a portion of their resurfacing allocation for the repair/replacement of rough railroad crossings and for the payment of the department's portion of the railroads' periodic and routine maintenance as required by the various crossing agreements with the railroad companies. The intent is that the railroad crossing surface is improved within the limits of the resurfacing project. Resurfacing funds shall not be used where the primary purpose is to improve a rail/highway crossing. Railroad crossings being resurfaced by the railroad may be funded with state or federal aid funds. Force account work for resurfacing rail/highway crossings is to be programmed as phase 57.

- The following work mixes are valid for use in the resurfacing program:

Work Mix Number	Usage/Definition
0005 Flexible Pavement Reconstruction	Flexible pavement projects where the base layers of pavement are being reworked or replaced and no new through lanes are being added.
0012 Resurfacing	Use where the existing layers of pavement are being structurally improved without affecting the existing base, such as milling & resurfacing. Does not include skid hazard overlays (0216).
0015 Resurfacing - Ride Only	Use where the existing pavement is in good structural condition, but is deficient in ride caused by things like manholes and utility valves in the wheelpath and utility tie in patches. The scope of the work can be limited to meeting ADA requirements and doing what is necessary and practical to improve the smoothness of the pavement to meet standards. Refer to Plans Preparation Manual Vol I, Sect 25.2.4.
0217 Rigid Pavement Reconstruction	Use where an entire rigid pavement section is being replaced, not just distressed slabs.
0221 Widen & Resurface	Use where the existing roadway is also being brought up to standards by adding less than a lane of pavement to widen it. No new lanes are being added. Includes widening and paving of shoulders.
0226 Maintenance Resurfacing (Flex)	May be used where the pavement does not need additional structural capacity. The project must also be 100% state funded and not on the high crash list. Will be exempt from the 3R requirements of Procedure 625-000-007, Plans Preparation Manual, Volume 1, Chapter 25. Use of this work mix requires approval of the district design engineer.
0227 Rigid Pavement Rehabilitation	Use where existing rigid pavement slabs are being rehabilitated through slab replacements, spall repairs and grinding to prevent an entire section of pavement from deteriorating further.

- Districts are to fully program eligible projects (and contingency boxes) for the current year plus first year of the tentative as a minimum. Two target boxes (TG box code only, rural and urban), if used, may be programmed only for the last three years of the tentative. An item group identifier should be attached to the boxes. For rural box use item group identifier RURL and for urban box use item group identifier URBN. The system automatically determines rural or urban for projects by the functional class characteristic from the roadway characteristics inventory and/or the item group from the Work Program Administration system.

- Transportation system: Use Appendix D of these instructions for the appropriate transportation system.

- Use the program plan/work program/budget crosswalk link in the References section of this chapter for the appropriate program number, phase and fund combinations. Construction phases use program number 05.

- When the resurfacing program number is used on a project that also utilizes another program number, assign a separate financial project sequence for each program number.

- When programming resurfacing projects on interstate facilities that are also toll roads, use transportation system 01. Currently this is only applicable to three facilities: the Sunshine Skyway (fund code DSB1), the Alligator Alley (fund code DSB2) and I-95 Express (DSBD).

- Resurfacing performed on a toll roadway is to be accomplished using funds normally distributed by need. These funds (DSBx) will come from offsets to district allocated funds (usually DS). See the Turnpike Enterprise and Other Toll Facilities chapter of these instructions for more information about programming DSBx funds.

- No landscaping can be programmed on the same item segment as a resurfacing project. This is pursuant to Section 334.044(26), F.S., which was modified in 2012.

Example: To program resurfacing on SR 136 from Suwannee County line to Hamilton County line, use transportation system 03 –intrastate state highway with a 0012 work mix, phase 52, program number 05, the fund code DDR and allocation type of 1.

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
52	01	05	DDR	$1,500,000	1	20XX

C. REFERENCES

FDOT employees can access the program plan crosswalk by using the following link:

http://webapp02.dot.state.fl.us/fmsupportapps/itemsegmentsearch/ProgramPlanCrosswalk.aspx

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PART III - CHAPTER 29: RIGHT OF WAY

A. RIGHT OF WAY PROGRAM

1. OVERVIEW

The right of way (R/W) program consists of land acquired to support the highway and bridge construction programs and land acquired in advance of construction to avoid escalating land costs and prepare for long-range development. The R/W program includes product and product support. Products include land, relocation and utility costs (replacement easements). Product support includes title searches, appraisal cost estimates, appraisals, appraisal reviews, negotiation, condemnation, relocation, eminent domain, administration of outdoor advertising, property inventory, property disposal and motorist information services. (For further information, see Part IV, Federal Aid Programs, of these instructions.)

2. DEFINITIONS

- Multi-year funded projects: Projects with R/W phases programmed over multiple years. Example: The R/W cost estimate for phase 43, R/W land, is $200,000. Phase 43 is programmed in fiscal year 17/18 with $150,000 in DS funds, and is also programmed in fiscal year 18/19 with $50,000 in DS funds.

- Split-funded projects: Projects with an individual R/W phase programmed with multiple funds. Example: The R/W cost estimate for phase 43, R/W land, is $200,000. Phase 43 is programmed in fiscal year 17/18 with $100,000 in DS funds, $50,000 in DDR funds, and $50,000 in SU funds.

- Proactive acquisition: A term used by the Florida Department of Transportation (department) to describe R/W acquisition occurring after a record of decision is approved by the Federal Highway Administration (FHWA) but prior to the year in which R/W acquisition would normally be scheduled to support the construction letting. Proactive acquisition is a type (subset) of advance acquisition.

3. PROGRAMMING GUIDELINES

a. General Guidelines

- R/W land inflation factors must be based on local conditions.

- If there is any R/W on a project, even those projects where R/W land dollars (phase 43) are not needed, a 4X phase **must** be programmed in order to enter R/W information in the Right of Way Management System (RWMS).

- Multi-year funding is the required standard programming practice. Exceptions must be approved in writing by the Work Program Development and Operations Office and central Office of Right of Way on a case-by-case basis unless the total present day cost (PDC) of project phases 4B, 41, 42, 43 and 45 is less than or equal to $10 million.

- Districts must ensure their district Work Program Office is notified in advance of federal funds to be expended each fiscal year. Federal funds cannot be expended nor can a notice to proceed be issued until the authorization request submitted to FHWA has been approved and received by the district Work Program Office.

- With the exceptions of advance acquisition/proactive acquisition, phase 43 and 45 funds must not be programmed earlier than the scheduled activity event (A/E) 121 (negotiation) and A/E 129 (relocation) dates respectively.

- To obtain FHWA authorization for only R/W appraisal work, the Federal Aid Management Office must be notified in advance and furnished with all the required environmental documents, and R/W cost estimates.

- See the program plan crosswalk link in the References section of this chapter for appropriate system, program number, phase and fund combinations. Other specific programs and program numbers are noted below.

- Use program number 37 with phase 42 for R/W consultants in support of fixed capital outlay (FCO) projects.

- Use program number 00 with phase 42 for R/W consultants other than in support of FCO projects.

b. Fund Sources

The R/W program may be funded with state funds, federal funds or bond funds. Although R/W acquisition is an allowable use of federal aid funds, the best use of federal funds is in construction phases. If State Infrastructure Bank (SIB) funds are used for R/W phases, any excess funds programmed above the estimate will be adjusted down to the estimate at the R/W certification stage of the project. (See the State Infrastructure Bank chapter of these instructions.) Also, the department encourages the use of local funds to acquire R/W for bridge projects off the State Highway System (SHS). Funding from Amendment IV bonds is available for acquisition using BNDS funds. Funding from Amendment IV bonds is also available for BNBR funds if associated with bridge construction.

When programming projects for acquisition, using BNDS funds, priority should be given to corridors that are contained in the Strategic Intermodal System (SIS). This should be consistent with the SIS 2040 Cost Feasible Plan. Exceptions must be requested in writing to the Work Program Development and Operations Office for review and consultation with the Systems Planning Office. A written response to the request will be provided.

Any R/W phase may be used for programming against BNDS funds except phase 41.

Use the following funds for in-house phases on the SHS:

- State-funded: In-house phases for state-funded projects on the SHS must be programmed with DIH, DSBX, PKXX funds, as appropriate. See Turnpike Enterprise and Other Toll Facilities chapter of these instructions for more detail about programming DSBx funds.

- Federal–funded: In-house phases for projects on the SHS using federal funds may be programmed using DIH, DSBX or PKXX funds, but may also be programmed with any eligible federal funds. See Turnpike Enterprise and Other Toll Facilities chapter of these instructions for more detail about programming DSBx funds.

All projects including multi-year R/W projects with R/W phases programmed in the first three years of the tentative work program must have a R/W schedule in the Project Scheduling and Management (PSM) System, with the exception of design build contracts. On design build contracts, the districts are responsible for ensuring that R/W activities are complete and a R/W certification for construction is issued prior to the start of construction.

c. R/W Cost Estimates

R/W phase estimates programmed in the Work Program Administration system must be supported by the current and most recent cost estimate (dated within one year or less) in the RWMS. Cost estimates must be updated by certain dates each year. These dates are set forth in the calendar (schedule) for work program development. The central Office of Right of Way

must be notified of project estimates entered after published deadlines. Actual programming of any one phase may vary by no more than 10% from the current cost estimate (as adjusted by inflation factors). R/W projects that have phase 41, but no other 4X phases, do not require a cost estimate. If an estimate is provided by a local entity, it may be used as the estimate for the Department.

d. Establishing and Applying Inflation Factors

RWMS default inflation factors are updated annually by the central Office of Right of Way Cost Estimating Section. Provided a R/W schedule exists in PSM, the inflation, applied to present day costs and compounded annually, can be calculated using the R/W programming calculator. The district Offices of Right of Way and the district Work Program Offices collaborate during the tentative work program development cycle to establish acceptable scheduling/programming of projects in the work program. Many different programming scenarios will be considered in the course of the tentative work program development cycle. However, when an inflated estimate is used to program, the R/W programming calculation must be saved electronically (as an HTML web page). Additionally, the user may wish to print the document and maintain it in the official record.

e. Contingency Levels

In year one, contingency levels for R/W land and support should not exceed 15% of the total amount programmed for R/W land and support on projects. Exception requests shall be made in writing to the Work Program Development and Operations Office and the central Office of Right of Way. In years two through five, contingency levels may exceed 15% to accommodate unforeseen needs.

f. Turnpike Enterprise Projects

District allocated funds may be programmed on turnpike enterprise projects that do not currently meet economic feasibility. According to Section 337.276, Florida Statutes, the Division of Bond Finance of the State Board of Administration is authorized, in accordance with Section 215.605, F.S., to issue state bonds on behalf of the department to finance R/W land acquisition.

If BNDS funds are used to acquire R/W for a revenue-producing facility, the owner of that facility may be required to reimburse the Right of Way Acquisition and Bridge Construction Trust Fund in an amount equal to the cost of acquiring that R/W.

g. Intrastate Highway Corridor Acquisition

- Advance acquisition projects shall be consistent with the SIS 2040 Cost Feasible Plan and coordinated with the Florida Transportation Plan. Projects should be high priority projects as determined by the Decision Support System (DSS). (See the district SIS coordinator on how to access and use the DSS). Projects should generally also be in areas of high R/W land cost inflation or current or pending vigorous development activity. The Land Use Mapping System is available in each district for the preliminary determination of land inflation rates based upon county tax appraisal data. Contact the Office of Policy Planning for instruction on the use of this system. The strategic aspects of SIS R/W acquisition should also be considered within the context of the 2040 SIS Cost Feasible Plan.

- In-house phases will use DIH funds.

h. Advance Acquisition of R/W

- Section 337.273(3), F.S., provides that it is the intent of the Legislature that property acquisitions by donation, purchase or eminent domain occur as far in advance of construction

need as possible, and that property, needed to manage transportation corridors, be acquired and retained for future use.

- Use program number 01 for all advance acquisition projects, including protective buying of individual parcels and proactive acquisition.

- Before programming projects with program number 01, districts shall analyze their priorities for advance acquisition, in accordance with established procedures. Advance acquisition of R/W on the SIS shall be given priority and conform to the SIS 2040 Cost Feasible Plan.

- The district should consider setting aside funds in a districtwide box to acquire individual parcels of property where the department has determined that R/W is necessary for future transportation corridors and individual parcel acquisition is appropriate for corridor protection.

- Use contract class 6 when dollars are programmed for advance acquisition of R/W on the corridor specific projects where no phase 52 has been identified. Projects with contract class 6 do not require R/W phase cost amounts to be supported by a current cost estimate in RWMS. When the project is fully funded and construction is identified, even if the construction is identified under a different item or segment number, the contract class must be changed to contract class 1 (contracts let in Tallahassee) or 7 (contracts let in district), whichever is appropriate.

- Use contract class 4 (miscellaneous - projects that will not have a letting) for districtwide R/W support contracts. The labeling of districtwide projects in the work program must contain enough descriptive information to disclose their purpose. Merely labeling a project as "districtwide" is not adequate. See the Project Costing chapter of these instructions for details.

- If a district wishes to program funds for the purpose of proactive acquisition, funds may be programmed in the fiscal year prior to A/E 268. The district R/W manager must approve all programming for all phases on an advanced/proactive acquisition plan.

i. Local Government Match R/W Contributions for Growth Management Projects

Section 339.2819, F.S., provides for state funding of growth management Transportation Regional Incentive Program (TRIP) projects with up to a 50% match with local funds. It is anticipated that local governments will want to contribute R/W for the project as all or part of their matching share. This document provides the guidance to be applied to such contributions.

1) R/W Eligible for Contribution

R/W eligible for local government matching contribution credit are only those properties necessary for the qualified project itself. R/W for prior projects are not eligible.

Example: An existing two-lane facility is to be expanded to four lanes by the qualified project. The R/W for the existing two-lane facility is not eligible for contribution credit. However, R/W needed for the additional two lanes or R/W held by the local government, which are in excess of that necessary for the existing two-lane facility but legitimately needed for the new four-lane facility, are eligible for credit.

Local governments may desire developers or other private parties acquiring or contributing R/W on their behalf transfer title directly to the department. If the appropriate acquisition procedures have been followed, such transfers can be accepted by the department and credit allowed against the local government share of project costs.

2) Acquisition Procedures

Projects on the SHS or which use federal funding on any phase of the project or state funding in R/W must comply with either federal law or procedure or state law or rule relating to R/W acquisition. These laws are intended to protect or provide benefits to property owners and relocatees on federal or state funded projects on the National and State Highway Systems. The laws and rules are intended to ensure consistency of fair treatment under the law to these citizens on these projects. The department must ensure that local governments or private parties involved in acquisition processes, acting on the department's or local government's behalf, comply with these requirements.

3) Projects Off the SHS

These are projects which are not now on the SHS and have no reasonable expectation of being added to the system in the future.

(a) Projects with No Federal Funding in Any Phase

R/W acquired by the local government may be accepted for contribution credit regardless of the acquisition method or procedures used. Acquisition methods, which do not conform to the requirements of the Federal Uniform Relocation Assistance and Real Property Acquisition Policy Act (Uniform Act), will preclude the use of federal funding in any phase of the project.

(b) Projects with Federal Funding in Any Phase

R/W must have been acquired in accordance with the Uniform Act. This also applies to developer donations where the developer specifically acquires property for his benefit on the project through a formal or tacit agreement with the local government. Any R/W purchased for the project through acquisition methods, which do not conform to the Uniform Act, may be able to be brought into compliance through remediation actions with approval of the FHWA. The type and extent of the remediation actions are at the discretion of FHWA.

4) Projects On the SHS

These include projects currently on the SHS and projects where there is a reasonable expectation they may become part of the SHS in the future.

For projects with no federal funding in any phase, R/W acquired by the local government, or private sector persons or groups acting as their agents or on their behalf, may be accepted if the acquisition methods were in compliance with laws and rules applicable to the department. This includes providing relocation assistance to displaced persons in accordance with Rule 14-66, Florida Administrative Code (F.A.C.). Acquisition, which does not conform to the Uniform Act, will preclude the later use of federal funding in any phase. See the Projects Off the SHS section above.

5) Donations

It is recognized that developers may wish to donate R/W in order to expedite the completion of a project. Acceptance of these donations is acceptable under certain conditions. If the property being donated was acquired by the donor for his/her own purposes and at his/her own risk, and is now being made available for the project, the donation may be accepted with no necessity to inquire into the acquisition methods used. If, however, the property was acquired specifically for the project under an agreement with the local government, whether written or not, the acquisition methods must comply with laws and rules applicable to the department. In that event the developer is acting as an agent for or on behalf of the local government, and the law and rules apply in the acquisition.

6) Exactions

In some instances, local governments may require the donation of R/W as a condition of the development approval process. This is often referred to as an exaction. R/W acquired through a lawfully adopted exaction ordinance or process can be accepted, unless the process results in the developer acquiring the R/W as an agent of, or on behalf of, the local government.

For projects with federal funding in any phase, the R/W must have been acquired in conformance to the Uniform Act. Lands donated by developers may be accepted, provided that the donor has been fully advised of the right to compensation and has specifically waived that right. Exactions obtained through a lawful ordinance or process may also be accepted. R/W purchased for the project through acquisition methods which do not conform to the Uniform Act may be able to be brought into compliance through remediation actions with approval of FHWA. The type and extent of the remediation actions are at the discretion of FHWA.

7) Valuation of Contributed R/W

Once it is determined that R/W proposed for local matching contribution are eligible for all or part of the local government share of the project costs, the issue becomes the amount to be credited, i.e., the value of the property or property rights, to the eligible project. Following are methods to be used in determining the value of the contributed property. Regardless of the valuation technique used, the maximum credit allowed will be the amount of the local government share of the project costs.

- R/W acquisition as a phase of the project: Where R/W are acquired as a phase of the project, the value of the contribution for purchased parcels is the actual acquisition cost of the property including land, improvements, severance damages and business damages. Documentation of the acquisition costs may be through closing statements, final judgments or similar documents.

- Previously purchased, donated or exacted properties: Where properties previously purchased donated or exacted are to be contributed to the project, the contribution value may be either current market value or actual acquisition costs for land, improvements, severance damages and business damages at the time the property was acquired. The method selected is at the district R/W manager's discretion. The method selected must be used on a consistent basis according to the type of acquisition. Current fair market value may be used in those instances where there has been a significant change in market conditions (not caused by the project) since the property was acquired. The current market value may be established by new appraisal reports, updated appraisal reports, or other data provided by the local government that is confirmed by the district Appraisal Office as reflecting a reasonably accurate estimate of current fair market value. If there are federal funds in the project, the market value must be established by an appraisal report prepared by an appraiser acceptable to the district Appraisal Office. Documentation of actual acquisition costs at the time the property was acquired may be through closing statements, final judgments or similar documents.

j. Outdoor Advertising (ODA)

1) I-75 ODA Sign Acquisition Program

District 2 and District 5 have established districtwide projects (contract class 4; one project per district) labeled "I-75 ODA Sign Acquisition" for these activities. The central Office of Right of Way will move funds as needed, from the statewide box to the districts' projects based on identification and prioritization of the signs to be removed and availability of funds. District 2 and District 5 will perform all acquisition activities and process all payments for the acquisition and removal of the signs under this program.

2) ODA/LOGO Program Operational Costs

Projects will be programmed and managed by central office staff in the Office of Right of Way with assistance from the Office of Work Program and Budget.

k. R/W Land for Environmental Mitigation

A statewide program using DEM funds (state) has been established for purchasing land to bank for future environmental mitigation opportunities. Please refer to the Environmental chapter of these instructions for further DEM funding guidance.

Purchases for mitigation credits should be programmed in accordance with the Environmental chapter of these instructions. Do not program with 4X phases.

l. Sale or Lease of Surplus Property/Court Registry Refunds

Generally, revenues generated by a district from the sale or lease of surplus property will be returned to that district. Refunds of monies deposited into a court registry in a prior fiscal year may be returned to the district that made the deposit if approved by the executive team in accordance with Procedure 575-000-000, Section 11.1.4, Right of Way Manual, and Procedure 375-020-010, Errors, Omissions, and Contractual Breaches by PE's on Department Contracts.

At the end of each fiscal year, a report shall be prepared by the Office of the Comptroller identifying the revenues received for the lease/sale of surplus properties and from court registry refunds of monies deposited in a prior fiscal year. This report will be forwarded to the Office of Work Program and Budget. These funds will be incorporated into the financial calculations for allowable commitments and forwarded to the Office of Work Program and Budget. The respective district state fund allocations will be increased during the annual Schedule A development process.

Refunds of monies deposited into a court registry in the same fiscal year are immediately credited back to the district that made the deposit.

m. Multi-Year Programming of R/W Phases

R/W phases (state and federal) may be programmed over multiple years. At the option of the district office, funding must be fully programmed no earlier than the fiscal year in which R/W certification is scheduled and no later than the second fiscal year after the R/W certification is scheduled. Such programming is necessary to ensure that funds are available for final judgments.

The method for applying inflation on R/W projects is to inflate the total R/W phase estimate to the rate applicable in the first year of programming for the phase. If the phase is multi-year programmed, the first year inflated amount is then split among the subsequent years in accordance with the allowed percentages.

For all projects to be programmed over multiple years there must be close coordination between the district offices responsible for work program, R/W, and scheduling to ensure projects are adequately funded in the proper fiscal years. Expenditures may not exceed the current amount programmed for any phase on the project.

On federally funded projects, FHWA will require the following for authorization purposes:

- Necessary environmental documents are approved.
- Cost estimate exists for projects with federal funds.

- The request for authorization must indicate in the comments section the years and amounts in which the funds for the entire R/W project are programmed.

- Project must be in STIP/TIP, as required.

FHWA will continue to authorize proactive acquisition on a parcel by parcel basis, if a district so requests. The parcels must be specifically identified and funds must be programmed in the same fiscal year for all costs associated with the identified parcels. Under this scenario, funds may only be spent on the parcels specifically authorized by FHWA. In programming such funds and determining the amount of funds to be programmed, the district needs to consider the probability of proactive acquisition while keeping in mind the effect on roll forward should such acquisitions not actually be made.

B. RIGHT OF WAY LAND

1. OVERVIEW

The R/W land program consists of land which is acquired to support the highway and bridge construction programs and land acquired in advance of construction to avoid escalating land costs and prepare for long-range development. The R/W land program includes land acquisition (phase 43), relocation assistance (phase 45), replacement of utility easements (phase 46), and local agency R/W projects (phase 48).

2. PROGRAMMING GUIDELINES

a. R/W Utility Relocation

Phase 46 is used to program the reimbursement to a utility owner (company) for costs associated with the purchase of an equivalent replacement easement when an existing utility easement is acquired by the department for a proposed transportation project. Phase 46 should be programmed with the same program numbers as phase 43, R/W land acquisition. Phase 46 should not be used to fund the actual relocation (construction) costs of the utilities, but instead the acquisition of an alternative R/W easement. Preliminary engineering (design) costs should be programmed under construction, phase 56 utility relocation.

Relocation costs (phase 45) are charged to R/W land and should be funded from the same fund structure used for acquisition of R/W land (phase 43).

Use phase 48 (R/W other agency) for programming R/W on projects where the R/W activities are to be performed by another governmental agency (e.g., LAP projects). Phase 48 projects must be supported by a current R/W cost estimate. Exception requests shall be in writing to the Work Program Development and Operations Office and the central Office of Right of Way.

b. Multi-Year Programming for Right of Way

- If the total of project phases 4B, 41, 42, 43 and 45 PDC is less than or equal to $10 million, the funds may be single or multi-year programmed in the manner the district determines is most effective.

- Support phases 4B, 41 and 42: On all projects, the scheduled date for A/E 268 (phase 1 Documents to Right of Way) will control the minimum amount which must be programmed in the first fiscal year.

- Land phases 43 and 45: On all projects, the scheduled date for A/E 121 (negotiations) and A/E 129 (relocation), respectively, will control the minimum amount that may be programmed in the first fiscal year.

- Phases 4B, 43, and 45: No minimum programming is required in the first fiscal year; 60% must be requested by the fiscal year of A/E 255 (certification); and 100% must be programmed by the second fiscal year after A/E 255.

- Phases 41 and 42: A minimum of 10% of the total phase cost must be programmed in the first year and 100% by the fiscal year of A/E 255.

- Programming is done in accordance with Section 339.135(6), F.S. No offer for a parcel can be made without budget available to fulfill the commitment of a contract.

- R/W must ensure the Office of Work Program and Budget is timely notified of all increases and decreases in a project cost that has received approval from the project manager and district R/W manager, or their designee that will result in a cost estimate change. The desired approval and notification application is available in the Project Suite Enterprise Edition.

- The districts must annually establish the programming of R/W phases at a level consistent with the forecasted expenditure plan. The total cost of the project must be in line with the R/W Cost estimates over the life of the project. Given the nature of the R/W process, it is possible for expenditure plans and cost estimates to change. When a district R/W manager, or designee, identifies new information that could impact the cost estimate on the project, such information must be provided to the cost estimator for inclusion in future updates.

c. Central Office Contingency

The Work Program Development and Operations Office will establish and have oversight of a statewide R/W contingency box to ensure funds are available when needed by the districts to accomplish certification and/or litigation awards.

C. RIGHT OF WAY SUPPORT

1. OVERVIEW

The R/W support program consists of activities that support the R/W land acquisition program, e.g., title searches, appraisals, cost estimates, appraisal review, surplus property inventory and surplus property disposal. The R/W support phases are phase 41 (in-house support), phase 4B (R/W service contracts) and phase 42 (R/W consultant).

See Part V, Production Management, of these instructions for detailed requirements for scheduling R/W phases.

2. PROGRAMMING GUIDELINES

- In-house phases on SHS

- State–funded: In-house phases for state funded projects on the SHS must be programmed with DIH, DSBX, PKXX funds, as appropriate. See Turnpike Enterprise and Other Toll Facilities chapter of these instructions for more detail about programming DSBx funds.

- Federal- funded: In-house phases for projects on the SHS using federal funds may be programmed using DIH, DSBX or PKXX funds, but may also be programmed with any eligible federal fund. See Turnpike Enterprise and Other Toll Facilities chapter of these instructions for more detail about programming DSBx funds.

  To the extent possible, R/W support phases should be programmed with state funds, since the preferred use of federal funds is in construction.

- In-house phases off SHS: In-house phases for projects off the SHS must be programmed with any eligible federal fund.

- All R/W operations service contracts, except title searches, are to be programmed as phase 4B. Relevant contract services include:

  - Demolition and Removal
  - Court reporting
  - Engineering services
  - Expert witnesses
  - Appraiser fees
  - CPA fees
  - Outside attorney fees
  - Other professional fees
  - Other contractual services
  - Asbestos survey and removal
  - Security guard services
  - Rodent control

- Phase 3B may be optionally used for title searches on state-funded projects. If state funds are used for title searches, they should be programmed as phase 3B, program 72.

- Federal participation for title searches on federal aid projects shall be programmed as phase 3B, program 72.

- Use phase 42 for professional R/W consultant services (product support) defined as direct consultant activities for acquisition, relocation assistance and oversight of property management activities necessary to acquire R/W land for transportation projects.

- See the Project Costing Chapter for details on the use of operating budget (versus work program budget) for non-project specific R/W property management sale/leasing activities.

D. REFERENCES

Right of Way Procedures Manual

Guidance Document 10 - Guidance for Local Government Match Right of Way Contributions for Growth Management (TRIP) Projects

Federal Uniform Relocation Assistance and Real Property Acquisition Policy (Uniform Act)

Rule 14-66, F.A.C.

Section 215.605, F.S.

Section 337.273, F.S.

Section 337.276, F.S.

Section 339.2819, F.S.

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PART III - CHAPTER 34: SPECIAL CONTRACTING METHODS

A. ALTERNATIVE CONTRACTING METHODS

1. OVERVIEW

The Florida Department of Transportation (department) uses alternative contracting methods, as allowed under Section 337.025 Florida Statutes. The process for selecting and programming alternative contracts is delegated to each district. The alternative methods of contracting are not capped at a set dollar amount. For a complete description of the alternative methods, see the Office of Construction website at http://www.dot.state.fl.us/construction/, or, for maintenance-related contracts, contact the State Office of Maintenance. Below are brief definitions of the alternative methods of contracting:

- A + B Bidding - Cost-plus-time bidding, also referred to as the A+B bidding, involves time, with an associated cost, in the low bid determination.

- Lane Rental - Lane rental is another cost-plus-time alternative. The goal of the lane rental concept is to encourage contractors to minimize road-user impacts during construction.

- Bonus - Bonuses are intended to reward a contractor for early completion of a contract. The bonus can be tied to either milestones, a final completion date, or both. Bonuses are tied to a “drop-dead” date (time frame) that is either met or is not.

- Liquidated Savings - The intent of liquidated savings is to encourage the contractor to finish a project early. The contractor will be rewarded for each calendar day the contract is completed and accepted prior to the expiration of the allowable contract time.

- Incentive/Disincentive - Incentive/Disincentive (I/D) contracts are used to not only provide an incentive to the contractor for early completion, but also to apply the disincentive for failure to complete a project on time.

- Warranty Clause - A warranty is a guarantee of the integrity of a product and of the contractor’s responsibility for the repair or replacement of deficiencies.

- Lump Sum - This option involves the contractor providing the department with a lump sum price to complete a project as opposed to bidding on individual pay items with quantities.

- Performance Based Contracting - A method of contracting centered on a contract instrument that defines performance expectations in terms of outcomes or results as opposed to methods, processes, systems or broad categories of work activity. To the maximum extent possible, it describes the work in terms of what is to be the required outcome rather than how the work is to be accomplished.

- Design-build – Major - In order to expedite implementation of certain major construction projects, the Legislature allows the use of design-build contracts to expedite the project completion schedule (Section 337.11(7), F.S.).

  Major design-build projects combine design and construction on a building, major bridge, limited access facility or a rail corridor project. Right of way (R/W) services cannot be included. A project that is not allowable under Section 337.11(7), F.S. may be allowable under the innovative contracting program. Contact the Office of Construction for more information.

2. TIMING OF FEDERAL AUTHORIZATIONS ON DESIGN-BUILD PROJECTS:

The advertisement to solicit letters of interest may take place prior to the federal authorization. Unlike regular letting advertisements, a solicitation of letters of interest does not bind the department to the eventual commitment of a contract, nor does it require any encumbrance prior to the letter-of-interest advertisement.

The letters-of-interest advertisement may also be done prior to obtaining the Federal Highway Administration (FHWA) approval of the final request for proposal (RFP) and design criteria package (for oversight jobs). The firms may also be short listed prior to FHWA approval of the final RFP and design criteria package and before obtaining the federal authorization. However, you must have FHWA approval of the final RFP package (for oversight jobs) before you can obtain the federal authorization, and you must have federal authorization before you send the final RFP package to the short-listed firms.

For FHWA oversight projects, the final RFP must be approved by FHWA and the federal authorization must be in place before the final RFP and design criteria package is published or mailed. For projects exempt from FHWA's project level oversight, the state is required to assure these projects meet the design-build criteria. For projects that are considered major projects (a project with federal financial assistance that totals $500 million or more), the initial financial plan will need to be approved prior to federal authorization and annual updates will be required until FHWA determines they are no longer needed. See Part IV, Chapter 3, Section C of these instructions for additional details.

Design-build projects must be included in the TIP/STIP before the federal authorization request can be approved by FHWA.

B. INNOVATIVE CONTRACTING METHODS

The department has established a program to demonstrate the use of innovative techniques of highway construction, maintenance, and finance that control time and cost increases on construction projects. Section 337.025, F.S. limits the innovative contracting program to $120 million in contracts annually. However, the annual cap on contracts shall not apply to turnpike enterprise projects nor shall turnpike enterprise projects be counted toward the department's annual cap. The methods chosen under this program are not required to adhere to those provisions of law that would prevent, preclude or in any way prohibit the department from using the innovative techniques. Currently, the innovative contracting statute pertains to design-build minor, the bid averaging method (BAM), construction management at risk (CM@Risk), and construction and maintenance contracts reserved for the business development initiative (BDI). The annual contracting cap of $120 million requires the department to monitor all contracts using these techniques.

Therefore, these contracts must be submitted to the Office of Construction and approved by the chief engineer for statutory compliance prior to programming an item group identifier associated with an innovative contracting method to the project.

For a complete description of the innovative methods, please see the Office of Construction website at: http://www.dot.state.fl.us/construction/.

- Design-Build Contracting – Minor - Minor design-build contracts are defined as those projects not authorized under Section 337.11(7), F.S. The minor design-build contracts are allowed under Section 337.025, F.S. and are included in the $120 million cap.

- Bid Averaging Method - The bid averaging method or BAM is designed to get contractors to bid a true and reasonable cost for a project. Section 337.025 F.S., allows BAM to be used for maintenance contracts, as well as construction. BAM contracts are also included in the annual innovative contracting cap of $120 million.

Currently, the FHWA has elected not to participate in BAM projects; therefore, only 100% state-funded projects or locally funded projects should be chosen for BAMs.

- Construction Management at Risk - CM@Risk may be defined as an integrated team approach applying modern management techniques to the planning, design and construction of a project in order to control time and cost, and to assure quality for the project owner. CM@Risk is included in the annual innovative contracting cap of $120 million.

- Business Development Initiative - BDI is designed to support the department's efforts to boost competition, lower prices and increase support to meet its contracting needs. The BDI is designed to provide more opportunities and support for small businesses to move from a subcontracting role to the role of a prime contractor. Construction and maintenance contracts reserved for BDI must have an estimated contract amount of $1,500,000 or less. All BDI Construction and Maintenance projects are included in the annual innovative contracting cap of $120 million. Additional information about BDI may be obtained at the department's Equal Opportunity Office website: http://www.dot.state.fl.us/equalopportunityoffice/bdi.shtm

- FHWA Special Experimental Projects (SEP) - FHWA has been evaluating methods for improving the efficiency of delivering transportation improvement projects. Districts seeking to pilot a new concept should contact the Office of Construction to coordinate the review, documentation and approval process. Districts seeking approval for projects under SEP must coordinate with the Office of Construction.

  - Special Experimental Projects 14 (SEP-14) – The SEP-14 program has provided the department with a vehicle for evaluating various types of non-traditional contracting on federal-aid highway contracts. The objective of SEP-14 is to evaluate project specific innovating contracting practices that have the potential to reduce the life cycle cost of projects, while maintaining product quality. SEP 14 is needed for CM@Risk projects which fall under the $120 million cap for innovative contracts.

  - Special Experimental Projects 15 (SEP-15) – FHWA launched a new, innovative program in October 2004 to utilize public-private partnerships to oversee entire highway and road projects in an effort to increase efficiency in project delivery. SEP-15 contracts are not included in the innovative contract cap of $120 million.

- The department's $120 million annual innovative contracting cap shall not apply to turnpike enterprise projects.

- American Recovery and Reinvestment Act Of 2009 (ARRA) - Any contract for transportation projects funded by ARRA shall be excluded from the annual innovative contracting cap of $120 million.

C. FAST RESPONSE CONTRACTING

1. OVERVIEW

Per Section 337.11(6)(c), F.S., when the department determines that it is in the best interest of the public for reasons of public concern, economy, improved operations or safety, and only when circumstances dictate rapid completion of the work, the department may, up to $120,000, enter into contracts for construction and maintenance without advertising and receiving competitive bids. Since fast response contracting does not require participation in the competitive bid process, federal funds cannot be used on these projects. The department may enter into such contracts only upon a determination that the work is necessary for one of the following reasons:

- To ensure timely completion of projects or avoidance of undue delay for other projects;

- To accomplish minor repairs or construction and maintenance activities for which time is of the essence and for which significant cost savings would occur; or

- To accomplish non-emergency work necessary to ensure avoidance of adverse conditions that affect the safe and efficient flow of traffic.

The department shall make a good faith effort to obtain two or more quotes, if available, from qualified contractors before entering into any contract. The department shall give consideration to disadvantaged business enterprise participation. However, when the work exists within the limits of an existing contract, the department shall make a good faith effort to negotiate and enter into a contract with the prime contractor on the existing contract.

2. PROGRAMMING GUIDELINES

a. Alternative and Innovative Contracting

- As districts identify projects that will utilize one or more of the alternative or innovative contracting practices, the districts will input or change the item group(s) that correlate(s) to the appropriate alternative method(s). Districts will input the item group identifier(s) on the Item Segment Group (WP03) screen. Refer to the list below:

TYPE	ITEM GROUP	DESCRIPTION
Innovative	A1	BAM
Innovative	A2	Warranty
Innovative	A3	Design-build (Minor)
Innovative	A4	Lump Sum
Innovative	A5	BAM/Bonus
Innovative	A6	BAM/Incentive-Disincentive
Innovative	A7	Push Button Design Build
Alternative	B0	Lump Sum
Alternative	B1	No Excuse Bonus
Alternative	B2	A + B Bidding
Alternative	B3	Lane Rental
Alternative	B5	I/D
Alternative	B6	Liquidated Savings
Alternative	B7	A + B/Bonus
Alternative	B8	Design-build (Major)
Alternative	B9	Warranty
Alternative	B10	Bonus/Incentive/Disincentive

Alternative	B11	Design Build-Major/Bonus
Alternative	B12	Design Bld-Major/Bonus/Wrnty
Alternative	B13	SEP-15
Innovative	BDI	Business Development Initiative – (Use on all BDI projects)
Innovative	BDIC	Business Development Initiative Construction – (Use on all BDI Construction Projects)
Innovative	BDIM	Business Development Initiative Maintenance – (Use on all BDI Maintenance Contracts)
Innovative	BDID	Business Development Initiative Design – (Use on BDI Design Projects)
Innovative	BDII	Business Development Initiative Inspection (Use on BDI Inspection Projects)
Innovative	BDIT	Business Development Initiative Materials Testing (Use on BDI Materials Testing Projects)
Innovative	CMAR	CM@Risk
Alternative	PBC	Performance Based Contracting

- Ensure Chief Engineer approval is obtained prior to adding any Innovative Type Item Group Identifier to the WP03 screen.

- If a contract utilizes more than one technique on a project, enter each individual item group identifier to be used on the WP03 screen.

- If conditions warrant removing a project from the alternative or innovative contracting program, the item group identifier should be removed from the WP03 screen.

- If a supplemental agreement for bonus, lane rental or I/D has been added after the contract has been awarded, an additional item group identifier for the supplemental agreement must be input. Contracts with supplemental agreements for bonuses, lane rental or I/D initiated after the award to accelerate construction must be coded with the following item group identifiers. This coding enables the department to monitor the impact of supplemental agreement incentives.

ITEM GROUP	DESCRIPTION
BS1	Supplemental Agreement Bonus
BS3	Supplemental Agreement Lane Rental
BS5	Supplemental Agreement I/D

- The incentive payments should be programmed in the fiscal year in which the incentive payment is expected to be made. Expected payout will occur when the highway contractor has met the early completion dates noted in the contract (bonus days). The district work program manager should obtain this information concerning the amount to be programmed and expected payout date from the district director of transportation development or district

director of transportation operations. Use phase 5A to program these payments and the same program number as on the construction phase 52 (e.g., 02, 05, etc.).

Incentives may be on the following contracting practices:

- Bonus
- A + B bidding
- I/D
- Liquidated savings
- Design-build contracts
- Lane rental

- If a 5A phase is programmed on an item segment, a bonus item group identifier should be associated to the item segment to indicate the purpose of the 5A phase. The item group identifiers that apply are: A5 – BAM bonus, B1 – bonus, B4 – lane rental/bonus, B5 – I/D, B7 – A+B/bonus, B10 – bonus/I/D, B11 – Design Build-Major/bonus, B12 – Design Build-Major/bonus/wrnty or BS1 – supplemental agreement bonus BS3. If the highway contractor fails to meet the bonus days identified in the contract, the phase 5A should be removed from the project.

  Example: To program an alternative contract (A + B bidding) with an I/D on I-95 for a capacity project in Palm Beach County, you would use a transportation system 01, phase 52, program number 02, appropriate fund code and item group identifier B2. You would also program a corresponding phase 5A for the amount of the maximum bonus that could be earned by the contractor with item group identifier B5 for the I/D.

PHASE	SEQUENCE	PROGRAM NO.	FUND	ALLOC TYPE	FISCAL YEAR
52	01	02	ACNP	1	20XX
5A	01	02	ACNP	1	20XX

b. Design-build

- Once a project is identified as a design-build project, it should be decided who is going to perform the services necessary to bring the project to completion (services such as utilities/railroad, permits, geotechnical services, survey, and construction, engineering and inspection (CEI)). Some of these services may be done prior to the design-build contract. However, it is important to ensure that the funds are programmed in the correct category, i.e., in-house or consultant.

- To program design-build projects use contract class 9 and phase 52. Design build push button contracts should be programmed as contract class 9 as well.

- For state and federally funded projects the phase 52 will include all work associated with preliminary engineering and construction. CEI is usually an independent inspection performed by CEI consultants who are not members of the design-build firm and not included in the design-build contract. A separate contract shall be advertised and awarded for CEI services (use phase 6X).

- In-house CEI estimates, which will automatically be generated (based on the overall phase 52 level), must be manually revised to represent only the in-house effort required to manage the CEI consultant.

- For federally funded projects, for which the CEI is proposed for inclusion in the design-build contract, FHWA must specifically review and approve CEI to be performed by the design-build firm.

- On federally funded projects the district federal aid coordinator should request one federal aid project number for the entire project (all phases).

- R/W land (phases 43, 45 and 46) is not part of a design-build contract and must always be programmed separately. R/W land must be fully programmed prior to or in the same year as the contract letting.

- Phase 46 is used to program the reimbursement to a utility owner (company) for costs associated with the purchase of an equivalent easement when an existing utility easement is acquired by the department for a proposed transportation project. Phase 46 would not be used to fund the actual relocation (construction) costs of the utilities, but instead the acquisition of an alternative R/W easement.

- Design-build projects may use the local agency program (LAP) programming process. To program LAP projects see the Local Agency Program chapter of these instructions.

- Each design-build project must have an item group identifier of either A3 design-build (minor) or B8 design-build (major).

  Example: To program a design-build project on SR 704 for a bridge project in Martin County, you would use a transportation system 03, phase 52, program number 03 and item group identifier A3 (design-build- minor).

PHASE	SEQUENCE	PROGRAM NO.	FUND	ALLOC TYPE	FISCAL YEAR
52	01	03	BRRP	1	20XX

  (See Part IV, Federal-Aid Programs, of these instructions for information on authorizing design-build projects.)

- Per Procedure 625-020-010, Design-build Procurement and Administration, the department may pay a stipend to non-selected, eligible short-listed design-build firms that have submitted responsive proposals for construction contracts. The decision and amount of a stipend shall be based upon department analysis of the estimated proposal development costs and the anticipated degree of engineering design during the procurement process. The department retains the right to use those designs from responsive non-selected eligible design-build firms that accept a stipend.

  - On an adjusted score design-build project where the department intends to compensate the eligible short-listed firms for submitting a proposal, the department must enter into a stipend agreement with each firm after the short-listing and deliver to the department no later than one week after RFP release. A contract is required to document the terms and conditions of compensation. The intent is to compensate the amount that is noted in the RFP package. The amount is not intended to compensate the firms for the total cost of preparing the bid package.

    Note: Using federal funds for this specific purpose subjects the entire project to compliance with federal requirements. Create at least five sequences under the phase 32. Each sequence will be programmed for the stipend amount using program number SD for each stipend. This program number will crosswalk to budget category 088849. This will allow reports to isolate amounts set aside for stipends.

- The funds will get encumbered under each of the sequences. This is due to the fact that the department entered into a stipend agreement with each of the firms. Therefore, all five have to be programmed in WPA and encumbered.

- If more than five firms have elected to be included on the shortlist, the district Work Program Office should be notified by the project manager to program additional sequences to cover all shortlisted firms, as necessary.

- The stipend agreements will be executed with the selected firms. The contract states that the firm that is awarded the contract will not get the stipend.

- The non-selected firms submit an invoice and are paid from the encumbrance.

- The funds encumbered for the stipend for the selected firm are unencumbered. Once unencumbered, these funds can be removed from the item.

c. Fast Response

Districts may set up a districtwide item number using a maintenance or construction phase and requesting a memo encumbrance of $120,000. This will allow the districts to have funds set aside when the need arises. When a qualifying event occurs, the Office of Comptroller (OOC) requires the amount to be encumbered no later than the next business day following the qualifying event, or the execution of the contract, whichever occurs first. The district can leave the remainder of the memo encumbrance for other occurrences in the reduced amount. At the end of the fiscal year, the remaining balance on the memo encumbrance related to the fast response contract must be deleted.

d. CM@Risk

- Use phase 32 for programming the design consultant fee.

- Use phase 32 with a separate sequence number for programming the pre-construction activities to be paid under the CM@Risk contract.

- Use phase 52 for programming the estimated cost of construction. This amount will be revised based on the guaranteed maximum price, once established. Also use a phase 62 for quality assurance inspection.

- Use the program plan crosswalk link in the References section of this chapter for the appropriate transportation system, phase and program number combinations.

D. METHODS TO ADDRESS BUDGETARY CONSTRAINTS AND INFLATIONARY RISKS

The department has developed the following strategies to address budget constraints and inflationary risks for construction projects: budgetary constraint specification, scope alternates, design-build maximum price, and design-build hybrid.

1. BUDGETARY CONSTRAINT SPECIFICATION

a. Establishing a Maximum Budget

The department will establish the budgetary constraint for a specific construction contract. This is not the department's official estimate for the work. This budgetary constraint amount will be established as follows:

- If the project is funded with district managed funds and requires additional resources and if funds and budget are available in the district, the district secretary will approve the request and copy the chief engineer and the director of the Office of Work Program and Budget (OWPB). If funds/budget are not available, then assistance in addressing the shortfall and approval of the budgetary constraint request is required by the chief engineer and the director of the OWPB.

- If the project is funded with statewide managed funds, the approval of the budgetary constraint request is required by the chief engineer and the director of the OWPB.

Disclosure of the department's budgetary constraint is done in an attempt to avoid rejection of all submitted bids for a contract. This process is established to provide contractors the opportunity to express any concerns regarding the department's established budgetary constraint amount prior to submission of their actual bid. If a contractor has concerns about the budgetary constraint amount, the contractor will submit a letter of concern to the department by a date certain as specified in the contract documents.

If the amount established as the budgetary constraint is greater than the amount currently programmed on the project, the programming will need to be adjusted accordingly, prior to federal authorization and prior to encumbrance of the funds for advertisement of the project. For federally funded projects, the amount in excess of the detailed cost estimate will be shown on the federal authorization request as non-participating. The authorization will be modified at the time of contract award, as applicable.

b. Programming Guidelines

- Use item group identifier BCS (budgetary constraint specification) to identify these projects.

- Use the link to the program plan crosswalk found in the references section of this chapter for the appropriate transportation system, phase and program number combinations.

2. SCOPE ALTERNATES

a. When Used

Scope alternates method is used to facilitate the award of a contract within budgetary constraints. Multiple project scopes are used in the proposal with a preferred scope of work and alternate scopes of work acceptable to the department assigned in priority order. The department intends to award the contract to the responsible bidder with the lowest bid for the highest priority scope alternate for which funds are available. The contractors are required to bid on all alternates in the proposal. Work program amount, advertised budget and authorization estimate to FHWA (if applicable) will be based on the preferred scope alternate.

For example, a contract is advertised using the scope alternates specification for weigh stations on both the northbound and southbound sections of I-95. The contract indicates that separate bids are required for the two scopes, one for stations on both sides of the highway and the second for a station only on the southbound side of the highway. Under this specification, the contractor provides a separate bid amount for pay items and quantities associated with each scope including mobilization and maintenance of traffic. Separate bids for each scope alternate will allow the contractors to consider pay item quantity and contract time differences between scope alternates. The lowest bid for the highest priority scope for which funding is available will be awarded.

Another example for when scope alternates might be used is a milling and resurfacing project scheduled to be performed at night as the preferred scope alternate. Milling and resurfacing during the day would be the next priority scope alternate followed by the hot-in-place recycling.

Bids would be received on all scope alternates with the contractors taking into account production rates for doing the work at night versus during the day as well as bids on a completely different method of resurfacing. Again, the lowest bid for the highest priority scope alternate for which funding is available will be awarded.

b. Programming Guidelines

- Use item group identifier SAC (scope alternate contracting) to identify these projects.
- Use the program plan crosswalk link in the References section of this chapter for the appropriate transportation system, phase and program number combinations.

3. DESIGN-BUILD – PROJECTS ESTIMATED AT $100 MILLION OR GREATER

Projects with an estimated construction cost of $100 million or greater may be considered to be let as design-build maximum price or design-build hybrid contracts.

A design-build hybrid contract is used when the design plans are 90% complete or fully completed prior to advertisement of the design-build contract. The design plans are provided to the firms responding to the RFPs. The RFPs for design-build hybrid projects may include a maximum budget amount, with an estimated construction cost of $100 million or greater. The proposals will be evaluated based on project scope, qualifications, quality, schedule and costs (not to exceed the maximum budget amount). This method has the advantage of immediately allowing the department to determine if the project is realistically achievable for the scope desired within the limits of a tight budget. If the market conditions during the time of procurement are such that desired scope may not be attainable within the limits of a tight budget, this process would allow for the department to reduce the scope accordingly, inform all the short-listed firms of the reduced scope, and still deliver the majority of the project in lieu of rejecting all bids, redesigning the project to a reduced scope and re-letting the project.

Design-build hybrid proposals are scored in the same fashion as other design-build contracts. All proposers, using the design plans provided by the department, develop design approaches/modifications with corresponding schedules that maximize the amount of scope that can be delivered without exceeding the maximum budget. The evaluation uses a form of weighted criteria with point scoring to arrive at a final score for each proposal and the project is awarded to the proposal that has the lowest adjusted score.

Disclosure of the department's maximum budget in either a design-build maximum price or design-build hybrid project is done in an attempt to avoid rejection of all submitted bids for a contract. This process is established to provide design-build firms the opportunity to express any concerns regarding the department's established maximum budget amount prior to submission of their actual bid. If a design-build firm has concerns about the maximum budget amount, the contractor will submit a letter of concern to the department by a date certain as specified in the contract documents.

If the amount established for the maximum budget is greater than the amount currently programmed on the project, the programming will need to be adjusted accordingly, prior to federal authorization and prior to encumbrance of the funds for advertisement of the project. For federally funded projects, the amount in excess of the detailed cost estimate will be shown on the federal authorization request as non-participating. The authorization will be modified at the time of contract award, as applicable.

E. PUBLIC PRIVATE PARTNERSHIPS (P3)

1. OVERVIEW

Per Section 334.30, F.S., the department may receive or solicit proposals and enter into agreements with private entities, or consortia thereof, for the building, operation, ownership or financing of

transportation facilities. Contact OOC-Project Finance, P3 Section when considering the P3 method of procurement.

Per Section 339.2825, F.S., the department is required to seek approval from the Governor, the chair of each legislative appropriation committee, the President of the Senate or the Speaker of the House of Representatives prior to starting procurement of the project.

A P3 is a contractual agreement between public and private sector partners which allows more private sector participation than is traditional. The private sector may design, construct, finance, operate, maintain, renovate and/or manage a facility or system.

All projects to be let using P3s, including design-build finance contracts, must be approved by the Secretary, the assistant secretary for engineering and operations, and the assistant secretary for finance and administration. This approval is to be coordinated through the department's comptroller.

A P3 project may be considered a Major Project and will require a financial plan. The initial financial plan described in Part IV-Chapter 3 Section C will need to be approved prior to federal authorization and annual updates will be required until FHWA determines they are no longer needed.

Please refer to the P3 Handbook on the OOC – P3 SharePoint site for additional details regarding initial feasibility analysis, procurement process information and ongoing project monitoring. Access to the P3 SharePoint site can be requested through the OOC – Project Finance Office.

2. PROJECT ADVANCEMENT

a. Design-Build Finance

Design-build finance involves the advancement of a project or group of projects currently programmed within the five-year adopted work program or advancement of a project or group of projects that would increase transportation capacity and are currently programmed within the 10-year SIS plan with an estimated cost greater than $500 million. A contractor will build the project now and receive reimbursement with funds programmed in the future. Payments to the contractor will be established in the design-build finance contract document based on a cash flow ("cash availability schedule") prepared by the OOC- Cash Forecast Section. A cash availability schedule is based on the typical payout schedule based on the program plan category of the project and on the year the funds are programmed.

Once a cash flow has been issued by the OOC-Cash Forecast Section for a design-build finance project, no programming changes may be made on the project without approval from the manager of the Work Program Development and Operations Office. This approval will not be granted until the OOC has concurred with the changes. This is necessary to ensure there are no financial impacts as a result of the changes.

b. Programming Guidelines

- Project(s) must already be included in the five-year adopted work program or, if greater than $500 million, be included in the 10-year strategic intermodal system plan.
- If more than one project is to be included in the contract, the projects need to be combined under one item segment number
- Funds may be shifted between phases, but the overall total for each fiscal year must remain the same.
- Budget is needed in the years the funds are programmed, i.e., the full amount of the contract is not needed in the year the project contract is executed.

- A decision on how CEI is to be contracted, either as part of the design-build finance contract or separately will need to be made. No change in the years of funding currently programmed may be made without prior approval from the OWPB and the OOC.

- All approved design-build finance projects once deemed financially feasible from a department-wide perspective are to be tagged with the item group identifier P3.

Example: Three projects currently programmed in the five-year adopted work program are to be let together as one design-build finance contract. Current programming is as follows:

ITEM	SEGMENT	SEQUENCE	PHASE	FUND	AMOUNT	FISCAL YEAR
123456	1	01	52	DI	$32,000,000	2017
123456	2	01	32	DI	$5,000,000	2018
123456	2	02	52	DI	$50,000,000	2020
123456	3	01	32	DI	$8,000,000	2017
123456	3	02	52	DI	$70,000,000	2019

The total amounts programmed per year are:

FISCAL YEAR	AMOUNT
2017	$40,000,000
2018	$5,000,000
2019	$70,000,000
2020	$50,000,000
TOTAL	$165,000,000

In this example, a new item segment would be established for the design-build finance project. The funding amount per year may not change from that in the adopted work program without approval by the OWPB and the OOC. Programming might be as follows:

ITEM	SEGMENT	SEQUENCE	PHASE	FUND	AMOUNT	FISCAL YEAR
123456	4	01	52	DI	$40,000,000	2017
123456	4	02	52	DI	$5,000,000	2018
123456	4	03	52	DI	$70,000,000	2019
123456	4	04	52	DI	$50,000,000	2020

The example provided is very simple as a means to demonstrate the instructions. The programming of actual design-build finance contracts will not typically be this straightforward. Contact the Office of Work Program Development and Operations for assistance.

No change in the cash availability schedule may be made without prior approval from the OWPB.

c. Design-Build Finance Contractor Fund Advance

Design-build finance contractor fund advance involves the advancement of a project or group of projects currently programmed within the five-year adopted work program or advancement of a project or group of projects that would increase transportation capacity and are currently programmed within the 10-year SIS plan. A contractor will pay the entire amount and build the project now and receive reimbursement with funds programmed in the future. This method should be used when there is no funding programmed in the year of contract award. Payments to the contractor will be established in the design-build finance contract document based on a cash flow ("cash availability schedule") prepared by the OOC- Cash Forecast Section. A cash availability schedule is based on the typical payout schedule based on the program plan category of the project and on the year the funds are programmed.

Once a cash flow has been issued by the OOC-Cash Forecast Section for a design-build finance project, no programming changes may be made on the project without approval from the manager of the Work Program Development and Operations Office. This approval will not be granted until the OOC has concurred with the changes. This is necessary to ensure there are no financial impacts as a result of the changes.

d. Programming Guidelines

- The phase 52 will be programmed with the fund code CFA (Contractor Fund Advance) as an allocation type 4 (non-budgeted)

- The phase 5D (Construction Repayment) will be programmed in the future years of reimbursement as allocation type 1 (budgeted)

- All approved design-build finance contractor fund advance projects once deemed financially feasible from a department-wide perspective are to be tagged with the item group identifier P3.

3. NEW PROJECTS

a. Greenfield Projects

Greenfield projects are new projects (projects not currently funded in the adopted work program) being produced through the department partnering with the private sector. It is a risk sharing approach to construction and long term operation. Such projects may involve a new transportation facility or the adding of capacity to an existing transportation facility. Contact OOC-Project Finance to discuss.

b. Programming Guidelines

- Each new project is anticipated to be unique in its funding requirements. Long term projects with payments based on "availability" of the facility to the public, "availability payment" projects. It is anticipated that there will be several funding sources for the availability payments and these sources will vary by project. Toll concession type projects, where the contractor is taking the toll revenue risk will follow a different set of programming guidelines than availability payment projects. Contact the Work Program Development and Operations Office and OOC-Project Finance for assistance in programming these types of projects.

- Any approved joint public-private partnership project shall be tagged with the item group identifier P3.

c. Civil Integrated Management Projects (3D Projects)

- 3D Design – A 3D Design is one in which the creative work or service of Engineering is performed with the full knowledge of the work-space in three dimensions. This implies the use of more modern methods performed with computer based tools allowing the design professional to view the project workspace in three dimensions, as one would in the real world.

- If the project is one in which cross sections or special profiles are needed to communicate design intent to the construction contractor or are necessary for the computation of quantities, the project should be designed using 3D Design methods.

- Use the Item Group **3DPR** for all projects that will include a 3D design element. It is imperative that all projects using this design method are properly coded.

4. LEASING EXISTING TOLL FACILITIES

With the exception of the Florida Turnpike System, the department may lease existing toll facilities through P3s. Each lease under joint public private development is anticipated to be unique based upon the specific circumstances and facility involved. Contact the Work Program Development and Operations Office for assistance in programming these type projects.

F. REFERENCES

Section 337.11, F.S.

Section 337.025, F.S.

Section 334.30, F.S.

Section 339.2825, F.S

P3 Handbook

Procedure 625-020-010, Design-build Procurement and Administration

Procedure 350-020-200, Contract Funds Management Funds Approval

Procedure 375-030-002, Acquisition of Professional Services

Procedure 575-000-000, Chapter 10.9, Joint Public/Private Development of Right of Way

FDOT employees can access the program plan crosswalk by using the following link:
http://webapp02.dot.state.fl.us/fmsupportapps/itemsegmentsearch/ProgramPlanCrosswalk.aspx

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PART III - CHAPTER 36: STRATEGIC INTERMODAL SYSTEM

A. STRATEGIC INTERMODAL SYSTEM

1. OVERVIEW

The strategic intermodal system (SIS) is a fundamental shift in the way Florida views the development of and makes investments in its transportation system. The SIS is composed of transportation facilities and services of statewide and interregional significance. It represents an effort to link Florida's transportation policies and investments to the state's economic development strategy, in keeping with the Governor's strategic imperative of diversifying Florida's economy. Development of the SIS focuses on complete end-to-end trips, rather than individual modes or facilities.

The SIS will play a key role in redefining roles and responsibilities in the planning and managing of Florida's transportation system where the state is focused on statewide and interregional transportation service. Strengthened regional partnerships provide a structure for identifying and implementing regional priorities. See the Investment Policy section of these instructions, for more information on the Florida Department of Transportation's (department's) investment policy related to this role.

The SIS and emerging SIS include multiple different types of facilities, each of which forms one component of an interconnected transportation system:

- Hubs - ports and terminals that move goods or people between Florida regions or between Florida and other markets in the United States and the rest of the world
- Corridors - highways, rail lines, inter-county urban fixed guideway transit, and waterways that connect major markets within Florida or between Florida and other states or nations
- Intermodal connectors - highways, rail lines or waterways that connect hubs and corridors
- Military access facilities - strategic highway network and strategic railway network facilities serving the main entrances of US Department of Defense military installations
- Intermodal logistic centers (ILC) - Section 339.63(5), Florida Statutes, provides a planned ILC may be designated as part of the SIS upon the request of the facility if it meets criteria and thresholds established by the department, meets the definition of ILC (identified in Section 311.101(2), F.S.), and has been designated in a local comprehensive plan or development order as an ILC or an equivalent planning term. The department currently is in the process of developing criteria and thresholds for ILCs

The hubs and corridors that comprise the SIS and emerging SIS were designated based on criteria and thresholds that were established by a 41-member steering committee in 2002, and adopted by the Legislature and Governor in 2003. Section 339.63, F.S., authorizes the Secretary of Transportation to periodically add facilities to or delete facilities from the SIS or emerging SIS, based on adopted criteria. These changes reflect the availability of new data showing that particular hubs or corridors now meet (or do not meet) the adopted criteria and thresholds; more precise measurements of the total driving distance between SIS hubs and emerging SIS hubs along SIS/emerging SIS corridors and connectors; and other technical corrections and updates to the steering committee's original analysis. Maps and lists of designated hubs and corridors can be found at the Systems Planning SIS Planning Portal at:

http://infonet.dot.state.fl.us/planning/systems/SIS/default.htm

The department and its partners also identified intermodal connectors between SIS and emerging SIS hubs and SIS corridors. The function of the connectors is to provide efficient, reliable, direct access between SIS and Emerging SIS hubs and the nearest or most appropriate SIS corridor. The connectors, which were adopted by the Secretary, were identified using factors including the frequency of use for interregional passengers or freight; the length of each potential connector; and the ability to provide high-speed, high-capacity, and limited access service. Maps and lists of designated connectors also can be found at the eSIS website at the following link:

http://webapp01.dot.state.fl.us/EnterpriseInformationAssets/ESIS/SearchPages/FacilitySearch.aspx

Section 339.61, F.S. made facilities and services designated on the SIS and emerging SIS eligible for funding from the state transportation trust fund, regardless of which entity owns the facility. The legislation also established funding sources and minimum funding levels for the SIS.

The system shall consist of appropriate components of:

- The national highway system(NHS).
- Airport, seaport, and spaceport facilities.
- Rail lines and rail facilities.
- Selected intermodal facilities; passenger and freight terminals; and appropriate components of the state highway system (SHS); county road system, city street system, inland waterways, and local public transit systems that serve as existing or planned connectors between the components listed above.

Section 339.135, F.S. requires the allocation of at least 50% of any new discretionary highway capacity funds to the SIS. The department has established a policy that 75% of all transportation capacity funds will be allocated to the SIS, with the exception of funds allocated for the transit program and surface transportation program funds attributable to areas with populations over 200,000 (SU funds).

The department, in cooperation with the Transportation Commission and other partners, developed a strategic intermodal system plan pursuant to Section 339.155, F.S. This plan includes a needs assessment, a project prioritization process, a map of SIS facilities and facilities that are emerging in importance that are likely to become a part of the system in the future, and a financed plan based on reasonable projections of anticipated revenues.

2. PARTNER MATCH REQUIREMENTS FOR SIS

The matching policy for SIS, emerging SIS and SIS growth management is as follows:

- 100 percent state contribution for SIS roadway and roadway connectors.
- 75 percent state and 25 percent non-state for SIS non-roadway connectors.
- 50 percent state and 50 percent non-state for hub capacity improvements.

In implementing this policy for non-roadway projects, the statutorily mandated provisions for matching requirements for each mode will be applied.

Please see the specific section for each mode for more detail on matching requirements. This information can be found in the Strategic Intermodal System Work Program Funding section of the SIS Handbook at:

http://www.dot.state.fl.us/planning/systems/programs/mspi/pdf/SIS%20Handbook_Update_Final_Draft.pdf

3. SIS GROWTH MANAGEMENT PROJECT SELECTION CRITERIA

The 2005 Legislature amended Section 201.15, F.S. to provide additional funding for strategic intermodal system. Projects are identified and prioritized for funding based on the following criteria:

- Meets SIS goals:
  - Mobility for people and freight, efficient operations, economic competitiveness and diversification
  - Safer and more secure system, quality of life and environmental stewardship, preservation and management
- Addresses growth management reforms:
  - Consistent with adopted local government comprehensive plans
  - Identified as a backlog facility
  - Supports mobility within a designated infill area, redevelopment and revitalization areas, and multimodal districts
  - Provide improved alternatives for moving goods
- Public/public or public/private match
- Programming criteria
  - Production readiness
  - Reserve for contingencies
  - Cost overruns for existing tentative work program projects are not eligible

4. WHEELS ON ROAD TAG AND TITLE FEE REVENUES

In 2015, the Florida Legislature passed SB 2514-A, amending s 320.072 F.S. increasing the distribution of revenues generated by certain motor vehicle registration transactions. Per the new legislation, “Wheels on Road” revenues will be deposited into the State Transportation Trust Fund (STTF) for use by the department. These revenues shall be used under the newly established fund code SIWR.

B. TEN YEAR PLAN (SIS)

1. OVERVIEW

The Ten Year Plan consists of the current adopted work program plus five years of capacity improvement projects defined in the Work Program Administration system. With the development of the tentative work program, the sixth fiscal year of the Ten Year Plan becomes the new fifth year of the tentative work program. The update of the Ten Year Plan then defines the new tenth year and determines the highest priority use of statewide managed resources added to the SIS.

Working with the districts, modal managers and the Work Program Development and Operations Office, the Systems Planning Office defines candidate projects for addition to the Ten Year Plan. Projects will be defined from the Cost Feasible Plan. Candidate projects for addition to the Ten Year Plan will then be identified and provided to the districts for review. Following review with the Assistant Secretaries, a draft updated Ten Year Plan will be reviewed with the districts.

Key steps are as follows:

- The Work Program Development and Operations Office will update program funding levels through the tenth year of the tentative work program, based on Schedule A. In coordination with the metropolitan planning organizations (MPOs) and local governments, some districts have been successful in obtaining funding commitments for the SIS program. Districts need to confirm the amount and year of these commitments, and advise the appropriate modal manager, work program development and operations manager, and the Systems Planning Office. Based on the current approved Ten Year Plan and the Cost Feasible Plan, the Systems Planning Office will propose an update to the Ten Year Plan balanced against the updated statewide SIS program allocations.

- Districts should review cost estimates and schedules, placing emphasis on the current year plus the five years of the tentative time frame. The districts should then review the same parameters for the 2nd five year time frame. Any adjustments should be identified to the work program development and operations manager to review and include in the Ten Year Plan. All projects that are on SIS facilities shall be coded with the appropriate item group identifier: SIS for mainline SIS facility, SISE for emerging SIS facility, SISC for a SIS connector, SISH for SIS hub, SISP for SIS planned add, and SISM for military access facilities, SISN for SIS non-designated. For further guidance please contact your district SIS coordinator.

- The proposed update to the current Ten Year Plan will be prepared by the Systems Planning Office and distributed to the Assistant Secretaries and districts for review. For assistance in identifying SIS facilities, please refer to the department Infonet website, under Policy Planning. Additional guidance may be obtained from the district SIS coordinator.

- Following receipt and resolution of district comments, the proposed updated Ten Year Plan will be reviewed with the modal managers, the Office of Work Program and Budget and the Assistant Secretaries. The work program development and operations manager will finalize statewide balancing actions consistent with guidance received from the Assistant Secretaries.

- Following review and approval by the Assistant Secretaries, the updated Ten Year Plan will be mapped by the Systems Planning Office and provided to the districts.

2. PROGRAMMING GUIDELINES

- SIS projects will be programmed with statewide SIS funds (ACNP, DI, BNIR, DIS) and district allocated funds.

- SIS projects programmed with growth management funds will use the GMR fund code.

- SIS projects programmed with wheels on road funds will use the SIWR fund code.

- State funds may be used to fund a project on a county/city road if that road has been designated as a SIS connector. This designation must be made by central office planning through the established process.

- Transportation system: Use Appendix D of these instructions for the appropriate transportation system.

- Phase and program number: Use the Program Plan/Work Program/Budget Crosswalk link in References section of this chapter for the appropriate phase and program number combinations.

- Work mix: Use Appendix D of these instructions for the capacity work mix as applicable.

- Section 339.61, F.S. allocated $60 million for the SIS. The DIS fund code will be used to track this specific funding with the appropriate program numbers.

  The following instructions apply to projects programmed with the DIS fund code:

  - Eligible projects on designated SIS hubs, corridors and connectors.

  - The eligibility of projects on SIS and emerging SIS hubs and terminals will be determined following the Capacity Funding Eligibility Matrix for SIS Facilities guidelines provided to the districts by the Systems Planning Office and shown in the following link:

http://www.dot.state.fl.us/planning/systems/programs/mspi/pdf/SIS%20Project%20Eligibility%20Matrix_9_2012.pdf

- In order to properly identify all SIS and emerging SIS projects, use the following item group identifiers:

  SIS A strategic intermodal system project which may include hubs, corridors, or intermodal connectors.

  SISE An emerging corridor project which may include hubs, corridors, or intermodal connectors.

  SISC A strategic intermodal project defined as a connector.

  SISH A strategic intermodal system hub.

  SISP SIS planned add

  SISM A military access corridor as defined in the SIS 2010 update.

  SISN Strategic intermodal project defined as not yet designated.

- How Item groups are used:

  SIS Used to identify projects on the strategic intermodal system.

  SISE Used to identify projects that are emerging corridor, hub or terminal on the strategic intermodal system.

  SISC Used to identify a SIS connector.

  SISH Used to identify a SIS hub.

  SISP Used to indicate a SIS facility that has an official Record of Decision (ROD) and will be added to the SIS. Funding beyond preliminary engineering (PE) may be used for a SIS planned add project.

  SISM Used to identify a military access facility serving the main entrance of a US Dept of Defense military installation.

  SISN Used on all projects that are not designated SIS. They are currently not on the SIS, or are considered proposed SIS and may become SIS designated. This item group identifier will be used alone. For these projects, SIS funding can only be used for planning and/or PD&E (project development and environmental) phases prior to becoming SIS designated.

C. SIS HIGHWAY CORRIDORS

1. OVERVIEW

The department shall plan and develop SIS highway corridors, including limited and controlled access facilities, allowing for high-speed and high-volume traffic movements within the state. The primary function of the corridors is to provide such traffic moments. Access to abutting land is subordinate to this function, and such access must be prohibited or highly regulated.

- SIS highway corridors shall be developed pursuant to Section 339.65, F.S. and shall include facilities from the following components of the SHS that meet the criteria adopted by the department, pursuant to Section 339.63, F.S.:
    - Interstate highways.
    - The Florida Turnpike System.
    - Interregional and intercity limited access facilities.
    - Existing interregional and intercity arterial highways previously upgraded or upgraded in the future to limited access or controlled access facility standards.
    - New limited access facilities necessary to complete a balanced statewide system.
- Projects to be constructed as part of the SIS highway corridor shall be included in the department's adopted work program.
- Any SIS highway corridor projects that are added to or deleted from the previous adopted work program, or any modification to the SIS highway corridor projects contained in the previous adopted work program, shall be specifically identified and submitted as a separate part of the tentative work program.

2. PROGRAMMING GUIDELINES

Districts may also program any district allocated fund on any SIS capacity improvement project phase.

Projects with new lanes added that have PE and/or right of way phases on separate segments should have a work mix applicable to the construction that these segments apply to. To program capacity projects, use the work mixes listed as capacity in Appendix D of these instructions.

D. INTERSTATE

1. OVERVIEW

The interstate construction program provides funding for preservation projects, capacity improvements, intelligent transportation systems (ITS) and new or modified interchanges on the interstate system.

The interstate program is developed and managed statewide based on the need for preservation and safety improvements and based on the Ten Year Plan, and as part of the interstate component of the Cost Feasible Plan.

The chief engineer is responsible for defining and prioritizing preservation and safety projects. The Assistant Secretary for Intermodal Systems Development is responsible for developing and updating the Cost Feasible Plan and the Ten Year Plan. This is done working jointly with the district planning staff to determine the priority of corridors identified for capacity improvement. Inclusion of corridors for capacity improvement in the Cost Feasible Plan and the Ten Year Plan is determined by the Assistant Secretary for Engineering and Operations and the Assistant Secretary for Finance and Administration. Specific project definition and initial programming consistent with the Cost Feasible Plan and the SIS Ten Year Plan are the responsibilities of the districts. However, because the districts are heavily involved in developing the Ten Year Plan, the major effort for the districts with respect to capacity improvement project programming, should be defining projects for the ***new tenth year***. As in prior years, final statewide annual program balancing will be accomplished by the Work Program Development and Operations manager with guidance from the Assistant Secretaries with respect to project priorities.

a. Interstate Program and Project

- Interstate preservation and safety program - Interstate preservation and safety program projects are defined to include: resurfacing; reconstruction (except capacity); bridge repair and replacement; bridge widening (except lane additions); rest area maintenance and renovations; weigh and weigh-in-motion station maintenance and renovations; other construction such as fencing, landscaping, noise barriers, signing, and lighting; and the preservation and safety components of auxiliary lanes, HOV/special purpose lanes, and interchange modifications.

- Interstate capacity improvement program - The interstate capacity improvement program projects are defined to include: construction of additional lanes; the capacity improvement component of interchange modifications; new interchanges; managed lanes for through traffic, public transit vehicles and other HOVs; bridge replacement that provides increased capacity; and other construction to improve traffic flow, such as ITS, incident management systems, vehicle control and surveillance systems; the preferred alternative defined by an approved multi-modal interstate master plan; weigh-in-motion stations; and new weigh stations and rest areas.

- Safety - Public safety will be addressed by programming funds to correct or improve interstate sections experiencing unusually high accident rates.

- Additional capacity - Funds programmed to provide additional capacity will be consistent with the SIS Cost Feasible Plan and the SIS Ten Year Plan.

2. PROGRAMMING GUIDELINES

- Fund Codes: Districts should use the ACNP fund code when initially programming phases.

- Right of way and bridge bond funds (BNIR) have been allocated to the statewide SIS program and will primarily be used for right of way acquisition.

- State funds (DI, DIS, GMR and SIWR) have been allocated to the interstate program and will primarily be used to fund project phases not qualifying for federal participation. All Interstate projects must be developed to meet Federal Highway Authority (FHWA) specifications.

- Phase and Program Number: Use the Program Plan Crosswalk in the References section of this chapter for the appropriate phase and program number combinations.

- Transportation System and Work Mix: Use Appendix D of these instructions for the appropriate transportation system and work mix.

Districts may program preventive maintenance such as joint repair, shoulder repair, bridge, painting/crack sealing/seismic retrofit, pavement patching, or restoration of drainage systems on the interstate system using their available district allocated federal funds if desired. These activities should be programmed as construction phases, using program number 02. Statewide interstate funds (ACNP, DI, DIS, GMR, SIWR and BNIR) will not be used for preventive maintenance work.

Districts may use their allocated funds for interstate capacity improvement project funding. In addition, districts, local government and MPOs are encouraged to use other eligible federal, state, local and private funds to supplement the interstate work program.

The policy of the department is to program funds for noise abatement as part of a highway construction project. Noise abatement will only be considered for projects on new locations or for capacity expansion projects. Exceptions to this policy may be allowed on a project specific basis if approved by the Secretary and FHWA, for federally funded projects.

When multiple program numbers are used on a financial project, assign a separate financial project sequence for each program number.

When programming resurfacing projects on interstate facilities that are also toll roads use transportation system 01. Currently this is only applicable to three facilities: the Sunshine Skyway (fund code DSB1), the Alligator Alley (fund code DSB2) and I-95 Express (fund code DSBD).

Contingencies and box items - An interstate contingency box may be established in each district (current year only) for the purpose of accommodating supplemental agreements and claims as required depending on fund availability. Each district will be responsible for ensuring these funds and corresponding budget are used exclusively for this purpose. All remaining interstate contingency funds and corresponding budget will be programmed in statewide reserve items and managed on a statewide level. Should the districts require additional funds to cover supplementals or claims, they must submit a written request to the work program development and operations manager, in the Office of Work Program and Budget, documenting the need.

As a result of the consolidation of budget categories, it is no longer possible to differentiate between budget dedicated for the interstate program from that utilized for other design, construction, resurfacing, etc., purposes in the districts. Accordingly, it is the responsibility of each district to ensure that any fund adjustments made to an interstate funded project within their district are balanced to their budget.

Budget and fund increases - As required in the past, districts must notify the work program development and operations manager, in the Office of Work Program and Budget, and request additional funding before adjustments are made to interstate projects programmed in their districts. When districts request increased funding for estimate increases or changes in the scope of work, etc., on projects that are funded with statewide funds, they should submit an e-mail to the work program development and operations manager who will accommodate the need from the statewide reserve box (if funding and budget are available). Such requests should include the item number; the fund/budget amount needed; the fund type required; the phase; associated program number, and an explanation for the fund/budget increase. When additional statewide funds are approved and transferred to the districts, the districts are responsible for initiating budget allotment transfers requesting budget to support the funds transferred from the statewide reserve box.

Budget and fund decreases - When cost estimates on interstate project phase's decrease as a result of lower bids, the district will box the amount of the decrease in a district contingency box. The work program development and operations manager may request the district to transfer the funds and budget made available from the estimate decrease to the statewide reserve to meet statewide SIS priority needs.

Use of AC for the interstate - Schedule A reflects the portion of AC allocated for the statewide funded portion of the SIS program which is included in the ACNP fund allocations. Projects programmed as

ACNP will not be captured in the district PAR summaries, thus PAR balances will properly track the district allocations issued in Schedule A.

When programming additional capacity as Managed Lanes, please add the group identifier MGLN.

E. FREIGHT CONNECTORS FUNDING PROGRAM

The purpose of this program is to help fund the connections to freight terminals and related facilities. The improvement and enhancement of freight movement is the overall goal. Project identification and programming in the tentative work program will occur annually following the adoption of the work program. Projects may be identified for funding over the five years of the work program, or if necessary, over the 10 years of the SIS plan (work program and 2nd 5 Year Plan).

Program Requirements:

- Projects must be on the NHS and/or the SIS.
- Projects must be on a designated NHS intermodal connector serving a SIS airport, seaport, rail freight terminal, truck freight terminal or a designated SIS connector to a SIS airport, seaport, spaceport, rail freight terminal, truck terminal or intermodal logistics center (ILC).
- Projects cost estimates should be under $5 million.
- Projects can be funded for PD&E, PE, Right-of-Way, or Construction.
- Projects can be funded for capacity improvements and safety improvements including: resurfacing, shoulder work, lighting, signage, pavement markings, turn lanes, intersection improvements, traffic signals, railroad crossings, bridge repair and improvements, intelligent transportation systems, design work and studies. Projects can be funded for design-build or through traditional phasing.

The fund codes ACNP, GMR, DI, DIS, SIWR, BNIR should be used when programming these projects. The group identifiers for SIS, and/or NHS should be used also. The group identifier for NHS connectors is NHSC and the group identifier for SIS connectors is SISC.

Projects for this funding must be approved by central office Systems Planning prior to programming.

F. USE OF DISTRICT ALLOCATED FUNDS ON SIS CAPACITY PROJECTS

1. OVERVIEW

Section 339.135(4), F.S. states: “The department shall allocate at least 50 percent of any new discretionary highway capacity funds to the strategic intermodal system (SIS).” In addition, the department’s executive leadership team established the investment policy to allocate 75 percent of new discretionary capacity to the SIS and 25 percent to Non-SIS. To meet this requirement a portion of district allocated funds must be programmed on SIS capacity projects.

The Ten Year Plan includes projects funded with both statewide managed funds and district allocated funds. For the 2nd five years, statewide managed funds are loaded into the tentative work program development cycle file of the work program. Projects funded in the 2nd five years with district allocated funds will be loaded in the tentative work program development cycle (G1) file of the work program also. SIS projects funded with district allocated funds loaded in the G1 file will be consistent with those identified in the approved Cost Feasible Plan and 10 Year Plan.

2. PROGRAMMING GUIDELINES

- Programming district allocated funds in the 2nd five years should only address capacity projects on the SIS. This would not include resurfacing, rest areas, safety, or weigh station projects.

- Fund Codes: Districts should program district allocated funds on planned SIS capacity projects in the candidate file. They should be programmed on approved SIS Cost Feasible Plan projects in the 2nd five years of the work program. Support costs for district funded SIS project phases must also be funded with district allocated funds.

- Phase and Program Number: Use the Program Plan Crosswalk in the references section of this chapter for the appropriate phase and program number combinations.

- Transportation System and Work Mix: Use Appendix D of these instructions for the appropriate transportation system and work mix.

Item Group Identifier: When programming SIS projects the appropriate item group identifier should be used: SIS for a mainline SIS facility; SISE for an emerging SIS facility; or SISC for a SIS connector, SISP for SIS planned add, SISM for SIS military access facility, and SISN for SIS non-designated. For assistance in identifying SIS facilities, please refer to the department's SIS Atlas at:

http://www.dot.state.fl.us/planning/systems/programs/mspi/pdf/Complete%20Book.pdf

G. TURNPIKE ENTERPRISE

1. OVERVIEW

The Florida Turnpike Enterprise (turnpike enterprise) includes only those expansion projects in the tentative work program approved by the legislature. Candidate expansion projects must conform to the turnpike enterprise master plan and be added to the SIS prior to seeking approval from the legislature. Expansion projects must be economically feasible consistent to the maximum extent feasible with Local Government Comprehensive Plans, and reviewed by Department of Environmental Protection with a required statement of environmental feasibility.

Turnpike enterprise funds shall be programmed in accordance with the Cost Feasible Plan for consistency with department policy and standards.

2. PROGRAMMING GUIDELINES

- Fund Codes: Use the Program Plan Crosswalk in the references section of this chapter for the appropriate fund codes.
- Phase and Program Number: Use the Program Plan Crosswalk in the references section of this chapter for the appropriate transportation system, phase and program number combinations. Also, note the following: Use program number 02 for turnpike improvement construction and transportation system 02, phase 52.
- Transportation System and Work Mix: Use Appendix D of these instructions for the appropriate transportation system and work mix.

H. SIS TRAFFIC OPERATIONS

See the Traffic Engineering and Operations chapter of these instructions for programming information.

I. REFERENCES

Section 201.15, F.S.

Section 338.001, F.S.

Section 339.63, F.S.

Section 339.135, F.S.

Section 339.155, F.S.

Procedure 000-360-005, Noise Abatement

FDOT Employees can access the Program Plan Crosswalk by using the following link:
http://webapp02.dot.state.fl.us/fmsupportapps/itemsegmentsearch/ProgramPlanCrosswalk.aspx

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PART III - CHAPTER 40: TRANSPORTATION REGIONAL INCENTIVE PROGRAM (TRIP)

A. GENERAL OVERVIEW

The Transportation Regional Incentive Program (TRIP) was created pursuant to Section 339.2819, Florida Statutes to provide an incentive for regional planning, to leverage investments in regionally significant transportation facilities (roads and public transportation) in regional transportation areas created pursuant to Section 339.155, F.S. and link investments to growth management objectives.

TRIP funds provide state matching funds for improvements to regionally significant facilities identified and prioritized by regional partners. Projects must meet the requirements of Section 339.155, F.S., and the funding partners must execute an interlocal agreement for TRIP funds to be used on facilities that are designated regionally significant in a regional transportation plan. The plan also must be included in the prioritized list of regionally significant projects. Projects funded under TRIP must be included in the department's work program.

The department may only fund projects with TRIP funds meeting certain eligibility criteria, including those projects which:

- Serve national, statewide or regional functions and function as part of an integrated regional transportation system
- Are identified in the capital improvements element of the applicable local government comprehensive plan that is in compliance with requirements
- Are included in the MPO LRTP, the STIP and TIP and be consistent with the local government comprehensive plan
- Are consistent with the Strategic Intermodal System Plan developed under Section 339.64, F.S.
- Are in compliance with local corridor management policies
- Have commitment of local, regional or private matching funds

In addition, the department must give priority to certain types of projects for funding under TRIP, including those projects which:

- Provide connectivity to the Strategic Intermodal System
- Support economic development and goods movement in rural areas of critical economic concern designated under Section 288.0656, F.S.
- Are subject to local ordinances that establish corridor management techniques
- Improve connectivity between military installations and the strategic highway network or the strategic rail corridor network
- Have matching funds available to be committed to the project

There are two revenue sources for TRIP.

- A portion of document stamp tax revenues are used for TRIP as specified in s 201.15(1)(c), F.S. The revenues are allocated for TRIP with the fund code **TRIP**

- In 2015, the Florida Legislature passed SB 2514-A, amending 320.072 F.S. increasing the distribution of revenues generated by certain motor vehicle registration transactions. Per the new legislation, "Wheels on Road" revenues will be deposited into the State Transportation Trust Fund (STTF) for use by the department. These revenues shall be used under the newly established fund **TRWR**

B. PROGRAMMING GUIDELINES

- The percentage of matching funds provided from TRIP shall be up to 50 percent of project cost.

  - For purposes of the match requirement for TRIP, a "project" is defined as any eligible phase or combination of phases proposed for funding and associated with an improvement to a TRIP eligible facility.

  - The following example is a construction project estimated at $100,000 with the maximum matching funds of 50 percent from TRIP:

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
52	01	02	TRIP/TRWR	$50,000	1	20XX
52	01	02	LFP	$50,000	1	20XX

Note: There is no requirement that a phase be fully funded by TRIP and the required match.

  - The following is an example for a construction project estimated at $100,000 where the matching funds from TRIP is 40 percent of project cost:

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
52	01	02	TRIP/TRWR	$40,000	1	20XX
52	01	02	LFP	$60,000	1	20XX

Note: There is no requirement that a phase be fully funded by TRIP and the required match. In this example, the local share will need to increase to cover the total project cost.

  - Federal earmarks or Federal Transit Authority (FTA) funds may not be used as a match for TRIP. However, federal earmarks and FTA funds may be used to arrive at the "project cost" amount for determining the amount of TRIP funds that need to be used to totally fund the project. In other words, the split would be based on the total project cost less the amount of the federal earmark or FTA funds. In this example, the HPP funds (federal earmark of $20,000) is deducted from the $100,000 leaving $80,000 to be split between TRIP funds and the local match (LFP). This example assumes the maximum matching funds of 50 percent from TRIP.

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
52	01	02	TRIP/TRWR	$40,000	1	20XX
52	01	02	LFP	$40,000	1	20XX
52	01	02	HPP	$20,000	1	20XX

  - The district/MPO may use federal SU funds or local funds for the required match.

    Example: Programming (project managed by department) total estimated cost - $1,000,000:

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
52	01	02	TRIP/TRWR	$500,000	1	20XX
52	01	02	SU	$500,000	1	20XX

Note: In the above example, the federal SU funds are to be authorized at 100% in the Federal Aid Management System. This example assumes the maximum matching funds of 50 percent from TRIP.

- For off-system projects, if there are any non-participating costs associated with project, local funds must be programmed to cover these costs. This example assumes the maximum matching funds of 50 percent from TRIP.

  Example: Programming (project managed by local government): Total estimated cost - $1,000,000.

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
54	01	02	TRIP/TRWR	$500,000	1	20XX
54	01	02	SU	$409,650	1	20XX
54	01	02	LFP	$90,350	4	20XX

  Note: In the above example, there are non-participating costs associated with the project which are not eligible for federal SU funds. In this example, local funds are programmed to cover these costs.

- Projects off the State Highway System/off the Federal Highway System. For projects off the State Highway System and Federal Highway System, local funds must be used for the local match, for TRIP funds.

- Funds loaned from the State Infrastructure Bank (SIB) may be used to fund half of the local match for TRIP funds. Future repayments to the SIB must be made from federal SU or local funds.

  - ✓ For State Highway System projects, SU funds may be used for the repayment.

  - ✓ For Federal Highway System projects that are off the State Highway System, SU funds may be used for the repayment.

  - ✓ For additional information on SIB loan requirements, see the State Infrastructure Bank chapter of these instructions.

- For public transportation projects, SU funds may be used to fund 50% of the project costs on an SU eligible project. If there are any non-participating costs associated with the project, local funds must be programmed to cover this.

- The department shall allocate funding available for TRIP by statutory formula to the districts.

- All project phases may be considered for TRIP funding, with the exception of in-house phases. Right of way and construction phases should be given the highest priority in the early years of the program.

- TRIP funds may be used on the SIS provided that SIS facilities are designated as regionally significant facilities in a regional transportation plan and matching funds are committed to a SIS project.

- TRIP funds are not limited to use on projects on the State Highway System.

- In-kind match – In-kind services are goods, commodities, or services received in lieu of cash payments.

  - Goods and commodities should be valued based on their current market value in accordance with generally accepted accounting principles as determined by the Office of the Comptroller. The value for land donated should be determined in accordance with guidelines established by the Office of Right of Way. (See the Right of Way Chapter of these instructions.)

  - Property donated by local governments for right of way as the local share for a qualified project must comply with the requirements of the Federal Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, 42 U.S.C. 4601, et seq., and implementing Federal Regulations, 49 CFR Part 24 and 23 CFR Part 710, if federal funds will be used in any phase of the project. Other requirements for the acquisition of right of way should be determined in accordance with guidelines established by the Office of Right of Way.

  - The excess of an in-kind match valued in excess of the required match will not generally be applied towards another project. On a case by case basis, an exception may be made for project segments in a regional corridor that are part of an implementation plan for that corridor.

  - The in-kind match may be used dollar for dollar to match TRIP funds.

    Example: A local government offers $4,000,000 in right of way plus cash of $3,000,000 as the required match for a $10,000,000 TRIP construction project. The total project cost for matching purposes would be $14,000,000; $7,000,000 are programmed for TRIP and the total local match is $7,000,000 which includes right of way plus cash. This example assumes the maximum matching funds of 50 percent from TRIP.

    If the department were managing the construction project, it would be programmed as follows:

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
43	01	00	LF	$4,000,000	4 (In-Kind Match)	20XX
52	01	02	TRIP/TRWR	$7,000,000	1	20XX
52	01	02	LFP	$3,000,000	1	20XX

- Private funds may be part of local matching funds required for a TRIP project.

- Certain rural communities and counties may be eligible for a waiver of or reduction in the required match for TRIP funds (see the Rural Economic Development Initiative (REDI) chapter of these instructions). Only that geographic portion of the project that falls within the qualified rural area is eligible for the waiver.

  Example: Project on the State Highway System (managed by the department):

  A project on the State Highway System in Madison County is approved for TRIP funding. The total cost for construction is $12,000,000. Madison County is eligible for a reduction or waiver of the match under the REDI. For this particular project, Madison County has requested and been approved to reduce their match to 25%. The district has decided the scope of the project is to remain the same and will use DS funds to cover the difference between the TRIP, the local match and the total cost of construction.

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
52	01	02	TRIP/TRWR	$7,000,000	1	20XX
52	01	02	LFP	$1,750,000	1	20XX
52	01	02	DS	$3,250,000	1	20XX

Note: While the match requirement would be $7,000,000, in this example the local government only pays $1,750,000 (25% of the match). The remainder of the cost of construction, $3,250,000, may be covered by district managed funds. The project would be tagged with the REDI item group identifier to indicate the approved reduction in match.

Example: Project off the State Highway System (managed by the local government):

A project, off the State Highway System in Madison County, is approved for TRIP funding. The total cost for construction is $12,000,000. Madison County is eligible for a reduction or waiver of the match requirement under the REDI. For this particular project, Madison County has requested and been approved for a waiver of the required match. The district has determined that the scope of the project will be reduced to the level of the available funds. This example assumes that no more than 50% of project costs are funded with TRIP funds.

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
54	01	02	TRIP/TRWR	$6,000,000	1	20XX

Note**:** This project would be tagged with the WAIV item group identifier to indicate the waiver of the match requirement.

If the district had determined the scope of the project needed to remain the same, the district would need to identify other available district managed funds for which this project would qualify. Being an off system project, the availability of other qualifying funds is limited. As authorized under the REDI pursuant to Section 288.0656(7)(a), F.S., and the waiver of financial match requirements in Section 288.06561, F.S., the department may use TRIP funds or other district funds to pay for 100% of project costs for eligible rural areas of critical economic concern so long as all other TRIP eligibility requirements are met.

Example: Project off the State Highway System (managed by the local government):

A project, off the State Highway System in Madison County, is approved for TRIP funding. The total cost for construction is $10,000,000. Madison County is eligible for a reduction or waiver of the match requirement under the REDI. For this particular project, Madison County has requested and been approved for a waiver of the required match. The district has determined the scope of the project needs to remain the same and being off system project, the availability of other qualifying funds is limited. The district is using TRIP funds to pay for 100% of project costs.

PHASE	SEQUENCE	PROGRAM NO.	FUND	AMOUNT	ALLOC TYPE	FISCAL YEAR
54	01	02	TRIP/TRWR	$10,000,000	1	20XX

Note**:** This project would be tagged with the WAIV item group identifier to indicate the waiver of the match requirement.

Use appropriate program number, phase and transportation system.

- TRIP funds should not be used to program in-house support.
- A JPA must be executed with the local entity.
- Departmental right of way acquisition procedures must be followed by the local governments on all TRIP funded projects located on the State Highway System regardless of the phase of work being funded through TRIP. Local governments may use their own right of way acquisition procedures for

TRIP funded projects off the State Highway System unless federal funds are or will be used on the project. In that case, the local government must comply with the Federal Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended.

Questions related to the TRIP should be addressed to the Office of Policy Planning. Questions related to programming should be addressed to the Work Program Development and Operations Office.

District TRIP Coordinators

Central Office	Lorraine Moyle	(850) 414-4383
District One	Carol Wakley Lisa Brinson	(863) 519-2225 (863) 519-2836
District Two	Jordan Green	(904) 360-5646
District Three	Alicia Brininger	(850) 330-1550
District Four	Leslie Wetherell Sabrina Aubery	(954) 777-4438 (954) 777-4585
District Five	Lisa Buscher	(386) 943-5452
District Six	Aiah Yassin	(305) 470-5485
District Seven	Lee Royal Brian Beaty	(813) 975-6427 (813) 975-6283

C. REFERENCES

Section 163.01, F.S.

Section 163.3177(3), F.S.

Section 201.15(1)(c)

Section 288.0656(7), F.S.

Section 320.072

Section 339.135(3)(d), F.S.

Section 339.155(4), F.S.

Section 339.2819, F.S.

Section 339.64, F.S.

SB 2514-A

42 U.S.C. 4601

49 CFR – Code of Federal Regulation part 23 & 24.

Guidance Document 10 - Guidance for Local Government Match Right of Way Contributions for Growth Management (TRIP) Projects

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PART III - CHAPTER 41: FLORIDA TURNPIKE ENTERPRISE AND OTHER TOLL FACILITIES

A. TURNPIKE ENTERPRISE

1. OVERVIEW

The Florida Turnpike Enterprise (turnpike enterprise) is exempt from selected departmental policies, procedures, and standards; however, it is not exempt from statutory requirements. It is the intent of the Legislature that the turnpike enterprise be provided additional powers and authority in order to maximize the advantages obtainable through fully leveraging the Florida Turnpike System (turnpike system) asset. The flexibility enables the turnpike enterprise to more easily pursue innovations as well as best practices found in the private sector in management, finance, organization and operations. The additional powers and authority are intended to improve cost-effectiveness and timeliness of project delivery, increase revenues, protect the turnpike enterprise's bondholders and further preserve, expand, and improve the turnpike system.

All expansion projects included in the turnpike system have been approved by the Legislature. Candidate expansion projects must conform to the turnpike enterprise master plan and be added to the Strategic Intermodal System prior to seeking approval from the Legislature. Expansion projects must be economically feasible; consistent to the maximum extent feasible with local government comprehensive plans, and reviewed by Department of Environmental Protection with a required statement of environmental feasibility.

Through fiscal year 16/17, the Florida Department of Transportation (department) shall program sufficient funds in the tentative work program such that the percentage of turnpike enterprise toll and bond financed commitments in Miami-Dade County, Broward County, and Palm Beach County as compared to total turnpike enterprise toll and bond financed commitments shall be at least 90 percent of the share of net toll collections attributable to users of the Florida Turnpike System in those counties. This requirement does not apply when the application would violate any covenant established in a resolution or trust indenture relating to the issuance of turnpike enterprise bonds.

The bond cap is set at $10 billion outstanding for those projects as defined in Section 338.2275, Florida Statutes. The department is authorized to use turnpike enterprise revenues, the State Transportation Trust Fund (STTF) monies allocated for turnpike enterprise projects, and bond proceeds to finance any approved projects in the turnpike enterprise's work program.

Schedule B targets will not be issued for the turnpike enterprise.

2. GENERAL PROGRAMMING GUIDELINES

- See the following program plan crosswalk link below for the appropriate transportation system, program number, phase and fund combinations.

http://webapp02.dot.state.fl.us/fmsupportapps/itemsegmentsearch/ProgramPlanCrosswalk.aspx

- For turnpike improvement construction, use program number 02, transportation system 02 and phase 52.

- For turnpike toll equipment purchase use program number 48, transportation system 02 and phase 93 (capital purchase).

- Use program number 02, phase 52 and transportation system 02 for turnpike rehabilitation other than resurfacing and bridge rehabilitation and replacement.

- For fixed capital outlay (FCO), use program number 37 and transportation system 12 (facilities). The turnpike enterprise FCO program is subject to the same level of review and control as are other department buildings. Turnpike enterprise buildings, which are not involved in the collection of turnpike revenue or not directly related to a specific turnpike project, will be considered part of the department's FCO program. More specifically, those buildings on the turnpike system, which are primarily administrative in nature and are not associated with collection of turnpike revenue, such as toll plazas, sales facilities, service stations or facilities required for the operations of a specific revenue producing project, are included in the department's FCO program.

- The turnpike enterprise uses the following funds for programming:

PKYI	Turnpike Improvement
PKYR	Turnpike Renewal and Replacement
PKYO	Turnpike Operations
PKBD	Turnpike Master Bond Fund – fund to be used on projects with a life expectancy of 30 years or greater, at this time
PKM1	Turnpike Maintenance
PKLF	Turnpike Local Support
PKED	Turnpike Economic Development – 2012 Senate Bill 1998

3. TOLL OPERATIONS - TURNPIKE ENTERPRISE FACILITIES

a. Overview

The Office of Turnpike Toll Operations is responsible for programming and maintaining toll facilities operation phases.

PKYO funds will be programmed for turnpike toll operations activities on the turnpike. The Office of Turnpike Toll Operations is responsible for coordinating with the turnpike enterprise concerning PKYO Funds.

b. Programming Guidelines

- Financial sequences will be established under one item segment.

Sequence 01	Seminole I and II
Sequence 02	Beachline West
Sequence 03	Veterans
Sequence 04	Northern Coin
Sequence 05	Central Ticket
Sequence 06	Southern Coin
Sequence 07	HEFT
Sequence 08	Southern Connector Extension
Sequence 09	Polk
Sequence 10	Unassigned
Sequence 11	Suncoast
Sequence 12	Western Beltway “C”
Sequence 13	Other Toll Facilities/ OOLEGO
Sequence 14	First Coast Expressway
Sequence 15	I-4 Connector
Sequence 16	Beachline East

- Use program number 48 for toll facilities.
- Use phase 81 for in-house.
- Use phase 82, program number IS for in-house operations consultant.
- Use phase 82, program number 48 for toll operations contracts.
- Use transportation system 02.
- Use appropriate distribution area for toll and turnpike enterprise facilities.

See the Overview of Major Programs chapter in Part IV, Federal Aid Programs for further information.

B. NON-TURNPIKE TOLL FACILITIES

1. OVERVIEW

Section 338.165, F.S., authorizes the department to use excess revenue for the construction, maintenance, or improvement of any road on the State Highway System; and to request the Division of Bond Finance to issue bonds secured by toll revenues collected on the Alligator Alley, the Sunshine Skyway Bridge and the Pinellas Bayway to fund transportation projects located within the county or counties in which the toll facility is located and contained in the adopted work program of the department.

Section 338.166, F.S., authorizes the department to use excess revenue for the construction, maintenance, or improvement of any road on the State Highway System or to support express bus service on the facility; and to request the Division of Bond Finance to issue bonds secured by toll revenues collected on high-occupancy toll lanes or express lanes established on facilities owned by the department to fund transportation projects on any road on the State Highway System (SHS) within the county or counties in which the toll revenues were collected.

2. GENERAL PROGRAMMING GUIDELINES

When programming toll funds (DSBX, TMXX, TOXX), the appropriate distribution area must be completed. See chart for the distribution area code.

TOLL FACILITY SYSTEMS LIST

	Distribution Area	Facility Name	Toll Operations	Maintenance	Capital Improvement	Existing RCI Location	County/ Section
SUNSHINE SKYWAY							
	SKWYMA	Sunshine Skyway Bridge(Manatee Co)	T001	TM01	DSB1	9.768-11.982	13130
	SKWYPI	Sunshine Skyway Bridge (Pinellas Co)	T001	TM01	DSB1	0-8.874	15170
	SKWYBD	Sunshine Skyway Bridge – Bonds			DSB1		
EVERGLADES PARKWAY (Alligator Alley)							
	EVGLCO	Everglades Parkway (Collier Co)	T002	TM02	DSB2	0-49.263	03175
	EVGLBR	Everglades Parkway (Broward Co)	T002	TM02	DSB2	19.578-45.41	86075
	MM63FS	Alley Mile Marker 63 Fire Station			DSB2	11.701-12.755	03175
PINELLAS BAYWAY							
	PINBWY	Pinellas Bayway	T003	TM03	DSB3	0-9.839	15200
I-95 EXPRESS							
	I95EXB	I-95 Express (Broward Co)	T0BD	TMBD	DSBD	14.160-13.800	87270
	I95EXD	I-95 Express (Miami-Dade Co)	TOBD	TMBD	DSBD		
	95XOFF	I-95 Express – Off System			DSBD		
MID-BAY BRIDGE							
	MIDBAY	Midbay Bridge	T007	TM07	DSB7	.982-4.736	57518
	MIDBAY	Toll Plaza	T007	TM07	DSB7	4.736	57519
SANTA ROSA BAY BRIDGE AUTHORITY							

	Distribution Area	Facility Name	Toll Operations	Maintenance	Capital Improvement	Existing RCI Location	County/ Section
	GARCON	Garcon Point	T0BC	TMBC	DSBC	0-10.941	58170
CENTRAL FLORIDA EXPRESSWAY (Formerly OOCEA)							
	BEELNM	Beachline Main Expwy (SR 528)	T011	TM11	*DSBB	7.944-30.341	75002
	ORLEXY	Orlando Airport Expwy Plaza (SR 528)	T011	TM11	DSBB	9.570	75472
	BEELNM	Beachline Expwy - ICP Plaza (SR 528)	T011	TM11	DSBB	Plaza	75002
	FOREST	Forest Park Facility	T011	TM11	DSBB	34.646-34.984	75320
	HOLLEW	East-West Expressway	T011	TM11	DSBB	0-13.652	75008
	HOLLEW	E/W - NW EXT SR 50 TO EXW	T011	TM11	DSBB	0-0.848	75048
	HOLEWW	E/W - EW EXT W TO SR 50 (SR 408)	T011	TM11	DSBB	0-0.69	75008
	SOUCON	Southern Connector (SR 417)	T011	TM11	DSBB	0-20.017	75301
I-595							
	I595	i-595	TOBF	TMBF	DSBF	0-10.407	86095
I-75							
	I75BRO	I-75 managed lanes (Broward Co)	TOBG	TMBG	DSBG		
	I75DAD	I-75 managed lanes (Dade Co)	TOBG	TMBG	DSBG		
I-4							
	I4ORAN	I-4 managed lanes (Orange Co)	TOBH	TMBH	DSBH		
	I4SEMN	I-4 managed lanes (Seminole Co)	TOBH	TMBH	DSBH		
Palmetto							
	PALMET	Palmetto managed lanes	TOBI	TMBI	DSBI		
I-295							
	I295EX	I-295 Express lanes	TOBJ	TMBJ	DSBJ		
Wekiva							
	WEKIVA	Wekiva Parkway	TOBW	TMBW	DSBW		

*DSBB funds are only programmed by the Office of Turnpike Toll Operations.

The roadway section on the Item Segment Location – Road (WP07) screen must be entered on these projects. See the Location Information chapter of these Instructions for more information.

3. CAPITAL IMPROVEMENTS – NON-TURNPIKE TOLL FACILITIES

a. Overview

Use DSBX funds when projects are state funded with the expectation of being reimbursed through toll revenues or bond proceeds. Levels of DSBX funding are established by the Project Finance Office. DSBX funds are allocated to each applicable revenue-producing authority, using the following fund codes:

CODE	DESCRIPTION
DSB0	Unallocated to facility (box or statewide items, e.g. Sunpass tags)
DSB1	Sunshine Skyway
DSB2	Everglades Parkway (Alligator Alley)
DSB3	Pinellas Bayway
DSB7	Mid-Bay Bridge Authority
DSBC	Garcon Point
DSBD	I-95 Express Lanes in Dade and Broward Counties
DSBF	I-595
DSBG	I-75 Managed Lanes
DSBH	I-4 Managed Lanes
DSBI	Palmetto Managed Lanes
DSBJ	I-295 Express Lanes
DSBT	Turnpike Enterprise (for equipment maintenance and data center engineering to turnpike enterprise; also used for advance acquisition with funds being provided from STTF)
DSBW	Wekiva Parkway
Please contact the Project Finance Office before programming of any DSBX funds not listed above.	

b. Programming Guidelines

- DSBX funds should only be used to program periodic repair, rehabilitation and capital improvement. DSBT should be used to program turnpike toll equipment systems and development activities.

- When programming item segments, project descriptions should include the "to" and "from" roadway milepost marker numbers for turnpike toll facility identification for applicable roadway projects. When setting up financial projects for capital improvements, also set up a financial project for maintenance at the same time. (See the instructions for TMXX funds in the Maintenance section of this chapter.)

- As a general rule, DSBX funds may be used for in-house and contract planning, preliminary engineering, right of way, construction, toll collection equipment acquisition, and construction engineering and inspection phases.

- Use DSBX funds for equipment maintenance; freight, logistics and passenger operations; and research phases. (See Section 338.165, F.S.). TMXX funds should be used for routine roadway maintenance activities.

- All programmed items must be in accordance with all applicable bond covenants, state statutes and Title 23, USC, Section 129 agreements. (See Part IV, Federal Aid Programs, of these instructions for more information.)

- All programmed items must be supported by documentary evidence delineating the terms of the reimbursement of state funds from future tolls to the department. This support must be provided to the Project Finance Office as part of the annual central office review.

- Any additions or changes to the work program on projects that will impact toll facilities must be coordinated through the Office of Turnpike Toll Operations and the Project Finance Office. Changes or additions to projects that will have an impact on roadways are to be coordinated through the districts and the Project Finance Office.

- Additions or changes to items with DSBX funds need to be reviewed by the Work Program Development and Operations Office and the Project Finance Office prior to being made in the work program to ensure the appropriate funding and budgeting is available.

- Work on a toll (non-turnpike) roadway is to be accomplished using funds normally distributed by need, e.g. resurfacing or bridge repair. These funds will come from offsets to district allocated funds for bridge repair and resurfacing. The DS or BRRP funds will be subtracted from Schedule A in a like amount. Projects should be programmed initially with the DS or BRRP funds in accordance with the needs as identified by the pavement condition survey or Bridge Management System. The adjustment of DS or BRRP funds for DSBX funds will be coordinated through the Work Program Development and Operations Office and made after Schedule A has been issued. If this work is to be performed on a toll roadway that is part of the interstate system, an offset will need to be coordinated with the Office of Work Program and Budget using DI funds.

- Costs for toll equipment repair and data center engineering are originally programmed and encumbered under DSB0, and costs are then distributed to all turnpike toll and turnpike enterprise facilities. The DSBT fund was created to accept the cost distribution for the turnpike enterprise.

- Statewide managed funds used on a non-turnpike toll or managed lane facility will be allocated from the Work Program and Budget Office in coordination with the Project Finance Office. Projects should be programmed initially with these funds (i.e. DI, DIS, STED, etc.). The adjustment for these funds to DSBX in Schedule A will be coordinated through the Work Program Development and Operations Office. This is to ensure that STTF will be reimbursed for all state funds used on a non-turnpike toll or managed lane facility.

4. MAINTENANCE – NON-TURNPIKE TOLL FACILITIES

a. Overview

TMXX funds are used to identify when projects within targets for routine maintenance are state funded with the planned expectation of being reimbursed at a future date through toll revenues or bond proceeds. Activities programmed with TMXX funds must be on a toll facility roadway system and represent routine maintenance activities.

b. Programming Guidelines

- Project descriptions should include "to" and "from" roadway milepost marker numbers for turnpike toll facility identification. All phases should be programmed in compliance with the program plan crosswalk (i.e. transportation system, program numbers, phases, funds and budget category). Charges should be directly to the facility. The program plan crosswalk can be found at the following link:

http://webapp02.dot.state.fl.us/fmsupportapps/itemsegmentsearch/ProgramPlanCrosswalk.aspx

- Maintenance work for toll facility roadways should be programmed using the same phases and program numbers as the SHS. Unique fund codes (listed below) will be programmed on maintenance activities related to toll roadways to facilitate reimbursement from toll revenues. In the case of districtwide activities, such as mowing or asset maintenance contracts, a project should be split-funded to reflect that toll roadways are also included. A separate financial project funded with toll funds should be established prior to work beginning to account for charges related to toll facility maintenance.

- The following fund codes should be used to program toll facility roadway maintenance:

CODE	DESCRIPTION
TM01	Sunshine Skyway
TM02	Everglades Parkway (Alligator Alley)
TM03	Pinellas Bayway
TM04	Miami-Dade Expressway (MDX)
TM06	Tampa-Hillsborough Expressway Authority
TM07	Mid-Bay Bridge Authority
TM11	Orlando-Orange County Expressway System
TMBC	Garcon Point
TMBD	I-95 Express lanes in Dade & Broward Counties
TMBF	I-595
TMBG	I-75 managed lanes
TMBH	I-4 managed lanes
TMBI	Palmetto managed lanes
TMBJ	I-295 Express Lanes
TMBW	Wekiva Parkway

- The state maintenance engineer is responsible for reviewing the projects/activities programmed with TMXX funds and ensuring they are valid routine maintenance activities on a toll facility (non-turnpike) consistent with targets published in Schedule B. This review must be completed prior to the close of the tentative work program development cycle and should include coordinating with the district/turnpike enterprise maintenance engineers to resolve any discrepancies.

- TMXX funds shall only be used to program routine maintenance activities (not periodic repair or rehabilitation activities) on toll facility roadways. Repairs to toll facility buildings are funded as operational expenditures and charged to the appropriate toll facility as an operating cost.

These repair needs will be coordinated by the Toll Operations Office. (See the chart titled "Toll Facility Systems List" in this chapter for the valid list for programming TMXX funds).

5. TOLL OPERATIONS – NON-TURNPIKE FACILITIES

a. Overview

TOXX funds are used to cover toll operation activities such as toll collections. In a number of instances state funds are initially used, then reimbursed by toll facilities or set up as a long-term receivable, depending on the bond and/or other agreements. In the case of the Santa Rosa Sound Bridge (Pensacola Beach Bridge), the department pays the insurance coverage in accordance with an agreement approved in 1993, and then periodically invoices Escambia County for the actual costs of the premiums. State funds (D) are programmed on item segment 0001541 to cover the payment. Activities programmed with TOXX funds must be on a toll facility (non-turnpike). Only the Office of Turnpike Toll Operations will utilize the following funds.

CODE	DESCRIPTION
TO01	Sunshine Skyway
TO02	Everglades Parkway (Alligator Alley)
TO03	Pinellas Bayway
TO04	Miami-Dade Expressway (MDX)
TO06	Tampa-Hillsborough Expressway Authority
TO07	Mid-Bay Bridge Authority
TO11	Orlando-Orange County Expressway System
TOBC	Garcon Point
TOBD	I-95 Express lanes in Dade and Broward Counties
TOBF	I-595
TOBG	I-75 managed lanes
TOBH	I-4 managed lanes
TOBI	Palmetto managed lanes
TOBJ	I-295 Express Lanes
TOBW	Wekiva Parkway

b. Programming Guidelines

There will be unique work program items for each facility. Budget to support these activities is requested annually in the Legislative Budget Request.

- Use transportation system 04, 07.
- Use program number 48 on phases 81 and 8B.
- Use phase 81 for in-house.
- Use phase 8B and TOXX funds for contracts for services.
- Use work mix 0123 (toll plaza).
- Use phase 93 and DSBX funds for purchase of toll equipment. Use phase 53, program number 02, transportation system 04, and DSBX funds for purchase of toll equipment if it is related to construction projects.
- Use phase 82, program 48 for toll operations contracts.

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PART III - CHAPTER 44: WORK PROGRAM ADMINISTRATION (WPA) SCREENS AND REPORTS

A. ACCESSING WPA

The Work Program Administration (WPA) system can be accessed through the Main Frame Supersession main menu by selecting “FM – Financial Management System.”

```
____  Actions  Options  Commands  Features  Help
_______________________________________________________________________________
                         CL/SUPERSESSION Main Menu                More:  +

Select sessions with a "/" or an action code.

   Session ID  Description                        Type     Status
   ----------  -------------------------------- -------- ------------
_  FLAIR       FLAIR System                      Multi
_  PCRT        Test Pavement Coring Report       Multi
_  IMS         Production IMS                    Multi
s  FM          Financial Management System       Multi
_  EED         EED System                        Multi
_  TSO         TSO/E                             Multi





CS009 Session(s) terminated.
Command ===>                                                   DOT1/LTIP9I6H
Enter  F1=Help  F3=Exit  F5=Refresh  F8=Fwd  F9=Retrieve  F10=Action
```

Once in FM, select option “3” for Work Program Administration (WPA).

```
FM                                                                 07-31-2013
                                                                     12:23:03
                      FDOT - Financial Management System
                                  Main Menu



Input Menu Item and Press ENTER: _


 1.  Federal Programs Management   (FPM)
 2.  Project Cost Management       (PCM)
 3.  Work Program Administration   (WPA)
 4.  Accounts Receivable Invoicing (ARI)
 5.  SAMAS Tables                  (STP)









F1=Help F15=Logoff
```

B. MAIN MENU

The first screen encountered in WPA is the Work Program Administration Main Menu. From this screen, you can access information regarding all FDOT projects programmed throughout the state.

The Item/Segment Definition (WP01), Item Segment Phases (WP04), and Phase Financial Summary (WP21) screens provide the most commonly requested work program information; however, the menu provides a short description of the information provided by all WPA screens.

```
WPA        __  Federal_Programs  Project_Cost
____________________________________________________________________________
                     FDOT - Work Program Administration            07-31-2013
                                Main Menu                          12:20:30

 Input menu item and press ENTER: __

   1. Item/Segment List           (WP02)  15. Project Cost History       (WP19)
   2. Item/Segment Definition     (WP01)  16. Pending Phase Changes      (WP26)
   3. Item Comments               (WP33)  17. Amendment List             (WP34)
   4. Item Segment Phases         (WP04)  18. Amendment Definition       (WP24)
   5. ITEM SEGMENT LOCATION MENU  (WP31)  19. Amendment Status History   (WP25)
   6. Item Segment Group          (WP03)  20. Fund Projections           (WP27)
   7. Item Segment Status History (WP05)  21. Budget Allocations         (WP66)
   8. Item Segment Change History (WP06)  22. Annual Projections         (WP67)
   9. Phase Estimate Detail       (WP20)  23. WP CODE TABLES MENU        (WP30)
  10. Phase Financial Summary     (WP21)  24. WP VALIDATION TABLES MENU  (WP35)
  11. Authorization Request       (WP36)  25. Station Definition         (WP50)
  12. * AC Conversion moved to FAMS *     26. Emergency Event Detail     (WP63)
  13. Financial Project Location  (WP23)  27. Emergency Event List       (WP64)
  14. Production Project Manager  (WP32)


F1=Help F3=Exit F15=Logoff
```

The Main Menu also provides a link to the WP Code Tables Menu (WP30) screen which is an electronic version of the information provided in Appendix D of the Work Program Instructions.

C. BASIC WPA SCREEN INFORMATION

At the top of each WPA screen there is a header that is separated from the remainder of the screen by a blue line. In the header, above the blue line, there is a command line and all options available for that screen. To execute these options the user can input the CAPITAL LETTER/s of the available option in the command line.

For example: If there is an option to “Display,” the user would enter a “D” in the command line. If there is a “ChangeHist” option to review the change history of an item, the user would enter “CH” in the command line.

Function “F_” keys are used to navigate through the WPA system. Each available function key and its function definition are provided at the bottom of the screen.

For example: “F3” will exit your current screen and “F5” will refresh your screen to original programming and undo any changes, as long as you have not pressed the enter key and successfully updated your changes.

If you know a specific WPA screen that you would like to view, you can skip the menu and go directly to that page by pressing the “Pause/Break” key on your keyboard to clear your entire screen and then type in the screen name you want.

For example: If you know that you want to view the information on a WP04 screen, you could press "Pause/Break" and then type "WP04" to bring up a blank WP04screen. From this point you would enter the item number you would like to view.

Note: You must have update capability to change any programming in the work program. This access is usually limited to work program and federal aid employees.

D. FREQUENTLY USED WPA SCREENS

1. WP01 – ITEM/SEGMENT DEFINITION SCREEN

The WP01 screen provides the most basic information regarding the description, location, and management of a project.

```
WP01      D_  Display              Update              Item_Comm Phases Group
 Seg_Comm Location Change_Hist Status_Hist Phase_Est Phase_Sum Items Rel_Item

                      FDOT - Work Program Administration            07-31-2013
                           Item/Segment Definition                  12:18:41
                                                                    More:   +
Item: 222590  Segment: 2    Item Managing District: 03  Box Item: N (y/N)
Geo District: 03   County: 55 LEON           Project Mgr: LISA STONE_________
Trans System: 01   INTRASTATE INTERSTATE              Contract Type: 1
Work Mix  . : 0213 ADD LANES & RECONSTRUCT            Measure Type : E
Status  . . : 100  LINE ITEM COMPLETED                As of: 01-23-2012
Box Code  . : FC   EMRG: ____     Related Items: Y    Old Item Number: _______
Description :    (Version: Displayed - AD ADOPTED          Requested - G1 )
   SR 8 (I-10)          FROM EAST OF REST AREA    TO PVT CHANGE W CR 361
Work Length: 5.107                            Project Length:      5.199 MI
                  Item Segment Comments               Type (1=xdesc, 2=misc)
 MULITLANE 6 L; BID=A+B & DAMAGE RECOVERY; DRB                  2
 RAMP MODIFICATIONS,HIGH MAST LIGHTING & TURN L @ CAP CIR NW    2
 R/W EST 04/04/06; S/O PD&E 2225901; 9,283' NOISE WALLS         2
 WIDEN 046 & 047 CSX R/R, 048 & 049 CR 157A MISSION ROAD        2
 WIDEN BRIDGES 074 & 090 CAPITAL CIR; MITIGATION 1.9 ACRES      2
 CAP 4 HURR,FOOTBALL NOTES,PK HR RESTICT,NIGHT WORK @INTERCHG   2
AAA250-I: Successfully displayed.
F1=Help F3=Exit F5=Refresh F6=Clear F7=Bkwd F8=Frwd F15=Logoff
```

- Item number- A work program item number is a six digit number systematically assigned by the WPA system to each new project when it is first programmed.

  In this example: the item number for SR 8 (I-10) from east of rest area to PVT change west of CR 361 in District 3 is 222590.

- Item segment – Item segments may be used to segment a project for scheduling or funding reasons. Item segments may be used when the boundaries of construction projects are different from the preliminary engineering (design) and/or right of way phase of a "project", or it is desirable to use the same item number to track projects along a corridor. For example, the Florida Department of Transportation (department) may want or need to let different segments at different times rather than all at once due to lack of funding availability in certain fiscal years or to accommodate letting plans.

  New item segments are created by pressing "F6" while viewing an existing item number and segment. The system will automatically create the next sequential segment number available for the item number displayed. The managing district and box item status of the first item segment are automatically applied to each new item segment and cannot be changed.

In this example: This project is the second segment for this particular item number.

- Managing district – Managing district indicates the district that is administratively responsible for executing a project.

- Project manager – Indicates the person responsible for managing all aspects of the execution of this project.

- Geographic district – Geographic district indicates the district that the project is physically located in. (Occasionally, projects will be physically located in one district, but managed by a neighboring district that is producing a job that extends beyond its own county lines)

- County – The County indicates the two digit county code for the county in which the project is located. (see Appendix D for county code listings)

- Contract type – Contract type refers to the contract class assignment for the project. (see Appendix D for the list of contract classes with definitions)

- Transportation system – Transportation system indicates the mode of transportation for the project. (see Appendix D for a list of all transportation systems)

- Work mix – Work mix describes the type of work to be accomplished at the completion of the item segment. (see Appendix D for a list of active work mixes)

- Status – Status provides general updates as to the stage of progression the project has reached from candidate line item to line item complete. This information is automatically upgraded as the FM system is updated throughout the life cycle of the project. (see Appendix D for the sequential list of item status)

- Box item/ box code – Box item is programmed as “Y” when the item number is being used as a holding place for funds for future programming (boxed). The box code is a two digit alpha code used to indicate the appropriate box category: reserve (RV), contingency (CN), or target (TG). (See Administration chapter to determine the appropriate box code.) All boxes will use a contract **class 8**.

- Emergency – The emergency code is only applicable when the work being accomplished by the item is in result of or in preparation for an emergency. Each emergency (i.e. hurricane, tornado, or forest fire) is assigned an emergency code in order to track all efforts and funding expended for each emergency event. (Use the emergency event list (WP64) from the WPA main menu to see the most recent list of emergency event codes.)

- In the provided item/segment definition WP01 example, this project is managed by District 3 and is geographically located in District 3 in Leon County. We also see that this is a project that will be let, based on the contract type. You can tell that this project will be adding lanes and reconstructing a portion of the interstate, based on the transportation system and work mix. The item status indicates that this project is currently in the process of acquiring right of way to expand its construction.

- Item segment comments – Item segment comments are used to expand the description beyond the short line at the top. These comments are also used to provide information that may be frequently requested regarding the project. Comment lines to be treated as “extra description” are tagged with a Type 1 (xdesc). Comments lines to be treated as “miscellaneous comments” are tagged with a Type 2 (Misc).

- Item comments can be expanded beyond the item/segment definition WP01 screen, by replacing the “D” for display in the command line at the top of the screen, with “IC” for item

comments. By entering "IC" you will be taken to the item comments WP33 screen where the user may add or view additional comments regarding the item (first 6 digits).

- Additional comments pertaining to a specific segment (7th digit) can be input on the item segment comments (WP45) screen, accessed from the item/segment definition WP01 screen by entering SC on the command line).

2. WP04 – ITEM SEGMENT PHASE SCREEN

The WP04 screen allows the user to view all phases and sequences programmed on a project, as well as the item description, item status, managing district, transportation system and box item classification. (No updates can be made to existing phase estimates from this screen)

```
WP04      D_  Display                    Item_Seg_def Phase_Est Phase_Sum
_____________________________________________________________________________
                      FDOT- Work Program Administration              05-14-2014
                                Item Segment Phase                   16:18:48
Requested Version: G1  Include Candidates: Y (Y/N)                   MORE:   +
Item/Segment: 209607 1  Status: 090 UNDER CONSTRUCTION    Old Item Nbr: 2115157
Desc: SR 105 HECKSCHER DR SISTERS CREEK BRIDGE BRIDGE #720061
Trans System: 03 INTRASTATE STATE HIGHWAY        Man Dist: 02  Box Item: N
Begin Search At Phase: 3 2  FP Seq: __  Project Total:      56,172,323
          FP                      PDC        Total    All   Dstr   Bud  Apr
Ver Phase Seq Year  Fund Pgm    Amount       Amount   Typ Typ/Area Dist Cat  St
 AD  3 2  01  2012  BRT_  00 __1,499,862   1,499,862  1    ______  02  L1CE 4
          04  2014  ACSB  SD _____92,000      92,000  1    ______  02  M240 4
          05  2014  ACSB  SD _____92,000      92,000  1    ______  02  M240 4
          06  2012  ACBR  00 _____72,130      72,130  1    ______  02  L1CE 5
          11  2013  DDR_  00 ______7,744       7,744  1    ______  02       5
          12  2013  ACSB  00 _____59,875      59,875  1    ______  02  M240 5
              2014  ACSB  00 _____29,661      29,661  1    ______  02  M240 4
          13  2013  ACSB  00 ______6,918       6,918  1    ______  02  M240 4
     3 9  01  2011  DIOH  00 ______1,037       1,037  1    ______  02       4
              2012  DIOH  00 ______5,049       5,049  1    ______  02       4
              2012  DIOH  00 ______4,032       4,032  1  G OH____  02       4
AAA250-I: Successfully displayed.
F1=Help F3=Exit            F6=Clear F7=Bkwd F8=Frwd F15=Logoff
```

- Version: There are four different work program versions/files, (adopted, amended, candidate, and tentative work program development cycle) (See the Developing, Adopting and Managing the Work Program chapter on for a definition of work program version/files)

- The WP04 screen allows you to choose which version of the work program you would like to view. When viewing the tentative work program development cycle "G1" version, WP04 also indicates what version each individual phase is currently programmed in.

- In the example: The tentative work program development cycle version is the requested version. In the lower part of the screen under "Ver" you can see that the phase 32 is in the adopted version.

- Phase: The phase is a two digit alpha numeric number. The first character of a phase is called the phase group and the second character is called the phase type. (see Appendix D for phase group and phase type definitions)

- In the example: There is a phase 32. The phase group, or first character is a "3" which indicates preliminary engineering and the phase type, or second character is a "2" which indicates consultant/contractor; therefore, a phase 32 is defined as preliminary engineering consultant/contractor. Any estimates programmed on this phase will be used toward preliminary engineering consultant/contractor costs associated with the project it is programmed on.

```
WP04      D_  Display                     Item_Seg_def Phase_Est Phase_Sum

                      FDOT- Work Program Administration              05-14-2014
                              Item Segment Phase                     16:18:48
Requested Version: G1  Include Candidates: Y (Y/N)                   MORE:   +
Item/Segment: 209607 1  Status: 090 UNDER CONSTRUCTION    Old Item Nbr: 2115157
Desc: SR 105 HECKSCHER DR SISTERS CREEK BRIDGE BRIDGE #720061
Trans System: 03 INTRASTATE STATE HIGHWAY        Man Dist: 02  Box Item: N
Begin Search At Phase: 3 2  FP Seq: __  Project Total:      56,172,323
          FP                     PDC        Total    All   Dstr   Bud  Apr
Ver Phase Seq Year  Fund Pgm    Amount      Amount   Typ Typ/Area Dist Cat  St
 AD  3 2  01  2012  BRT_  00 __1,499,862   1,499,862  1    ______  02  L1CE 4
          04  2014  ACSB  SD _____92,000      92,000  1    ______  02  M240 4
          05  2014  ACSB  SD _____92,000      92,000  1    ______  02  M240 4
          06  2012  ACBR  00 _____72,130      72,130  1    ______  02  L1CE 5
          11  2013  DDR_  00 ______7,744       7,744  1    ______  02       5
          12  2013  ACSB  00 _____59,875      59,875  1    ______  02  M240 5
              2014  ACSB  00 _____29,661      29,661  1    ______  02  M240 4
          13  2013  ACSB  00 ______6,918       6,918  1    ______  02  M240 4
     3 9  01  2011  DIOH  00 ______1,037       1,037  1    ______  02       4
              2012  DIOH  00 ______5,049       5,049  1    ______  02       4
              2012  DIOH  00 ______4,032       4,032  1  G OH____  02       4
AAA250-I: Successfully displayed.
F1=Help F3=Exit            F6=Clear F7=Bkwd F8=Frwd F15=Logoff
```

- FP Seq: Financial project sequence is a two digit numeric code that is used to allow the project manager to designate portions of a total phase estimate for specific uses within the phase limits.

- In the example above: There are several different sequences under phase 32 (preliminary engineering consultant/contractor). Each sequence may indicate the amount of money to be spent on each type of consultant/contractor needed. (These sequences are created per the request of the project manager)

- Year: Year indicates the fiscal year in which the programmed work is to be accomplished. The last year of the two year fiscal year is used when programming.

- For example: fiscal year 2013/2014 would be programmed as 2014

- Fund: Fund refers to the four digit alpha numeric code used to indicate a source of funding being used to accomplish the project. The Programming Guidelines chapter of these instructions will assist the user in determining what funds are appropriate for which type of projects. (see Appendix D for fund code definitions)

- Pgm: Program number is a two digit alpha numeric code used to crosswalk estimates to specific budget categories or classifies generic phase usage. (see Appendix D of these instructions and the Program and Resource application for definition and use of program numbers)

- PDC amount: PDC refers to present day cost. Estimates in this column reflect the cost to produce the phase work using present day market prices. (All estimates are programmed using present day cost)

- Total Amount: Construction and CEI PDC estimates programmed in years past the current work program year will be inflated to reflect anticipated cost to build in that year. (Refer to the inflation factors, in the Administration chapter of these instructions for percentage of inflation to be applied per year)

- All Type: Allocation type is used to identify a fund's budget status. (See Appendix D for allocation type definitions)

- Dstr Typ/Area: Unique code used to track funding used in specific areas and for specific purposes. (use the distribution area list (WP80) from the WPA Main Menu to see the a list of active distribution types/areas)

- Bud Dist: Budgeting district indicates where the spending authority (budget) for the programmed funds is located.

- Apr Cat: Appropriation category indicates the federal act that is funding the federal fund code programmed. Appropriation category must be entered into WPA to allow federal authorization of funds.

- St: Project cost status (see Appendix D for definitions of project cost status)

3. WP21 – PHASE FINANCIAL SUMMARY

The WP21 screen is used to give a detailed picture of the status of each estimate programmed on a phase. This screen is a good resource for project managers, as it provides the authorization status of each fund and details any uncommitted funds that may be remaining on the project.

```
WP21     D_  Display  Phase_Est  Auth_Req  Item_Seg_def  Val_Codes  Cost_Tran
             Proj_Ltd Est_Ltd Level_Ltd Byr_cost_Tran Phases Fed_proj_Fin_proj
 ____________________________________________________________________________
                       FDOT - Work Program Administration            09-25-2013
                       Phase Financial Summary - ADOPTED             12:19:47
 Requested Version: AD                                               More:   +
 Item: 190258  Segment: 1  Phase Group/Type: 2 1  PD&E IN-HOUSE
 Desc: STATEWIDE            ENGINEERING STUDIES
 Status: 010  PRE-CONST.UNDERWAY                  Man Dist: 40    Box Item: N
 Begin Search at Financial Project: __
                      Dstr   All Bud O            Pay   Estimate    Authorized
Sel FP Fund FAC PGM Area/Typ Typ Dis V Fyr  Status Seq (Committed)  (Remaining)
 _  03 DIH       00          1  40  Y 2011 CLOSED  1       18,949       25,554
       Fed Proj: ITS0 002 A                                 18,948
 _                                   Y 2014 AUTH    1        6,605
                                                              0        6,606
 _  03 IVH  QT20 00          1  40  Y 2001 FINALE  1          759       50,000
       Fed Proj: ITS0 002 A                                    758
 _                                   Y 2002 REPLAC  1            0
                                                                 0
 _                                   Y 2003 REPLAC  1            0
                                                                 0
 AAA250-I: Successfully displayed.
 F1=Help F3=Exit F7=Bkwd F8=Frwd F15=Logoff
```

The WP21 screen breaks down each estimate by fiscal year and provides the status of authorization and commitments for each estimate.

- Committed: The term committed refers to any funding that is either encumbered (reserved to be expended) or expended (spent and invoiced). Committed funds are unavailable to be spent elsewhere.

  In the example above:

  - The fiscal year 2014 estimate for DIH funds is $6,605 and the commitments on that estimate are $0; therefore, there is $6,605 remaining estimate that is available for commitment in that year. The FM system rounds up, as it only recognizes whole dollar amounts.

- Authorized: The term authorized refers to any fund that is permitted to be spent. Authorization status is extremely important for federal funds. Any federal fund expended without authorization will not be reimbursed by the Federal Highway Administration (FHWA).

When federal funds are programmed on a project, you may be able to see the federal project number on the WP21screen. If a federal project has not been assigned to an item number, you will not be able to see the federal project number on this screen.

In the example above: The federal project number for this phase item number is “ITS0-002-A”. The federal project number is how projects are identified and authorized by FHWA.

4. WP55 – RELATED ITEM SEGMENTS SCREEN

When a new item segment is added on WP01, it will automatically create associations to all other segments of the same work program item. To access the Related Item Segments (WP55) screen from WP01, type (RI) in the command line. If not appropriate, the associations can be deleted or disassociated on the WP55 screen. However, use caution when **deleting** associations because all of the history will be lost when you use delete. Disassociated items will retain their history with system generated begin and end dates. Once an item segment is disassociated the system will establish the end date. To re-associate the item segment it will have to be reentered and will have a new begin date.

- PC (project component) – Item segments that compose a single project. This is the default value assigned to new segments added to an existing item.

- RW (right of way/construction) – Right of way acquired on a segment for a construction project(s) defined on another item segment(s).

- LT (let together) – Construction projects to be let as a single contract.

- CR (corridor) – Item segments related to the completion/enhancement of a single corridor.

a. To Add A New Associated Item Segment:

- Type an (A) on the command line
- Enter the item segment
- Enter code for appropriate association type from the list provided above
- Enter

```
WP55      a_  Display Item_Seg_def Associate Dis-Associate DElete
_____________________________________________________________________________
                       FDOT- Work Program Administration              07-31-2013
                             Related Item Segments                    12:15:58
                                                                      MORE: -
 Item/Segment: 258398 1  Status: 096 CONST.COMPLETE
 Desc: I-275 (SR 93) FROM HIMES AVE TO W OF MACDILL AVE

Sel Item/Segment  Status             Association Type      Begin Date End Date
    Description
 _  412531 4  000 CANDIDATE LINE ITE PC PROJECT COMPONENT 06-02-2008 12-31-2099
    I-275 (SR 93A) FROM W OF KENNEDY RAMPS TO MEMORIAL HWY BRIDGE
 _  412531 5  096 CONST.COMPLETE     PC PROJECT COMPONENT 06-02-2008 12-31-2099
    I-275 (SR 93) NB EXIT RAMP E OF HOWARD FRANKLAND BDG TO W SR60
 s  258643 2                         mp

 _  ______ -                         __

 _  ______ -                         __

 _  ______ -                         __

 AAA250-I: Successfully displayed.
 F1=Help F3=Exit F4=Prompt F5=Refresh F6=Clear F7=Bkwd F8=Frwd F15=Logoff
```

b. To Disassociate Or Delete An Item Segment:

- Type a DA (Disassociate) or DE (Delete)
- Select item to disassociate or delete
- Enter

```
WP55      da  Display Item_Seg_def          Dis-Associate DElete
_____________________________________________________________________________
                       FDOT- Work Program Administration              07-31-2013
                             Related Item Segments                    12:09:59
                                                                      MORE:   +
 Item/Segment: 258398 1  Status: 096 CONST.COMPLETE
 Desc: I-275 (SR 93) FROM HIMES AVE TO W OF MACDILL AVE

Sel Item/Segment  Status             Association Type      Begin Date End Date
    Description
 _  258398 2  010 PRE-CONST.UNDERWAY PC PROJECT COMPONENT 12-18-2008 12-31-2099
    I-275 (SR 93) FROM HOWARD FRANKLAND BR TO LOIS  AVE
 _  258398 3  100 LINE ITEM COMPLETE PC PROJECT COMPONENT 12-18-2008 12-31-2099
    I-275 (SR 93) FROM HIMES AVE TO E OF HILLSBOROUGH RVR
 _  258398 4  100 LINE ITEM COMPLETE PC PROJECT COMPONENT 12-18-2008 12-31-2099
    I-275 (SR 93) FROM HOWARD FRANKLAND BR TO HIMES AVE
 s  258398 5  090 UNDER CONSTRUCTION PC PROJECT COMPONENT 12-18-2008 12-31-2099
    I-275 (SR 93) FROM SR 60 (MEMORIAL HWY) TO HIMES AVE
 _  258399 1  096 CONST.COMPLETE     PC PROJECT COMPONENT 12-18-2008 12-31-2099
    I-275 (SR 93) FROM HIMES AVE TO HILLSBOROUGH RIVER
 _  258399 2  090 UNDER CONSTRUCTION PC PROJECT COMPONENT 12-18-2008 12-31-2099
    I-275 (SR 93) FROM HIMES AVE TO HILLSBOROUGH RIVER
 AAA250-I: Successfully displayed.
 F1=Help F3=Exit F4=Prompt F5=Refresh F6=Clear F7=Bkwd F8=Frwd F15=Logoff
```

5. WP01 RELATED ITEMS FLAG

The WP01 screen has a related items flag to reflect if there are related items:

```
WP01      D_  Display              Update              Item_Comm Phases Group
 Seg_Comm Location Change_Hist Status_Hist Phase_Est Phase_Sum Items Rel_Item
_____________________________________________________________________________
                      FDOT - Work Program Administration              07-31-2013
                           Item/Segment Definition                    09:14:48
                                                                      More:
Item: 431426  Segment: 1    Item Managing District: 50  Box Item: N (y/N)
Geo District: 99   County: 99 DIST/ST-WIDE   Project Mgr: MARY FOSSUM________
Trans System: 13   NON-SYSTEM SPECIFIC                Contract Type: 4
Work Mix  . : 9928 RESEARCH                           Measure Type : E
Status  . . : 010  PRE-CONST.UNDERWAY                 As of: 08-25-2011
Box Code  . : __   EMRG: ____ Related Items: N        Old Item Number: _______
Description :    (Version: Displayed - AD ADOPTED          Requested - G1 )
   RESEARCH
Work Length:                                   Project Length:      0.000
                 Item Segment Comments                Type (1=xdesc, 2=misc)
                                                                   2
                                                                   2
                                                                   2
                                                                   2
                                                                   2
                                                                   2
Successfully displayed.  No more data to display.
F1=Help F3=Exit F5=Refresh F6=Clear F7=Bkwd F8=Frwd F15=Logoff
```

E. WORK PROGRAM REPORTS

1. WORK PROGRAM, BUDGET & FLAIR RECONCILIATION (GENE MARTIN REPORT)

As the title depicts, the report is a comparison between the approved budget, amounts programmed in WPA, and the total FLAIR encumbrances and expenditures for the current year. The Gene Martin Report depicts transactions that have occurred year-to-date. This allows the user to compare the work program to the budget by specific category.

a. Work Program, Budget and Flair Reconciliation (Gene Martin) Using TSO FMREPORT:

There are four report options to run this report via TSO:

- SUMMARY ONLY - (report option A)
- FUND OVERRUN - (report option B) - FLAIR commitment greater than work program
- FUNDS REMAINING – (report option C) – Work program greater than FLAIR
- TWO YEAR REPORT - (report option X) - Current year plus the next fiscal year

This report is a useful tool in determining whether the work program is balanced to available budget.

```
  1 - Print Work Program Amendments / Revisions
  2 - Not used
  3 - PSM SCHEDULING AND PRODUCTION MANAGEMENT REPORTS (MENU)
  4 - PROGRAM PLAN CROSSWALK / PROJECTION REPORTS (MENU)
  5 - WORK PROGRAM/BUDGET/SAMAS REPORTS (MENU)
  6 - OTHER WPA REPORTS (MENU)
  7 - Expenditures by SAMAS ORGanization Code
  8 - TOP MANAGEMENT & LEGISLATURE REPORTS (MENU)
  9 - Right-Of-Way Reports (MENU)
 10 - "LIVE" WPA Programmed Cost Report (MADDOG)
 11 - "LIVE" Fund Production Accomplishment Report (PAR)
 12 - "LIVE" Budget Production Accomplishment Report (PBR)
 13 - Federal Project Reconciliation Report
 14 - FEDERAL AID REPORTS MENU (MENU)
 15 - FUND AND BUDGET ALLOCATION REPORTS (MENU)
 16 - CODE TABLE REPORTS (MENU)
 17 - WPA COMPARISON REPORTS (MENU)
 18 - VIEW/PRINT "PRIOR PRIOR" UNENCUMBRANCE REPORTS
 19 - PE / CEI / Right of Way Reviews for Consultant & Inhouse
                                PF1 = HELP     PF3 = EXIT
COMMAND ===> 5
```

- **Select option 5**
  Press enter to submit

```
WPARPTS--------------- WORK PROGRAM/SAMAS/BUDGET REPORTS ----------------------
COMMAND ===> 1

  1 - Work Program/Budget/FLAIR Comparison                        (GENE MARTIN)
  2 - Work Program/Budget Summary                                 (BERNIE)
  3 - Work Program/Budget Summary                                 (BERNIEX)
  4 - PROGRAM ACCOMPLISHMENTS AND PERFORMANCE MEASURES            (MENU)
  5 - Expenditure and Encumbrance Detail                          (CSTP010)
  6 - Job Phase Cost Control Report                               (90/10)
  9 - "OOPS" - Flair Budget Category & Fund Code Discrepancies    ("OOPS")
 10 - Financial Project Commitment History  (FY 1991-TO-DATE)     (CMTP010)
 13 - Budget Contingency Analysis Report                          (BUDCON)
 18 - District Expenditure Summary                                (CSTEXP10)
 21 - Cost Analysis By Fund                                       (COSTAMTS)
 22 - Life-to-date costs for a single item                        (ITEMCOST)

                PF1 = HELP     PF3 = EXIT     PF4 =MAIN MENU
```

- **Select option 1**
  Press enter to submit

```
GENE ------------ WP/SAMAS/BUDGET COMPARISON REPORTS ------ UPDATED: 04/19/2011
COMMAND ===> ____________________________________________________________________

 REPORT OPTION ===> _     A - Summary Report only
                          B - Fund  Overruns  (Detail & Summary)
                          C - Funds Remaining (Detail & Summary)
                          D - Overruns & Remaining (Detail & Summary)
                          E - Overruns & Remaining in separate columns
                             (All options above include summary "A")
                          X - 2-year Report   (Summary only)
                          Y - 2-year Report   (Summary with Samascat Groups)
 To create a summary dataset (userid.MARTIN...DATA)       ENTER Y ===> _
 To exclude the Summary Report                            ENTER X (above)
 To exclude In-House, F.C.O.,T.D.T.F. Budget Categories   ENTER Y ===> Y
 To exclude "zero" amounts in Estimate Overrun/Remaining  ENTER Y ===> N
 To exclude "asterisk" funds (in future years only)       ENTER Y ===> Y

 To select a single Budget Category, ENTER the number............ ===> ______
 To select only the P.T.O. Budget Categories, use PTO
 To select only the R.O.W. Budget Categories, use ROW
 To select only the F.C.O. Budget Categories, use FCO
 (NOTE: this applies to the 1-year report only)

              PF1 = HELP    PF3 = PREVIOUS MENU    PF4 = MAIN MENU
```

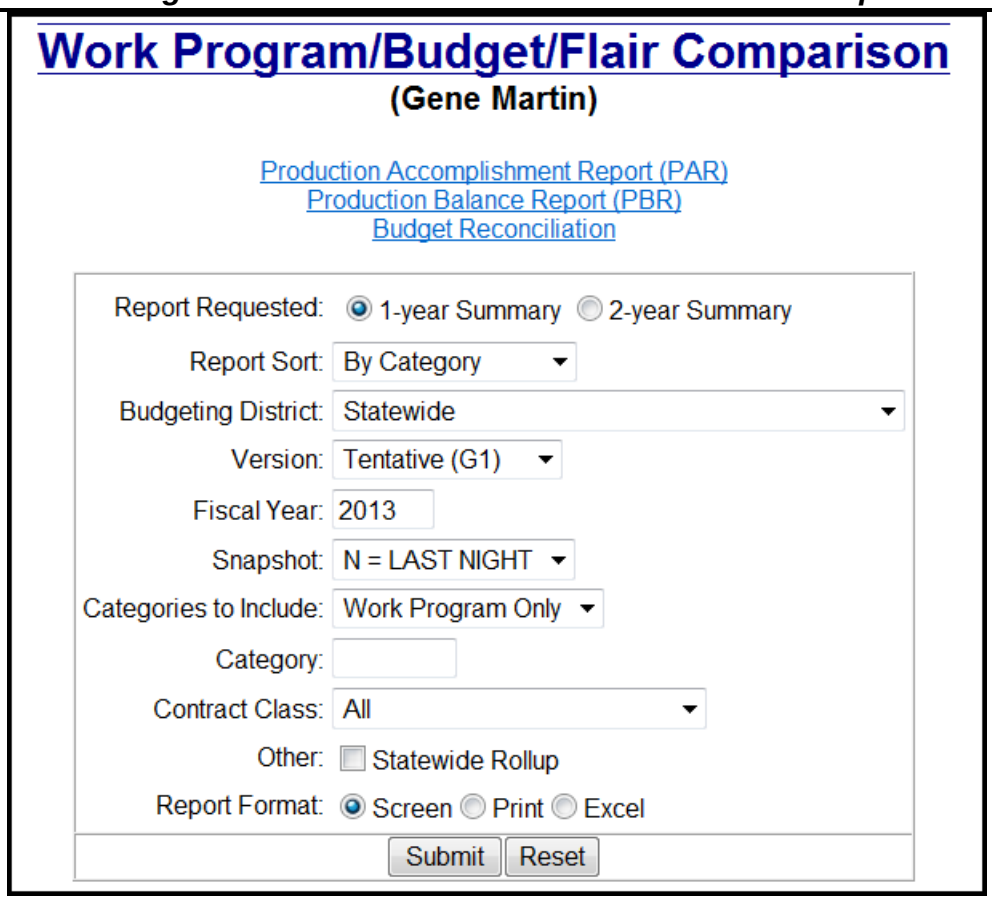
- Select A, B, C, D, E, X OR Y
- To create a dataset enter Y
- To exclude in-house, FCO, TDTF budget categories enter Y
- To exclude zero amounts in estimate overrun/remaining enter Y
- To select a single budget category, enter the number 088712 (is one example)
- To select hurricane categories only, enter storms
- To exclude hurricane categories, enter stormxPress enter to submit

```
GENE2 ----------- WP/SAMAS/BUDGET COMPARISON REPORTS ------ UPDATED: 07/06/2007
COMMAND ===> ____________________________________________________________________

            DISTRICT              ===> __    (01 - 08, Blank = Statewide)
                                              Use CX for Central Office

            FISCAL YEAR           ===> 2014  (ex. 1991)

            WORK PROGRAM VERSION  ===> G1    (ex. G1)

            SORT OPTION           ===> _     (S = Statewide, D = District)

            CONTRACT CLASS        ===> _     (1-9, B,X,Y,Z)

L ="LIVE"  N =LAST NIGHT 1 =07/01/13 2 =06/28/13 3 =05/17/13 4 =08/01/12 ==> _



                 TO SEE JOB CARD INFO & SUBMIT, PRESS ENTER

               PF1 = HELP    PF3 = PREVIOUS MENU    PF4 = MAIN MENU
```

- Select appropriate district
- Select fiscal year
- Select version
- Select appropriate file date
- Press enter to submit

b. Work Program, Budget and Flair Reconciliation (Gene Martin) In Work Program Applications (Web Based):

http://webapp02.dot.state.fl.us/fmsupportapps/fmreports/GeneMartin.aspx



- Select one or two year Summary
- Select appropriate budgeting district (runs statewide if no district selection is made)
- Select fiscal year
- Select snapshot date from dropdown menu
- Request appropriate category
- Select report format
- Click submit

2. PRODUCTION ACCOMPLISHMENT REPORTS (PAR'S)

PAR's are used to track and balance individual work program funds.

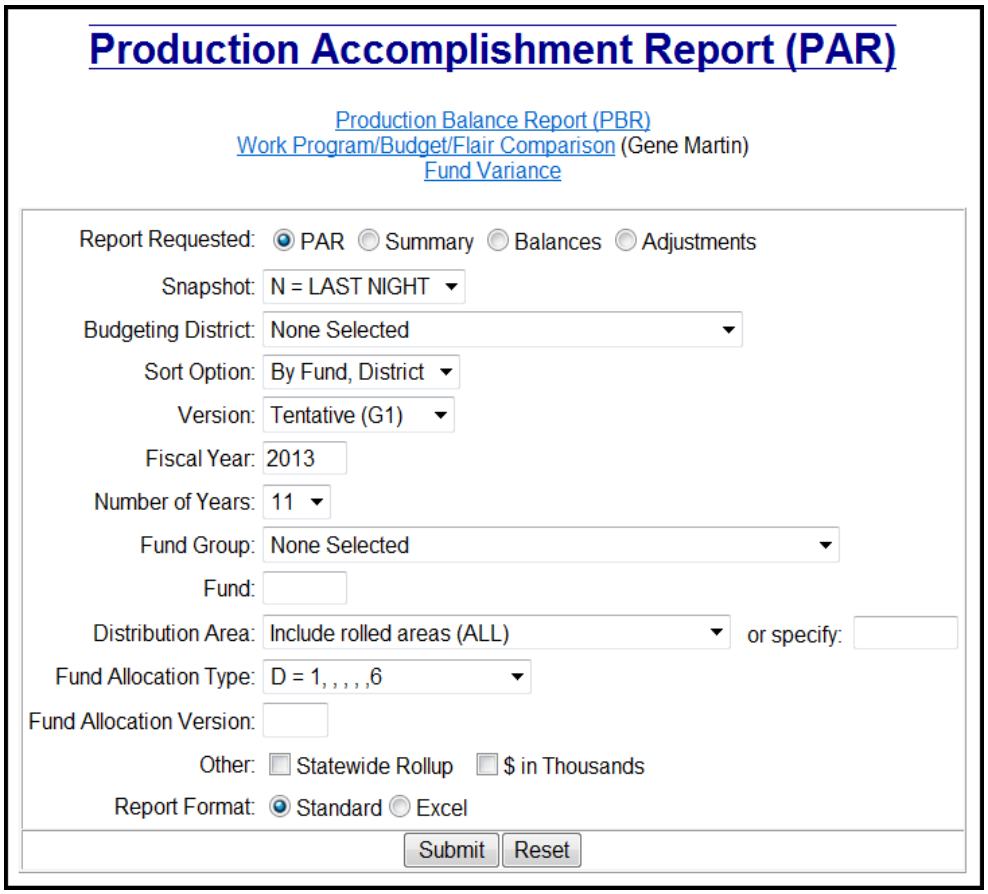
The calculated PAR reflects the portion of allocation that has been authorized, committed, and the remaining balance. The balance is actually calculated based on the item phase status.

- Authorizations represent phases that have been obligated on the department's federal books. This level is calculated based on the estimated amount less the committed level for all phases authorized (status 4). Pending negative authorization requests (ARs) will not show on the PAR as available funds until the AR is approved.
- The level of authorizations in the PAR for state funds is calculated on the estimated amount less the committed level for all phases authorized (status 4).

- Commitments represent actual encumbrances/expenditures recorded in FLAIR.
- Remaining amounts represent phase estimates that have a status equal to "2" (unauthorized). Negative remaining amounts default to zero.
- Only use the "calculated" PARs to balance. This PAR reflects actions that have occurred in the Federal Project Management and Project Cost Management systems and links it to WPA. Select fund allocation type D (1=regular, 6=transfer). This ensures that any use of funds is recorded against the available fund.

a. PAR's In Work Program Applications (Web Based):

http://webapp02.dot.state.fl.us/fmsupportapps/fmreports/par.aspx



- Select a "snapshot" date
- Select a budgeting district (pulls statewide if no budgeting district is selected)
- Select fiscal year
- Select number of years
- Select fund
- Press 'enter' to submit

b. PAR Balances Via Email Using TSO FMREPORT:

Login to TSO FMREPORT on the Mainframe:

```
WEBREPTS---------------- WEB REPORTS VIA E-MAIL ------------UPDATED: 09/01/2011
COMMAND ===> _____________________________________________________________________

 NOTE: These options create the selected Reports and send you an e-mail with
       a link to the file location.  After your job is submitted, you
       may exit the FMREPORT menu and perform other tasks while you wait.

       1 - MADDOG Full Details                                  (MADDOGFD)
       2 - PAR Balances                                         (PARBAL)
       3 - PAR Variance                                         (PARVAR)
       4 - AC Inventory                                         (FPMACINV)
       5 - Program Plan Federal Authorization Summary           (FPMPPFAS)
       6 - Contract Search Report                               (CNTINQ01)
       7 - Federal Authorization Reports                        (FEDATHFD)
       8 - ROW Forecast Reports                                 (MBRROWFC)

           PF1 = HELP    PF3 = EXIT    PF7 & PF8  Scroll Menu choices
```

- Select option 2
- Press enter to submit

```
PARBAL ---------------- PAR Balances via E-mail ------------ UPDATED: 09/15/2011
COMMAND ===> _____________________________________________________________________

   Snapshots:  L = "LIVE"     1 = 07/01/13   3 = 05/17/13  5 = 09/01/13
               N = LAST NIGHT 2 = 06/28/13   4 = 08/01/12  6 = 08/01/13
    Snapshot              ===> L       (choose from above)
    Budgeting District    ===> CO      (2-digit Dist/Cnty, SW=Statewide)
    Sort Option           ===> F       (F=by Fund,Dist, D=by Dist,Fund)
    Version               ===> G1      (AD, AM, CA, G1-G7)
    Fiscal Year           ===> 2014    (ex. 2012)
    Number of Years       ===> 06      (06,11)
    Fund Group            ===> ___     (ex. N11 = 100 percent State)
    Work Program Fund     ===> ____    (HELP=PF1)
    Distribution Area     ===> ALL     (ALL = rolled areas;
              ROLLUP = ALL  areas only;   ROLLFD = rolled funds only;
              ROLLIT = rolled funds only  with ALL distribution areas)
    Fund Allocation Type  ===> D       ex. 1-6, A-I
    Fund Alloc Version    ===> __      (Optional, blank = Work Program Version
    Statewide Rollup?     ===> N       (Y/N)
    Dollars in Thousands? ===> N       (Y/N)
    Report Format         ===> S       (S=Screen, E=Excel)

                  To see Job Card info & submit, press ENTER
                      PF1 = HELP    PF3 = PREVIOUS MENU
```

- Select a “snapshot” date
- Select a budgeting district (pulls statewide if no budgeting district is selected)
- Select fiscal year
- Select number of years
- Select fund
- Press enter to submit

3. PROJECT ALLOTMENT SUFFICIENCY (90/10) REPORT

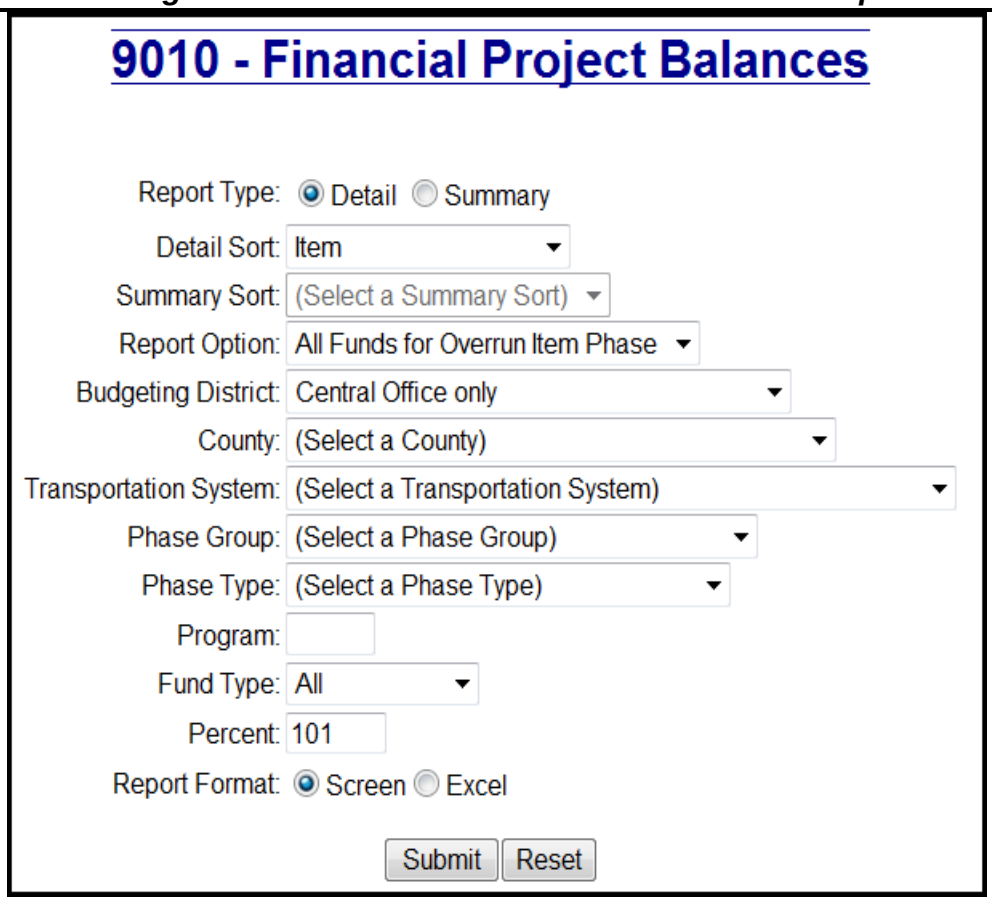
As part of management of the adopted work program, the Project Allotment Sufficiency Report was designed to help identify those projects where additional funds are likely to be required to cover unexpected or potential cost overruns. Districts/Turnpike Enterprise should review and update this report monthly. This report is commonly referred to as the "90/10 Report" because it selects only projects where a certain percentage (typically 90%) of the project budget is committed. The user may set other various percentages. It is essentially a project budget status report comparing commitments (expenditures + encumbrance balance) with an independently set portion of the total project budget (X%).

The goal of this exercise on contract phase types is to keep the total programmed amount in WPA equal to or greater than the expenditures plus the encumbrances. In-house phase types to which the department charges payroll, travel etc., must have estimates programmed to finish the project. The expenditures and encumbrance balance cannot exceed the total programmed amount. The goal of the "90/10 Report" for managing federal-aid projects is to match federal-aid authorizations to work program estimates and committed funds. The district/Turnpike Enterprise will be reviewing projects with federal-aid funding to ensure that federal authorizations are sufficient to fully fund the commitments for the project. Should the report show that project expenditures and encumbrances exceed project budget or federal authorization, project managers must research and advise the district/Turnpike Enterprise programming offices as follows:

- On state funded jobs, request that the district/Turnpike Enterprise programming offices take funds, if available, from the appropriate "box" item and assign them to the item and phases as needed. Always request sufficient funds to cover the overrun plus anticipated funds needed to complete the project.

- If federal authorizations are inadequate to fund current expenditures on the project, the district/Turnpike Enterprise should initiate a work program and federal-aid authorization request to increase the federal authorization to remedy the expenditure overrun situation in a timely manner. Districts/Turnpike Enterprise may accumulate a group of additional commitments such as supplemental agreements over a period of time and process these as one federal-aid authorization request provided the project is not in an overrun status.

  http://webapp02.dot.state.fl.us/fmsupportapps/fmreports/f9010.aspx



- Select report type
- Select sort
- Select district
- Percent should be 101%
- Click submit

4. ASTERISK FUNDS "OOPS" TRANSACTIONS

Asterisk fund codes are reflected in the WPA system when an accounting entry is made and there is no corresponding current year phase estimate in the WPA. These are defined as "oops" transactions and reflect an asterisk (****) fund code. They are visible on the Daily Cost Allocation Impact and Gene Martin Reports. The majority relate to a transaction being entered/processed when there is no correlation between the WPA phase/fund/program number and the FLAIR budget category or no current year phase estimate in WPA. When this occurs, there is an imbalance between the work program and the budget. This not only affects the budget, but also results in fund balances being overstated.

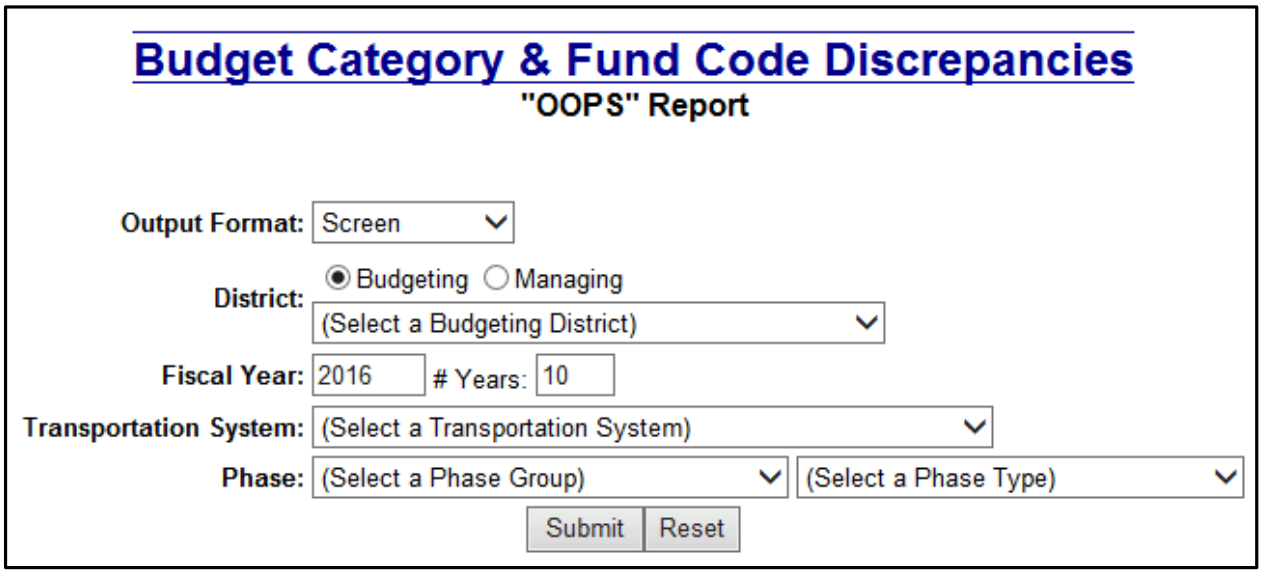
There are several steps to preventing/fixing asterisk fund codes:

- The first step is to ensure the proper coding of accounting forms by the project managers before submittal to the appropriate accounting office.

- The project managers should verify that a correct estimate exists in WPA before submitting the document for an encumbrance or expenditure. This means that the year, phase, program number, and fund correspond to the accounting transaction that is being processed.

- If an accounting transaction has already occurred and an asterisk fund code is generated, then one or more actions must occur to fix these. Program a current year phase estimate in WPA and transfer costs, or initiate a correction to the accounting entry (encumbrance change or corrected invoice). This also addresses the transaction 51 (TR 51), unencumbered disbursements. If there is an error in the initial encumbrance, then the asterisk costs will continue to be reflected.

  http://webapp02.dot.state.fl.us/fmsupportapps/fmreports/OOPS.aspx



- Select budgeting/managing district
- Select appropriate fiscal year
- Select appropriate number of years
- Click submit

5. ROLL FORWARD

Projects with an uncommitted or un-expended balance on June 30 become a part of the roll forward if they meet the following criteria:

- Estimated amounts which exceed commitments in the year on in-house and contract phases.

- Projects that were programmed but not committed prior to June 30.

- Adjustments made to projects included in the June letting to accommodate bids received at an amount less than the encumbered estimate. (Note: Adjustments will be made in the current fiscal year to those bids received that are higher than the memo encumbrance, and will not roll forward. Any adjustments for bids (rejected, etc.) made during the award period will become a manual adjustment to the roll forward.)

- Phases programmed during the year that were encumbered, and then subsequently unencumbered.

The following will not roll forward:

- In-house phases for planning, research, materials testing, FLP, motor carrier compliance, administration, tolls, maintenance

- Contract phases with the operating category consultant fees (FLAIR category 100686).

Spending authority associated with the roll forward is advanced through the budget amendment process and usually not available during the first quarter of the new fiscal year.

a. Roll Forward Report Using TSO FMREPORT:

```
WPAMAIN------------- FINANCIAL MANAGEMENT REPORTS MAIN MENU -------------------

                                                                More:     +
  1 - Print Work Program Amendments / Revisions          (AMEND)
  2 - Web Reports delivered via E-mail                   (MENU)
  3 - PSM SCHEDULING AND PRODUCTION MANAGEMENT REPORTS   (MENU)
  4 - PROGRAM PLAN CROSSWALK / PROJECTION REPORTS        (MENU)
  5 - WORK PROGRAM/BUDGET/SAMAS REPORTS                  (MENU)
  6 - OTHER WPA REPORTS                                  (MENU)
  7 - Expenditures by SAMAS ORGanization Code            (EXPNDORG)
  8 - TOP MANAGEMENT & LEGISLATURE REPORTS               (MENU)
  9 - RIGHT-OF-WAY REPORTS                               (MENU)
 10 - "LIVE" WPA Programmed Cost Report                  (MADDOG)
 11 - "LIVE" Fund Production Accomplishment Report       (PAR)
 12 - "LIVE" Budget Production Balance Report            (PBR)
 13 - Federal Project Reconciliation Report              (BILLPRJL)
 14 - FEDERAL AID REPORTS MENU                           (MENU)
 15 - FUND AND BUDGET ALLOCATION REPORTS                 (MENU)
 16 - CODE TABLE REPORTS                                 (MENU)
 17 - WPA COMPARISON REPORTS                             (MENU)
 18 - VIEW/PRINT "PRIOR PRIOR" UNENCUMBRANCE REPORTS

               PF1 = HELP  PF3 = EXIT  PF7 = PREVIOUS PF8 = NEXT
COMMAND ===> 8
```

- **Select option 8**
  Press enter to submit

```
LEGRPTS ----- TOP MANAGEMENT / LEGISLATURE REPORT MENU ---- UPDATED: 05/06/2011



              1 - ADVANCED ACQUISITION REPORT            (ADVACQ)
              2 - FAIR SHARE REPORT                      (FRSHARE)
              3 - FUND METHODOLOGIES SUMMARIES           (FNDMTHD)
              4 - INTRASTATE LANE-MILES                  (LNMIFIHS)
              5 - GOVERNOR'S REPORTS                     (Menu)
              6 - INTRASTATE R/W REPORT                  (INTRW)
              7 - INTRASTATE (ASSOCIATED SUPPORT) REPORT (INTNORW)
              8 - This report has been removed because   (DDR)
                  you can get the same results with MADDOG
              9 - ROLL FORWARD REPORTS                   (MENU)

            NOTE: All the roll forward reports have been moved under
                      option 9.

              C - SIS CAPACITY REPORT                    (CAPACITY)



                          PF1=HELP    PF3=EXIT
OPTION ===> 9
```

- **Select option 9**

  Press enter to submit

```
ROLLRPTS ------------ ROLL FORWARD REPORTS MENU ----------- UPDATED: 03/29/2011



         1 - ROLL FORWARD REPORTS                              (ROLLFWD)

         2 - ROLL FORWARD VARIANCE REPORT                      (MBR08092)
             This report displays what has changed
                since the original Roll Forward.

         3 - "POTENTIAL" ROLL FORWARD REPORT                   (ROLLING)
             This report displays what is potentially
                      going to Roll Forward.

         4 - ROLL FORWARD "ANALYSIS" REPORT
             This report has been moved to the intranet. Please go to:
http://webapp02.dot.state.fl.us/fmsupportapps/stability/RollForwardAnalysis.aspx

         5 - ROLL FORWARD COMMITMENTS FROM MOST RECENT YEAR-END  (ROLLCOMM)

                          PF1=HELP    PF3=EXIT


COMMAND ===> 1
```

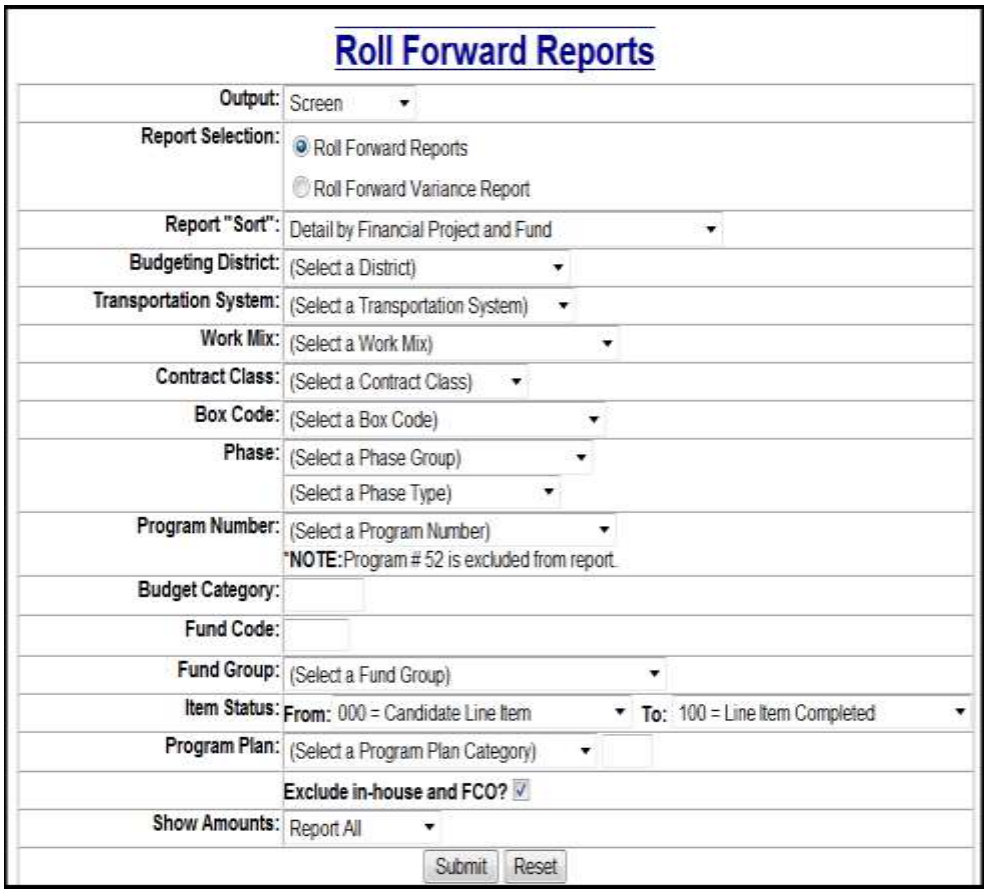
- **Select option "1"**

  Press enter to submit

```
ROLLFWD                                                    UPDATED: 07/29/2013
            ROLL FORWARD REPORT FROM MOST RECENT YEAR-END
COMMAND===>
     REPORT  "TYPE"  OPTION  ===>      A = BY ITEM OR PHASE OR FUND, ETC.
                                       B = BY BUDENTY, SAMASFND, SAMASCAT
                                       C = BY PROGRAM PLAN CATEGORY
     REPORT "FORMAT" OPTION  ===>      D = DETAIL & SUMMARY (FOR ANY ABOVE)
                                       S = SUMMARY ONLY     (FOR ANY ABOVE)
     REPORT  "SORT"  OPTION  ===>      A = BY ITEM, B = PHASE, C = FUND, ETC.
                                           NOTE: FOR MORE OPTIONS, SEE "HELP"
         BUDGETING DISTRICT  ===>         (00-08, SW, OR BLANK FOR S/W BY DIST)
               TRANS SYSTEM  ===>                 WORK MIX  ===>
              CONTRACT CLASS ===>                 BOX CODE  ===>
                 PHASE GROUP ===>               PHASE TYPE  ===>
              PROGRAM NUMBER ===>           SAMAS CATEGORY  ===>
                  FUND  CODE ===>               FUND GROUP  ===>
                  ITEM GROUP ===>              ITEM STATUS  ===>
  PROG PLAN CATEG/SUB-CATEG  ===>          PROG PLAN GROUP  ===>
  ITEM NUMBER/SEG  ===>                 FINANCIAL PROJECT SEQ  ===>
                  TO EXCLUDE IN-HOUSE AND F.C.O. (Y OR N)    ===> Y
                                 Y=EXCL ZEROS, A=ROLL ALL    ===> N  (N=ALL)
O=CURRENT ORIGINAL,  A=CURRENT ADJUSTED,  P=PRIOR ADJUSTED   ===> A
                 TO SEE JOB CARD INFO & SUBMIT, PRESS ENTER
                        PF1=HELP    PF3=PREVIOUS MENU
```

- **Press PF1 key for help to obtain list of different options**
- **Choose appropriate district**
- **Select ‘Y’ or ‘No’ for in-house and FCO projects**
- **If you want the original estimate, use “O” or it will default**
- **To “A” which is for the adjusted estimate**
- **Press enter to submit**

b. Roll Forward Report Using Work Program Applications (Web Based)



- Make desired selections (i.e. district, category, fund code)
- Press submit

6. STABILITY ANALYSIS

Section 339.135 Florida Statutes requires the transportation commission to report on the stability of the department's work program. It specifies that changes in the four common years between the adopted and tentative work programs be minimized.

In preparation for the Secretary's Review of the tentative work program, the Work Program Development and Operations Office will submit a Stability Analysis Report summarizing work program stability for the four common years of the adopted and tentative work programs to the Secretary at the executive work program review and to the Transportation Commission for their in-depth review. Also included in the same report by district will be a five year presentation which will include the four common years plus current year.

The report is a variance between the adopted and tentative work programs. It shows the extent of change (advances, defers, deletes, move-outs and no changes) for 'road and bridge' and 'freight, logistics & passenger operations' components.

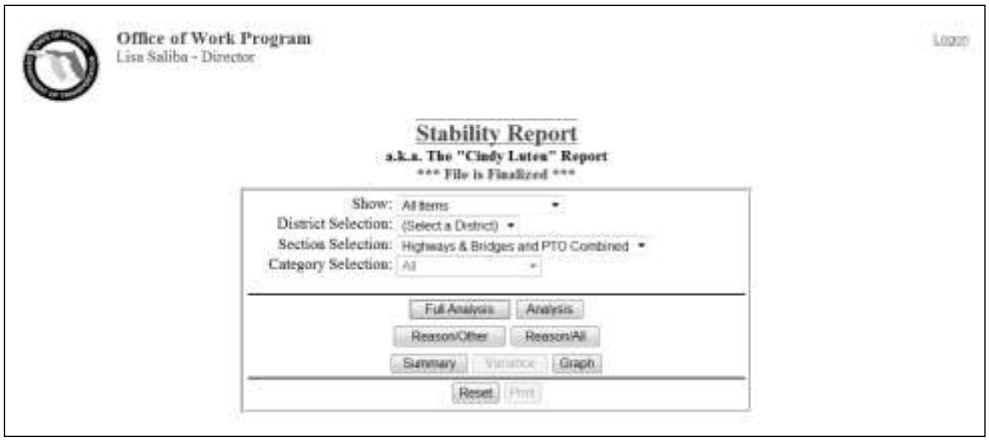
The district will assign the reason codes for the number of defers, deletes and moved-out phases on the Stability Analysis Worksheet. These changes are summarized for highway and bridge (systems 01-07 and phases 43, 52, & X4) and public transportation operations (systems 08–11 & 15 and phases 43, 44, 52, 84, 94). The reason codes are as follows:

- Estimate Increases, supplemental agreements, claims
- Split out from another project
- Request/actions of local government or other funding entity
- Statewide priority change
- District project priority changes
- Revenue adjustment
- Production and right of way schedule changes
- Secondary projects
- Project combinations or phase substitutions
- Other

The report is web based and can be found on the Work Program SharePoint site at the following link (for internal use only):

http://webapp02.dot.state.fl.us/fmsupportapps/stability/Stability.aspx.

A password and logon ID is required to update this program. The password is assigned by the Work Program Development and Operations Office.



- Analysis button - displays the Stability Analysis Worksheet excluding the advances and no changes.
- Full Analysis Button - displays the Stability Analysis Worksheet including advances and no changes.
- Complete instructions for running and coding the Stability Report will be sent to the district work program managers each January.

7. WORK PROGRAM AMENDMENT "REVISIONS" REPORT

The Revisions Report is a tool that can be used to track the progress of proposed work program amendments. The report can be run from the FMREPORT menu. To run the report select number 1 on the FMREPORT screen, then select REPORT OPTION B, district number, and fiscal year.

The report reflects two types of amendments: System amendments and work program amendments.

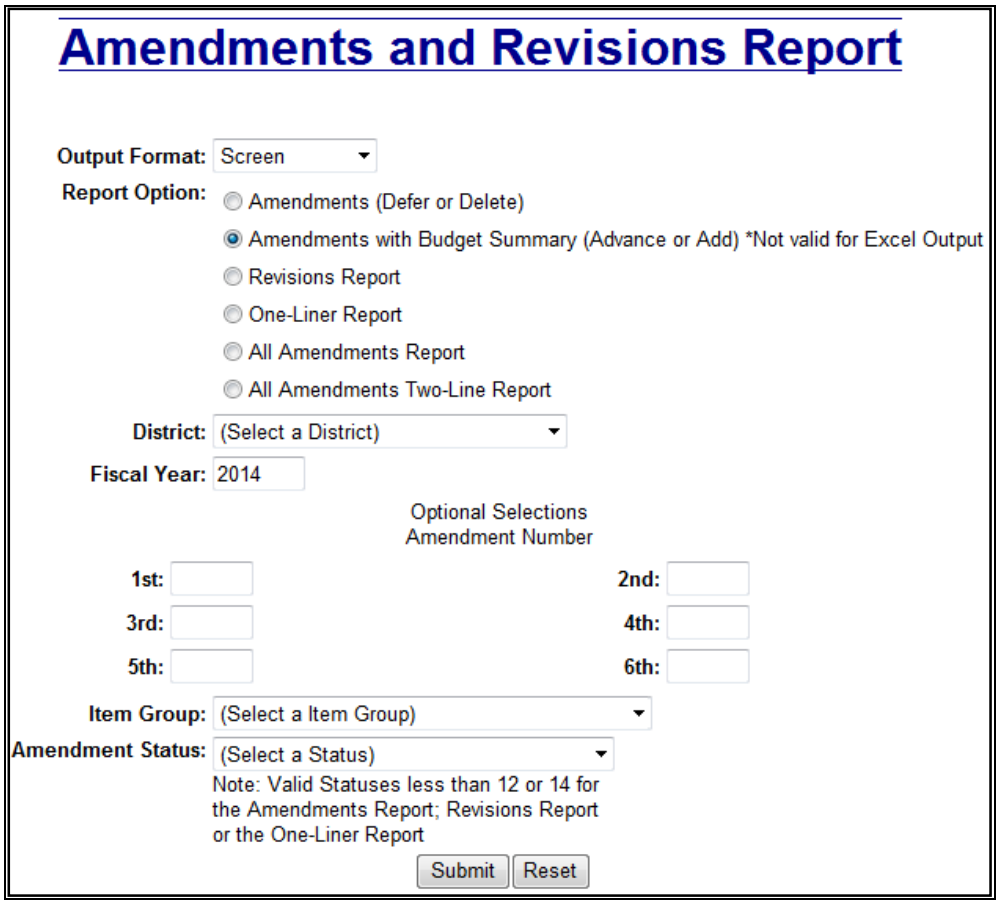
Work program amendments are discussed in detail in the Amendments chapter of these instructions. System amendments are proposed changes to the work program that do not meet the requirements for a work program amendment. It is important that the district keep track of the amendments they have proposed by running the Revisions Report.

- Work Program Amendment "Revisions" Report Using Work Program Applications (Web Based)
    - Go to Financial Management Support Applications:

http://webapp02.dot.state.fl.us/fmsupportapps/financeadministration/Applications.aspx?Office=Reports

FDOT
Financial Management Support
Chuck Rohling - Manager
Financial Management Support Applications
madDOG
computer based training
Select This Image to Begin
Home
Contacts
Process Charts
Reports
Show All
ARRA
Budget
Comparisons
Emergency
Federal Project Information
Funds
LAP
Lettings
Monitoring Tools
Performance
Project Cost Information
Reference
Roads & Bridges
Roll Forward
STIP/TIP
Schedules
Search Tools
Targets
Work Program Amendments
Work Program Project Information
Federal Aid Mgt
FM Support
Production Mgt
Work Prog Develop
Search
Search
Reset
ARRA
ARRA Projects and Contracts
American Recovery and Reinvestment Act
Budget
Budget Allocation Variance
Budget Allocations
Budget Analysis
Budget Category & Fund Code Discrepancies ("OOPS" Report)
Budget Production Balances
Budget Reconciliation
Production Balance Report (P.B.R.)
Work Program / Budget Summary (Bernie)
Work Program/Budget/Flair Comparison (Gene Martin)
Comparisons
Construction Comparison Formerly Known as (Construction vs PE or CEI)
Locally Funded Agreements vs. Work Program
Phase Comparison
Project Comparison
Right of Way Expenditure Plan vs. Work Program
Right of Way Forecast Reports
Right-Of-Way Vs. Work Program
WPA vs LRE
Emergency
Emergency AR Tracking Report
Emergency Financial Projects
Emergency Report
Federal Project Information
AC Inventory
FAMIS Electronic Signatures
Federal Appropriation Reference to WPA Crosswalk
Federal Authorization Reports
Federal Fileroom Location
Federal Inactivity Monitor
Federal Project Edits
Federal Project Overview
Federal Project Status History
Federal Project Workbeat
Final Acceptance Form
Financial Integrity Review and Evaluation (FIRE)
Obligating Authority Reports
Program Plan Federal Authorization Summary
Rail Crossing
Funds
10 Year Fair Share Report
AC Estimates
Current Federal Recon Detail Report
DDR/REC Comparison
Federal Fund Reconciliation Update Compare
Fund Allocation Variance
Fund Allocations
Fund Balance Graph Report
Fund Production Balance
Fund Variance
Production Accomplishment Report (P.A.R.)
State Recon Reports
Status of Federal Funds
Toll/Turnpike Total Expenditures
LAP
LAP Certifications Listing
LAPIT (Formerly ARRA LAP Contracts)
Lettings
Letting List
Low Bid vs. WPA Estimate
Monthly Construction Lettings
Processing List
Monitoring Tools
Amendments Log
Amendments and Revisions
Construction Projects with Rail Road Crossing Edit
Contingency Analysis
DSB Edit
External Agency Edit
FCO Reporting
Finance Plan Reporting
Financial Project Status Start Date Change
Landscape Report (Select Landscape Reports on the left hand side of the screen after logging in)
Let Together Projects Exception report
Phase A8/Program 52 and the "AC" Funds
Present Day Cost Review
Project Change History
Resurfacing Monitor
SIS Capacity
Unit Cost Report

- Locate “Monitoring Tools” and click “Amendments and Revisions”



- Select revisions report
- Select district
- Select fiscal year
- Submit

8. PROJECTION ANALYSIS REPORT

All Schedule B Targets can be monitored using the Projection Analysis Report. This report compares the current target levels in Schedule B with the program in WPA. Instructions for running the report in TSO are shown here and instructions for running the web based version are below.

Log on to the Mainframe session, select TSO and type “TSO FMREPORT”

```
WPAMAIN------------- FINANCIAL MANAGEMENT REPORTS MAIN MENU -------------------

                                                                   More:     +
  2 - Web Reports delivered via E-mail                        (MENU)
  3 - PSM SCHEDULING AND PRODUCTION MANAGEMENT REPORTS        (MENU)
  4 - PROGRAM PLAN CROSSWALK / PROJECTION REPORTS             (MENU)
  5 - WORK PROGRAM/BUDGET/SAMAS REPORTS                       (MENU)
  6 - OTHER WPA REPORTS                                       (MENU)
  7 - Expenditures by SAMAS ORGanization Code                 (EXPNDORG)
  8 - TOP MANAGEMENT & LEGISLATURE REPORTS                    (MENU)
  9 - RIGHT-OF-WAY REPORTS                                    (MENU)
 10 - "LIVE" WPA Programmed Cost Report                       (MADDOG)
 13 - Federal Project Reconciliation Report                   (BILLPRJL)
 14 - FEDERAL AID REPORTS MENU                                (MENU)
 15 - FUND AND BUDGET ALLOCATION REPORTS                      (MENU)
 16 - CODE TABLE REPORTS                                      (MENU)
 17 - WPA COMPARISON REPORTS                                  (MENU)
 18 - VIEW/PRINT "PRIOR PRIOR" UNENCUMBRANCE REPORTS

 19 - PE/CEI/Right of Way Reviews for Consultant & Inhouse  (MENU)

  D - Download Dataset                                        (DOWNLOAD)
              PF1 = HELP  PF3 = EXIT  PF7 = PREVIOUS PF8 = NEXT
COMMAND ===> 4
```

- Select option 4
- Press enter to submit

The following screen gives you the option to choose what type of Target report you want to submit.

```
WPARPT4 --------------- CROSSWALK OPTIONS MENU ------------ UPDATED: 10/28/2004
COMMAND ===> 3
                                                                   More:     +
      1 - Program Plan Crosswalk Reports                         (XWALK)
      2 - Projection Analysis "LIVE"                             (MBR0402)
      3 - Projection Analysis "BATCH"                            (MBR0402B)
      4 - Projection Code Table listing                          (MBR0404)
      5 - Comparison of Target, Programmed, Budget and Committed (MBR0405)
      7 - Target Comparison                                      (MBR0407)

      P - Program Plan (by fund group) "download" datasets       (XWALK2)

      R - Program Plan (by fund group) "download" datasets       (XWALK2R)
          from Roll Forward

      8 - Program Plan - District 08   "download" dataset        (XWALK4TP)
      9 - State Funds Summary
      10 - BRIANS REPORT
      11 - Target Analysis Upload (WARNING: THIS IS AN UPDATE PROGRAM!)
      * DO NOT RUN #11 UNLESS YOU INTEND TO UPDATE THE PRODUCTION TARGETS


                                    PF3 = EXIT
```

- Press enter to submit

The screen below allows you to choose which target you need to submit. On the ‘projection level code’ if you press F1, you will obtain the ‘help’ screen with a listing of all specific levels. If you leave the option blank you will receive all Schedule B Targets.

```
MBR0402B----------------- PROJECTION ANALYSIS "BATCH" -------------------------
COMMAND ===> ____________________________________________________________________

          Projection Level Code (ROWL)  ===> pecn
          Projection Definition (Blank=Current Targets)  ===> ________
          Override District Rollups (y/ N )  ===> _

        * Version (G1...G7,AM or AD)  ===> G1
          Budgeting District (SW=Statewide)  ===> __

   * Data Source
L ="LIVE"  N =LAST NIGHT 1 =07/01/14 2 =03/04/15 3 =04/06/15 4 =12/08/14 ==> 3

NOTE: When running AC**, SX** or TX** Projection Levels.  Live is now available

   * = Mandatory fields

 F1=Help    F2=Split   F3=Exit    F9=Swap   F12=Cancel
```

- Press enter to submit

The following screen will be the *Projection Analysis* screen from which you get to choose which format you want; Tentative Work Program Development Cycle Style Report or Maddog Style Report.

- On this screen you have the option to breakout boxes, if you choose option 1.

```
MBR0402C----------------- PROJECTION ANALYSIS "BATCH" -------------------------
COMMAND ===> ____________________________________________________________________

Gaming Style Report: ( 1-7/ N )  ===> 1
    Target comparison Reports:
         1 == District Sort                2 == Projection Level Code Sort
        Breakout boxed items  ( y / N ) N   Breakout fund code  ( y / N ) N
        Show Dollars in Millions  ( y / N ) N

    Programmed only Reports:
         3 == Phase, Program, Fund         4 == Fund, Phase, Program
         5 == Fund Group, Fund             6 == Trans Sys, Phase, Pgm, Fund
         7 == ITEM

         Generate a download file:  ( y / N )  ===> N
    Generate a PDF file via Email:  ( y / N )  ===> N

MadDog Style report: ( y / N )  ===> N
     Indicate Desired Sort Order. (Number 1-5)
         _  Phase                    _  Program Number
         _  Fund Code                _  Item Number
         _  DOT County
              PF1 = HELP  PF3 = PREVIOUS MENU  ENTER = CONTINUE
```

- If you choose to breakout boxes, you are able to see how much of the target is programmed in boxes and what is on items.

```
BROWSE - OFFLINE  STEP6    GO       - Page  2      Line  1        Cols 1-80
COMMAND ===> _                                              SCROLL ===> SCREEN


05/18/2015 16.54.28                          FLORIDA DEPARTMENT OF TRANSPORTA
04/06/2015 21.15.02 G1                          OFFICE OF FINANCIAL DEVELOPME
***DISTRICT: 01                                              TARGET ANALYSIS

                                  |
                             2015 |          2016          2017
                             ---- -          ----          ----
                                  |
PRELIMINARY ENGINEERING CONSUL / PECN|
TARGET                  88,173,526 |    61,300,000    40,700,000    32,900
PROGRAM                100,615,269 |    88,310,235    50,350,989    40,755
 OVER/UNDER TARGET      12,441,743 |    27,010,235     9,650,989     7,855



 F1=HELP      F2=SPLIT     F3=END       F4=RETURN    F5=RFIND     F6=RCHANGE
 F7=UP        F8=DOWN      F9=SWAP     F10=LEFT     F11=RIGHT    F12=RETRIEVE
```

- This is what the report looks like. To obtain the remaining years, scroll to the right by using the F11 key.

```
BROWSE - OFFLINE  STEP6    GO       - Page  2      Line  1        Cols 53-132
COMMAND ===>                                                SCROLL ===> SCREEN


IDA DEPARTMENT OF TRANSPORTATION                                  PAGE    1
FFICE OF FINANCIAL DEVELOPMENT                                   MBR0402-G1
         TARGET ANALYSIS          2016 - 2020 TARGETS

                                                                  5 YEAR
16          2017          2018          2019          2020        TOTAL
--          ----          ----          ----          ----        ------

00     40,700,000    32,900,000    54,900,000    50,000,000   239,800,000
35     50,350,989    40,755,653    72,329,130    49,637,635   301,383,642
35      9,650,989     7,855,653    17,429,130      -362,365    61,583,642



 F1=HELP      F2=SPLIT     F3=END       F4=RETURN    F5=RFIND     F6=RCHANGE
 F7=UP        F8=DOWN      F9=SWAP     F10=LEFT     F11=RIGHT    F12=RETRIEVE
```

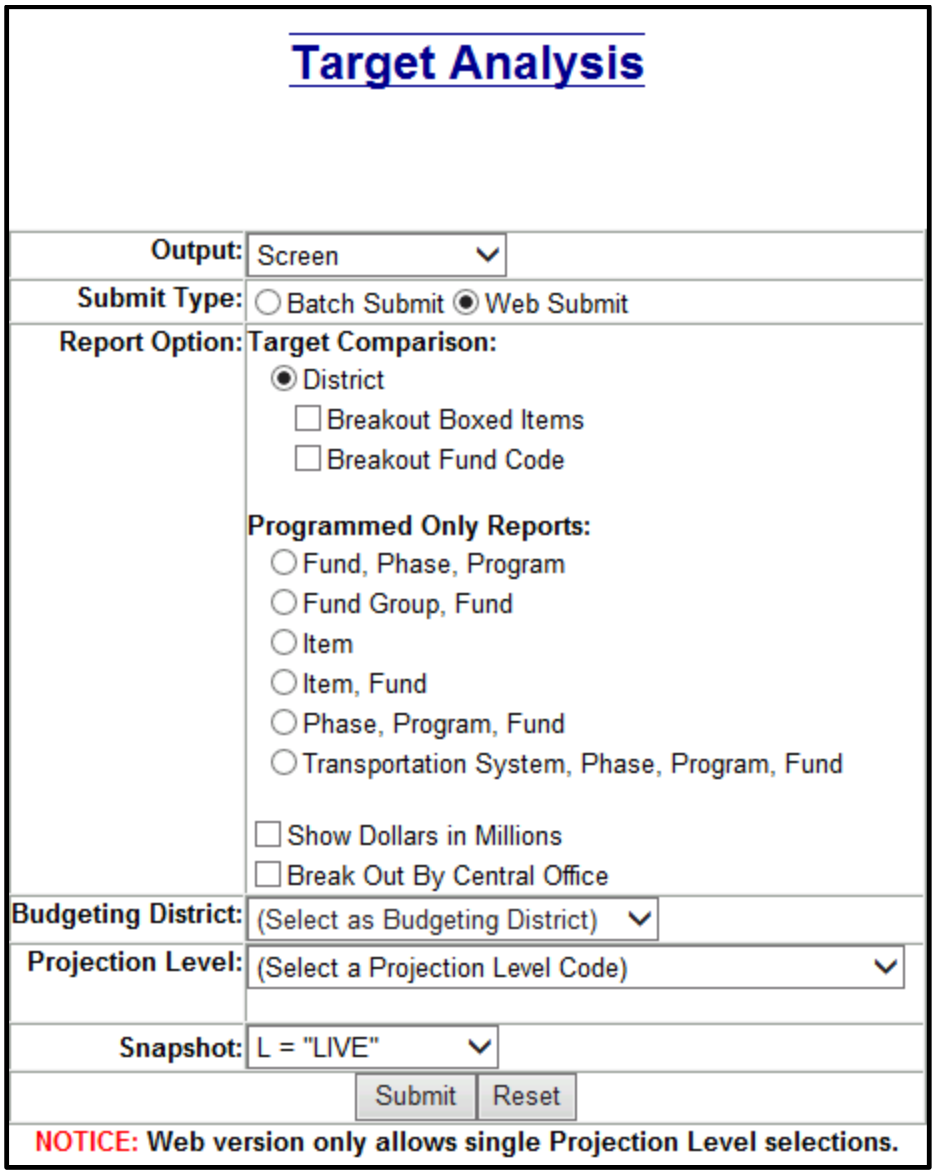
- To print the report, press F3 to obtain the print option screen.

Instructions for running the web based version of the Projection Analysis report.

Open your web browser

Type the following link in the address bar (for internal use only):

http://webapp02.dot.state.fl.us/fmsupportapps/fmreports/TargetAnalysis.aspx



- Select Submit Type (Batch Submit will deliver an Excel file via email)
- Select Report Option
- Select Budgeting District
- Select Projection Level
- Select Snapshot

9. ADVANCED CONSTRUCTION REPORTS

The following reports are useful in determining whether an AC project is programmed correctly with a phase A8 program number 52 for conversion

This report provides detail for each project programmed with AC funds that have a phase A8 with program number 52.

```
WPAMAIN------------- FINANCIAL MANAGEMENT REPORTS MAIN MENU -------------------

                                                                   More:     +
  1 - Print Work Program Amendments / Revisions          (AMEND)
  2 - Web Reports delivered via E-mail                   (MENU)
  3 - PSM SCHEDULING AND PRODUCTION MANAGEMENT REPORTS   (MENU)
  4 - PROGRAM PLAN CROSSWALK / PROJECTION REPORTS        (MENU)
  5 - WORK PROGRAM/BUDGET/SAMAS REPORTS                  (MENU)
  6 - OTHER WPA REPORTS                                  (MENU)
  7 - Expenditures by SAMAS ORGanization Code            (EXPNDORG)
  8 - TOP MANAGEMENT & LEGISLATURE REPORTS               (MENU)
  9 - RIGHT-OF-WAY REPORTS                               (MENU)
 10 - "LIVE" WPA Programmed Cost Report                  (MADDOG)
 11 - "LIVE" Fund Production Accomplishment Report       (PAR)
 12 - "LIVE" Budget Production Balance Report            (PBR)
 13 - Federal Project Reconciliation Report              (BILLPRJL)
 14 - FEDERAL AID REPORTS MENU                           (MENU)
 15 - FUND AND BUDGET ALLOCATION REPORTS                 (MENU)
 16 - CODE TABLE REPORTS                                 (MENU)
 17 - WPA COMPARISON REPORTS                             (MENU)
 18 - VIEW/PRINT "PRIOR PRIOR" UNENCUMBRANCE REPORTS

              PF1 = HELP  PF3 = EXIT  PF7 = PREVIOUS PF8 = NEXT
COMMAND ===> 6
```

- Choose option 6

```
WPARPT2------------------- OTHER WPA REPORTS ---------------UPDATED: 10/19/2011
COMMAND ===> 21
                                                                   More:     +
  1 - VARIANCE REPORTS                                            (MENU)
  2 - WP/SAMAS/BUDGET Remaining Estimates Report                  (REMEST)
  3 - 5/6-Year Transportation Plan (Citizens's Plan)              (CITZPLAN)
  4 - Transportation Improvement Plan (T.I.P./S.T.I.P.)           (WPAPJ93)
  5 - 20-Year "Gaming" Reports (6-yr/to the dollar or 10-yr/rounded) (WPAPJ99)
  6 - 20-Year "Gaming" Reports (from a variance extract w/dstrarea)  (VARF99GA)
  7 - "Fund"   Production Accomplishment Report (P.A.R.)          (PARBTCH)
  8 - "Budget" Production    Balance     Report (P.B.R.)          (PBRBTCH)
  9 - Program Plan "Crosswalk" for Funds  (P.A.R.)                (PARXWLK)
 10 - Program Plan "Crosswalk" for Budget (P.B.R.)                (PBRXWLK)
 11 - Estimated, Committed, and Remaining, etc. (3 dollar report) (FNDSAUTH)
11A - Authorized, Remaining, and Committed, for Related Projects  (FNDSAURL)
 12 - 6-Year "Contingency" Reports (Boxes vs Programmed)          (CONTING)
 13 - Potential Advance/Extra Production Report                   (ADVPROD)
 14 - Unit Cost Report - Resurfacing/Bridge/New Lanes Added       (MBR0614)
 15 - "BRIEF" 5 or 6 Year Report                                  (BRIEF)
 16 - CONSTRUCTION CONTRACT ANALYSIS REPORTS                      (MENU)
 17 - Citizen Plan Adopted/Tentative Download File                (MBR0617)


          PF1 = HELP    PF3 = EXIT    PF7 & PF8  Scroll Menu choices
```

- Choose option 21

```
CONVERSN ------ "AC" (ADVANCED CONSTRUCTION) REPORTS ------ UPDATED: 03/24/2011
COMMAND ===> _____________________________________________________________________

    REPORT OPTION (A,B,C,D,E,F,G,H,I,J,K,L,M,N,W,X)  ===> X
       A = LFR/LFRF  AND/OR  PHASE A8/PGM 39                        (LFPAYBCK)
           ------ "AC" FUNDS AND/OR PHASE A8/PGM 52 -------
       B = "AC--" WITH ITEM GROUP 'ESP'                             (CONVESP)
       C = "AC--" AND PGM 39   G = "ACSE"   K = "ACXA"              (CONVACXX)
       D = "AC--" (ALL "AC")   H = "ACSH"   L = "ACXL"              (CONVACXX)
       E = "ACI,IMAC,NHAC"     I = "ACSN"   M = "ACXU"              (CONVACXX)
       F = "ACF0"              J = "ACSS"   N = "ACEB,ACEN,ACSA"    (CONVACXX)
       S = "SIB" FUNDS AND A8 PHASES                                (A8SIB)
       W = PHASE A8/PROG 52 WITH NO "AC" FUNDS                      (A852NOAC)
       X = PHASE A8/PROG 52 AND THE "AC" FUNDS                      (A852AC)
           FUNDS   ===> ____    PROGRAM NUMBERS   ===> __     (FOR A852AC ONLY)
    FILE VERSION (G1...G7, AM OR AD)                ===> __
    FISCAL YEAR  ===> 2014  NO.YEARS (UP TO 99)     ===> __
    DETAIL SORT OPTION (D=DISTRICT, S=STATEWIDE)    ===> _
    DISTRICT CODE    ===> __       TYPE (B OR M)    ===> _
    ALLOCATION TYPE  ===> C
    COST TYPE (E=ESTIM, C=COMMIT, X=CALCULATED)     ===> _
  ="LIVE"    =LAST NIGHT 1 =07/01/13 2 =06/28/13 3 =05/17/13 4 =08/01/12 ==> _
                 TO SEE JOB CARD INFO & SUBMIT, PRESS ENTER
                      PF1 = HELP    PF3 = PREVIOUS MENU
```

- Select X for report option
- Complete the page and submit

This report is a listing of AC projects with Phase A8 and program number 52 for conversion and is useful in balancing the ACRE PAR

```
WPAMAIN------------- FINANCIAL MANAGEMENT REPORTS MAIN MENU -------------------

                                                                  More:     +
  1 - Print Work Program Amendments / Revisions          (AMEND)
  2 - Web Reports delivered via E-mail                   (MENU)
  3 - PSM SCHEDULING AND PRODUCTION MANAGEMENT REPORTS   (MENU)
  4 - PROGRAM PLAN CROSSWALK / PROJECTION REPORTS        (MENU)
  5 - WORK PROGRAM/BUDGET/SAMAS REPORTS                  (MENU)
  6 - OTHER WPA REPORTS                                  (MENU)
  7 - Expenditures by SAMAS ORGanization Code            (EXPNDORG)
  8 - TOP MANAGEMENT & LEGISLATURE REPORTS               (MENU)
  9 - RIGHT-OF-WAY REPORTS                               (MENU)
 10 - "LIVE" WPA Programmed Cost Report                  (MADDOG)
 11 - "LIVE" Fund Production Accomplishment Report       (PAR)
 12 - "LIVE" Budget Production Balance Report            (PBR)
 13 - Federal Project Reconciliation Report              (BILLPRJL)
 14 - FEDERAL AID REPORTS MENU                           (MENU)
 15 - FUND AND BUDGET ALLOCATION REPORTS                 (MENU)
 16 - CODE TABLE REPORTS                                 (MENU)
 17 - WPA COMPARISON REPORTS                             (MENU)
 18 - VIEW/PRINT "PRIOR PRIOR" UNENCUMBRANCE REPORTS

              PF1 = HELP  PF3 = EXIT  PF7 = PREVIOUS PF8 = NEXT
COMMAND ===> 6_____________________________________________________________________
```

- Choose option 6

```
WPARPT2------------------- OTHER WPA REPORTS ---------------UPDATED: 10/19/2011
COMMAND ===> 22
                                                                    More:   -

 18 - Roadway Data Report                                          (MBR0618)
 19 - Single Allocation Type Estimates                             (MBR0619)
 20 - Work Program Phase Change History Report                     (CHGHIST)
 21 - "AC" (ADVANCED CONSTRUCTION) REPORTS                         (MENU)
 22 - AC Revolving Conversion Funds                                (AC52CONV)
 23 - Federal Project Contract Status (Angie) Report               (MBR0623)
 24 - Item Groups by Item Number or Items by Item Group (no dollars) (ITEMGRPS)
 25 - NOT USED
 26 - Project Cost History Per Item Number                         (CHNGHIST)
 27 - Original Year Estimates --- Per Phase                        (ORIGPHYR)
 28 - Phase History (shows no dollars)                             (PHASHIST)
 29 - C.E.I.(61/62) vs Construction (52)                           (CEIVSCNS)
 30 - P.E.  (31/32) vs Construction (52)                           (PEVSCNS)
 31 - Item Segment Locations - Arpt,Brdg,Rdwy,Seap,Tran            (LOCATION)
 32 - Description Comparison                                       (MBR0632)
 33 - BRIDGE PROGRAM REPORTS                                       (MENU)
 34 - Roadway Overlap Report                                       (MBR0634)
 35 - ARRA - American Recovery and Reinvestment Act                (ARRA)

          PF1 = HELP    PF3 = EXIT    PF7 & PF8  Scroll Menu choices
```

- Choose option 22

```
AC52CONV -------- AC NON-REVOLVING CONVERSION FUNDS ------- UPDATED: 08/19/2008
COMMAND ===>

          DETAIL  REPORT OPTION (N FOR NO REPORT)      ===> A

          SUMMARY REPORT OPTION (N FOR NO REPORT)      ===> N

          FILE VERSION (G1...G7, AM OR AD)             ===> G1

          FISCAL YEAR  ===> 2014  NO.YEARS (UP TO 99)  ===> 01

          DETAIL SORT OPTION (D=DISTRICT, S=STATEWIDE) ===> D

          DISTRICT  ===> 03     DISTRICT TYPE (B OR M) ===> B

          FUND CODE  ===> ____   FUND ALLOCATION TYPE  ===> B

          COST TYPE (E=ESTIM, C=COMMIT, X=CALCULATED)  ===> X

L ="LIVE"  N =LAST NIGHT 1 =07/01/13 2 =06/28/13 3 =05/17/13 4 =08/01/12 ==> N

                 TO SEE JOB CARD INFO & SUBMIT, PRESS ENTER
                      PF1 = HELP    PF3 = PREVIOUS MENU
```

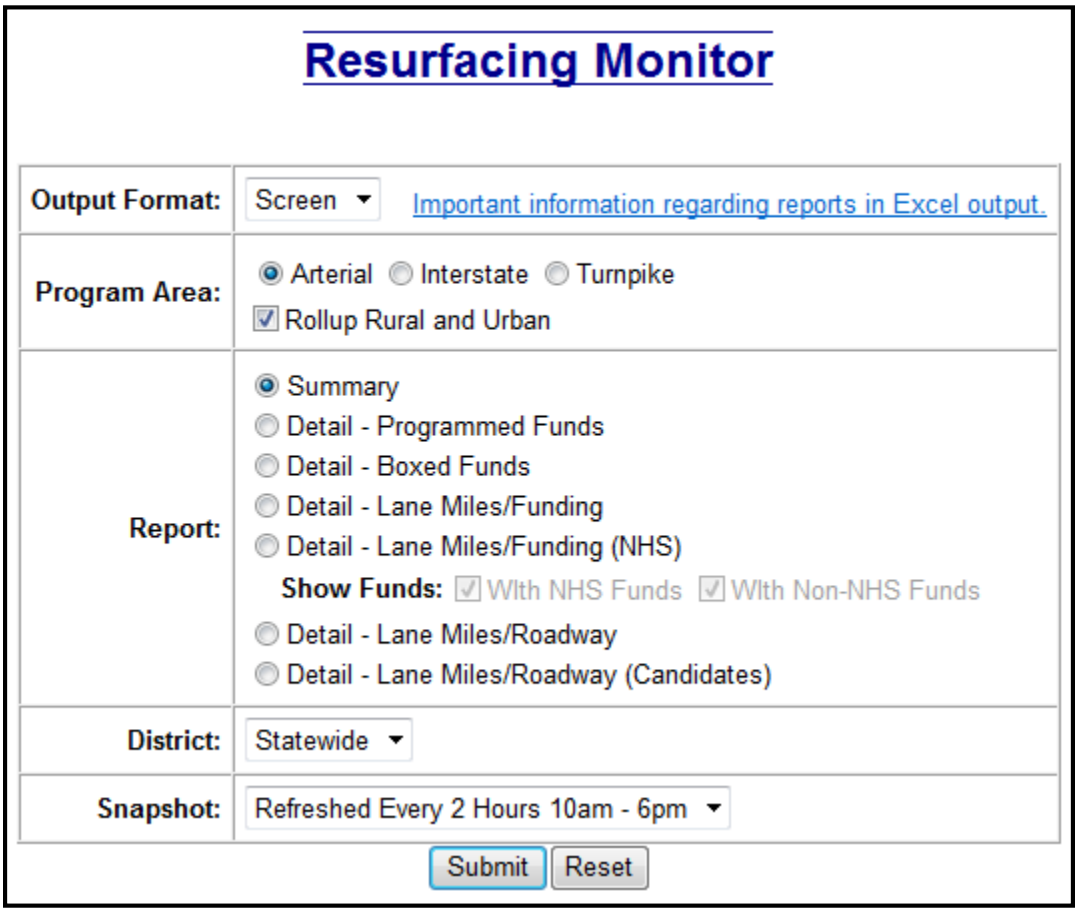
- Select A for report option
- Complete the page and submit

10. RESURFACING MONITOR

All resurfacing condition targets can be monitored by the web based Resurfacing Monitor. This report compares the current target levels in resurfacing with the program in WPA. Instructions for running the report are shown below.

- Open your web browser
- Type the following link in the address bar (for internal use only):

  http://webapp02.dot.state.fl.us/fmsupportapps/fmreports/ResurfacingMonitor.aspx



Sample Report

STATEWIDE
ARTERIAL RESURFACING Program Targets
Effective Date: 05/20/2015 Time: 08.00.02

	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Funding Allocation						
TOTAL ALLOCATION	$388,171,991	$451,173,821	$332,647,597	$397,483,003	$412,724,000	$430,602,000
DDR	$131,045,500	$107,127,500	$143,540,000	$86,006,501	$82,441,501	$83,627,000
DS	$87,315,828	$165,287,320	$56,283,221	$168,082,251	$185,880,749	$197,511,000
SA	$98,245,501	$107,127,500	$77,409,376	$86,006,501	$82,441,501	$83,627,000
NHRE	$71,565,161	$71,631,500	$55,415,000	$57,387,750	$61,960,249	$65,837,000
Programmed on Projects						
TOTAL PROGRAMMED ON PROJECTS	$442,456,119	$444,113,759	$313,500,548	$343,047,735	$1,157,338	$350,641
DDR	$116,347,966	$119,924,928	$129,982,987	$81,708,792	$1,067,338	$350,641
DS	$92,725,081	$134,387,583	$48,316,159	$109,458,579	$90,000	$0
SA	$101,267,783	$109,707,523	$76,514,338	$91,047,263	$0	$0
NHRE	$75,776,334	$70,041,635	$55,325,746	$57,063,198	$0	$0
Other	$56,338,955	$10,052,090	$3,361,318	$3,769,903	$0	$0
Programmed in Box						
TOTAL PROGRAMMED IN BOX	$18,719,532	$32,176,037	$22,623,261	$77,882,003	$411,566,662	$430,530,942
DDR	$4,815,633	$2,550,372	$13,582,928	$9,620,204	$81,374,163	$83,276,359
DS	$8,517,450	$26,285,383	$8,056,041	$67,036,555	$185,790,749	$197,790,583
SA	$1,870,983	$1,821,453	$895,038	$900,692	$82,441,501	$83,627,000
NHRE	$2,084,974	$1,518,829	$89,254	$324,552	$61,960,249	$65,837,000
Other	$1,430,492	$0	$0	$0	$0	$0
Programmed over/under Funding Allocation						
TOTAL PROGRAMMED OVER/UNDER ALLOCATION	$73,003,660	$25,115,975	$3,476,212	$23,446,735	$0	$279,583
DDR	($9,881,901)	$15,347,800	$25,915	$5,322,495	$0	$0
DS	$13,926,703	($4,614,354)	$88,979	$8,412,883	$0	$279,583
SA	$4,893,265	$4,401,476	$0	$5,941,454	$0	$0
NHRE	$6,296,147	($71,036)	$0	$0	$0	$0
Other	$57,769,447	$10,052,090	$3,361,318	$3,769,903	$0	$0
Lane Miles						
Lane Mile Allocation						
TOTAL ALLOCATION	1,301	1,303	980	967	980	994
Programmed Lane Miles						

11. EDIT REPORTS

The following list describes each edit with an explanation of what the edit is looking for, the purpose of the edit and the work program instructions reference for each edit when applicable:

- **EDIT #1 - EDIT$1**

Purpose: To identify phases with an estimate of $1-$100. Programming of minor amounts as placeholders is not allowed.

Description: Report 1 provides projects with federal funds with estimates of $1 - $100 with no commitments (excl. boxes and when no prior year has a phase status of 4, 5 or 6). Report 2 provides projects with non-federal funds with estimates of $1 - $100 with no commitments (excl. boxes and when no prior year has a phase status of 4, 5, or 6).

FEDERAL FUNDS WITH $1-100 AND ZERO COMMITMENTS (EXCL BOXES AND WHEN NO PRIOR YEAR HAS STATUS 4, 5, 6)

NON-FED FUNDS WITH $1-100 AND ZERO COMMITMENTS (EXCL BOXES AND WHEN NO PRIOR YEAR HAS STATUS 4, 5, 6)

Work Program Instructions Reference: Programming guidelines: WPA screens and work program reports, administration

- **EDIT #2 - EDITALTY**

Purpose: To ensure allocation type agrees with fund code programmed.

Description: Provides a listing of project phases with funds and allocation types that do not comply with current work program instructions. Report 1 provides project phases with funds other than local funds that have a fund allocation type of 4 (non-budgeted). Report 2 provides a listing of project phases with an allocation type of 2 (unfunded) and 3 (revenue). These allocation types are no longer being used. Report 3 provides a listing of project phases programmed in boxes (contract class 8) that do not have an allocation type of 1 (budgeted). Report 4 provides a listing of project phases with commitments that do not have an allocation type of 1 (budgeted). Report 5 provides a list of funds with allocation type 4 (non-budgeted) on in-house phases. Report 6 provides a listing of projects with federal funds that are not allocation type 1 (budgeted) or 6 (fund transfer), excluding the fund group F49 (100% federal non-FHWA) and allocation type 5 (pending conversion) with a pending authorization request not equal to 0. Report 7 provides a listing of projects with funds with allocation type 5 (pending conversion) but no pending authorization.

NON-LF FUNDS WITH ALLOCATION TYPE 4

FUNDS WITH ALLOCATION TYPE 2 OR 3 CONTRACT CLASS 8 (BOXES) NOT ALLOCATION TYPE 1 COMMITMENTS NOT ALLOCATION TYPE 1 FUNDS WITH ALLOCATION TYPE 4 (NON-BUDGETED) ON ‘IN-HOUSE’ PHASESFEDERAL FUNDS NOT ALLOCATION TYPE 1 (BUDGETED) OR 6 (FUND TRANSFER) (EXCL. FUND GROUP F49 – NON-FHWA, AND ALLOCATION TYPE 5 WITH PENDING AUTHORIZATION REQUEST NOT EQUAL TO 0 FUNDS WITH ALLOCATION TYPE 5 BUT NO PENDING AUTHORIZATION

Work Program Instructions Reference: Appendix D, fund allocation types

- **EDIT #3 - EDITXLXU**

Purpose: To identify projects located off the State Highway System that have federal funds programmed for in-house support phases but not on the corresponding primary phase or have federal funds programmed for construction but not for in-house support. To identify projects programmed with federal STP urban/non-urban funds off the state highway system that do not have a local match programmed. To identify projects programmed with state primary matching funds or district dedicated revenue matching funds not on transportation system 06 (off state highway), 08 (transit), 13 (miscellaneous) or 16 (off state highway/off federal highway). This is a comprehensive EDIT that covers a review of several off system programming applications related to XL and XU funds.

Description: These reports provide a listing of projects on transportation system 06 (non-intrastate off state highway) or 16 (off state hwy. system/off federal hwy. system). Report 1 provides a listing of projects on transportation system 06 (non-intrastate off state hwy.) or 16 (off state hwy. system/off federal hwy. system) with federal funds on phase 41 (right of way in-house) but no federal funds, LF or TRIP on phase 43 (right of way purchase) or phase 48 (right of way, other agency), excluding contract class 8 (boxes) projects. Report 2 provides a listing of projects on transportation system 06 or 16 with federal funds on phase 61 (construction support in-house), but no federal funds on any 5x (construction) phase or LF funds on phase 52 or 58, excluding contract class 8. Report 5 provides a listing of projects programmed with both XL.. (areas <=200k population) and XU.. (areas > 200k programmed) funds, excluding contract class 8 (boxes) projects. Report 6 provides a listing of projects not on transportation system 06, 08, 13 or 16 that have either DSF funds or DDRF funds programmed.

ITEMS ON TRANSPORTATION SYSTEM 06 OR 16 WITH FEDERAL FUNDS ON PHASE 41, BUT NO LF, TRIP, OR FEDERAL FUNDS ON PHASE 43 OR

ITEMS ON TRANSPORTATION SYSTEM 06 OR 16 WITH FEDERAL FUNDS ON PHASE 61, BUT NO FEDERAL FUNDS ON PHASE 5X OR LF OR SMALL COUNTY FUNDS ON PHASE 52 58 (EXCL. BOXES)

ITEMS WITH XL.. AND XU.. FUNDS ON THE SAME ITEM (EXCL. BOXES)

ITEMS WITH DSF OR DDRF FUNDS NOT ON TRANSPORTATION SYSTEM 06, 08, 13 OR 16

Work program instructions reference: Programming Guidelines: Federal Aid Funds used off the State Highway System

- **EDIT #4 - EDITCIGX**

Purpose: To ensure that projects programmed under the county incentive grant program and the small county outreach program have the mandatory match programmed.

Description: Provides a listing of project phases under the county incentive grant program (CIGP funds) and the small county outreach program (SCOP/GRSC funds) that do not have the mandatory match programmed or the amount of the match is incorrect. Report 1 provides a listing of project phases programmed with CIGP funds with a local fund match of less than 50%, excluding those with an item group identifier of WAIV. Report 2 provides a listing of project phases programmed with SCOP/GRSC funds with a local match of 25%, excluding those with an item group identifier of WAIV. Report 3 provides a listing of project phases programmed with CIGP funds without a local match programmed, excluding those with an item group identifier of WAIV. Report 4 provides a listing of project phases programmed with SCOP/GRSC funds without a local match programmed, excluding those with an item group identifier of WAIV.

CIGP FUNDS WITH LF/LFP LESS THAN 50% MATCH (EXCL. 'WAIV')

SCOP/GRSC FUNDS WITH LF/LFP LESS THAN 25% MATCH (EXCL.'WAIV')

CIGP FUNDS WITH NO LF/LFP (EXCL. 'WAIV')

SCOP/GRSC FUNDS WITH NO LF/LFP (EXCL. 'WAIV')

Work program instructions reference: Programming guidelines: County Incentive Grant Program, Small County Outreach Program

- **EDIT #5 - EDITITST**

Purpose: To identify dropped projects with commitments and completed projects with funding in future years.

Description: Report 2 provides a listing of projects in an item status 003 (dropped) that have commitments greater than zero. Report 3 provides a listing of projects in an item status 003 (dropped) where the phase status is not equal to 3 (deleted). Report 4 provides a listing of projects in a phase status 3 (deleted) that have commitments greater than zero.

ITEM STATUS EQUAL TO 003 – COMMITTED NOT EQUAL TO 0

ITEM STATUS EQUAL TO 003 – PHASE STATUS NOT EQUAL TO 3

PHASE STATUS EQUAL TO 3 – COMMITTED NOT EQUAL TO 0

Work program instructions reference: No specific reference.

- **EDIT #6 - EDITLF**

Purpose: To ensure the correct allocation type is programmed on local funded projects.

Description: Provides reports for local funds. Report 1 provides a listing of project phases that have local funds programmed without a fund allocation type of 1 (budgeted) or 4 (non-budgeted). Report 2 provides a listing of projects with X8 phases (other agency) with local funds not programmed with an allocation type of 4; excluding phase C8 (environmental other agency); program numbers 61 (repayment to sib), 63 (toll facilities revolving trust fund - TFRTF), and 85 (Transportation Infrastructure Finance and Invoice Act - TIFIA). Excludes item groups MIC & PFS.

LF FUNDS FUND ALLOCATION NOT EQUAL TO 1 OR 4; LOCAL FUNDS ON X8 PHASES FUND ALLOCATION TYPE NOT EQUAL TO 4 (EXCL. ITEM GROUPS MIC AND PFS; PHASE C8, PROGRAM NUMBERS 61, 63, AND 85)

Work programs instructions reference: Programming Guidelines: Federal Aid Funds used off the State Highway System, Local Funds

- **EDIT #7 - EDITLFA**

Purpose: To identify certain phases that have local funds with commitments on projects that are not in a status of construction complete that are not in the LFA (comptroller's system).

Description: Provides a listing of project phases with local funds LF, LFF, LFR, LFRF, LFP with a fund allocation type of 1 with commitments on any fund on the project, with an item status of less than 096 (construction complete), that is not in LFA (comptroller's system). This report excludes budgeting district 42; and 5X (construction) and 6X (construction support) phases with a status of less than 030 (advertised).

PHASES WITH LF/LFF/LFR/LFRF/LFP FUNDS WITH ALLOCATION TYPE 1 PLUS COMMITMENTS ON ANY FUND WITH ITEM STATUS LESS THAT 096 NOT IN LFA (EXCL. BD 42, PHASE 5X/6X WITH STATUS LESS THAN 030)

Work program instructions reference: Programming Guidelines: Local Funds

- **EDIT #8 - EDITDDIR**

Purpose: To identify hurricane/storm projects without an associated Detailed Damage Inspection Report (DDIR) associated.

Description: Report 1 provides a listing of emergency projects without an associated DDIR. Report 2 provides a listing of projects with a DDIR on a dropped phase.

NO 'DDIR' EXISTS ON HURRICANES/STORMS

DDIR EXISTS ON DROPPED PHASE

Work program instructions reference: Programming Guidelines: Emergencies/Disasters

- **EDIT #9 - EDITPH5X**

Purpose: To identify commitments on construction phases which have not been advertised.

Description: Report 1 provides a listing of items with a status of less than 030 (Advertised), that have a construction phase (Phase 5X) with commitments and a phase status that is not 4 (Authorized), 5 (Closed), or 6 (Finalized). The report excludes phase type 3 (Purchase), 6

(Utility), 7 (Railroad), 8 (Other Agency), and 9 (Indirect Support). Report 2 provides a listing of items with a status of less than 030 (Advertised), that have a construction phase (Phase 5X) with commitments with a phase status of 4, 5, or 6. This report excludes phase type 3 (Purchase), 6 (Utility), 7 (Railroad), 8 (Other Agency), and 9 (Indirect Support).

ITEMS WITH STATUS LESS THAN 030, PHASE 5X WITH COMMITMENTS WITH PHASE STATUS NOT EQUAL TO 4, 5, 6 (EXCL. PHASE TYPE 3, 6, 7, 8, 9)

ITEMS WITH STATUS LESS THAN 030, PHASE 5X WITH COMMITMENTS WITH PHASE STATUS EQUAL TO 4**,** 5, 6, (EXCL. PHASE TYPE 3, 6, 7, 8, 9)

Work program instructions reference: No specific reference.

- **EDIT #10 - AIRPORTS**

Purpose: To identify aviation items which do not have the proper SIS Item Group Identifier.

Description: Report 1 provides a listing of items with a transportation system of 09 (Aviation) without a SIS (Strategic Intermodal System) item group identifier (excludes county 99) compared to a list of approved SIS airports. Report 2 provides a listing of items with a transportation system of 09 (Aviation) that have a SIS Item Group Identifier on non-SIS airports (excludes county 99) compared to a list of approved SIS airports.

AIRPORTS WITH NO ‘SIS’ ITEM GROUP (EXCL. COUNTY 99)

'SIS' ITEM GROUP ON NON-SIS AIRPORTS (EXCL. COUNTY 99)

Work program instructions reference: Programming Guidelines: Strategic Intermodal System. The specific item group identifiers for the SIS program are contained in this chapter.

- **EDIT #11 - SEAPORTS**

Purpose: To identify seaport items which do not have the proper SIS Item Group Identifier.

Description: Report 1 provides a listing of items with a transportation system of 11 (Seaports) without a SIS (Strategic Intermodal System) item group identifier (excludes county 99) compared to a list of approved SIS seaports. Report 2 provides a listing of items with a transportation system of 11 (Seaports) that have a SIS Item Group Identifier on non-SIS seaports (excludes county 99) compared to a list of approved SIS seaports.

SEAPORTS WITH NO ‘SIS’ ITEM GROUP (EXCL. COUNTY 99)

‘SIS’ ITEM GROUP ON NON-SIS SEAPORTS (EXCL. COUNTY 99)

Work program instructions reference: Programming Guidelines: Strategic Intermodal System. The specific item group identifiers for the SIS program are contained in this chapter.

- **EDIT #12 - EDITDB9**

Purpose: To identify design build projects which do not have the proper design build Item Group Identifier.

Description: Report 1 provides a listing of items with contract class 9 (Design Build) that do not have a 'DB..' (Design Build) item group identifier. Report 2 provides a listing of projects that have a 'DB..' Item Group Identifier, but which do not have a contract class of 9.

ITEMS WITH CONCLASS “9” THAT DO NOT HAVE AN ITEM GROUP IN “DB..”

ITEMS WITH AN ITEM GROUP IN “DB..” THAT DO NOT HAVE A CONTRACT CLASS 9.

Work program instructions reference: Programming Guidelines: Special Contracting Methods

- **EDIT #13 - EDITBOND**

Purpose: To identify ROW Bond funds programmed on non-ROW phases.

Description: Report 1 provides a listing of items with ROW bond funds on non-ROW phases, excluding item statuses 0, 3, 5, and 7.

ITEMS WITH ROW BOND FUNDS ON NON-ROW PHASES (EXCL. PHASE STATUS 0, 3, 5, 7)

Work program instructions reference: Programming Guidelines: Right Of Way

- **EDIT #14 This edit report has been deleted.**

- **EDIT #15 - EDITLNSW**

Purpose: Identifies projects with location screen information indicating new lanes are being added but with a non-capacity work mix.

Description: Report 1 provides a listing of projects with a location screen indicating new lanes are being added but with a non-capacity work mix. Report 2 provides a listing of projects with a work mix that indicates additional capacity but the location screen does not indicate any additional lanes being added.

NEW LANES ADDED -- NO CAPACITY WORK MIX

CAPACITY WORK MIX -- NO NEW LANES ADDED

Work program instructions reference: Programming Guidelines: Location Information for Roadways and Bridges

- **EDIT #16 - EDITRDWY**

Purpose: To ensure projects have a roadway ID programmed.

Description: Provides a listing of projects with a transportation system of 01 through 07 and 16, with contract class 1 (Central Office Letting), 2 (externally managed not LAP), 5 (Local Agency Program), 7 (District Contracts) or 9 (Design Build) but with no roadway ID, excluding county 99, excluding phase group 7 (maintenance), and excluding PLH (Forest Highways) funds. The report is sorted by work mix. ITEMS WITH NO ROADWAY - BY WORK MIX (TRANSYS 01-07 WITH CONCLASS 1, 2, 5, 7, 9 ONLY; EXCL COUNTY 99, PHASE GROUP 7, AND PLH.

Roadways are required on projects with Transportation Systems 01 through 07 and 16 with the following exclusions:

PROJECTS WITH ONLY 2X (PD&E), 7X (MAINTENANCE), OR 8X (OPERATIONS) PHASES ARE EXCLUDED.

WORK MIXES EXCLUDED:

- 0106 – BIKE PATH/TRAIL
- 0125 – TOLL COLLECTION
- 0126 - TOLL DATA CENTER
- 0206 – PARKING FACILITY

- 0714 - TRAFFIC SIGNAL UPDATE
- 0717 - TRAFFIC CONTROL DEVICES/SYSTEM
- 0750 – ITS COMMUNICATION SYSTEM
- 0751 – OTHER ITS
- 0752 – ITS SURVEILLANCE SYSTEM
- 0753 - TRAFFIC MANAGEMENT CENTERS
- 0754 – ADV TRAVELER INFORMATION SYSTEM
- 0756 – ITS FREEWAY MANAGEMENT
- 0757 - TMC SOFTWARE AND SYSTEM INTEGRAT
- 0758 – COMMERCIAL VEH INFO SYST/NETWK
- 0774 – SIGNING/PAVEMENT MARKINGS
- 6060 – ROUTINE MAINTENANCE
- 7087 – PERIODIC MAINTENANCE
- 8000 - TRANSIT FACILITY SECURITY

ADDITIONAL WORK MIXES EXCLUDED FOR TRANSPORTATION SYSTEM 16:

- 0205 – SIDEWALK
- 0328 – PEDESTRIAN / WILDLIFE OVERPASS
- 1070 – LANDSCAPING
- 8051 – PUBLIC TRANSPORTATION SHELTER

Projects with Program 53 - SAFETY RAIL/HWY CROSSING are excluded if the Transportation System is 16.

In addition, roadways are required on emergency projects (Work Mix 0061) if a Phase 52 (Construction), G2 (Emergency Road Repair) or H2 (Emergency Bridge Repair) is included on the project.

- **EDIT #17 - EDITAREA**

Purpose: To ensure the distribution area for federal funds is programmed correctly. The distribution area code must be programmed prior to federal authorization.

Description: Report 1 provides a listing of project phases with federal funds with invalid distribution areas. Report 2 provides a listing of project phases programmed with federal funds that have no distribution area.

FUNDS WITH INVALID DISTRIBUTION AREAS

FUNDS THAT HAVE NO DISTRIBUTION AREAS

Work program instructions reference: Federal Aid Programs

- **EDIT #18 - EDITRSRF**

Purpose: To ensure resurfacing projects are programmed with a roadway ID, indicate the number of lanes being improved, and no federal funds on work mix 0226 (Maintenance Resurfacing – Flex)

Description: Report 1 provides a listing of projects with a resurfacing work mix but without a roadway ID. Report 2 provides a listing of projects with a resurfacing work mix but the number of lanes improved is zero. Report 3 lists projects with federal funds on work mix 0226 (must be state funded only).

ITEMS W/RESURF WORK MIX, NO ROADWAY

ITEMS W/RESURF WORK MIX, IMPR LANES = 0

ITEMS WITH A MAINT/RESURF WORK MIX AND FEDERAL FUNDS

Work program instructions reference: Programming Guidelines: Location Information for Roadways and Bridges and the Resurfacing chapter.

- **EDIT #19 - EDITBRDG**

Purpose: To ensure bridge projects have a bridge number programmed.

Description: Report 1 provides a listing of projects with a bridge work mix but without a bridge number. The report excludes work mixes 0020 (New Bridge Construction), 0329 (Pedestrian or Wildlife Underpass), 0330 (Construct Culvert), and 0331 (Replace or Widen Culvert); excluding transportation system 06 (Non-Intrastate Off State Hwy.) and transportation 16 (Off State Hwy. System/Off Federal Hwy. System) with a work mix of 0328 (Pedestrian or Wildlife Overpass); and excluding all projects with a hurricane program number. Report 2 provides a listing of projects that have bridge funds programmed but without a bridge number identified. Report 3 provides a listing of projects that are not on transportation system 16 (Off State Hwy. System/Off Federal Hwy. System) with BRZ. (Bridge/Repair/Replacement) funds programmed.

ITEMS W/BRIDGE WORK MIX WITH NO BRIDGENO (EXCLUDING TRANSYS 06 and TRANSYS16 WITH WORK MIX 0328; EXCLUDING HURRICANE PGM#).

ITEMS W/BRIDGE FUNDS BUT NO BRIDGENO

ITEMS NOT ON TRANSYS ‘16’ WITH BRZ.FUNDS (EXCLUDING ‘ACBR’, ‘BRT’, ACBZ & ‘BRTZ’)

Work program instructions reference: Programming Guidelines: Location Information for Roadways and Bridges

- **EDIT #20 - EDITAVIA**

Purpose: To ensure aviation projects have an airport number programmed.

Description: Provides a listing of projects with transportation system 09 (Aviation) but without an airport number, excluding county 99 and any project with a hurricane program number.

ITEMS WITH AVIATION TRANSYS (09), BUT NO AIRPORT (EXCL COUNTY 99 AND HURRICANE PGM#)

Work program instructions reference: Programming Guidelines: Freight, Logistics and Passenger Operations

- **EDIT #21 - EDITSEAP**

Purpose: To ensure seaport projects have a seaport number programmed.

Description: Provides a listing of projects with transportation system 11 (Seaports) but without a seaport number; excluding county 99 and projects with a hurricane program number.

ITEMS W/TRANSYS 11, BUT NO SEAPORT (EXCL COUNTY 99 AND HURRICANE PGM#).

Work program instructions reference: Programming Guidelines: Freight, Logistics and Passenger Operations

- **EDIT #22 - EDITTRAN**

Purpose: To ensure Transit projects have a Transit Grant Recipient programmed.

Description: Provides a listing of projects with transportation system 08 (Transit) but without a Transit Grant Recipient associated; excluding county 99 and projects with an emergency program number.

ITEMS W/TRANSYS 08, BUT NO TRANSIT AGENCY.

Work program instructions reference: Programming Guidelines: Freight, Logistics and Passenger Operations

- **EDIT #23 - EDITEMPG**

Purpose: To ensure identification number and program number agrees on all emergency projects.

Description: Report 1 provides a listing of projects in which the emergency ID does not agree with the program number. Report 2 provides a listing of projects, by emergency ID, in which the emergency ID does not agree with the program number. Report 3 provides a listing of projects, by program number, in which the emergency ID does not agree with the program number.

EMERGENCY ID DOES NOT AGREE WITH PROGRAM NUMBER EXCLUDES STATUS 100

EMERGENCY ID DOES NOT AGREE WITH PROGRAM NUMBER BY EMERGENCY ID EXCLUDES STATUS 100

EMERGENCY ID DOES NOT AGREE WITH PROGRAM NUMBER BY PROGRAM NUMBER EXCLUDES STATUS 100

Work program instructions reference: Programming Guidelines: Emergencies/Disasters

- **EDIT #24 - EDITAMND**

Purpose: To identify hurricane projects in amended status.

Description: Provides a listing of hurricane projects with phases in amended status.

AMENDMENTS ON THE HURRICANES/STORMS/EMERGENCIES

Work program instructions reference: Programming Guidelines: Emergencies/Disasters

- **EDIT #25 - EDITPH5A**

Purpose: To ensure a bonus item group identifier is programmed on projects with 5A phases.

Description: Report 1 provides a listing of projects with a phase 5A (Construction Contract Bonus) programmed but without a bonus item group identifier. Report 2 provides a listing of projects with a bonus group identifier and no phase 5A.

PHASE 5A WITH NO BONUS ITEM GROUP ('A5', 'B1', 'B4', 'B5', 'B7', 'B10', 'B11', 'B12', 'BS1')

BONUS ITEM GROUP ('A5', 'B1', 'B4', 'B5', 'B7', 'B10', 'B11', 'B12', 'BS1') WITH NO PHASE 5A

Work program instructions reference: Programming Guidelines: Special Contracting Methods

- **EDIT #26 - EDITNHIM**

Purpose: To ensure the accurate use of ACNH/NH or ACNP/NHPP/NHEX/NHRE on the National Highway system and ACIM/IM on the Interstate System:

Description: Report 1 provides a list of projects with ACNH/NH or ACNP/NHPP/NHEX/NHRE funds that do not have a National Highway System roadway ID. Report 2 provides a list of projects with ACIM funds that are not on the Interstate Transportation System. Report 3 provides a list of projects with ACIM funds that are on capacity work mix items. IMAC funds are not valid for capacity work. Report 4 provides a list of Right of Way phases with ACIM funds that have a work mix other than Interchange.

ITEMS WITH ACNH/NH or ACNP/NHPP/NHEX/NHRE FUNDS AND NO NHS ROADWAY

ITEMS WITH ACIM/IM FUNDS AND SYSTEM NOT 01 INTERSTATE

ITEMS WITH ACIM/IM FUNDS AND CAPACITY WORK MIXES

ACIM ON 4X PHASE AND NON-INTERCHANGE WORK MIX

Work program instructions reference: Federal Overview, Part IV - Chapter 1, Sections A and B

- **EDIT #27 - EDITBXCD**

Purpose: To ensure a box code is programmed on each box item.

Description: Report 1 provides a listing of projects that have a box code of either TG (Target), RV (Reserve), or CN (Contingency) but do not have a contract class 8 (Boxes). Report 2 provides a listing of projects with a contract class 8 (Boxes) without of a box code of TG (Target), RV (Reserve), or CN (Contingency). Report 3 provides a listing of TG (target) boxes programmed in the current year of the adopted work program and/or the first two years of the tentative work program.

ITEMS WITH BOX CODE 'CN', 'RV', 'TG' THAT ARE NOT CONTRACT CLASS 8

ITEMS WITH CONTRACT CLASS 8 THAT ARE NOT BOX CODE 'CN', 'RV', 'TG'

BOX CODE 'TG' WITH INVALID FISCAL YEAR

Work program instructions reference: Programming Guidelines: Administration

EDIT #28 - EDITNFE

Purpose: To identify projects with NFE (not federal eligible) group identifier programmed with federal fund codes on any phase.

Description: Report identifies projects programmed with NFE group identifier with federal fund codes on any phase. Any segment associated to the project with federal funding will be listing on the edit as well.

Work program instructions reference: Programming guidelines: Project Development and Environment (PD&E)

- **EDIT #29 - EDITLNGH**

Purpose: Provides a listing of roadway projects that have invalid project lengths, no measure codes, and/or improved lanes greater than existing lanes.

Description: Report 1 provides a listing of roadway projects that have invalid project lengths programmed on the Location Screen (WP07). Report 2 provides a listing of roadway projects with no measure codes and excludes contract class 4. Report 3 provides a listing of projects that have the number of lanes being improved greater than the number of lanes that exist.

ROADWAYS WITH INVALID PROJECT LENGTHS

ROADWAYS WITH BLANK MEASURE CODES

LANES IMPROVED GREATER THAN NUMBER OF LANES

Work program instructions reference: Programming Guidelines: Location Information for Roadways and Bridges

- **EDIT #30 - EDITRAIL**

Purpose: To ensure rail location information is added.

Description: Provides a listing of projects with work mix 8350 missing rail location information. This report lists item segments with work mix 8350 that have no rail line associated using Item Segment Location – Rail Line (WP48) screen.

WORK MIX 8350 WITHOUT AN ASSOCIATED RAIL-LINE

Work program instructions reference: Programming Guidelines: Freight, Logistics and Passenger Operations

- **EDIT #31 – EDITPOED**

Purpose: To identify projects with POED funds and ensure those funds are expended before all other fund sources.

Description: Report 1 identifies POED funded projects where POED funds are not designated as pay sequence 1. Report 2 identifies POED funded projects where other state funds are not designated as pay sequence 2. Report 3 identifies POED funded projects where local funds are not pay sequence 3. Report 4 identifies POED funded projects where other federal funds are programmed on the same financial; project sequence as the POED funds.

POED FUND CODE EDITS ERROR: 1-POED NOT PAY SEQUENCE 1

POED FUND CODE EDITS ERROR: 2-STATE FUNDED NOT PAY SEQUENCE 2

POED FUND CODE EDITS ERROR: 3-LF NOT PAY SEQUENCE 3

POED FUND CODE EDITS ERROR: 4-FEDERAL FUND ON SAME FINPROJ AS POED

Work program instructions reference: Programming Guidelines: Freight, Logistics and Passenger Operations

- **EDIT #32 - MBRE32**

Purpose: To ensure each federally funded emergency project has only one DDIR assigned.

Description: Provides a listing of emergency projects that have more than one DDIR (Detailed Damage Inspection Report) identified per federal project number.

MULTIPLE DDIRS PER FEDERAL PROJECT

Work program instructions reference: Programming Guidelines: emergencies/disasters

- **EDIT #33 - EDITSIS**

Purpose: To identify items with both SIS and SISE item group identifiers. Also, identifies items with a SISC item group identifier but no SIS/SISE item group identifier.

Description: Report 1 provides a listing of projects with both a SIS (strategic intermodal system) and SISE (strategic intermodal emerging) item group identifier. Report 2 provides a listing of items with other SIS item group identifiers but without one of the mandatory item group identifiers of SIS, SISC, SISE, SISH, SISN, SISP or SISM. Report 3 provides a listing of projects with a SISC (strategic intermodal connector) item group identifier and also a SIS or SISE item group identifier.

ITEMS WITH BOTH 'SIS' AND 'SISE' ITEM GROUPS

ITEMS WITH NO ‘SIS,’ ‘SISC,’ ‘SISE,’ ‘SISH’, ‘SISN’, ‘SISP’, OR ‘SISM’

ITEMS WITH 'SISC' AND ALSO 'SIS’ OR ‘SISE'

Work program instructions reference: Programming Guidelines: Strategic Intermodal System

- **EDIT #34 - EDITWMIX**

Purpose: To identify aviation, rail, intermodal and seaport projects with incorrect work mixes.

Description: Report 1 provides a listing of aviation projects with an incorrect work mix. Report 2 provides a listing of rail projects with an incorrect work mix. Report 3 provides a listing of intermodal projects with an incorrect work mix. Report 4 provides a listing of seaport projects with an incorrect work mix. Report 5 provides a listing of projects with an incorrect work mix. Report 6 provides a listing of projects with an inactive work mix.

AVIATION PROJECTS WITH INCORRECT WORK MIX

RAIL PROJECTS WITH INCORRECT WORK MIX

INTERMODAL PROJECTS WITH INCORRECT WORK MIX

SEAPORT PROJECTS WITH INCORRECT WORK MIX

PROJECTS WITH INCORRECT WORK MIX????? (TRANSPORTATION SYSTEM ‘09’, ‘10’, ‘11’, ‘15’) (NOT PROGRAM PLAN CATEGORY D, F, G, H)

PROJECTS WITH AN ‘INACTIVE’ WORK MIX (BY WORK MIX)

Work program instructions reference: Programming Guidelines: Freight, Logistics and Passenger Operations

- **EDIT #35 – EDIT5WM**

Purpose: To ensure PE work mixes are not used on construction phases.

Description: Provides a listing of projects with PE, ROW or PD&E work mixes on construction phases. (Work mixes 2000, 2001, 9980, 9982, 9999; Phase 5X; SIS – Current + 10; Others – Current + 5)

CONSTRUCTION PHASE ON PDE, ROW OR PE WORK MIX

Work program instructions reference: Programming Guidelines: Strategic Intermodal Systems (SIS)

- **EDIT #36 - EDITDIS**

Purpose: To identify project phases with DIS (Strategic Intermodal System fund code) funds without a SIS item group identifier.

Description: Provides a listing of projects that have SIS funds programmed without a SIS item group identifier.

'DIS' FUNDS WITH NO 'SIS' ITEM GROUP IDENTIFIER

Work program instructions reference: Programming Guidelines: Strategic Intermodal System

- **EDIT #37 - EDITPHA8**

Purpose: To identify funds incorrectly programmed for AC conversion.

Description: Report 1 provides a listing of contract class 8 (boxes) projects programmed with a phase A8 (administration, other agency), program number 52 (ac conversion). Report 2 lists ACxx or xxAC funds on A8 phase with the incorrect program number of 52. Report 3 lists ACxx funds on A8 phase not program number 39, 61, 78, or SB. Report 4 lists ACxx funds on A8 phase has with program number 39, 61, 78, or SB with no matching federal funds and program number 52. Report 5 provides a listing of projects where the program number is 52 on an A8 phase on a fund equal to CM, OST, SA, SE, SL, SN, SU, TALT, TALL, TALN, or TALU. Report 6 provides a listing of projects with program 52 on an A8 phase with unmatched programmed dollars.

PHASE 'A8' WITH PROGRAM NUMBER 52 ON CONCLASS 8

PHASE 'A8' WITH PROGRAM NUMBER 52 WITH 'ACXX' OR 'XXAC' FUNDS

PHASE 'A8' WITH 'ACXX' FUNDS AND PROGRAM NUMBER NOT 39, 61, 78, SB

PHASE 'A8' WITH 'ACXX' FUNDS AND PGM 39, 61, 78, SB WITH NO MATCHING FEDERAL FUNDS AND PROGRAM NUMBER 52

PHASE 'A8' WITH PROGRAM 52 WITH FUND EQUAL TO CM, OST, SA, SE, SL, SN, SU, TALT, TALL, TALN, TALU

PHASE 'A8' WITH PROGRAM 52 UNMATCHED PGM $ NON A8/AC FUNDS

Work program instructions reference: Programming Guidelines: Advanced Construction

- **EDIT #38 - EDITSISR**

Purpose: To identify items that should have a SIS item group identifier. Also identifies SIS items without a roadway identification programmed.

Description: Report 1 provides a listing of projects with a transportation system of 01 (intrastate interstate) or 02 (intrastate turnpike) but do not have a SIS (strategic intermodal system) item group identifier. Report 2 provides a listing of projects with a SIS item group Identifier but no roadway ID, excluding contract class 8 (boxes) and county 99.

TRANSYS 01/02 WITH NO 'SIS' ITEM GROUP

'SIS' ITEMS WITH NO ROADWAY (EXCL BOXES AND COUNTY 99) TRANSYS 01-07

Work program instructions reference: Programming Guidelines: Strategic Intermodal System (SIS)

- **EDIT #39 - EDITDIH**

Purpose: To identify off-system projects which have state funds programmed on in-house phases.

Description: Report 1 provides a listing of projects that have in-house phases with 'DIH' funds on off-system projects. Report 2 provides a listing of projects with transportation system 06 or 16 with state funds.

IN-HOUSE PHASES WITH 'DIH' FUNDS OFF SYSTEM (TRANSPORTATION SYSTEM 06 OR 16) (EXCLUDE ITEMS IF PHASE 5X HAS 'CIGP', 'TRIP', 'SCOP', 'SCRA' OR 'GRSC' FUNDS)

ITEMS ON TRANSPORTATION SYSTEM '06', '16' WITH STATE FUNDS

Work program instructions reference: Programming Guidelines: Construction Engineering Inspection, Preliminary Engineering, Project Development & Environmental, Right of Way, Traffic Engineering & Operations

- **EDIT #40 – EDITSFA**

  Purpose: To identify projects with safety funds programmed and no safety group identifier.

  Description: Provides a listing of projects that have ACSS or HSP funds without a safety item group.

  ITEMS WITH NO SFA1, SFA2 SFA3, SFA4, SFA5, SFA6, SFA7, SFA8, SFA9, CTST, HEBC, SKID, SCES

  ITEMS WITH ACSS AND HSP FUND CODES

  Work program instructions reference: Programming Guidelines: Safety

- **EDIT #41 - EDITTS06 – This edit report has been combined with edit report 3 (EDITXLXU)**

- **EDIT #42 - EDITBR16 – This edit report has been combined with edit report 19 (EDITBRDG)**.

- **EDIT #43 - EDITCC**

Purpose: To identify local funds programmed on an X8 phase with an allocation type other than 4 (non-budgeted); to identify X8 phases with federal funds on projects without a contract class 5; and to identify projects that have a contract class 5 but no X8 phase.

Description: Report 1 provides a listing of contract class 2 or 5 (JPA/LAP) projects with phase X8 (other agency) programmed with LF.. (local) funds with an allocation type other than 4 (non-

budgeted), excluding phase A8 (administration other agency). Report 2 provides a listing of items with phase X8 and federal funds that are not contract class 2 or 5. Report 3 provides a listing of contract class 2 or 5 projects that do not have an X8 phase, excluding X1 phases. Report 4 provides a listing of projects with an X4 or X8 phase without a contract class 2 or 5. Report 5 provides a listing of projects with phase 52 or 56 with federal funds and contract class 7.

ITEMS WITH CONTRACT CLASS 2 OR 5, PHASE X8 (EXCLUDING A8), LF FUNDS, FUND ALLOCATION TYPE NOT EQUAL TO 4

ITEMS WITH PHASE X8 AND FEDERAL FUNDS THAT ARE 'NOT' CONTRACT CLASS 2, 5 (EXCLUDE PHASES 'A8', 'C8', '18', '28', '88')

ITEMS WITH CONCLASS 2, 5 WITHOUT A MATCHING PHASE TYPE 8 (EXLUDES 'X1' PHASES) (EXCLUDES GREATER THAN OR EQUAL TO '090' STATUS) (INCLUDES PHASE GROUPS C, D, E, F, G, H, I, J, K, L, 1, 2, 3, 4, 5, 6)

ITEMS WITH PHASE 'X4', 'X8' WITHOUT CC2 OR 5

ITEMS WITH PHASE '52' OR '56' WITH CONCLASS 7 AND FEDERAL FUNDS (FUND GROUP FXX) (INCLUDES STATUS < '090') (CURRENT YEAR + FIRST YEAR OF TWP ONLY)

Work program instructions reference: Programming Guidelines: Federal Aid used off the State Highway System and Local Agency Program

- **EDIT #44 - EDITTRIP**

Purpose: To ensure TRIP funded projects are programmed with the correct match.

Description: Report 1 provides a listing of projects with TRIP (transportation regional incentive program) funds that do not have local funds or XU.. funds programmed for the required match; excluding projects with a WAIV (local match waived) item group identifier. Report 2 provides a listing of projects programmed with TRIP where the local funds plus SIBG and XU..funds are less than the amount of the TRIP funds; excluding projects with a WAIV (local match waived) item group identifier.

TRIP FUNDS WITH NO 'LF', 'LFP', 'LFF', 'LFR' OR 'XU++' FUNDS (EXLUDING ITEM GROUP 'WAIV') (EXCLUDING BUD DIST '31')

LF, LFF, LFP, LFR PLUS SIBG AND XU++ FUNDS TOTAL LESS THAN THE 'TRIP' AMOUNT "EXCLUDING ITEM GROUP 'WAIV') (EXCLUDING BUD DIST '31')

Work program instructions reference: Programming Guidelines: Transportation Regional Incentive Program

- **EDIT #45 - EDITSTIP**

Purpose: To identify items with an estimate increase which may require a STIP amendment. (This is a warning report)

Description: Report 1 provides a report listing project phase groups that have an estimate increase that may require a STIP amendment. Report 2 provides a report listing projects that have scope changes that may require a STIP amendment.

STIP AMENDMENTS NEEDED FOR ESTIMATE INCREASES

STIP AMENDMENTS NEEDED FOR SCOPE CHANGES

Work program instructions reference: Programming Guidelines: Federal Aid Programs

- **EDIT #46 - EDITSYS**

Purpose: To ensure the transportation system programmed on the project matches Roadway Characteristics Inventory (RCI).

Description: Provides a comparison of the transportation system programmed on the project to that indicated by RCI using the transportation system crosswalk. This crosswalk is included in the edit report. Any project for which the construction phase was started prior to fiscal year 2014 for transportation system 05 (non-intrastate state highway) or 07 (non-intrastate toll) is exempt from the edit.

WPA VS RCI TRANSPORTATION SYSTEM INCONSISTENCIES

Work program instructions reference: Programming Guidelines: Location Information for Roadways and Bridges

- **EDIT #47 - This edit report was deleted**
- **EDIT #48 - This edit report was deleted**
- **EDIT #49 - This edit report was deleted**
- **EDIT #50 - This edit report has been deleted and moved to edit report #43.**
- **EDIT #51 - This edit report was deleted**
- **EDIT #52 – This edit report was deleted**
- **EDIT #53 - EDITBMS – This edit report has been combined with edit report 19 (EDITBRDG)**
- **EDIT #54 - EDITDPTO**

Purpose: To identify projects funded with DPTO funds that are not programmed with a public transportation system or with an intermodal access program number.

Description: This report provides a listing of projects programmed with DPTO funds but not on any of the following transportation systems: 08 - transit; 09 - aviation; 10 - rail; 11 - seaport; 15 - multimodal; or on a project with a program number 11 - intermodal access.

DPTO' FUNDS THAT ARE NOT EITHER TRANSPORTATION SYSTEM 08-11, 15 OR PROGRAM NUMBER NO 11

Work program instructions reference: Programming Guidelines: Freight, Logistics and Passenger Operations

- **EDIT #55 - EDITPGM**

Purpose: To identify construction phases funded with multiple program numbers on the same sequence.

Description: This report provides a listing of construction phases with multiple program numbers on the same financial project.

DIFFERENT BUDGET CATEGORIES ON THE SAME ITEM/PHASE/SEQ (PHASE 52 ONLY, EXCLUDE 'ARRA' PROGRAM NUMBERS)

Work program instruction reference: Programming Guidelines: Resurfacing, Safety, SIS

- **EDIT #56 - This edit report is no longer available**.

- **EDIT #57 - EDITSMCO**

Purpose: To identify small county projects with the incorrect program number or funds.

Description: To identify projects funded with SCRA, SCRC, SCOP, GRSC, and CIGP funds that are not programmed with a correct program number. Also identifies DS/DDR funds with specific program numbers, but no CIGP, GRSC, SCOP, SCRA, or SCRC funds.

'SCRA' FUNDS THAT ARE NOT PROGRAM NUMBER 94

'SCRC' 'SCOP' OR 'GRSC' FUNDS NOT PROGRAM NUMBER 93

'CIGP' FUNDS NOT PROGRAM NUMBER 87 (EXCLUDING PHASE X1)

'DS/DDR' FUNDS WITH PROGRAM NUMBERS 87, 93, 94 BUT NO CIGP/GRSC/SCOP/SCRA/SCRC

Work program instructions reference: Programming Guidelines: County Incentive Grant Program and Small County Outreach Program

- **EDIT #58 - EDITARRA**

Purpose: To identify various programming situations where ARRA projects are incorrectly programmed.

Description: Report 1 provides a listing of projects with an ARRA item group and no stimulus funds. Report 2 provides a listing of ARRA item groups with no stimulus program numbers. Report 3 provides a listing of stimulus funds with no ARRA item group. Report 4 provides a listing of projects with stimulus program numbers with no stimulus funds. Report 5 provides a listing of projects with stimulus projects with FTA/FTAT funds and no ARRA distribution area. Report 6 provides a listing of projects with an ARRA distribution area and no FTA/FTAT funds. Report 7 provides a listing of projects with advanced construction and stimulus funds on the same financial project number. Report 8 provides a listing of projects in which an ARRA item group existed on 04/15/2009 and does not exist now. Report 9 provides a listing of projects with an ARRA program number but is not crosswalked to the ARRA budget category. Report 11 provides a listing of ARRA projects with in-house phases with DIH funds off system.

'ARRA' ITEM GROUP WITH NO 'STIMULUS' FUNDS OR PROG (EXCLUDING ARRA ITEM GROUPS EXISTED ON 04/15/2009)

'STIMULUS' FUNDS OR PROGRAM NUMBERS WITH NO 'ARRA' ITEM GROUP (EXCLUDING 'HSRR' AND 'HSRS' FUNDS)

'STIMULUS' FUNDS WITH NO 'STIMULUS' PROGRAM NUMBER (INCLUDES: 'FTA/FTAT' WITH DISTRIBUTION AREA 'ARRA')

'STIMULUS' PROGRAM NUMBERS WITH NO 'STIMULUS' FUNDS (EXCLUDE: 'FTA/FTAT' WITH DISTRIBUTION AREA 'ARRA')

'STIMULUS' PROGRAM WITH 'FTA/FTAT' FUNDS BUT NO 'ARRA' DISTRIBUTION AREA

'AC--' FUNDS AND 'FS..' FUNDS ON SAME ITEM/PHASE/SEQ (EXCLUDING 'P3' ITEMS)

'ARRA' ITEM GROUP EXISTED ON 04/15/2009, BUT DOES NOT EXIST NOW! (EXCLUDING BOXES)

'ARRA' PROGRAM NUMBER, BUT NOT SAMAS CATEGORY 088825

IN-HOUSE PHASES WITH 'DIH' FUNDS OFF SYSTEM (TRANSPORTATION SYSTEM 06, 13, 16)

Work program instructions reference: No specific reference

- **EDIT #59 - EDITFLRE**

Purpose: To identify programming situations where rail enterprise projects are incorrectly programmed.

Description: Report 1 provides a listing of projects with Budgeting District 31 and no FLRE item group identifier. Report 2 provides a listing of projects with Budgeting District 31 without budgeting entity 55100500. Report 3 provides a listing of projects with budgeting entity 55100500 that are not Budgeting District 31.

BUDGETING DISTRICT 31 WITH NO 'FLRE' ITEM GROUP

BUDGETING DISTRICT 31 WITH BUDGET ENTITY NOT '55100500' (EXCLUDING FISCAL YEAR 2012)

BUDGET ENTITY '55100500' NOT ON BUDGETING DISTRICT 31

Work program instructions reference: Programming Guidelines: Freight, Logistics and Passenger Operations

- **EDIT #60 – EDITSTAT**

Purpose: To ensure the project item status is current.

Description: This report provides a listing of projects with various item statuses past 3 months or more.

ITEMS WITH STATUS 030, 040, 060 AND A STATUS DATE IN PAST 3 MONTHS (DESIGN BUILD 6 MONTHS)

Work program instructions reference: No specific reference.

- **EDIT #61 – EDITPHST**

Purpose: To ensure the phase status is correct.

Description: Report 0 provides a listing of projects with a phase status of replaced and the estimated is not equal to 0 or the committed amount is greater than 0. Report 1 provides a listing of projects with a phase status of candidate and the estimated is equal to 0 or the committed is not equal to 0. Report 2 provides a listing of projects with a phase status of unauthorized and the estimated is equal to 0 or the committed amount is not 0. Report 3 provides a listing of projects with a phase status of dropped and the estimated is equal to 0 or the committed amount is not 0. Report 4 provides a listing of projects with a phase status of authorized and the estimated is equal to 0. Report 5 provides a listing of projects with a phase status of closed and the estimated is equal to 0 or the committed amount is equal to 0. Report 6 provides a listing of projects with a phase status of finaled and the estimated is equal to 0 or the committed amount is equal to 0. Report 7 provides a listing of projects with a phase status of converted and the estimated is not

equal to 0 or the committed amount is not equal to 0. Report 8 provides a listing of projects with a phase status of undefined and the estimated is not equal to 0. Report 9 provides a listing of projects without a phase status of *, 0, 1, 2, 3, 4, 5, 6, 7.

PHASE STATUS EQUAL TO 0 (REPLACED) ESTIMATED NOT EQUAL 0 OR COMMITTED GREATER THAN 0

PHASE STATUS EQUAL TO 1 (CANDIDATE) ESTIMATED EQUAL TO 0 OR COMMITTED NOT EQUAL 0

PHASE STATUS EQUAL TO 2 (UNAUTHORIZED) ESTIMATED EQUAL TO 0 OR COMMITTED NOT EQUAL 0

PHASE STATUS EQUAL TO 3 (DROPPED) ESTIMATED EQUAL TO 0 OR COMMITTED NOT EQUAL 0

PHASE STATUS EQUAL TO 4 (AUTHORIZED) ESTIMATED EQUAL TO 0

PHASE STATUS EQUAL TO 5 (CLOSED) ESTIMATED EQUAL TO 0 OR COMMITTED EQUAL TO 0

PHASE STATUS EQUAL TO 6 (FINALED) ESTIMATED EQUAL TO 0 OR COMMITTED EQUAL TO 0 (ONLY DISPLAYING THOSE OVER 20K)

PHASE STATUS EQUAL TO 7 (CONVERTED) ESTIMATED NOT EQUAL 0 OR COMMITTED NOT EQUAL TO 0

PHASE STATUS EQUAL TO * (UNDEFINED) ESTIMATED NOT EQUAL 0

PHASE STATUS NOT *, 0, 1, 2, 3, 4, 5, 6, 7

Work program instructions reference: No specific reference.

- **EDIT #62 – EDITDRA**

Purpose: To ensure the programming is correct for Deferred Reimbursement Agreements (DRA).

Description: Report 1 provides a listing of projects with LFR funds on a phase 94 or 98 with no DRA item group identifier. Report 2 provides a listing of projects with a DRA item group identifier and no LFR funds on a phase 94 or 98. Report 3 provides a listing of projects with DRA item group identifiers and no phase A8. Report 4 provides a listing of DRA projects in which the A8 and LFR phases do not equal. Report 5 provides a listing of projects with an item status less than 070 and the LFR year greater than the phase A8 year. Report 6 provides a listing of projects in which the funds on the A8 phase do not have a FLP budget category.

'LFR' FUNDS ON PHASE '94', '98' WITH NO 'DRA' ITEM GROUP

ITEM GROUP 'DRA' WITH NO 'LFR' FUNDS ON PHASE '94' OR '98'

ITEM GROUP 'DRA' WITH NO PHASE 'A8'

ITEM GROUP 'DRA' WITH PHASE 'A8' AND 'LFR' FUNDS ON PHASE '94' OR '98' BUT PHASE 'A8' TOTAL NOT EQUAL 'LFR'

ITEM STATUS LESS THAN '070' AND 'LFR' YEAR GREATER THAN PHAS 'A8' YEAR

PHASE 'A8' FUND DOES NOT HAVE A FLP BUDGET CATEGORY

Work program instructions reference: Programming Guidelines: Freight, Logistics and Passenger Operations

PART IV – FEDERAL AID PROGRAMS ADMINISTERED BY FEDERAL HIGHWAY ADMINISTRATION (FHWA)

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PART IV - CHAPTER 1: OVERVIEW OF MAJOR PROGRAMS

A. INTRODUCTION

On December 4, 2015, President Obama signed into law the Fixing America's Surface Transportation Act, or "FAST Act" - the first Federal law in over ten years to provide long-term funding certainty for surface transportation. The FAST Act authorizes $305 billion over fiscal years 2016 through 2020 for the Department's highway, highway and motor vehicle safety, public transportation, motor carrier safety, hazardous materials safety, rail, and research, technology and statistics programs.

The FAST Act's "National Highway Freight Program" is complemented by a new "Nationally Significant Freight and Highway Projects Program" that will provide on average $900 million annually for large scale projects. These two new initiatives target resources at national priorities and underscore the critical role of the federal government in maintaining the U.S. surface transportation network.

B. PROGRAM STRUCTURE

The FAST Act retains the highway program structure enacted in the 2012 Moving Ahead for Progress in the 21st Century (MAP-21) surface transportation law with only a few major additions or changes:

- National Highway Performance Program
    - Slight expansion of program eligibilities, most notably the ability to use NHPP funds for improvements to bridges that are not on the National Highway System
- Surface Transportation Block Grant Program
    - Name change for the program formerly known at the Surface Transportation Program
    - Increases the geographically allocated portion for large urban areas over 200,000 in population from 50% of the program in 2015 to 55% in 2020 by incrementing the percentage by 1% per year from 2016 to 2020.
- Congestion Mitigation and Air Quality Program
    - Slight expansion of program eligibilities and exemptions
- Highway Safety Improvement Program
    - Slight expansion of program eligibilities
    - Prohibition on using program funds for behavioral or educational activities, restricting using to only the infrastructure type eligibilities explicitly listed in the law
- Transportation Alternatives
    - Slight expansion in eligible recipients
- National Freight Program
    - New formula program for freight-related highway improvements

- Nationally Significant Freight and Highway Projects Program
    - New discretionary program for freight-related highway, rail and intermodal improvements

C. NATIONAL HIGHWAY PERFORMANCE PROGRAM

1. WPA FUND CODES

- **NHPP – N**ational Highway Performance Program
    - **ACNP –** Advanced construction fund type version of NHPP
- **NHRE -** National Highway Performance Program **–** resurfacing
    - **ACNR –** Advanced construction fund type version of NHRE
- **NHBR** – NHPP for bridges (including inspection) on the National Highway System (NHS) (Note that beginning in FY2016 these funds may be used for any bridge on the Federal Aid Highway System, not just those on the NHS
    - **ACBR -** Advanced construction fund type version of NHBR

2. PROGRAM PURPOSE

The NHPP provides support for the condition and performance of the NHS, for the construction of new facilities on the NHS, and to ensure that investments of federal-aid funds in highway construction are directed to support progress toward the achievement of performance targets established in a state's asset management plan for the NHS.

3. STATUTORY CITATION(S):

23 United States Code (USC) 119

4. FUNDING FEATURES

- The NHPP is funded by contract authority from the Highway Account of the Highway Trust Fund.
- Funds are subject to the overall federal-aid obligation limitation.

a. Federal Share

The federal share is generally 80%, subject to the sliding scale adjustment, which is a 1.93% additive for Florida, for a total federal share of 81.93% (except that projects on the interstate are not eligible for the sliding scale adjustment in Florida).

When the funds are used for interstate projects to add high occupancy vehicle (HOV) or auxiliary lanes, but not other thru lanes, the federal share may be 90%.

An increased federal share may be granted for:

- Projects incorporating innovative project delivery methods

Although the nominal federal share is stated above, Florida has elected to utilize toll credits to "soft match" these federal funds in lieu of matching with state funds. This, in essence, allows the Florida Department of Transportation (department) to increase the federal share to 100% with no additional non-federal funds required. See the Soft Match section in this chapter for further information on use of toll credits for the non-federal share.

b. Innovative Program Delivery

Authorizes the department to allow a 5% increase above the regular federal share for projects which:

- Contain innovative project delivery methods that improve work zone safety for motorists or workers and the quality of the facility

- Contain innovative technologies, manufacturing processes, financing, or contracting methods that improve the quality of, extend the service life of, or decrease the long-term costs of maintaining highways and bridges

- Accelerate project delivery while complying with other applicable federal laws (including regulations) and not causing any significant adverse environmental impact

- Reduce congestion related to highway construction

Note: Add item group identifier of IVPD for an increased federal share of an additional +5% for project(s) that meet the criteria below. Additionally, Federal Highway Administration (FHWA) may require the department to transfer funds to another federal appropriation category (FAC) such as M004 for tracking project that qualify.

5. ELIGIBLE ACTIVITIES

NHPP projects must be on an eligible facility and support progress toward achievement of national performance goals for improving infrastructure condition, safety, mobility, or freight movement on the NHS, and be consistent with Metropolitan and statewide planning requirements. Eligible activities include:

- Construction, reconstruction, resurfacing, restoration, rehabilitation, preservation, or operational improvements of NHS segments

- Construction, replacement (including replacement with fill material), rehabilitation, preservation, and protection (including scour countermeasures, seismic retrofits, impact protection measures, security countermeasures, and protection against extreme events) of NHS bridges and tunnels, and for bridges not on the NHS but still on the Federal Aid Highway System.

- Bridge and tunnel inspection and evaluation on the NHS and inspection and evaluation of other NHS and non-NHS highway infrastructure assets, as long as they are on the Federal Aid Highway System.

- Training of bridge and tunnel inspectors

- Construction, rehabilitation, or replacement of existing ferry boats and facilities, including approaches that connect road segments of the NHS

- Construction, reconstruction, resurfacing, restoration, rehabilitation, and preservation of, and operational improvements for, a federal-aid highway not on the NHS, and construction of a transit project eligible for assistance under chapter 53 of title 49, if the project is in the same corridor and in proximity to a fully access-controlled NHS route, if the improvement is more cost-effective (as determined by a benefit-cost analysis) than an NHS improvement, and will reduce delays or produce travel time savings on the NHS route and improve regional traffic flow

- Bicycle transportation and pedestrian walkways

- Highway safety improvements on the NHS

- Capital and operating costs for traffic and traveler information, monitoring, management, and control facilities and programs

- TIFIA subsidy and administrative costs

- Development and implementation of a State Asset Management Plan for the NHS including data collection, maintenance and integration, software costs, and equipment costs

- Infrastructure-based Intelligent Transportation System (ITS) capital improvements

- Environmental restoration and pollution abatement

- Control of noxious weeds and establishment of native species

- Environmental mitigation related to NHPP projects

- Construction of publicly owned intracity or intercity bus terminals servicing the NHS

- Workforce development, training, and education activities are also an eligible use of NHPP funds.[§1109; 23 USC 504(e)]

6. LOCATION OF PROJECTS

NHPP funds may only be used for projects on or associated with the NHS as described above under "Eligible activities." An exception is provided under certain circumstances for non-NHS highway or transit projects in an NHS corridor.

7. ENHANCED NATIONAL HIGHWAY SYSTEM PROGRAM FEATURES

The enhanced NHS is composed of approximately 220,000 miles of rural and urban roads serving major population centers, international border crossings, intermodal transportation facilities, and major travel destinations. It includes:

- The interstate system

- All principal arterials (including those not previously designated as part of the NHS) and border crossings on those routes

- Intermodal connectors -- highways that provide motor vehicle access between the NHS and major intermodal transportation facilities

- STRAHNET -- the network of highways important to U.S. strategic defense

- STRAHNET connectors to major military installations[§1104; 23 USC 103]

a. Asset Management Plan

The United States Department of Transportation (USDOT) Secretary is directed to publish a rulemaking establishing the process for states to use in developing a risk-based, performance-based asset management plan for preserving and improving the condition of the NHS. States are encouraged to include all infrastructure assets within the right-of-way corridor. The plan must include at least the following:

- Summary list, including condition, of the state's NHS pavements and bridges
- Asset management objectives and measures
- Performance gap identification
- Lifecycle cost and risk management analysis
- Financial plan
- Investment strategies

Each state's process must be reviewed and recertified at least every four years. If certification is denied, the state has 90 days to cure deficiencies. If a state has not developed and implemented an asset management plan consistent with requirements by the beginning of the second federal fiscal year after the establishment of the process, the federal share for NHPP projects in that federal fiscal year is reduced to 65%.

b. Performance

The USDOT Secretary, in consultation with states, Metropolitan Planning Organizations (MPO), and other stakeholders, is directed to publish a rulemaking establishing:

- Minimum standards for states to use in developing and operating bridge and pavement management systems
- Performance measures for interstate and NHS pavement condition, NHS bridge condition, and interstate and NHS performance
- Minimum conditions for interstate pavements – may vary geographically
- Data elements necessary to collect and maintain standardized data to carry out a performance-based approach [23 USC 150(c)]

States are required to establish targets for these measures within one year of the final rule on national performance measures. [23 USC 150(d)]

- States will report to the USDOT on progress in achieving targets within four years of enactment and then every two years [23 USC 150(e)] and MPOs will report to the USDOT on progress in their metropolitan transportation plan (four or five year frequency). [23 USC 134(i)]

- If a state does not meet or make significant progress toward targets for two consecutive reporting periods, the state must document in its next report the actions it will take to achieve the targets. [23 USC 119(e)(7)]

c. Transition Period

Until a state has in effect an approved asset management plan and has established performance targets, but no later than 18 months after the USDOT Secretary has promulgated the rulemaking for the performance measures, the USDOT Secretary will approve obligations of funds in that state for the NHPP that otherwise meet the NHPP eligibility criteria. This transition period may be extended if the USDOT Secretary determines that the state has made a good faith effort to establish an asset management plan and performance targets.

D. SURFACE TRANSPORTATION BLOCK GRANT PROGRAM

1. PROGRAM PURPOSE

The STP provides flexible funding that may be used by states and localities for projects to preserve and improve the conditions and performance on any federal-aid highway, bridge and tunnel projects on any public road, pedestrian and bicycle infrastructure, and transit capital projects, including intercity bus terminals.

2. STATUTORY CITATION(S)

23 USC 133

3. FUNDING FEATURES

Funded by contract authority from the Highway Account of the Highway Trust Fund. Funds are subject to the overall federal-aid obligation limitation.

a. Program Allocation:

- Of the STP apportionment (after set-sides), 50% may be used in any area of the state (SA funds).

- Of a State's STP apportionment (after set-asides), 50% (for FY2015) is to be obligated in the following areas in proportion to their relative shares of the state's population. Beginning in FY2016 the percentage increases by one percent each year until it reaches 55% in FY2020.

  - SU (ACSU for Advance Construction Fund Type) - Urbanized areas with population greater than 200,000 – This portion is to be divided among those areas based on their relative share of population, unless the USDOT Secretary approves a joint request from the state and relevant MPO(s) to use other factors.

  - SL (ACSL for Advance Construction Fund Type) - Areas with population greater than 5,000 but no more than 200,000 – Projects in these areas are to be identified for funding by the state in consultation with regional planning organizations, if any.

  - SN (ACSN for Advance Construction Fund Type) - Areas with population of 5,000 or less.

The following distribution areas have been established for sub-allocation of SU funding for urban areas over 200K:

Distribution Area	Transportation Management Area
X01	CAPE CORAL
X02	SARASOTA - BRADENTON
X03	JACKSONVILLE
X04	PENSACOLA
X05	FT.LAUD. - HOLLYWOOD - POMPANO
X06	W. PALM - BOCA RATON - DELRAY
X07	DAYTONA BEACH - PORT ORANGE
X08	MELBOURNE - PALM BAY
X09	ORLANDO
X10	MIAMI - HIALEAH
X11	TAMPA - ST. PETE.
X12	BONITA SPRINGS - NAPLES
X13	TALLAHASSEE
X14	PORT ST. LUCIE
X15	LAKELAND
X16	WINTER HAVEN
X17	KISSIMMEE

4. ELIGIBLE ACTIVITIES

- Construction, reconstruction, rehabilitation, resurfacing, restoration, preservation, or operational improvements for highways
- Replacement, rehabilitation, preservation, protection, and anti-icing/deicing for bridges and tunnels on any public road, including construction or reconstruction necessary to accommodate other modes
- Construction of new bridges and tunnels on a federal-aid highway
- Inspection and evaluation of bridges, tunnels and other highway assets as well as training for bridge and tunnel inspectors
- Capital costs for transit projects eligible for assistance under chapter 53 of title 49, including vehicles and facilities used to provide intercity passenger bus service
- Carpool projects, fringe and corridor parking facilities and programs**,** including electric and natural gas vehicle charging infrastructure, bicycle transportation and pedestrian walkways, and ADA sidewalk modification
- Highway and transit safety infrastructure improvements and programs**,** installation of safety barriers and nets on bridges, hazard eliminations, mitigation of hazards caused by wildlife, railway-highway grade crossings
- Highway and transit research, development, technology transfer

- Capital and operating costs for traffic monitoring, management and control facilities and programs, including advanced truck stop electrification
- Surface transportation planning
- TAP eligible projects --This new program includes most transportation enhancement eligibilities. See the Transportation Alternatives section of the Overview of Major Programs chapter for specific eligibilities.
- Transportation control measures
- Development and establishment of management systems
- Environmental mitigation efforts (as under NHPP)
- Intersections with high accident rates or levels of congestion
- Infrastructure-based ITS capital improvements
- Environmental restoration and pollution abatement
- Control of noxious weeds and establishment of native species
- Congestion pricing projects and strategies, including electric toll collection and travel demand management strategies and programs
- Recreational trails projects
- Construction of ferry boats and terminals
- Border infrastructure projects
- Truck parking facilities
- Development and implementation of state asset management plan for the NHS, and similar activities related to the development and implementation of a performance based management program for other public roads
- Surface transportation infrastructure modifications within port terminal boundaries, only if necessary to facilitate direct intermodal interchange, transfer, and access into and out of the port
- Construction and operational improvements for a minor collector in the same corridor and in proximity to an NHS route if the improvement is more cost-effective (as determined by a benefit-cost analysis) than an NHS improvement and will enhance NHS level of service and regional traffic flow
- Workforce development, training, and education activities are also an eligible use of STP funds
- Subsidy and administrative costs necessary to provide an eligible entity Federal credit assistance to a project eligible for the TIFIA program

- The creation and operation by a State of an office to assist in the design, implementation, and oversight of public-private partnerships eligible to receive funding under Title 23 and Chapter 53 of Title 49, and the payment of a stipend to unsuccessful private bidders to offset their proposal development costs

Note: Independent landscaping projects are no longer eligible for federal funds. In order to be eligible for federal funding, landscaping costs must be associated with an otherwise eligible federally funded new highway construction or major highway reconstruction project where landscaping costs are only a component of the total project. 23 USC 504(e)]

5. LOCATION OF PROJECTS

In general, STP projects may not be on local or rural minor collectors. However, there are a number of exceptions to this requirement. A state may use up to 15% of its rural sub allocation (SN) on minor collectors. Other exceptions include: bridge and tunnel replacement and rehabilitation (not new construction), bridge and tunnel inspection, carpool projects, fringe/corridor parking facilities, bike/pedestrian walkways, safety infrastructure, TAP, recreational trails, port terminal modifications, and minor collectors in NHS corridors.

6. PROGRAM FEATURES

a. Off-system Bridges - BRTZ Funds

- The off-federal aid system bridge program is continued under the FAST Act.

- Credit for off-system bridges -- For projects to replace or rehabilitate deficient off-system bridges funded wholly by state/local sources, any amounts spent post-enactment that are in excess of 20% of project costs may be credited to the non-federal share of eligible bridge projects in the state.

b. Rural Minor Collectors

Special rule allows states to use up to 15% of funds sub allocated for areas with a population of 5,000 or less (SN) on rural minor collectors. The USDOT Secretary may suspend permission if the state is using the authority excessively.

7. FEDERAL SHARE

The federal share is generally 80%, subject to the sliding scale adjustment, which is a 1.93% additive for Florida, for a total federal share of 81.93% (except that the sliding scale is not available if these funds are used on the interstate). When the funds are used for interstate projects to add high occupancy vehicle or auxiliary lanes, but not other lanes, the federal share may be 90%.

Although the nominal federal share is stated above, Florida has elected to utilize toll credits to “soft match” these federal funds in lieu of matching with state funds. This, in essence, allows the department to increase the federal share to 100% with no additional non-federal funds required. See the Soft Match section in this chapter for further information on use of toll credits for the non-federal share.

E. BRIDGE PROGRAM

The highway bridge program as authorized under SAFETEA-LU has been discontinued.

Under MAP-21 the highway bridge program was consolidated into the NHPP. Existing sources of bridge funding under the FAST Act include the following:

- Projects on the Federal Aid Highway System – NHPP funds
- Projects off the Federal Aid Highway System – BRTZ funds

F. CONGESTION MITIGATION AND AIR QUALITY IMPROVEMENT PROGRAM

1. WPA FUND CODES

CM and ACCM

2. PROGRAM PURPOSE

The CMAQ program is continued in the FAST Act to provide a flexible funding source to state and local governments for transportation projects and programs to help meet the requirements of the Clean Air Act. Funding is available to reduce congestion and improve air quality for areas that do not meet the National Ambient Air Quality Standards for ozone, carbon monoxide, or particulate matter (nonattainment areas) and for former nonattainment areas that are now in compliance (maintenance areas).

3. STATUTORY CITATION(S)

23 USC 149

4. FUNDING FEATURES

Funded by contract authority from the Highway Account of the Highway Trust Fund. Funds are subject to the overall federal-aid obligation limitation.

Set-asides

From the state's CMAQ apportionment, the following sums are to be set aside.

- A proportionate share of funds for the state's TAP funding
- 2% for SPR

a. Eligible Activities

Funds may be used for transportation projects likely to contribute to the attainment or maintenance of a national ambient air quality standard, with a high level of effectiveness in reducing air pollution, and be included in the MPO's current transportation plan and transportation improvement program (TIP) or the current state transportation improvement program (STIP) in areas without an MPO.

Some specific eligible activities are described below:

- Establishment or operation of a traffic monitoring, management, and control facility, including advanced truck stop electrification systems, if it contributes to attainment of an air quality standard.

- Projects that improve traffic flow, including projects to improve signalization, construct HOV lanes, improve intersections, add turning lanes, improve transportation systems management and operations that mitigate congestion and improve air quality, and implement ITS and other CMAQ-eligible projects, including projects to improve incident and emergency response or improve mobility, such as real-time traffic, transit, and multimodal traveler information.

- Purchase of integrated, interoperable emergency communications equipment.

- Projects that shift traffic demand to nonpeak hours or other transportation modes, increase vehicle occupancy rates, or otherwise reduce demand.

- Purchase of diesel retrofits or the conduct of outreach activities regarding the purchase and installation of diesel retrofits, including port related off-road equipment and vehicles

- Facilities serving electric or natural gas-fueled vehicles (except where this conflicts with prohibition on rest area commercialization) are explicitly eligible.

- Some expanded authority to use funds for transit operations.

- Low population density states are exempt from PM 2.5 attainmnet requirements if the non-attainment area has no projects that are part of a transportation plan and vehicles are an insignificant contributor to PM 2.5 non-attainment.

- Can be used not only for attainment of ambient air quality standards, but also to maintain standards in an attainment area.

Workforce development, training, and education activities are also an eligible use of CMAQ funds. [§1109; 23 USC 504(e)]

5. PROGRAM FEATURES

Some existing provisions are explicitly highlighted:

- PM-10 non-attainment -- A state may obligate CMAQ funds for projects for PM-10 non-attainment areas without regard to type of air quality standard it addresses.

- HOV facilities -- No funds may be used to add capacity except HOV facilities that are available to SOV only at off-peak times.

a. State Flexibility

- A state without a nonattainment or maintenance area may use its CMAQ funds for any CMAQ- or STP-eligible project. Florida has no nonattainment or maintenance areas.

- States with a nonattainment or maintenance area that received a minimum apportionment in FY 2009 may use an amount of its current CMAQ funds for any STP-eligible project. The amount is based on the proportion of the state's FY 2009 CMAQ apportionment that could be obligated in any area of the state for STP projects.

- The amount that may be obligated in any area of the state for STP-eligible projects is to be adjusted if a new nonattainment area is designated or a nonattainment area re-designated as an attainment area.

b. Evaluation of Projects

- The USDOT Secretary must maintain and disseminate a cumulative database describing the impacts of projects, including project name, location, sponsor, cost, and cost-effectiveness (based on reduction in congestion and emissions) to the extent already measured.

- The USDOT Secretary, in consultation with EPA, shall evaluate cost effectiveness of projects periodically, for use by states and MPOs in project selection.

c. Optional Programmatic Eligibility

At the discretion of an MPO, a technical assessment of a selected program of projects may be conducted through modeling or other means. If the required emissions reduction is demonstrated, no further demonstration is needed for individual projects included.

- PM 2.5 areas
    - MAP-21 calls for a state with PM 2.5 (fine particulate matter in parts per million) nonattainment or maintenance areas to give priority to using funds for projects proven to reduce PM 2.5 emissions in such areas.
    - Eligible projects to mitigate PM 2.5 include diesel retrofits.

d. Performance

The CMAQ program has performance-based features.

- The USDOT Secretary, in consultation with states, MPOs, and other stakeholders, is directed to publish a rulemaking establishing measures for states to use to assess traffic congestion and on-road mobile source emissions. [23 USC 150(c)]

- States are required to establish targets for these measures within one year of the final rule on national performance measures. [23 USC 150(d)]

- Each MPO with a transportation management area of more than one million in population representing a nonattainment or maintenance area is required to develop and update biennially a performance plan to achieve air quality and congestion reduction targets. [23 USC 149(l)]

6. FEDERAL SHARE

The federal share is generally 80%, subject to the sliding scale adjustment, which is a 1.93% additive for Florida, for a total federal share of 81.93%. For those on the interstate system, the federal share will be 90%. Certain other activities, including carpool/vanpool projects, priority control systems for emergency vehicles and transit vehicles and traffic control signalization receive a federal share of 100%.

Although the nominal federal share is stated above, Florida has elected to utilize toll credits to "soft match" these federal funds in lieu of matching with state funds. This, in essence, allows the department to increase the federal share to 100% with no additional non-federal funds required. See the Soft Match section in this chapter for further information on use of toll credits for the non-federal share.

G. HIGHWAY SAFETY IMPROVEMENT PROGRAM

1. WPA FUND CODES

- Highway safety improvement program – HSP fund code
- Railway-highway crossings:
  - Hazard elimination – RHH fund code; ACRH for AC version of fund code
  - Protective devices – RHP fund code; ACRP for AC version of fund code
  - High risk rural roads – HRRR fund code (used until balance forward is obligated)

2. PROGRAM PURPOSE

FAST Act continues the HSIP to achieve a significant reduction in traffic fatalities and serious injuries on all public roads, including non-state-owned public roads and roads on tribal lands. The HSIP requires a data-driven, strategic approach to improving highway safety on all public roads that focuses on performance.

3. STATUTORY CITATION(S)

23 USC 130 and 148

4. FUNDING FEATURES

Funded by contract authority from the Highway Account of the Highway Trust Fund. Funds are subject to the overall federal-aid obligation limitation.

5. ELIGIBLE USE OF FUNDING

A highway safety improvement project is any strategy, activity or project on a public road that is consistent with the data-driven state strategic highway safety plan (SHSP) and corrects or improves a hazardous road location or feature or addresses a highway safety problem.

An exclusive list of examples of highway safety improvement projects is included in 23 U.S.C. 148(a)(4):

The term "highway safety improvement project" only includes a project for 1 or more of the following:

- An intersection safety improvement.
- Pavement and shoulder widening (including addition of a passing lane to remedy an unsafe condition).
- Installation of rumble strips or another warning device, if the rumble strips or other warning devices do not adversely affect the safety or mobility of bicyclists and pedestrians, including persons with disabilities.

- Installation of a skid-resistant surface at an intersection or other location with a high frequency of crashes.
- An improvement for pedestrian or bicyclist safety or safety of persons with disabilities.
- Construction and improvement of a railway-highway grade crossing safety feature, including installation of protective devices.
- The conduct of a model traffic enforcement activity at a railway-highway crossing.
- Construction of a traffic calming feature.
- Elimination of a roadside hazard.
- Installation, replacement, and other improvement of highway signage and pavement markings, or a project to maintain minimum levels of retroreflectivity, that addresses a highway safety problem consistent with a State strategic highway safety plan.
- Installation of a priority control system for emergency vehicles at signalized intersections.
- Installation of a traffic control or other warning device at a location with high crash potential.
- Transportation safety planning.
- Collection, analysis, and improvement of safety data.
- Planning integrated interoperable emergency communications equipment, operational activities, or traffic enforcement activities (including police assistance) relating to work zone safety.
- Installation of guardrails, barriers (including barriers between construction work zones and traffic lanes for the safety of road users and workers), and crash attenuators.
- The addition or retrofitting of structures or other measures to eliminate or reduce crashes involving vehicles and wildlife.
- Installation of yellow-green signs and signals at pedestrian and bicycle crossings and in school zones.
- Construction and operational improvements on high risk rural roads.
- Geometric improvements to a road for safety purposes that improve safety.
- A road safety audit.
- Roadway safety infrastructure improvements consistent with the recommendations included in the publication of the Federal Highway Administration entitled “Highway Design Handbook for Older Drivers and Pedestrians” (FHWA–RD–01–103), dated May 2001 or as subsequently revised and updated.
- Truck parking facilities eligible for funding under section 1401 of the MAP–21.
- Systemic safety improvements.
- Installation of vehicle-to-infrastructure communication equipment
- Pedestrian hybrid beacons
- Roadway improvement that provide separation between pedestrian and motor vehicles, including medians and pedestrian crossing islands
- A physical infrastructure safety project not described in clauses (i) through (xxviii) above.

However, there are several types of highway safety improvement projects that may warrant additional consideration, such as:

- Automated Enforcement: HSIP funds may not be used for any program to purchase, operate, or maintain an automated traffic enforcement system. Automated traffic enforcement systems may be eligible for other federal-aid funding.

- The FAST Act ends the ability of states to shift funds designated for infrastructure safety projects to behavioral or education activities.

- With regards to unpaved roads, the FAST Act allows states to opt out of collecting safety inventory data for unpaved/gravel roads if certain conditions are met, as long as the states continue to collect data related to serious crashes and fatalities.

6. PROGRAM FEATURES

The primary features of the current HSIP are retained, including the requirement for a comprehensive, data-driven, SHSP that defines state safety goals and describes a program of strategies to improve safety. To obligate HSIP funds, a state must develop, implement and update a SHSP, produce a program of projects or strategies to reduce identified safety problems, and evaluate the SHSP on a regular basis.

The SHSP remains a statewide coordinated plan developed in cooperation with a broad range of multidisciplinary stakeholders.

States are required to have a safety data system to perform problem identification and countermeasure analysis on all public roads, adopt strategic and performance-based goals, advance data collection, analysis, and integration capabilities, determine priorities for the correction of identified safety problems, and establish evaluation procedures.

a. Strategic Highway Safety Plan Updates

MAP-21 established a new requirement for regular SHSP updates.

- The USDOT Secretary was directed to establish requirements for plan updates.
- States submit updated plans to the USDOT Secretary, along with a description of the process used to update the plan.
- If a state fails to have an approved updated plan by August 1st of the first federal fiscal year after the requirements are established, that state will not be eligible to receive additional obligation limitation during the annual redistribution of unused obligation limitation (August redistribution).

b. Special Rules

- High Risk Rural Road (HRRR) Safety – A HRRR is any rural major or minor collector or a rural local road with significant safety risks, as defined by a state in accordance with an updated SHSP. If the fatality rate on such roads increases over the most recent two-year period for which data are available, in the next federal fiscal year the state must obligate for this purpose an amount at least equal to 200% of its FY 2009 HRRR set-aside.
- Older drivers – If fatalities and serious injuries per capita for drivers and pedestrians over age 65 increases during the most recent two-year period for which data are available, a state is required to incorporate strategies focused on older drivers and pedestrians in the next SHSP update.

c. Reporting

States are required to report to the USDOT Secretary on progress made implementing highway safety improvements, effectiveness, and the extent to which fatalities and serious injuries on all public roads have been reduced, including a breakdown by functional classification and ownership to the maximum extent practicable. The USDOT Secretary will establish the content and schedule for such reports, which will be made available to the public on the USDOT website.

d. Implementation

States will administer the HSIP, with appropriate oversight by the Office of Safety and the FHWA Florida Division Office.

e. Performance

The USDOT Secretary, in consultation with states, MPOs, and other stakeholders, is directed to publish a rulemaking establishing measures for the states to use to assess serious injuries and fatalities per vehicle mile traveled and number of serious injuries and fatalities. [23 USC 150(c)]

States will establish targets for these measures within one year of the final rule on national performance measures. [23 USC 150(d)]

If a state has not met or made significant progress toward meeting the targets within two years of their establishment, the state must use an amount of its formula obligation limitation equal to its prior year HSIP apportionment only for obligation of its HSIP funding, and submit an annual implementation plan on how the state will make progress to meet performance targets. [23 USC 148(i)]

7. FEDERAL SHARE

The federal share is generally 90%, subject to the sliding scale adjustment, which is a 1.93% additive for Florida, for a total federal share of 91.93%. The federal share is 100% for certain safety improvements listed in 23 USC 120(c).

Although the nominal federal share is stated above, Florida has elected to utilize toll credits to "soft match" these federal funds in lieu of matching with state funds. This, in essence, allows the department to increase the federal share to 100% with no additional non-federal funds required. See the Soft Match section in this chapter for further information on use of toll credits for the non-federal share.

H. HIGH RISK RURAL ROADS

1. BACKGROUND

On July 6, 2012, the President signed into law P.L. 112-141, the Moving Ahead for Progress in the 21st Century Act (MAP-21). MAP-21 redefined and created a Special Rule for High Risk Rural Roads (HRRR). Prior to MAP-21, the Safe, Accountable, Flexible, Efficient, and Transportation Equity Act: A Legacy For Users (SAFETEA-LU) provided a $90 million annual set-aside from the HSIP for HRRR. MAP-21 or FAST Act legislation does not set aside funds for a high risk rural roads program. However, the Special Rule requires states with an increase in fatality rates on rural roads to obligate a specified amount of HSIP funds on HRRRs. The MAP-21 definition of HRRRs is important for states to consider. If the Special Rule applies, states will be required to obligate funds on those specific roadways.

2. PURPOSE

This guidance addresses: A) how to interpret the new definition of HRRR in a state; B) how to determine if the Special Rule applies for a particular state; and C) how a state should carry out the provisions of the Special Rule if it applies.

3. GUIDANCE

a. Interpreting the New Definition of a High Risk Rural Road:

The definition of a HRRR in MAP-21 provides flexibility to states in determining their HRRRs. The definition of a HRRR is still limited to the same functional classifications as under SAFETEA-LU, rural major and minor collectors and rural local roads. However, only the roads within those functional classifications "with significant safety risks" will become the roadways designated as HRRR. The legislation requires that states define the significant safety risks of these roads in their updated state Strategic Highway Safety Plans (SHSPs).

To determine “significant safety risk”, states may develop their own methodologies as identified in their updated SHSPs for the specified roadway functional classifications. The FHWA will review and approve the process a state uses to define a significant safety risk per 23 USC 148(d)(2). Some examples of possible definitions for "significant safety risk" are provided below and may be used singularly or in combination.

- Continue to use the SAFETEA-LU definition: roadways with a fatality rate that is higher than roadways of similar functional classifications in that state. For instance, a roadway with a fatality rate 10% higher than roads with a similar classification in that state. Alternatively, a state may use crash rates resulting in fatalities and serious injuries.

- Use roadways with a crash frequency above a designated threshold, which eliminates the comparison calculation to other roadways.

- Define high risk rural roadway characteristics that are correlated with specific severe crash types, such as cross-section width, lack of shoulders, substandard alignment, hazardous roadside, etc.

- Use information gathered through means such as field reviews, safety assessments, road safety audits, and local knowledge and experience. Using information from observations in the field can identify high risk locations that may not be identified through data analysis or by identifying roadway characteristics.

In the interim, states that have not yet updated their SHSPs to comply with MAP-21 requirements should use the definition prior to MAP-21 for their HRRRs. The definition for High Risk Rural Road prior to MAP-21 is below.

Any roadway functionally classified as a rural major or minor collector or rural local road:

- On which the accident rate for fatalities and incapacitating injuries exceeds the statewide average for those functional classifications or roadway

- That will likely have increases in traffic volumes that are likely to create an accident rate for fatalities and incapacitating injuries that exceeds the statewide average for those functional classifications of roadway

b. How to Determine if the HRRR Special Rule Applies:

MAP-21 states that the Special Rule applies to a state if "the fatality rate on rural roads in a state increases over the most recent two-year period for which data are available." The FHWA will use the fatality rate per 100 million vehicle miles traveled (100 MVMT) for roads in the state classified as rural major and minor collectors and rural local roads. The FHWA will use the Fatality Analysis

Reporting System data and Highway Performance Monitoring System data to calculate the fatality rate.

The first year states would be required to obligate funds towards HRRRs in accordance with this Special Rule is FY 2014. For FY 2014, the most recent data available will be 2011 fatalities. Consistent with other performance measures, FHWA will use a five-year rolling average for the fatality rate. This approach provides a balance between the stability of the data (by averaging multiple years) and providing an accurate trend of the data (by minimizing how far back in time to consider data). The chart below shows the relationship of the annual fatality rates to the federal fiscal year for which the Special Rule would apply. For example, the five-year rolling average ending in 2009 is two years before the five-year rolling average ending in 2011, which meets the MAP-21 requirement that this Special Rule apply if the fatality rate on rural roads in a state increases over the most recent two-year period.

5-year averages to compare	FHWA Notifies State DOT if Special Rule Applies	Federal fiscal year that Special Rule would apply
2005-2009 to 2007-2011	December 2012	FY 2014 Oct 1, 2013-Sept 30, 2014
2006-2010 to 2008-2012	December 2013	FY 2015 Oct 1, 2014-Sept 30, 2015
2007-2011 to 2009-2013	December 2014	FY 2016 Oct 1, 2015-Sept 30, 2016

This process would continue each year.

In order to prevent an extremely small increase in fatalities from triggering the rule, FHWA will round to the nearest tenth in calculating the fatality rate to determine if the Special Rule applies. For example:

The state of Lincoln's five-year average fatality rates based on 100 MVMT on the three functional classifications of rural roads for the periods ending 2009 and 2011 increased from 2.11 to 2.13. Rounded to the nearest tenth, the fatality rates on rural roads for 2009 and 2011 would be 2.1 and 2.1, respectively. Therefore, the Special Rule would not apply to the state of Lincoln for the next federal fiscal year.

The state of Jefferson's five-year average fatality rates in 100 MVMT on the three functional classifications of rural roads for the periods ending in 2009 and 2011 increased from 2.30 to 2.39. Rounded to the nearest tenth, the fatality rates on rural roads for 2009 and 2011 would be 2.3 and 2.4, respectively. Therefore the Special Rule would apply to the state of Jefferson for the next federal fiscal year.

c. Carrying Out Provisions if the Special Rule Applies

If the special rule applies to a state, MAP-21 requires that the State obligate in the next federal fiscal year for high risk rural roads an amount at least equal to 200% of its FY 2009 high risk rural roads set-aside.

If the Special Rule applies to a state in a particular federal fiscal year, the FHWA will set aside the required amount from that year's HSIP apportionment with a period of availability (obligation limit) of one year. This set-aside will have its own FMIS code.

The FHWA will provide regular updates to the division offices to track the progress of obligating the required amount for states where the Special Rule applies. If the Special Rule is applied to a state, the state should include information in its annual HSIP report verifying that it met the requirements of the Special Rule.

d. Transition from SAFETEA-LU to MAP-21 to FAST Act

All remaining HRRR funds set aside under SAFETEA-LU will be administered under the requirements of SAFETEA-LU. If the MAP-21 HRRR Special Rule applies to a state, the HSIP funds set aside for HRRR will be administered under the requirements of MAP-21 and the FAST Act.

I. NATIONAL HIGHWAY FREIGHT PROGRAM

1. WPA FUND CODE

- **NFP** – National Highway Freight Program
    - **ACFP** – Advance Construction fund type version of NFP

2. PROGRAM PURPOSE

The FAST Act focuses on the importance of goods movement to the U.S. economy by establishing a newformula program for highway freight projects. This new program will facilitate the construction of infrastructure projects that are difficult to complete solely using existing federal, state, local, and private funds. Projects supported by this program will reduce the impact of congestion, generate national and regional economic benefits, and facilitate the efficient movement of freight. This program emphasizes the importance of addressing transportation impediments, which significantly slow interstate commerce. Across the country there are significant bottlenecks that could benefit from this program, which would provide substantial grant funding for infrastructure projects.

The purpose of the National Highway Freight Program is to improve the efficient movement of freight on the National Highway Freight Network.

3. STATUTORY CITATION

23 USC 167

4. FUNDING FEATURES

The FAST Act authorizes a five-year total of $6.2 billion for the program. Funds are apportioned among the states by formula, but states must establish a freight advisory committee and develop a state freight investment plan before obligating any funds. Under the proposal, the Secretary of Transportation and the states will designate a national freight network comprised of the Interstate highways and other roads, both urban and rural, that are critical to the safe and efficient shipment of freight. The national and state networks will be updated every five years. Program funds will be directed under national and state strategic plans to projects that improve highway freight transportation.

Funds are subject to the overall federal-aid obligation limitation.

5. NATIONAL HIGHWAY FREIGHT NETWORK

Network Components – the National Highway Freight Network consists of:

a. the primary highway freight system

b. critical rural freight corridors

c. critical urban freight corridors, and

d. the portions of the Interstate System not designated as part of the primary highway freight system.

6. USE OF FUNDS

a. States with high primary highway freight system mileage - If the state's percentage of the national primary highway freight system is greater than or equal to 2 percent, the state may obligate funds for projects on:

1. The primary highway freight system;
2. Critical rural freight corridors;
3. Critical urban freight corridors.

b. States with low primary highway freight system mileage – If the state's percentage of the national primary highway reight system is less than 2 percent, the state may obligate funds for projects on any component of the National Highway Freight Network.

Beginning 2 years after the date of enactment of the FAST Act, a state may not obligate funds apportioned to the unless the State has developed a freight plan, except that the multimodal component of the plan may be incomplete before an obligation may be made.

7. ELIGIBLE ACTIVITIES

For a project to be eligible for funding the project shall –

1. Contribute to the efficient movement of freight on the National Highway Freight Network; and
2. Be identified in a freight investment plan included in a freight plan of the state that is in effect.
3. Other Projects – For each fiscal year, a state may obligate up to 10 percent of the state's apportionment for freight intermodal or freight rail projects, including projects –
    a. Within the boundaries of public or private freight rail or water facilities (including ports), and
    b. That provide surface transportation infrastructure necessary to facilitate direct intermodal interchange, transfer, and access into or out of the facility
4. Funds may be obligated to carry out 1 or more of the following:
    a. Development phase activities, including planning, feasibility analysis, revenue

forecasting, environmental review, preliminary engineering and design work, and other preconstruction activities.

b. Construction, reconstruction, rehabilitation, acquisition of real property (including land relating to the project and improvements to land), construction contingencies, acquisition of equipment, and operational improvements directly relating to improving system performance.
c. Intelligent transportation systems and other technology to improve the flow of freight, including intelligent freight transportation systems.
d. Efforts to reduce the environmental impacts of freight movement.
e. Environmental and community mitigation for freight movement.
f. Railway-highway grade separation.
g. Geometric improvements to interchanges and ramps.
h. Truck-only lanes.
i. Climbing and runaway truck lanes.
j. Adding or widening of shoulders.
k. Truck parking facilities eligible for funding under section 1401 of MAP–21 (23 U.S.C. 137).
l. Real-time traffic, truck parking, roadway condition, and multimodal transportation information systems.
m. Electronic screening and credentialing systems for vehicles, including weigh-in-motion truck inspection technologies.
n. Traffic signal optimization, including synchronized and adaptive signals.
o. Work zone management and information systems.
p. Highway ramp metering.
q. Electronic cargo and border security technologies that improve truck freight movement.
r. Intelligent transportation systems that would increase truck freight efficiencies inside the boundaries of intermodal facilities.
s. Additional road capacity to address highway freight bottlenecks.
t. Physical separation of passenger vehicles from commercial motor freight.
u. Enhancement of the resiliency of critical highway infrastructure, including highway infrastructure that supports national energy security, to improve the flow of freight.
v. A highway or bridge project, other than a project described in clauses (a) through (u), to improve the flow of freight on the National Highway Freight Network.
w. Any other surface transportation project to improve the flow of freight into and out of a public or private freight rail or water facility (including ports).

5. Other eligible costs

a. Carrying out diesel retrofit or alternative fuel projects for class 8 vehicles
b. The necessary costs of conducting analyses and data collection related to this program, developing and updating performance targets, and reporting to comply with the freight performance target.

Not withstanding any other provision of law, a freight project carried out under this program shall be treated as if the project were on a federal aid highway.

J. STATE PLANNING AND RESEARCH PROGRAM

1. WPA FUND CODES

Statewide Planning Activities – use HP fund code

Research Activities – use HR fund code

2. PROGRAM PURPOSE

The (SPR) funds states' statewide planning and research activities. The funds are used to establish a cooperative, continuous, and comprehensive framework for making transportation investment decisions and to carryout transportation research activities throughout the state.

3. STATUTORY CITATION(S)

23 USC 505

4. FUNDING FEATURES

A minimum of 25% must be used for research purposes, unless the state certifies that more than 75% of the funds are needed for statewide and metropolitan planning and the USDOT Secretary accepts such certification.

In addition, transportation planning, research and development, and technology transfer activities are eligible for funding under the STP.

5. ELIGIBLE ACTIVITIES

- Engineering and economic surveys and investigations
- Planning of future highway programs and local public transportation systems and planning of the financing of such programs and systems, including metropolitan and statewide planning
- Development and implementation of management systems, plans and processes under the NHPP, HSIP, CMAQ, and the National Freight Policy
- Studies of the economy, safety, and convenience of surface transportation systems and the desirable regulation and equitable taxation of such systems
- Research, development, and technology transfer activities necessary in connection with the planning, design, construction, management, and maintenance of highway, public transportation, and intermodal transportation systems
- Study, research, and training on the engineering standards and construction materials for transportation systems described in the previous bullet, including the evaluation and accreditation of inspection and testing and the regulation and taxation of their use
- Conduct of activities relating to the planning of real-time monitoring elements
- SPR funds may be used by states as the non-federal share for the local technical assistance program and the university transportation centers program.

6. FEDERAL SHARE

The federal share is generally 80%, subject to the sliding scale adjustment, which is a 1.93% additive for Florida, for a total federal share of 81.93%.

Although the nominal federal share is stated above, Florida has elected to utilize toll credits to "soft match" these federal funds in lieu of matching with state funds. This, in essence, allows the department to increase the federal share to 100% with no additional non-federal funds required. See the Soft Match section in this chapter for further information on use of toll credits for the non-federal share.

K. METROPOLITAN PLANNING – INTERIM GUIDANCE

1. WPA FUND CODE

Use PL fund code

2. PROGRAM PURPOSE

The purpose of Metropolitan Planning funds is to carry out the requirements of 23 U.S.C. 134 and provide for a continuing, comprehensive, and cooperative (3-C) metropolitan transportation planning process. In accordance with 23 U.S.C. 104 generally, Metropolitan Planning funds shall be made available to each MPO designated for an urbanized area with a population of more than 50,000 individuals and responsible for carrying out the 3-C metropolitan planning process.

3. STATUTORY CITATION(S)

The following are sections of Title 23 applicable to Metropolitan Planning.

- 23 U.S.C. 104 Apportionment
- 23 U.S.C. 120 Federal share payable
- 23 U.S.C. 134 Metropolitan transportation planning
- 23 U.S.C. 135 Statewide transportation planning
- 23 U.S.C. 150 National goals and performance management measures
- 23 U.S.C. 168 Integration of planning and environment
- 23 U.S.C. 169 Development of programmatic mitigation plans

4. FUNDING FEATURES

a. Period of Availability

Metropolitan Planning funds are contract authority from the Highway Account of the Highway Trust Fund. They are available for obligation for a period of 3 years after the last day of the federal fiscal year for which the funds are authorized.

b. Obligation Limitation

Metropolitan Planning funds are subject to the annual obligation limitation imposed on the federal-aid highway program.

5. ELIGIBILITY

Generally, funds apportioned to a state to carry out Metropolitan Transportation Planning shall be obligated for planning activities to carry out the requirements of 23 U.S.C. 134. See 23 U.S.C. 104(b)(5) and 104(d). Each state shall make the Metropolitan Planning Funds available to the MPOs for use on metropolitan transportation planning activities within the state, by establishing a formula to allocate Metropolitan Planning funds within the state to the MPOs based on the following factors, at a minimum:

- Population
- Attainment of air quality standards
- Status of planning
- Metropolitan area transportation needs
- Other factors, as necessary to provide for an appropriate distribution of funds to carry out Section 134, and other applicable requirements of federal law

The distribution formula for Metropolitan Planning funds within the state shall be developed by the state, and reviewed and approved by the USDOT Secretary. See 23 U.S.C. 104(d)(2)(A).

The state shall reimburse MPOs not later than 15 business days after the date of receipt by the state of a request for reimbursement of expenditures made by a MPO for carrying out Section 134. 23 U.S.C. 104(d)(2)(B).

Subject to approval of the USDOT Secretary, a state that received a minimum apportionment for carrying out 23 U.S.C. 134 for FY 2009 may use the funds apportioned for Metropolitan Planning to fund transportation planning outside of urbanized areas. 23 U.S.C. 104(d)(2)(A)(ii).

Any funds that are not used to carry out Section 134 may be made available by an MPO to the state to fund activities under Section 135 (statewide and nonmetropolitan transportation planning).

6. ELIGIBLE ACTIVITIES

Metropolitan Planning funds are available for MPOs to carry out the metropolitan transportation planning process required by 23 U.S.C. 134.Under certain circumstances described above and in 23 U.S.C. 104(d)(1), a state may utilize the funds to carry out statewide transportation planning activities under 23 U.S.C. 135, including statewide transportation planning activities outside of urbanized areas.

7. FEDERAL SHARE

The federal share is generally 80%, subject to the sliding scale adjustment, which is a 1.93% additive for Florida, for a total federal share of 81.93%.

Although the nominal federal share is stated above, Florida has elected to utilize toll credits to “soft match” these federal funds in lieu of matching with state funds. This, in essence, allows the department to increase the federal share to 100% with no additional non-federal funds required. See the Soft Match section in this chapter for further information on use of toll credits for the non-federal share.

L. TRANSPORTATION ALTERNATIVES PROGRAM

1. PROGRAM PURPOSE

MAP-21 established a new program to provide for a variety of alternative transportation projects, including many that were previously eligible activities under separately funded programs. The TAP replaced the funding from pre-MAP-21 programs including transportation enhancements, recreational trails, safe routes to school, and several other discretionary programs, wrapping them into a single funding source. Although the FAST Act dispensed with the name of the Transportation Alternatives Program, it is the same program as established by MAP-21.

2. STATUTORY CITATION(S)

23 USC 101, 206, 213;

3. FUNDING FEATURES

The TAP is funded by contract authority from the Highway Account of the Highway Trust Fund. Funds are subject to the overall federal-aid obligation limitation.

a. Set-asides

Unless the Governor opts out in advance, an amount equal to the state's FY 2009 recreational trails program (RTP) apportionment is to be set aside from the state's TAP funds for the RTP. See further detail in the Program Features section below. [23 USC 213(f)-(g)]

Note: Florida has elected to continue funding the RTP beginning in fiscal year 2016 Program Allocation:

- 50% of the TAP apportionment (after set-asides) may be used in any area of the state (TALT funds)
- 50% of a state's TAP apportionment is to be obligated in the following areas in proportion to their relative shares of the state's population
    - TALU (ACTU for Advance Construction Fund Type) - Urbanized areas with population greater than 200,000 – This portion is to be divided among those areas based on their relative share of population.
    - TALL (ACTL for Advance Construction Fund Type) - Areas with population greater than 5,000 but no more than 200,000 – Projects in these areas are to be identified for funding by the state in consultation with regional planning organizations, if any.
    - TALN (ACTN for Advance Construction Fund Type) - Areas with population of 5,000 or less.
- The following distribution areas have been established for sub-allocation of TALU funding for urban areas over 200K:

Distribution Area	Transportation Management Area
X01	CAPE CORAL
X02	SARASOTA - BRADENTON

X03	JACKSONVILLE
X04	PENSACOLA
X05	FT.LAUD. - HOLLYWOOD - POMPANO
X06	W. PALM - BOCA RATON - DELRAY
X07	DAYTONA BEACH - PORT ORANGE
X08	MELBOURNE - PALM BAY
X09	ORLANDO
X10	MIAMI - HIALEAH
X11	TAMPA - ST. PETE.
X12	BONITA SPRINGS - NAPLES
X13	TALLAHASSEE
X14	PORT ST. LUCIE
X15	LAKELAND
X16	WINTER HAVEN
X17	KISSIMMEE

- A state may transfer up to 50% of its TAP funds to NHPP, STP, HSIP, CMAQ, and/or Metropolitan Planning. The amount transferred must come from the portion of TAP funds available for use anywhere in the state (no transfers of sub allocated TAP funds, or funds set aside for the RTP). [§1509; 23 USC 126]

b. Federal Share

The federal share for most projects is determined in accordance with 23 USC 120. Federal share for projects funded from funds set aside for the RTP are determined in accordance with 23 USC 206(f).

c. Eligible Activities

Funds may be used for projects or activities that are related to surface transportation and described in the definition of “Transportation Alternatives.” [23 USC 101(a)(29)]

- Construction, planning, and design of on-road and off-road trail facilities for pedestrians, bicyclists, and other nonmotorized forms of transportation

- Construction, planning, and design of infrastructure-related projects and systems that will provide safe routes for non-drivers, including children, older adults, and individuals with disabilities to access daily needs

- Conversion and use of abandoned railroad corridors for trails for pedestrians, bicyclists, or other nonmotorized transportation users

- Construction of turnouts, overlooks, and viewing areas

- Community improvement activities, including—

    - inventory, control, or removal of outdoor advertising

    - historic preservation and rehabilitation of historic transportation facilities

  - vegetation management practices in transportation rights-of-way to improve roadway safety, prevent against invasive species, and provide erosion control

  - archaeological activities relating to impacts from implementation of a transportation project eligible under 23 USC

- Any environmental mitigation activity, including pollution prevention and pollution abatement activities and mitigation to—

  - address stormwater management, control, and water pollution prevention or abatement related to highway construction or due to highway runoff

  - reduce vehicle-caused wildlife mortality or to restore and maintain connectivity among terrestrial or aquatic habitats

In addition to defined transportation alternatives (as described above), the following are eligible activities:

- The recreational trails program under 23 USC 206

- The safe routes to school program under §1404 of SAFETEA–LU

- Planning, designing, or constructing boulevards and other roadways largely in the right-of-way of former interstate system routes or other divided highways

- Boulevard - A boulevard is defined as a walkable, low-speed (35 mph or less) divided arterial thoroughfare in urban environments designed to carry both through and local traffic, pedestrians and bicyclists. Boulevards may be long corridors, typically four lanes but sometimes wider, serve longer trips and provide pedestrian access to land. Boulevards may be high-ridership transit corridors. Boulevards are primary goods movement and emergency response routes and use vehicular and pedestrian access management techniques. Curb parking is encouraged on boulevards.

- Workforce development, training, and education activities are also eligible uses of TAP funds

d. Program Features

1. **Selection of Projects**

- In general, TAP funds are administered by the state DOT. States administer the RTP through a designated state agency or agencies, which may or may not be the state DOT. [23 USC 206(c) and 213(f)]

- TAP funds must be obligated for eligible projects submitted by eligible entities (see below) through a competitive process. [23 USC 213(c)]

- Funds sub allocated to urbanized areas over 200,000 must be on the MPO TIP. The MPO, through a competitive process, selects the projects in consultation with the state from proposed projects submitted by eligible entities. [23 USC 213(c)]

- Funds sub allocated to small urban areas and rural areas will be administered by the state. The state, through a competitive process, selects the projects from proposed projects submitted by eligible entities.

2. **Competitive Process for Project Selection**

FHWA has not established specific standards or procedure for the competitive process. Responsibility for establishing specific standard and procedures is with the state and the MPOs.

- TALU funds – MPOs will administer the competitive process for TAP funds sub-allocated to areas over 200,000
- TALT, TALL, TALN funds – The state will administer the competitive process for all other TAP funds except those sub-allocated to areas over 200,000

3. **Eligible Project Sponsors**

Under 23 USC 213(c)(4)(B), the eligible entities to receive TAP funds are:

- Local governments
- Regional transportation authorities
- Transit agencies
- Natural resource or public land agencies
- School districts, local education agencies, or schools
- Tribal governments
- Non-profit entities responsible for local transportation safety programs
- Any other local or regional governmental entity with responsibility for oversight of transportation or recreational trails (other than an MPO or a state agency) that the state determines to be eligible, consistent with the goals of subsection (c) of Section 213 of Title 23

Under TAP, nonprofits are not eligible as direct grant recipients of the funds. Nonprofits are eligible to partner with any eligible entity on an eligible TAP project, if state or local requirements permit.

1. **Treatment of Projects**

Projects funded under the TAP (excluding projects funded under the RTP set-aside) shall be treated as projects on a federal-aid highway. [23 USC 213(e)]

2. **Youth Conservation Corps**

States and regional transportation planning agencies are encouraged to enter into contracts and cooperative agreements with qualified youth service or conservation corps to perform appropriate projects. Such contracts and cooperative agreements are exempt from some federal-aid highway program contracting requirements. [§1524]

3. **Recreational Trails Program**

Note: Florida has opted out of the recreational trails program.

To provide for the continuation of recreational trails projects, MAP-21 requires each state to set aside a portion of its TAP funds for projects relating to recreational trails under 23 USC 206. [23 USC 213(f)-(g)]

- The amount to be set aside is equal to each state's FY 2009 RTP apportionment.
- 1% of the set-aside funds are to be returned for FHWA administration of the RTP.
- A state may opt out of this set-aside if the Governor notifies the Secretary no later than 30 days prior to the start of a fiscal year. A state opting out may not use TAP funds for RTP administrative costs for that fiscal year.
- If the state does not opt out of the RTP, the RTP provisions and requirements remain unchanged.

4. **Safe Routes to School (SRTS)**

- States have the option to continue eligible SRTS program activities from Section 1404 of SAFETEA-LU.
- States are not required to have a state SRTS coordinator but they may use TAP funds to support this position.

M. RECREATIONAL TRAILS PROGRAM

1. WPA FUND CODE

RECT fund code

MAP-21 authorized funding for the RTP as a set-aside of the new TAP (23 U.S.C. 213). The RTP funding is the same as the FY 2009 amount (unless the state opts out; see below): whatever a state received for the RTP in FY 2009 (as revised) will be the RTP amount.

MAP-21 did not amend the RTP as a program in 23 U.S.C. 206. Existing RTP requirements and provisions remain unchanged, including how states administer the RTP. RTP funds are still considered apportioned funds.

MAP-21 authorized an opt-out provision for the RTP. A state may opt out of the RTP if the Governor of the state notifies the USDOT Secretary not later than 30 days prior to apportionments being made for any federal fiscal year (September 1st).

FAST Act continued the Recreational Trails Program.

Note: Florida opted out of the recreational trails program for FFY2013, 2014 and 2015. However, beginning in fiscal year 2016 Florida has elected to continue the Recreational Trails Program.

- If a state opts out of the RTP, the funds remain as TAP funds.
- States that opt out of the RTP lose the ability to use RTP funds for state RTP administrative costs for the federal fiscal year because those funds are tied to apportionments for a federal fiscal year. If the state opts out, then there is no program for the federal fiscal year.

- Recreational trail projects will be broadly eligible for the TAP. However, the state would have to treat all trail projects using TAP funds as projects on a federal-aid highway, meaning all projects must be treated as highway projects for contracting and wage rate purposes.

MAP-21 also amended the STP to allow any projects eligible under the RTP to be eligible for STP funds. Recreational trail projects in highway rights-of-way must be treated as highway projects, but projects not in highway-rights-of-way may use "Common Rule" procedures under 49 CFR Part 18. The recreational trails program provides funds to the states to develop and maintain recreational trails and trail-related facilities for both non-motorized and motorized recreational trail uses. The RTP is an assistance program of the FHWA. Federal transportation funds benefit recreation including hiking, bicycling, in-line skating, equestrian use, cross-country skiing, snowmobiling, off-road motorcycling, all-terrain vehicle riding, four-wheel driving, or using other off-road motorized vehicles.

2. FEDERAL SHARE

The federal share is generally 80%, subject to the sliding scale adjustment, which is a 1.93% additive for Florida, for a total federal share of 81.93%.

Although the nominal federal share is stated above, Florida has the option to utilize toll credits to “soft match” these federal funds in lieu of providing matching funds. This, in essence, allows the department to increase the federal share to 100% with no additional non-federal funds required. The Florida Department of Environmental Protection advises the department on which projects to use soft match when authorizing these federal funds. See the Soft Match section in this chapter for further information on use of toll credits for the non-federal share.

Funds from other federal programs outside the USDOT may be used to fulfill the non-federal share requirement, except that the combination of the USDOT other federal agency share may not exceed 95%.

Upon approval, planning and environmental assessment costs incurred prior to project approval may be credited toward the non-federal share cost of the project.

Recreational trails funds may be used to match other federal program funds for purposes that would be eligible under the Recreational Trails program.

N. FEDERAL LANDS ACCESS PROGRAM

1. WPA FUND CODE

Use PLH fund code

2. PROGRAM PURPOSE

The federal lands access program (access program) provides funds for projects on federal lands access transportation facilities that are located on or adjacent to, or that provide access to federal lands.

3. STATUTORY CITATION(S)

23 USC 201, 204

4. FUNDING FEATURES

Funded by contract authority from the Highway Account of the Highway Trust Fund. Funds are subject to the overall federal-aid obligation limitation.

Funds are distributed by formula among states that have federal lands managed by the National Park Service, the U.S. Forest Service, the U.S. Fish and Wildlife Service, the Bureau of Land Management, and the U.S. Army Corps of Engineers.

Eighty percent (80%) of funds go to states that contain at least 1.5% of the national total of public lands, and the remaining 20% going to states with less than 1.5% of the national total.

Funds are distributed by formula based on the following factors *

- 30% based on the state's share of total recreational visitation in all states
- 5% based on the state's share of total federal land area in all states
- 55% based on the state's share of total federal public road miles in all states
- 10% based on the state's share of total number of federal public bridges in all states

* Necessary data is to be provided by the Federal Land Management Agencies (FLMAs).

Prior to distribution of access program and federal lands transportation program (FLTP) funds, the USDOT Secretary may set aside up to 5% of funds each federal fiscal year under both programs to conduct transportation planning, asset management, road and bridge inventory, and condition data collection. [§1119; 23 USC 201(c)(7)]

5. FEDERAL SHARE

Determined in accordance with 23 USC 120. [23 USC 201(b)(7)]

Federal funds other than those made available under Title 23 and title 49 may be used to pay the non-federal share of access program projects. [23 USC 120(j)]

6. ELIGIBLE ACTIVITIES

- Transportation planning, research, engineering, preventive maintenance, rehabilitation, restoration, construction, and reconstruction of federal lands access transportation facilities located on or adjacent to, or that provide access to, federal land, and—
    - Adjacent vehicular parking areas
    - Acquisition of necessary scenic easements and scenic or historic sites
    - Provisions for pedestrians and bicycles
    - Environmental mitigation in or adjacent to federal land to improve public safety and reduce vehicle-caused wildlife mortality while maintaining habitat connectivity
    - Construction and reconstruction of roadside rest areas, including sanitary and water facilities
    - Other appropriate public road facilities, as determined by the USDOT Secretary

- Operation and maintenance of transit facilities

- Any transportation project eligible for assistance under Title 23 of the United States Code that is within or adjacent to, or that provides access to, federal land [23 USC 204(a)(1)]

7. PROGRAM FEATURES

a. Definition

Federal lands access transportation facility— A public highway, road, bridge, trail, or transit system that is located on, is adjacent to, or provides access to federal lands for which title or maintenance responsibility is vested in a state, county, town, township, tribal, municipal, or local government. [23 USC 101(a)(7)]

b. Programming Decisions Committee

- Each state is required to create a committee composed of a representative of the FHWA, a representative of the state DOT, and a representative of the appropriate political subdivisions of the state. This committee will make programming decisions for access program funds.

- The committee is required to cooperate with applicable federal agencies within the state prior to any joint discussion or final programming decision.

- The committee shall give preference to projects that provide access to, are adjacent to, or are located within high-use federal recreation sites or federal economic generators, as identified by the FLMAs.

c. Program Administration

Point of obligation is the authorization by the USDOT Secretary, or the USDOT Secretary of the appropriate FLMA if the agency is the contracting office, of engineering and related work for the development, design, and acquisition associated with a construction project, whether performed by contract or agreement authorized by law, or the approval of plans, specifications, and estimates (PS&E) (except for federal salaries and expenses) for all project work performed by USDOT or FLMAs, regardless of funding source.

d. Planning

- Transportation planning procedures for the access program must be consistent with statewide and Metropolitan planning processes.

- Regionally significant access program projects must be developed in cooperation with state and MPOs and included in federal lands access program plans, federal lands transportation plans, tribal transportation program plans, state and metropolitan plans, and TIP.

e. Data Collection

FLMAs are required to collect data necessary to support the access program, FLTP, and tribal transportation program, including inventory and condition of federal lands and tribal transportation facilities and bridge inspection and inventory information on tribal bridges and any federal bridge open to the public.

f. Reimbursable Agreements

Reimbursable agreements may be used with state, local and/or tribal governments, in addition to agreements between federal agencies.

g. Transfers

Funds made available for the access program and the FLTP may be voluntarily transferred by the USDOT Secretary within and between those programs with the concurrence, as appropriate, of the affected FLMAs, state DOTs, and local government agencies. Transferred funds must be credited back at a later date. [23 USC 201]

O. CONSTRUCTION OF FERRY BOATS AND FERRY TERMINAL FACILITIES

1. WPA FUND CODES

Use the FBD fund code

2. PROGRAM PURPOSE

This program provides funding for the construction of ferry boats and ferry terminal facilities.

3. STATUTORY CITATION(S)

23 U.S.C. 129(c), 147

4. FUNDING FEATURES

Funded by contract authority from the Highway Account of the Highway Trust Fund, to remain available until expended. Funds are subject to the overall federal-aid obligation limitation.

Funds will be allocated to states, United States territories, and Puerto Rico, and further distributed among eligible entities based on the following ratio:

- 35% based on the number of ferry passengers carried by each ferry system
- 35% based on the number of vehicles carried by each ferry system
- 30% based on the total route miles serviced by each ferry system

Any funds not obligated by the state at the end of four years will be withdrawn and redistributed to other eligible recipients (other states).

5. ELIGIBILITY REQUIREMENTS

FBD eligibilities continue unchanged:

- Construction of ferry boats and ferry terminal facilities within the states and U.S. territories.
- It is not feasible to build a bridge, tunnel, combination thereof, or other normal highway structure in lieu of the use of such ferry.

- Ferry must operate on a route that has been classified as a public road (and that has not been designated as part of the interstate system).

- Ferry must be either publicly owned or operated or majority publicly owned.

- The operating authority and the amount of fares charged for passage on the ferry shall be under the control of the state or other public entity.

- All revenues must be applied to actual and necessary costs of operation, maintenance, repair, debt service, negotiated management fees, and a reasonable return on investment for any privately operated ferry.

- Except as permitted under 23 USC 129(c)(5), ferry cannot be operated in foreign or international waters.

P. TOLLING PROGRAMS

1. SECTION 129 GENERAL TOLLING PROGRAM

Section 1512(a) of MAP-21 provides a complete replacement for the statutory language of 23 U.S.C. 129(a). The new language makes a number of significant changes to the program, including tolling eligibilities; requirements for tolling agreements; and requiring audits to ensure compliance with requirements on the use of toll revenues.

2. TOLLING ELIGIBILITIES

MAP-21 incorporated some of the key flexibilities from existing pilot programs to Section 129 tolling eligibilities, which include:

- Tolling of newly constructed lanes added to existing toll-free interstate highways is now permitted under Section 129(a)(1)(B) so long as the facility has the same number of toll-free lanes after construction as it did before (excluding HOV lanes and auxiliary lanes) (this authority was previously available under the express lanes demonstration program, Section 1604(b) of SAFETEA-LU).

- Tolling for initial construction of highways, bridges, and tunnels on the interstate system is now permitted under Section 129(a)(1)(A). Prior to MAP-21, such authority was limited to non-interstate facilities under Section 129. This change effectively mainstreams the interstate system construction toll pilot program.

3. TOLLING AGREEMENTS

Public authorities are currently required to execute a tolling agreement with FHWA prior to imposing tolls on a federal-aid highway (or to use federal-aid funds on an existing toll facility). Under MAP-21, such agreements will no longer be statutorily required. For toll facilities that have executed Section 129 tolling agreements prior to October 1, 2012, the terms of those agreements will continue in force.

4. USE OF TOLLING REVENUE AND COMPLIANCE AUDITS

While the requirement for upfront tolling agreements under Section 129 no longer exists, MAP-21 largely continues the restrictions on the use of toll revenues that were in place previously. MAP-21 also imposes a new requirement for annual audits to ensure compliance with these limitations, the results of which must be transmitted to USDOT. If the USDOT Secretary concludes that the public

authority with responsibility for the toll facility is not in compliance with these restrictions, the USDOT Secretary may require that toll collection on the facility be discontinued until an agreement is reached to achieve compliance. Additional guidance will be developed in the future regarding use of toll revenue and compliance.

5. SECTION 166 HOV/HOT LANES

23 U.S.C. 166(b)(4) provides authority for public agencies to allow toll-paying vehicles that do not meet the minimum occupancy standards to use high occupancy vehicle (HOV) lanes. Such authority is continued under MAP-21. (See FHWA memorandum, INFORMATION: Federal Tolling Programs under the Moving Ahead for Progress in the 21st Century Act, dated September 24, 2012.) Section 166 includes a number of provisions that will thus continue to apply whenever a HOV lane is converted to a high occupancy toll (HOT), including:

- The state must annually certify to FHWA that it continues to meet all requirements of 23 U.S.C. 166, including those related to vehicle eligibility; operational performance monitoring, evaluation, and reporting; and enforcement. In particular, states are required to include in their certification a clear demonstration that the presence of HOT vehicles has not caused the facility to become degraded. (23 U.S.C. § 166(d))

- The state must indicate the presence of a program that addresses how motorists can enroll and participate in the toll program.

The state must indicate that they have implemented a system that will automatically collect the tolls, or indicate that such a system will be implemented in a reasonable period of time following establishment of the HOT lane. (See FHWA memorandum, INFORMATION: Federal Tolling Programs under the Moving Ahead for Progress in the 21st Century Act, dated September 24, 2012.)

6. USE OF TOLLING REVENUE AND COMPLIANCE AUDITS

The use of tolling revenues from facilities tolled under Section 166 is governed by the requirements of Section 129(a)(3). (23 U.S.C. 166(c)) Such facilities will thus also be subject to the changes made by MAP-21 that were noted previously for Section 129, including the new statutory requirement for annual audits to ensure compliance with the limitations on the use of revenue. MAP-21 also rescinds a prior requirement that public authorities give priority consideration to projects for developing alternatives to single occupant vehicle travel and projects for improving highway safety when using toll revenues for other Title 23 purposes.

7. TOLL PILOT PROGRAMS

Each of the four toll pilot programs is treated differently under MAP-21:

a. Express Lanes Demonstration Program

The express lanes demonstration program (ELDP) was authorized under Section 1604(b) of the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU); it expires on September 30, 2012. The program allows up to 15 toll projects aimed at managing congestion and financing highway capacity expansion by tolling new lanes added to an existing facility. The five tolling agreements that were executed by FHWA and project sponsors under this program will continue in force. Projects for which slots were allocated but still not subject to an agreement should proceed under Section 129.

b. Interstate System Construction Toll Pilot Program

The interstate system construction toll pilot program (ISCTPP) was authorized under Section 1604(c) of SAFETEA-LU. To date, only one of the three slots authorized under this program has been reserved, and no projects have received final acceptance into the program or executed tolling agreements. (See FHWA memorandum, INFORMATION: Federal Tolling Programs under the Moving Ahead for Progress in the 21st Century Act, dated September 24, 2012.) The ISCTPP, which expires on August 9, 2015, was not directly affected by MAP-21. However, MAP-21 does amend Section 129 to include the initial construction of any highway, whether on or off the interstate system, as an eligible activity for tolling. As this pilot program has thus been effectively mainstreamed under the general tolling program, FHWA will no longer be accepting applications for this program. Division offices should direct project sponsors interested in constructing new interstate highways, bridges, or tunnels as toll facilities to the requirements under Section 129.

c. Interstate System Reconstruction and Rehabilitation Pilot Program

The interstate system reconstruction and rehabilitation pilot program (ISRRPP) was authorized under Section 1216(b) of the Transportation Equity Act for the 21st Century (TEA-21). MAP-21 does not make any changes to this program, which thus continues in force. In order to receive tolling authority under the ISRRPP, project sponsors are required to have their program application approved by FHWA and to execute a tolling agreement. All three of the slots authorized for this program are conditionally reserved at the present time. (See FHWA memorandum, INFORMATION: Federal Tolling Programs under the Moving Ahead for Progress in the 21st Century Act, dated September 24, 2012.)

The Interstate System Reconstruction and Rehabilitation Pilot Program allows up to three states to reconstruct existing non-tolled interstate facilities and return them to service as tolled facilities. Missouri, North Carolina and Virginia were selected, but have yet to make any progress towards implementing tolls. They have one year after the enactment of the FAST Act (Dec. 2015) to show progress. If not, other states will be eligible to submit applications for the pilot program. New states selected will have three years to advance a project before this “kick out” provision would remove them from the program.

d. Value Pricing Pilot Program

The value pricing pilot program (VPPP) was first authorized under the Section 1012(b)(8) of the Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA), and was subsequently amended under other laws, most recently in Section 1604(a) of SAFETEA-LU. MAP-21 does not make any changes to this program. While no additional funds are authorized after federal fiscal year 2012 for the discretionary grant component of this program, FHWA's ability to enter into cooperative agreements for tolling projects under the VPPP will continue in force. Of the 15 slots authorized for this program, seven have been permanently reserved for states that have executed tolling cooperative agreements under the VPPP. (See FHWA memorandum, INFORMATION: Federal Tolling Programs under the Moving Ahead for Progress in the 21st Century Act, dated September 24, 2012.) The remaining eight slots are currently reserved for state agencies that are undertaking studies or non-toll projects under the program. Once these studies or projects have been completed, these slots will become available for use by any states with eligible tolling projects under the program, at the discretion of the USDOT Secretary.

A number of congestion pricing strategies, including HOV to HOT conversion and the construction of priced express lanes, can now be accommodated under the Section 129 general tolling program and the Section 166 HOV/HOT lanes program. FHWA prefers that the two mainstream programs be used where possible as opposed to the pilot programs. As a result, requests for tolling authority under the VPPP will be limited to situations that cannot be

accommodated under the mainstream tolling programs, such as the pricing of existing toll-free facilities without substantial reconstruction of those facilities.

8. TOLLING PROGRAM ADMINISTRATION

The program changes resulting from MAP-21, as noted above, have a number of implications for the administration of these programs by the FHWA program and division offices.

9. COMPLIANCE AUDITS

The statutes authorizing the ISRRPP and ISCTPP programs require regular audits to ensure compliance with the limitations on the use of toll revenues, which must be transmitted to USDOT. Similar audit requirements have also been included in tolling agreements executed under the Section 129, Section 166, ELDP, and VPPP tolling programs. As noted above, Section 1512 of MAP-21 extends such audit requirements for facilities tolled under Section 129 or Section 166, specifying that such audits be conducted annually and establishing the authority of the USDOT Secretary to require that toll collection be discontinued if a public authority is found to be in noncompliance. (23 U.S.C. 129(a)(3)) FHWA division offices will be responsible for receiving the annual audits from the tolling operators and ensuring compliance with the statutory requirements. These audit requirements will be furthered addressed in forthcoming guidance.

10. TOLLING MEMORANDUM OF UNDERSTANDING

Although tolling agreements are no longer required under the mainstream tolling programs, state departments of transportation (or other public agencies with responsibilities for toll facilities) may wish to enter into a memorandum of understanding (MOU) with their FHWA division offices, particularly in light of the new requirements for audits and the potential consequences of noncompliance (including the discontinuation of toll collection). Suggested elements of the MOU could include establishing the eligibility for tolling a federal-aid highway facility under Section 129 and outlining how the statutory requirements regarding the use of toll revenues, audits, and other federal requirements will be met. A sample template for a tolling MOU is provided.

Q. EMERGENCY RELIEF PROGRAM

1. WPA FUND:

ERxx where xx is to signify the last two digits of the federal fiscal year of the event. ACER can be used until an allocation is received.

2. PROGRAM PURPOSE

The emergency relief (ER) program provides funds for emergency repairs and permanent repairs on federal-aid highways and roads on federal lands that the USDOT Secretary finds have suffered serious damage as a result of natural disasters or catastrophic failure from an external cause.

3. STATUTORY CITATION(S)

23 USC 120(e) and 125;

4. FUNDING FEATURES

Funded by a permanent authorization of $100 million per year in contract authority from the Highway Account of the Transportation Trust Fund. Funds are available until expended, and exempt from the federal-aid highway obligation limitation. [23 USC 125]

In addition to the permanent authorization, SAFETEA-LU authorized from the General Fund of the Treasury such sums as may be necessary to supplement the permanent authorization in years when Emergency Relief allocations exceed $100 million. Appropriation legislation would be necessary to make the additional funds available.

Funds are allocated to the states based on an assessment of repair costs following a disaster.

Up to 5% of ER funds may be used by the USDOT Secretary for projects to protect public safety or maintain or protect roadways included within the scope of an emergency declaration.

5. FEDERAL SHARE

In accordance with 23 USC 120, including sliding scale adjustment for states with high percentages of federally-owned public lands.

- Emergency repair work to restore essential travel, minimize the extent of damage, or protect the remaining facilities, accomplished in the first 180 days after the disaster occurs, may be reimbursed at 100% federal share; time period may be extended for delay in the ability to access damaged areas.

- For eligible permanent repairs to restore damaged facilities, up to 90% federal share is allowed if total eligible expenses incurred by the state due to natural disasters or catastrophic failures in a federal fiscal year exceeds the state's apportionments under 23 USC 104 for the federal fiscal year in which the event occurred.

- The federal share for repair work on federal land, federal land access, and tribal transportation facilities is 100%.

6. ELIGIBLE ACTIVITIES

ER eligibilities are continued, with some changes:

- Addition of actual and necessary costs of maintenance and operation of transit service as eligible activity to provide a temporary substitute for highway traffic service.

- Debris removal is eligible only if the event is not declared a major disaster by the President or where the event is declared a major disaster by the President but the debris removal is not eligible for assistance under the Stafford Act.

- ER funds may participate in costs to repair or reconstruct a comparable facility, which is defined as a facility that meets the current geometric and construction standards required for the types and volume of traffic that the facility will carry over its design life.

- Construction phase defined – No funds may be used for repair or reconstruction of a bridge if the construction phase of a replacement structure is included in a state's approved STIP at the time of the event.

7. PROGRAM FEATURES

Changes to the ER program include the following:

- The state's application for ER funds must include a comprehensive list of all eligible project sites and repair costs within two years after the event.
- The $100 million cap on obligations in a state for a single event is removed.
- Tribal transportation facilities, federal lands transportation facilities, and other federally-owned roads open to public travel are eligible for ER funding.

R. STATE INFRASTRUCTURE BANK PROGRAM

States that established SIBs authorized by the NHS Designation Act and TEA-21 may continue to operate those SIBs. Florida's federal State Infrastructure Bank was established under this prior legislation.

Florida has both a federally funded account and a state funded account within the State Infrastructure Bank. For additional information on Florida's SIB, see the SIB Chapter in Part III of these Instructions.

1. STATUTORY CITATION

23 USC 610

The FAST Act restores a state's ability to use up to 10 percent of its allocated federal highway funds to capitalize a state infrastructure bank. States had this authority under the 2005 SAFETEA-LU law, but it was not continued in MAP-21 in 2012.

2. ELIGIBLE USE OF FUNDS

SIBs provide various forms of non-grant assistance to public or private entities for eligible projects, including below-market rate subordinate loans, interest rate buy-downs on third party loans, and guarantees and other forms of credit enhancement. Any debt issued or guaranteed by the SIB must be of investment grade quality.

Projects eligible under Title 23, United States Code, capital projects as defined in Section 5302 of Title 49, United States Code and any other projects related to surface transportation that the USDOT Secretary determines to be appropriate are eligible for assistance from the SIBs.

Both the initial credit assistance funded with federal capitalization grants, including the required non-federal match, and any assistance funded with loan repayments and other recycled funds are subject to the requirements of Titles 23 and 49, as applicable.

S. TRANSPORTATION INFRASTRUCTURE FINANCE AND INNOVATION ACT (TIFIA)

1. PROGRAM PURPOSE

The Transportation Infrastructure Finance and Innovation Act (TIFIA) program provides federal credit assistance to eligible surface transportation projects, including highway, transit, intercity passenger rail, some types of freight rail, and intermodal freight transfer facilities. The program is designed to fill

market gaps and leverage substantial private co-investment by providing projects with supplemental or subordinate debt.

2. STATUTORY CITATION

23 USC 601-609

3. FUNDING FEATURES

Funded by contract authority and reimbursed from the Highway Account of the Highway Trust Fund, to remain available until expended. Funds are subject to the overall federal-aid obligation limitation.

4. PROGRAM PRODUCTS

The TIFIA credit program may provide to states (including D.C. and Puerto Rico), localities, or other public authorities, as well as private entities undertaking projects sponsored by public authorities, three types of financial assistance:

- Secured loans are direct federal loans to project sponsors offering flexible repayment terms and providing combined construction and permanent financing of capital costs.
- Loan guarantees provide full-faith-and-credit guarantees by the federal government to institutional investors, such as pension funds, that make loans for projects.
- Lines of credit are contingent sources of funding in the form of federal loans that may be drawn upon to supplement project revenues, if needed, during the first 10 years of project operations.

MAP-21 also newly authorizes "master credit agreements," under which DOT may make a contingent commitment of future TIFIA assistance (subject to the availability of future funding) for a program of projects secured by a common revenue pledge.

5. FEDERAL SHARE

TIFIA credit assistance may cover the following portions of the total cost of a project:

- TIFIA line of credit*:* up to 33%
- TIFIA loan: up to 49% (or, if the loan does not receive an investment grade rating, up to the amount of senior project obligations)
- TIFIA loan and TIFIA line of credit, combined: up to 49%
- Total federal assistance (grants and loans) to a project receiving a TIFIA loan: up to 80%

6. ELIGIBLE ACTIVITIES

Most types of projects retain their previous TIFIA eligibility:

- Projects eligible for assistance under Title 23 or chapter 53 of title 49
- International bridges and tunnels

- Intercity passenger bus or rail facilities and vehicles, including those owned by Amtrak
- Public freight rail projects
- Private freight rail projects that provide public benefit for highway users by way of direct highway-rail freight interchange (a refinement of the SAFETEA-LU eligibility criterion)
- Intermodal freight transfer facilities
- Projects providing access to, or improving the service of, the freight rail projects and transfer facilities described above
- Surface transportation infrastructure modifications necessary to facilitate direct intermodal interchange, transfer and access into and out of a port
- A project to improve or construct public infrastructure that is located within walking distance of, and accessible to, a fixed guideway transit facility, passenger rail station, intercity bus station, or intermodal facility, including a transportation, public utility, or capital project and related infrastructure; and
- The capitalization of a rural projects fund.

To receive TIFIA assistance, a project must have costs that equal or exceed at least one of the following:

- $50 million and 1/3 of a state's annual federal apportionments
- for a rural infrastructure project (as defined below), $10 million
- for an intelligent transportation system (ITS) project, $10 million

Multiple related TIFIA-eligible projects may be grouped in order to meet one of these cost thresholds as long as the projects' credit assistance is secured by a common pledge. [23 USC 601(a)(12)(D)(iv)]

7. RE-FINANCING

MAP-21 continues the ability to use TIFIA to refinance an earlier TIFIA interim construction loan, or to refinance existing project debt in order to provide addition funding capacity for TIFIA-eligible projects.

8. OTHER PROVISIONS

a. Application Process

MAP-21 requires DOT to establish a rolling application process for providing TIFIA credit assistance to eligible projects on terms acceptable to DOT.

b. Repayment of Federal Assistance

TIFIA assistance must be repaid through dedicated revenue sources that secure project obligations, such as tolls, other user fees, or payments received under a public-private partnership agreement. Repayment of a TIFIA loan must begin by five years after the substantial completion of the project, and the loan must be fully repaid within 35 years after the project's

substantial completion or by the end of the useful life of the asset being financed, if that life is less than 35 years.

c. Provisions Related to Rural Projects

- "Rural infrastructure project" is defined as a surface transportation project not located in a city with a population of more than 150,000 within the city limits.
- Of the total amount authorized for TIFIA in a federal fiscal year, not more than 10% shall be set aside for rural infrastructure projects.
- Loans to rural infrastructure projects under this set aside (for either new financing or refinancing of an existing federal credit instrument) are at ½ the Treasury interest rate.

d. Investment Grade Rating

Debt senior to the federal credit instrument (or the federal credit instrument, if *it* is the senior debt) must generally receive an investment-grade rating from at least two rating agencies.

e. Non-subordination

In most cases a TIFIA loan may not be subordinated to other debt in the event of project bankruptcy, insolvency, or liquidation. However, TIFIA loans may be subordinated in some circumstances in which a public agency has outstanding senior bonds under a preexisting indenture.

f. Limited Buy-downs

MAP-21 allows project sponsors to "buy down" their TIFIA interest rate if that rate has increased between the date of submission of a project application and the execution of the TIFIA agreement.

9. WPA PROGRAMMING

Projects will not be programmed with TIFIA funds until an approved federal award is given.

Use fund code TIFI and allocation type 1 on the projects programmed using TIFIA funds.

The payback of TIFIA funds should be programmed using a phase of A8 and program number 85. No federal funds should be programmed on this phase. TIFI fund code should not be listed on the payback phase. The payback schedule should be in the application package. The amounts programmed for the payback of TIFIA funds must match the payback schedule.

T. NATIONALLY SIGNIFICANT FREIGHT AND HIGHWAY PROJECTS PROGRAM

The Nationally Significant Freight and Highway Projects Program is a new competitively awarded discretionary freight-focused grant program. This new program allows States, Metropolitan Planning Organizations (MPOs), local governments, tribal governments, special purpose districts and public authorities (including port authorities), and other parties to apply for funding to complete projects that

improve safety and hold the greatest promise to eliminate freight bottlenecks and improve critical freight movements.

The Office of the Secretary of Transportation, not FHWA, is responsible for project selection.

Not withstanding any other provision of law, a freight project under this program shall be treated as if the project is located on a federal aid highway.

1. WPA FUND CODE

Use the **NFPD** fund code – "national freight program discretionary"

2. PROGRAM PURPOSE

The goals of the program shall be to –

a. improve the safety, efficiency, and reliability of the movement of freight and people;

b. generate national or regional economic benefits and an increase in the global economic competitiveness of the United States;

c. reduce highway congestion and bottlenecks;

d. improve connectivity between modes of freight transportation;

e. enhance the resiliency of critical highway infrastructure and help protect the environment;

f. improve roadways vital to national energy security; and

g. address the impact of population growth on the movement of people and freight.

3. STATUTORY CITATION

Title 23 USC §117

4. FUNDING FEATURES

- Funded at $4.5 billion over 5 years, averaging $900 per year
- Subject to annual obligation limitation
- The aggregate amount for intermodal projects is capped at $500 million over the life of the FAST Act (five years 2016-2020).

  This $500 million limitation shall not apply to railway-highway grade crossings or grade separation projects, or with respect to a multimodal project, shall apply only to the non-highway portion of the project.
- At least 25% of funds must be obligated in rural areas. "Rural area" is defined in this context as an area that is outside an urban area with a population of over 200,000
- Federal share may not exceed 60%. Other federal funds may be used to satisfy up to 20% of the matching requirement, but total federal funds on the project may not exceed 80%.

5. ELIGIBLE APPLICANTS

Eligible applicants are limited to -

- A state or a group of states
- Metropolitan Planning Organizations
- Local government of group of local governments
- A political subdisision of a state or local government
- Special purpose district or public authority with a transportation function, including a port authority
- Federal land management agency that applies jointly with a state or group of states
- Indian tribes, or
- Combinations thereof

6. PROJECT LOCATION

Funds may be used for a project that is –

- a highway freight project carried out on the National Highway Freight Network;
- a highway or bridge project carried out on the National Highway System, including—
    - a project to add capacity to the Interstate System to improve mobility; or
    - a project in a national scenic area;
- a freight project that is –
    - a freight intermodal or freight rail project; or
    - within the boundaries of a public or private freight rail, water (including ports), or intermodal facility and that is a surface transportation infrastructure project necessary to facilitate direct intermodal interchange, transfer, or access into or out of the facility; or
    - a railway-highway grade crossing or grade separation project; and
- has eligible project costs that are reasonably anticipated to equal or exceed the lesser of –
    - $100,000,000; or
    - in the case of a project –
        - located in 1 State, 30 percent of the amount apportioned under Title 23 to the State in the most recently completed fiscal year; or

- located in more than 1 State, 50 percent of the amount apportioned under this chapter to the participating State with the largest apportionment under Title 23 in the most recently completed fiscal year.

- Minimum project size is at least $25 million.

7. SMALL PROJECTS

10% of program funds each year must be made available for grants that do not satisfy the minimum threshold described above ($25 million). Minimum grant size for "small projects" is at least $5 million

8. ELIGIBLE ACTIVITIES

Funds may be used for –

- development phase activities, including planning, feasibility analysis, revenue forecasting, environmental review, preliminary engineering and design work, and other preconstruction activities; and

- construction, reconstruction, rehabilitation, acquisition of real property (including land related to the project and improvements to the land), environmental mitigation, construction contingencies, acquisition of equipment, and operational improvements directly related to improving system performance.

- Funds may also be used to pay subsidy and administrative costs necessary to provide the eligible entity with TIFIA credit assistance with respect to the project for which the grant was awarded.

9. PROJECT REQUIREMENTS

Grant will only be awarded if the application demonstrates that –

- the project will generate national or regional economic, mobility, or safety benefits;

- the project will be cost effective;

- the project will contribute to the accomplishment of 1 or more of the national goals described above;

- the project is based on the results of preliminary engineering;

- with respect to related non-Federal financial commitments—

  - 1 or more stable and dependable sources of funding and financing are available to construct, maintain, and operate the project; and

  - contingency amounts are available to cover unanticipated cost increases;

- the project cannot be easily and efficiently completed without other Federal funding or financial assistance available to the project sponsor; and

- the project is reasonably expected to begin construction not later than 18 months after the date of obligation of funds for the project.

10. ADDITIONAL CONSIDERATIONS

In making a grant under this program the following shall be considered –

- utilization of nontraditional financing, innovative design and construction techniques, or innovative technologies;
- utilization of non-Federal contributions; and
- contributions to geographic diversity among grant recipients, including the need for a balance between the needs of rural and urban communities.

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PART IV - CHAPTER 2: FINANCIAL PROVISIONS

A. FEDERAL OBLIGATION LIMITATION (A.K.A OBLIGATION AUTHORITY)

1. PURPOSE

Overall, the methodology for the obligation limitation distribution calculations under MAP-21 is very similar to the methodology under SAFETEA-LU. Section 1102 of MAP-21 contains provisions related to the distribution of obligation limitation. Note, however, that the obligation limitation levels and distribution methodology in Section 1102 of MAP-21 are subject to the obligation limitation provisions in an appropriations act or continuing appropriations resolution that is enacted.

In Section 1102(a), MAP-21 sets the overall obligation limitation at $39.699 billion for FY 2013 and $40.256 billion for FY 2014.

Section 1102(b) of MAP-21 lists the funding that is exempt from the obligation limitation. Of new contract authority, funding for the emergency relief program in the amount of $100 million and a portion of national highway performance program (NHPP) funding are exempt from the obligation limitation. A national total of $639 million in NHPP funds is exempt from the obligation limitation for each federal fiscal year, with each state's share of the exempt NHPP funds proportional to that state's overall share of NHPP funds.

Under the distribution process in Section 1102(c) of MAP-21, limitation is first provided for administrative expenses and programs authorized under Section 104(a) of Title 23, the Bureau of Transportation Statistics, and unobligated balances of funding for allocated programs (or for the apportioned tribal transportation program and federal lands access program) carried over from previous federal fiscal years.

The remaining limitation is then compared to the total remaining new authorizations of contract authority subject to the limitation for the federal fiscal year. This is known as the limitation ratio. The limitation ratio is used to distribute obligation limitation for each of the allocated programs (other than those allocated programs for which obligation limitation has already been provided) and for the tribal transportation program and the federal lands access program. The amount of obligation limitation provided for each program is determined by multiplying the amount of contract authority authorized for the program for the federal fiscal year by the limitation ratio.

The remaining balance of the limitation is then distributed among the states as formula obligation limitation with each state's portion of the limitation being based on the state's relative share of the total apportioned funds (subject to limitation) for the federal fiscal year.

All of the obligation limitation under Section 1102 of MAP-21 is available for one federal fiscal year, except that the limitation distributed for transportation research programs is available for four federal fiscal years.

2. AUGUST REDISTRIBUTION

The redistribution of obligation limitation after August 1st (August Redistribution) under MAP-21 works in the same manner as August Redistribution under SAFETEA-LU. The August Redistribution process ensures that all one-year obligation limitation for a federal fiscal year will be utilized prior to its expiration at the end of the federal fiscal year.

After August 1st of each federal fiscal year, the United Sates Department of Transportation (USDOT) Secretary will revise the distribution of obligation authority made available if a state does not plan to

obligate the amount distributed during that federal fiscal year. The amount returned will be redistributed as formula obligation limitation to those states able to obligate amounts in addition to those previously distributed during the federal fiscal year.

B. FEDERAL HIGHWAY TRUST FUND AND TAXES: STATUTORY REFERENCES

- MAP-21 - Moving Ahead for Progress in the 21st Century, Public Law 112-141, Division D—Finance

  MAP-21 extends the ability to collect taxes into the Highway Trust Fund, expend out of the Highway Trust Fund to reimburse states, and to receive transfers as necessary to remain solvent.

- Title I—Extension of Highway Trust Fund Expenditure Authority and Related Taxes
  - 40101. Extension of trust fund expenditure authority
  - 40102. Extension of highway-related taxes
- Title II—Revenue Provisions
  - 40201. Transfer from Leaking Underground Storage Tank Trust Fund to Highway Trust Fund
  - 40251. Additional transfers to Highway Trust Fund
- Other: 26 USC; 1362 of Energy Policy Act of 2005

C. USE OF TOLL CREDITS TOWARD NON-FEDERAL SHARE (SOFT MATCH)

Section 120 of Title 23, U.S.C., permits a state to use certain toll revenue expenditures as a credit toward the non-federal matching share of all programs authorized by Title 23, (with the exception of Emergency Relief Programs) and for transit programs authorized by Chapter 53 of Title 49, U.S.C. This is in essence a "soft-match" provision that allows the federal share to be increased up to 100% to the extent credits are available.

Effective July 1, 2011, all Federal Highway Administration (FHWA) funded highway programs except for the emergency relief program will be “soft matched.” Soft match credits earned in previous years and those earned in future years will be used to avoid the state-matching portion on projects funded within these programs. Each eligible federal-aid project that will be soft-matched will be funded at 100% federal-aid up to the funds available. Note that there are usually some non-participating costs that may need to be funded by state or local funds. These should be shown as associated funds in the Federal Authorization Management System.

A portion of soft-match credits will also be used to fund the state or local share on transit projects managed by local transit agencies. The central public transit office should be contacted for more information on using soft match credits for transit projects.

D. ADVANCE CONSTRUCTION PROGRAM

1. PROGRAM PURPOSE

Under the conditions provided in 23 U.S.C. 115 , and discussed in more detail in 23 CFR 630G, "Advance Construction of Federal-Aid Projects," a state may request and receive approval to construct projects in advance of the apportionment of authorized federal-aid funds. The project must meet all the normal federal requirements, as if it were being financed with federal funds. Like other projects using federal funds, the project must have an approved federal authorization prior to advertising or work commencing in order to be eligible for conversion to federal funds at a later date.

For additional information on the Florida Department of Transportation's (department's) use of the federal advance construction program, see the Advanced Construction chapter of these instructions.

2. STATUTORY REFERENCES

23 U.S.C. 115

23 CFR 630G

3. CONVERSIONS

An existing advance construction project may be converted to a regular federal-aid project at any time provided that sufficient federal-aid funds and obligation authority are available.

The state may request a partial conversion where only a portion of the federal share of project costs is obligated and the remainder may be converted at a later time provided funds are available.

Only the amount converted is an obligation of the federal government.

4. ELIGIBLE USE OF FUNDS

Any project eligible for federal participation under Title 23, U.S.C., is eligible for advance construction. Conversion may be to any category of funds for which the project is eligible.

5. FEDERAL SHARE

The federal share is only applicable upon conversion to a regular federal fund.

E. TRANSFERRING FEDERAL FUNDS

MAP-21 continued the same provisions for flexible funding that were one of the hallmarks of the Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA) that was continued under the 1998 Transportation Equity Act for the 21st Century (TEA-21) and under the SAFETEA-LU. These flexible funding provisions enable state and local governments, transit operators, and metropolitan planning organizations (MPO) to more effectively meet their unique needs, and facilitate a multimodal approach to meeting transportation needs at both the statewide and metropolitan levels. The flexibility provisions of these transportation acts include:

- Broad highway/ transit eligibility within selected categories of major highway and transit programs
- Transfer of funds within the federal-aid highway program to other programs with broader highway/transit eligibility
- Transfer of funds from FHWA to Federal Transit Administration (FTA) and vice versa

1. TRANSFERS FROM ONE FEDERAL-AID HIGHWAY PROGRAM TO ANOTHER

If funds are transferred from one federal-aid highway program to another, those funds then have the same eligibility as the program that they are transferred to. For example, interstate maintenance (IM) funds transferred to the surface transportation program (STP) would have the same eligibility as STP funds.

2. INTERAGENCY TRANSFERS

Following are a few important points to keep in mind when considering interagency transfers:

- Funds transferred to or from FHWA or FTA can be used only for purposes eligible under the original program that the funds are transferred from. The FHWA prefers that congestion mitigation and air quality improvement program funds (CMAQ) and STP funds used for projects to purchase transit vehicles be transferred to and administered by the FTA.

- Funds that are transferred from FHWA to FTA shall be administered under the requirements of the Chapter 53 of title 49, U.S.C. and funds transferred from FTA to FHWA shall be administered under the requirements of Title 23, U.S.C., except that the non-federal share for the original source of the funding applies to the transferred funds (see 23 U.S.C. §104(k) and 49 U.S.C. §5334(h)).

- For transit capital projects funded with National Highway System (NHS) funds under 23 U.S.C. 103(b)(6)(C) or STP funds under 23 U.S.C. 133(b)(2), applicable Chapter 53 statutory requirements (e.g., Employee protective arrangements (49 U.S.C. 5333(b)), Charter bus transportation services (49 U.S.C. 5323(d)), etc.) must be complied with even if the funds are not transferred to FTA for administration under Chapter 53. If the funds will be administered by the FHWA for such capital projects, the FHWA Division should work with the FTA Regional Office to determine which Chapter 53 provisions apply and how.

- To transfer funds from FHWA to FTA, the state transportation department must request that the funds be transferred, with the concurrence of the MPO if the project is within a metropolitan planning area, in a letter to the FHWA division office.

- In a Transportation Management Area (TMA), the MPO may elect to transfer portions of its FTA Section 5307 funds that cannot be used for operating assistance to FHWA for highway projects subject to the requirements of 49 U.S.C. §5307(b)(2).

- To transfer 49 U.S.C. §5307 funds from FTA to FHWA, the MPO must submit a request to the FTA Regional Office with a certification that: (1) Americans with Disabilities Act (ADA) needs have been met, (2) notice and opportunity for comment and appeal have been provided to affected transit providers, and (3) local funds used for the non-federal match are eligible to provide assistance for either highway or transit projects.

- Funding transfers are permitted only for projects contained in an approved metropolitan transportation improvement program (TIP) and/or STIP.

3. DEPARTMENTAL PROCESS TO TRANSFER FUNDS FROM FHWA TO FTA

The Federal Aid Management Office (FAMO) sends out a quarterly email to the district federal aid coordinators requesting all FTA transfers anticipated to be needed for the next quarter (three months). The district must submit the following required information to their district representative in the FAMO for an FTA transfer to be processed:

- Work program financial project number

- FTA grant recipient name and grant number

- Federal Appropriation Category
- STIP page number where the project is listed
- Project Description
- Amount of requested transfer

A Transfer Request Form will be prepared by the FAMO requesting FHWA to transfer the funds to FTA. Districts will be notified by email when the transfers are complete.

Documentation is required to confirm the correct FTA Grant Number. Districts shall provide documentation as shown in the SAMPLE on the next page for each grant for which funds are requested to be transferred.

4. TRANSFER OF FHWA FUNDS TO FTA FOR ITS PROJECTS

FTA has provided the following information on this process:

- The applicant electronically submits earmark integration application as directed in the earmark guidance document.
- The application goes to FHWA and if it's determined to be a transit project, the application is forwarded to FTA's regional office for the initial review.
- Then the application comes to this office (FTA's Headquarters ITS office for secondary review), and sometimes additional clarification of certain portions of the application may be necessary.
- If all looks well, the application is approved for further processing and an e-mail is sent to FTA's regional offices stating that project is approved and the transfer of funds process will now begin.
- Next, this office requests that FHWA/ITS-JPO transfer the fund to FTA Headquarters. We, in turn, request that the FTA Regional Offices provide TEAM a project number so that FTA's Headquarters budget office can transfer funds to the appropriate project in the regional offices once the funds are received from FHWA. A small percentage of the time, some projects are managed at FTA Headquarters.
- The review and transfer of funds does not happen quickly. But review and approval of the application, and transfer of funds does happen as quickly as we can get everything processed.

SAMPLE DOCUMENTATION FOR FTA TRANSFER

DOT FTA

U.S. Department of Transportation — Federal Transit Administration

Application for Federal Assistance

Recipient ID:	5454
Recipient Name:	SOUTH FLORIDA REGIONAL TRANSPORTATION AUTHORITY
Project ID:	FL-90-X394-04
Budget Number:	6 - Budget Pending Approval
Project Information:	Double Track Project - Segment 5

Part 1: Recipient Information

Project Number:	FL-90-X394-04
Recipient ID:	5454
Recipient Name:	SOUTH FLORIDA REGIONAL TRANSPORTATION AUTHORITY
Address:	800 NW 33rd Street Suite 100, Pompano Beach, FL 33064 0000
Telephone:	(954) 942-7245
Facsimile:	(954) 786-7878

Part 2: Project Information

Project Type:	Grant
Project Number:	FL-90-X394-04
Project Description:	Double Track Project - Segment 5
Recipient Type:	Other Governmental Organization
FTA Project Mgr:	Christopher White
Recipient Contact:	Michael Williams
New/Amendment:	Amendment
Amend Reason:	Increase Award
Fed Dom Asst. #:	20507
Sec. of Statute:	5307

Gross Project Cost:	$12,500,000
Adjustment Amt:	$0
Total Eligible Cost:	$12,500,000
Total FTA Amt:	$10,000,000
Total State Amt:	$2,500,000
Total Local Amt:	$0
Other Federal Amt:	$0
Special Cond Amt:	$0
Special Condition:	None Specified
S.C. Tgt. Date:	None Specified
S.C. Eff. Date:	None Specified

5. TRANSFER PROVISIONS BY PROGRAM CATEGORY

The tables below show which federal-aid highway programs have eligible transit activities and those programs that do not, but where funds may be transferred to another program that does have such eligibility. These tables also list federal transit programs that may be used for highway related activities.

FHWA and FTA Funds That May be Used for Either Highway or Transit Purposes

Federal Highway Administration Programs			
Primary Purpose	**Eligible Transit Activities**	**Transfer Among Title 23 Programs**	**Interagency Transfer Considerations**
Metropolitan Planning (PL) (23 U.S.C. 104(f))			
To carry out the metropolitan transportation planning process under 23 U.S.C. 134.	49 U.S.C. 5303 metropolitan transportation planning process	None.	May be transferred to FTA at the request of the state DOT to be combined with 49 U.S.C. 5305(d) metropolitan planning funds as a consolidated planning grant.
Statewide Planning & Research (SPR) (23 U.S.C. 505)			

Highway and transit planning; statewide transportation planning under 23 U.S.C. 135; metropolitan transportation planning under 23 U.S.C. 134.	49 U.S.C. 5305 statewide transportation planning process; public transportation management systems under 23 U.S.C. 303.	None.	SPR funds for planning may be transferred to FTA at the request of the state DOT to be combined with 49 U.S.C. 5305(e) statewide planning funds as a consolidated planning grant. The 25% of SPR funds that can only be used for RD&T may not be transferred.
National Highway System (NHS) (23 U.S.C. 103)			
Improvements to rural and urban roads that are part of the NHS or that are NHS Intermodal connectors.	Transit improvements within a NHS corridor, subject to statutory conditions set in 23 U.S.C. 103 (b)(6)(C); transportation planning in accordance with 23 U.S.C. 134 & 135; fringe and corridor parking facilities; carpool and vanpool projects; public transportation management systems under 23 U.S.C. 303; publicly owned intracity and intercity bus terminals.	Up to 50% of funds may be transferred to CMAQ, STP, HSIP, RTP, and/or HBRRP. Up to 100% of NHS funds may be trans-ferred to STP if approved by the USDOT Secretary and if sufficient notice and opportunity for public comment is given.	May be administered by FHWA or may be transferred to FTA for transit projects eligible for NHS funds under 23 U.S.C. 103(b)(6).
Surface Transportation Program (STP) (23 U.S.C. 133)			
Construction, reconstruction, rehabilitation, resurfacing, restoration, and operational improvements for highways and bridges including construction or reconstruction necessary to accommodate other transportation modes.	Capital costs of transit projects that are eligible under Ch. 53 of 49 U.S.C., including vehicles and facilities, publicly or privately owned, that are used to provide intercity bus service; carpool projects and fringe & corridor parking facilities; transit safety infrastructure improvements and programs; transit research, development and technology transfer; surface transportation planning programs; public transportation management systems under 23 U.S.C. 303.	Up to 50% of the STP funds may be transferred to NHPP, CMAQ, HSIP, , RTP, and/or HBRRP, except that funds sub allocated under 23 U.S.C. 133(d)(3) for use in areas of a state may not be transferred to other 23 U.S.C. programs.	May be administered by FHWA or may be transferred to FTA for transit projects eligible for STP funds under 23 U.S.C. 133(b).FHWA policy dictates STP funds used to purchase transit vehicles should be administered by FTA.
Highway Safety Improvement Program (HSIP) (23 U.S.C. 148)			
To achieve a significant reduction in traffic fatalities and serious injuries on public roads.	No direct transit uses.	Up to 50% of HSIP funds apportioned under 23 U.S.C. 104 may be transferred to NHS, CMAQ, STP, IM, RTP, and/or HBRRP; the annual set-aside for 23 U.S.C. 130, Rail-highway crossings, may not be transferred.	Must first be transferred to another 23 U.S.C. program that has transit eligibility before the funds may be transferred to FTA.
Congestion Mitigation and Air Quality Improvement Program (CMAQ) (23 U.S.C. 149)			

Projects in non-attainment and main-tenance areas that reduce transportation related emissions.	Transit capital projects and operating expenses for new services. Operating assistance is limited to new or expanded transpor-tation services and to 3 years. Funds may only be used in nonattainment and main-tenance areas and projects must demonstrate an air quality benefit. States without nonattain-ment or maintenance areas may use their minimum apportionment of CMAQ for any project in the state eligible under either CMAQ or STP.	An amount not to exceed 50% of the difference between the state's annual apportionment and the amount the state would have received if the CMAQ program was authorized at $1.35 billion for that year may be transferred to Up to 50% of funds may be transferred to NHS, STP, IM, HSIP, RTP, and/or HBRRP. Funds transferred to other Title 23 programs must still be expended within the state's nonattainment or maintenance areas.	May be administered by FHWA or may be transferred to FTA for transit projects eligible for CMAQ funds under 23 U.S.C. 149(b). FHWA policy dictates CMAQ funds used to purchase transit vehicles should be administered by the FTA.

Federal Lands Highways Program (FLHP) (23 U.S.C. 204)			
Coordinated program of public roads and transit facilities serving federal and Indian lands. Funding is broken into 4 discrete sources: Indian Reservation Roads (IRR); Public Lands Highway – Discretionary & Forest Highways; Parkways & Park Roads; Refuge Roads	May be used for transit facilities within, adjacent, or providing access to public lands, national parks, national forests, refuge roads, and Indian reservations. Refuge roads category funds may not be used for new construction and transit.	None.	May be administered by FHWA or may be transferred to FTA for transit projects eligible for FLH funds under 23 U.S.C. 204(h).
Recreational Trails Program (RTP) (23 U.S.C. 206)			
Develop and maintain recreational trails and trail-related facilities for both non-motorized and motorized recreational trail uses.	No direct transit uses.	Up to 50% of funds may be transferred to NHS, CMAQ, STP, HSIP, and/or HBRRP, subject to approval of the state agency administering the RTP.	Cannot be transferred to FTA.

Coordinated Border Infrastructure Program (CBIP) (S-LU Section 1303)			
To improve the safe movement of motor vehicles at or across the border between the United States and Canada and the border between the United States and Mexico.	Improvements to existing transportation and supporting infrastructure that facilitate cross-border vehicle movements (for highway or transit projects).	None.	Cannot be transferred to FTA.
Nonmotorized Transportation Pilot Program (S-LU Sec. 1807)			
To demonstrate the extent to which bicycling	Sidewalks, bicycle lanes, and pedestrian and bicycle paths	None.	Cannot be transferred to FTA.

and walking can carry a significant part of the transportation load, and represent a major portion of the transportation solution, within 4 identified communities.	that connect directly to transit stations.		

Federal Transit Administration Programs			
Primary Purpose	**Eligible Highway Categories**	**Transfer Among Title 49 Programs**	**Interagency Transfer Considerations**
Metropolitan Planning Program (MPP) (49 U.S.C. 5305(d))			
To carry out the metropolitan transportation planning process under 49 U.S.C. 5303.	23 U.S.C. 134 metropolitan transportation planning process	None.	May be transferred to FHWA at the request of the state DOT to be combined with 23 U.S.C. 104(f) metropolitan planning funds as a consolidated planning grant; FHWA matching ratio may be used for MPP funds in a consolidated planning grant (CPG).
Statewide Planning & Research (SPR) (49 U.S.C. 5305(e)			
To carry out the provisions of 49 U.S.C. Sections 5304, 5306, 5315, and 5322.	23 U.S.C. 135 statewide transportation planning process.	None.	SPR funds for state planning may be transferred to FHWA at the request of the state DOT to be combined with 23 U.S.C. 505 statewide planning funds as a consolidated planning grant FHWA matching ratio may be used for SPR funds in a consolidated planning grant (CPG).
Urbanized Area Formula Grants (Section 5307) Transit capital and planning assistance to urbanized areas with populations over 50,000 and operating assistance to areas with populations of 50,000 - 200,000.	In a Transportation Management Area, the MPO may elect to transfer portions of its FTA Section 5307 (Urbanized Area Formula Grants) funds that cannot be used for operating assistance to FHWA for highway projects subject to the requirements of 49 U.S.C. 5307(b)(2).	Funds apportioned to the Governor under Section 5307 may be transferred to the Nonurbanized Formula Program (Section 5311).	FTA funds must be transferred to FHWA if they are to be used for highway purposes. Only funds in designated TMAs (urbanized areas with population 200,000 and greater) that cannot be used for operating assistance may be made available for highway projects.

Beginning in FY 2007, FTA is requiring flexed fund transfers to be in separate and identifiable grants in order to ensure the drawdown of flexed funds can be tracked and that liquidating cash can be secured from the FHWA to avoid deficiencies in the Formula and Bus Grants account. FHWA planning funds transferred to Consolidated Planning Grants (CPG) within FTA will be transferred separately from FHWA “flex fund” transfers and use the methodology established in FY 2006. CPG funds can only be combined with FTA’s FY 2006 or FY 2007 funds.

The following guidance was provided by FTA for transfers beginning in FY 2007:

- Beginning with 2007 highway flex fund transfers: You cannot mix flex funds with 1) earlier flex funds (those transferred in previously years) or 2) FTA funds of any year.

- Flexed funds transferred to the urbanized area program - 2007.45.95.(CX or SX).2 cannot be combined with FTA urbanized area program (Section 5307) funds coded: 2007.25.90.91.2 for any year.

- Flexed funds transferred to the non-urbanized area program - 2007.45.85.(CX or SX).2 cannot be combined with FTA non-urban area program (Section 5311) funds coded 2007.25.18.81.2 for any year.

- Flexed funds transferred to the elderly and persons with disabilities programs – 2007.65.(CX or SX).2 cannot be combined with FTA elderly and persons with disabilities funds coded 2007.25.16.00.2 for any year.

- CMAQ and STP can be in the same grants if transferred to the same program Section 5307 “95,” or Section 5310 “65,” or Section 5311 “85.”

- Flex funds transferred in FY 2006 (2006.25.90.(CX or SX).2 cannot be combined with flex funds transferred in FY 2007 (2007.45.95.CX or SX).2.

- FY 2004 and FY 2005 FTA or flex funding cannot be combined with FTA funds or flex funds of any year after FY 2005.

- All flexed funds transferred in FY 2007 must be in new grants with the new appropriation code 45 and section code 65 for elderly and disabled, 85 for non-urban formula, 95 for urban area formula or 55 for bus and bus related.

  Urbanized Area Formula Flex:
  2007.45.95.CX.2 (CMAQ)
  2007.45.95.SX.2 (STP)
  2007.45.95.EX.2 (Other)
  Example project #: AL-95-X001

  Non-urbanized Area Formula Flex:
  2007.45.85.CX.2 (CMAQ)
  2007.45.85.SX.2 (STP)
  2007.45.85.EX.2 (Other)
  Example project #: AL-85-X001

  Elderly / Disabled Flex:
  2007.45.65.CX.2 (CMAQ)
  2007.45.65.SX.2 (STP)
  2007.45.65.EX.2 (Other)
  Example project #: AL-65-X001

  Transfers to bus program:
  2007.45.55.EX.2
  Example project #: AL-55-0001

- FHWA planning funds transferred to FTA as CPG will be coded similar to FY 2006.

- CPG transferred in FY 2007 can be combined with FTA and/or FHWA FY 2006 or later funds.

- CPG funds transferred cannot be combined with funds transferred in FY 2005 or prior years.

- FY 2007 funds will be coded as 2007.25.81.MM.2 for metropolitan planning or 2007.25.81.SS.2 for statewide planning funds.

6. POOL FUND TRANSFERS AND TRANSFERS TO OTHER AGENCIES (OTHER THAN FEDERAL TRANSIT ADMINISTRATION)

The transportation pooled fund (TPF) program has existed for more than 20 years and is a popular means by which the states, commercial entities, and FHWA program offices can combine resources to achieve common research goals. Pooling resources reduces marginal costs, provides efficient use of taxpayer dollars, and provides greater benefits to participating interests compared to individual entities contracting on their own. The program developed through ad hoc processes until 1999 when FHWA led a workshop to "Reengineer the TPF Program." This led to development of a web site for managing solicitations, for participant pledging, and for TPF progress reporting. With many of the coordinating issues addressed and because of increasing use of the TPF program, awareness of other issues emerged including policy, fiscal, and collaboration tools.

In Florida, the program is generally administered through the department's research center, in central office. In accordance with the Transportation Pooled Fund accounting procedures established by FHWA, Office of the CFO in November 2007, transfers are no longer accomplished through the Federal Authorization Management System (FAMS) and transmitted to FHWA's Fiscal Management Information System (FMIS) through a traditional project authorization. The work program estimate should be set up with an allocation type 6 – transfer and the box item reduced accordingly. A transfer form will be completed by the Research Center staff in accordance with the information published on www.pooledfund.org for projects that the department has committed to participate in and submitted to the FAMO.

There are two FHWA forms for transferring funds to a lead agency. Form FHWA 1575 is used to transfer funds to a state that is a lead agency. Form FHWA 1576 is used to transfer funds to FHWA as the lead agency. Both forms are available from the www.pooledfund.org website.

Once the form is submitted to FAMO, it is checked for accuracy, maximization of the oldest fund, signed and processed for further handling to FHWA. The Florida Division reviews the request and submits it to Headquarters. Once processed, the FMIS team adjusts the account balance and limitation data accordingly. Each morning, FAMO performs reconciliation and will bypass a transaction through FAMS so that the record is processed in work program to be shown as authorized and as a use of funds on the Production Accomplishment Report (PAR).

Federal aid numbers assigned with route identifiers such as NPST (National Park Service Transfer) and USFW (United States Fish and Wildlife) have also been processed on a very limited basis to perform similar transactions in accordance with the Anti-deficiency Act. For information, please contact FAMO. This process requires a special tri-party agreement and District USDOT Secretary signature.

F. FEDERAL INDIRECT COSTS

The department has elected to state fund departmental indirect costs. Projects which would have otherwise been eligible for federal participation will have indirect generated to DIOH with an OH distribution area. All indirect estimates should be associated to the relevant federal aid project in the Federal Aid Management System (FAMS) to reflect total project cost.

G. INACTIVE FEDERAL PROJECTS

Title 23 Code of Federal Regulations (CFR) 630 Subpart A, Project Authorization and Agreements, requires a quarterly review of inactive projects and revision of federal funds to reflect the current cost estimate within 90 days of the review for all projects with no financial activity for 12 months or more.

The review of inactive projects is part of FHWA's financial integrity review and evaluation (FIRE) program. A report of the inactive projects, called the FIRE Report, is posted to the Office of Work Program and Budget's SharePoint site quarterly. The FHWA division office shall work with the state to determine the

validity of the amount obligated for each project. The FHWA will issue a notice of intent to de-obligate based on the review. The state shall be given an opportunity to respond before any action is taken to de-obligate projects. The FHWA shall not adjust obligations without a state's consent during the August Obligation Authority redistribution process, August 1st to September 30th.

The following information regarding the FIRE program for inactive projects can be found on the Office of Work Program and Budget's SharePoint site:

- The FIRE Process for the review of inactive projects (under Documents-Federal Aid Management).
- The FIRE report schedule outlining the activities and due dates (under Documents-Federal Aid Management).
- The FIRE report of inactive projects (under Applications/Reports-Work Program Applications-Federal Project Information).
- The notice of intent to de-obligate letters (under Documents-Federal Aid Management).

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PART IV - CHAPTER 3: FEDERAL STEWARDSHIP

A. FEDERAL HIGHWAY ADMINISTRATION OVERSIGHT PROGRAM

Under Section 106(c) of Title 23, U.S.C., the state may, for certain types of projects, assume the responsibilities of the United States Department of Transportation (USDOT) Secretary under this title for design, plans, specifications, estimates, contract awards, and inspections of projects, under certain conditions. This assumption of responsibilities Florida Department of Transportation (department) assumes is set forth in the Partnership Agreement between Federal Highway Administration (FHWA) and the department which addresses the administration of federal-aid highway projects exempt from FHWA oversight.

The Partnership Agreement (renamed "Stewardship and Oversight Agreement in 2015) provides for a risk-based approach where the department and FHWA agree on how the federal-aid highway program will be administered in Florida. The Stewardship and Oversight Agreement is the documentation of the delegations, under 23 U.S.C., Section 106, from direct federal oversight that are desired and accepted by both FHWA and the department. Notwithstanding the agreement, FHWA retains overall responsibility for all aspects of federal-aid programs and an agreement does not preclude FHWA's access to and review of a federal-aid project at any time and does not replace the provisions of Title 23, U.S.C.

The procedure for project selection is set forth in the Stewardship and Oversight Agreement. Annually, during the period from July through September, FHWA and the department will negotiate which new projects will be selected for "full oversight" by FHWA. FHWA Transportation Engineers will coordinate the project selection with their assigned department district office. The criteria for project selection are set forth in Section 1.3 of the procedure, "Selection of FHWA Oversight Projects."

FHWA will continue to be responsible for the oversight of applicable non-Title 23 U.S.C. requirements. All federally funded projects must comply with applicable non-Title 23 requirements. The requirements can be found in Section 1.4.4 "Non-Title 23 Responsibility" of the procedure.

B. USE OF FEDERAL FUNDS ON TOLLED ROADS, BRIDGES

The authority to toll new lanes on Interstates has been mainstreamed as an eligible activity under 23 U.S.C. 129 through MAP-21 § 1512 so long as the facility has the same number of toll-free lanes after construction as it did before (excluding HOV lanes and auxiliary lanes). The new statutory language of 23 U.S.C. 129(a) makes a number of significant changes to the program, including tolling eligibilities; requirements for tolling agreements; and requiring audits to ensure compliance with requirements on the use of toll revenues.

Tolling for initial construction of highways, bridges, and tunnels on the interstate system is now permitted under Section 129(a)(1)(A). Prior to MAP-21, such authority was limited to non-interstate facilities under Section 129. This change effectively mainstreams the interstate system construction toll pilot program.

Highway funds may be obligated on toll roads, bridges, tunnels and ferries as provided for in Title 23 U.S.C. (Section 129). Under MAP-21, Section 129 agreements will no longer be statutorily required. For toll facilities that have executed Section 129 tolling agreements prior to October 1, 2012, the terms of those agreements will continue in force.

The purpose of the Section 129 agreement is to provide that all toll revenues received from operation of the toll facility will be used first for debt service, for reasonable return on investment of any private person financing a project, and for the costs necessary for the proper operation and maintenance of the toll facility, including reconstruction, resurfacing, restoration and rehabilitation. If the state or local public authority certifies annually that the toll facility is being adequately maintained, any toll revenues in excess

of amounts required above may be used for any purpose for which federal funds may be obligated under Title 23 U.S.C.

1. VALUE PRICING PILOT PROGRAM

The value pricing pilot program (VPPP) was first authorized under the Section 1012(b)(8) of the Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA), and was subsequently amended under other laws, most recently in Section 1604(a) of SAFETEA-LU. MAP-21 does not make any changes to this program. While no additional funds are authorized after federal fiscal year 2012 for the discretionary grant component of this program, FHWA's ability to enter into cooperative agreements for tolling projects under the VPPP will continue in force. Of the 15 slots authorized for this program, seven (including Florida) have been permanently reserved for states that have executed tolling cooperative agreements under the VPPP.

A number of congestion pricing strategies, including HOV to HOT conversion and the construction of priced express lanes, can now be accommodated under the Section 129 general tolling program and the Section 166 HOV/HOT lanes program. FHWA prefers that the two mainstream programs be used where possible as opposed to the pilot programs. As a result, requests for tolling authority under the VPPP will be limited to situations that cannot be accommodated under the mainstream tolling programs, such as the pricing of existing toll-free facilities without substantial reconstruction of those facilities.

2. COMPLIANCE AUDITS

Section 1512 of MAP-21 extends audit requirements for facilities tolled under Section 129 or Section 166, specifying that such audits be conducted annually and establishing the authority of the USDOT Secretary to require that toll collection be discontinued if a public authority is found to be in noncompliance. (23 U.S.C. 129(a)(3)) FHWA division offices will be responsible for receiving the annual audits from the tolling operators and ensuring compliance with the statutory requirements. These audit requirements will be furthered addressed in forthcoming guidance.

3. TOLLING MEMORANDUM OF UNDERSTANDING

Although tolling agreements are no longer required under the mainstream tolling programs, state departments of transportation (or other public agencies with responsibilities for toll facilities) may wish to enter into a memorandum of understanding (MOU) with their FHWA division offices, particularly in light of the new requirements for audits and the potential consequences of noncompliance (including the discontinuation of toll collection). Suggested elements of the MOU could include establishing the eligibility for tolling a federal-aid highway facility under Section 129 and outlining how the statutory requirements regarding the use of toll revenues, audits, and other federal requirements will be met. A sample template for a tolling MOU is provided by FHWA:
http://www.fhwa.dot.gov/map21/guidance/guidetoll.cfm

It is recommended that division offices consult with the Office of Innovative Program Delivery in developing tolling MOUs, in order to ensure that tolling program requirements and eligibilities are clearly understood by all parties.

C. FINANCIAL PLANS FOR MAJOR FEDERAL PROJECTS

MAP-21 requires FHWA oversight and financial reporting on MAJOR PROJECTS that are $500 million or more. The FHWA also has the discretion to designate a project with a total cost of less than $500 million as a Major Project. The FHWA may choose to do so in situations where the projects require a substantial portion of the State Transportation Agency (STA)'s program resources; have a high level of public or

congressional interest; are unusually complex; have extraordinary implications for the national transportation system; or are likely to exceed $500 million in total cost.

Project Finance, Office of the Comptroller is responsible for coordinating all of the Department's Major Project Financial Plans, including Initial Financial Plans and Annual Updates. Project managers should contact the Project Finance Office as soon as it is determined that a project will meet (or is near) the $500 million threshold. In determining the $500 million threshold, costs for all phases (past and future) of the project are considered.

A "project" would generally be defined as that work described in the environmental document with independent marginal utility between logical termini. A project could comprise several segments, and each segment could be constructed by one or more construction contracts. For the purposes of determining whether the project costs exceed $500 million, FHWA will look at the total cost estimate for the project limits as set forth in the ROD or final environmental determination.

A Financial Plan is a comprehensive document which reflects the cost and revenue structure of a project and provides a reasonable assurance that there will be sufficient financial resources available to implement and complete the project as planned. Identified funding shortfalls should be highlighted along with proposed resource solutions. The Financial Plan is designed primarily for use by the USDOT to assist the USDOT in oversight responsibilities mandated by federal law.

In essence, a Financial Plan provides a description of how a project will be implemented over time by identifying project costs and the financial resources to be utilized in meeting those costs. The plan should clearly explain the assumptions about both cost and revenue upon which the plan is based. In addition, the annual updates to the plan will enable decision makers to track the financial progress of the project over time by highlighting significant deviations from the Initial Financial Plan and the subsequent annual updates and explaining the mitigating actions taken to adjust for those deviations.

USDOT's Financial Plan Guidance for Major Projects presents an outline for the "Initial Financial Plan" and for the "annual updates" and is available at http://www.fhwa.dot.gov/ipd/project_delivery/resources/financial_plans/guidance.htm. Recipients of federal financial assistance for projects with a total cost of between $100 million and up to $500 million are required to prepare an annual financial plan. FHWA will not approve these financial plans but they will be subject to review upon request.

The Major Project designation as determined by FHWA may extend beyond the adopted work program.

The District will identify all known work items associated with the project and will provide them to the OOC Project Finance Office. The use of Item Group Identifiers are encouraged.

The surface transportation act, Moving Ahead for Progress in the 21st Century (MAP-21) (Pub. L. 112-141) was passed in 2012. Changes to the requirements for a Financial Plan include a phasing plan when there are insufficient financial resources to complete the entire project and an assessment of a public-private partnership to deliver the project. These changes are contained in Section 1503(a)(4) of MAP 21, which amends 23 U.S.C. 106(h). With these amendments, Interim Guidance for financial plans took effect October 2012 and addressed two areas: 1) an annual financial plan, including a phasing plan when applicable, and 2) a required P3 assessment section:

1. PHASING PLAN

When applicable, a phasing plan submitted to FHWA for approval under 23 U.S.C. 106(h)(3)(C) should include the following:

- A description of each phase, including scope, cost estimate, and schedule, as well as a completion date for the entire project. All cost estimate reviews will evaluate the cost estimate for each of the proposed phases to be identified in the Financial Plan.
- Documentation that each phase represents a portion of the project that can be opened to the public and that such portion can be effectively operated without any other phase being completed.

- Demonstration that funding has been identified and committed for the entire phase when construction funding for any portion of that phase is identified in the approved state transportation improvement program (STIP) at the time of the Financial Plan submittal.

- A discussion of how the phasing of the project is consistent with the NEPA decision document.

Operational Independence and Non-Concurrent Construction (OINCC) requests after October 1st will only be approved by FHWA for major projects with subsequent phases under construction 20 or more years after the initial construction project begins. This determination will be made in accordance with existing OINCC guidance. For all other projects, the Financial Plan should include a phasing plan to address operational independent phases of construction.

2. P3 ASSESSMENT

To implement 23 U.S.C. 106(h)(3)(D), FHWA will approve a Financial Plan only if an assessment of the appropriateness of a public-private partnership to deliver the project is included.

To support the preparation of this assessment, beginning after October 1st, all cost estimate reviews that are conducted prior to the issuance of the NEPA Decision Document will include a component to analyze the allocation of risk with respect to delivering the project through a public-private partnership procurement.

The assessment in the Financial Plan is expected to be brief and should include the following:

- Documentation of the results of the risk allocation analysis, if completed during the cost estimate review conducted prior to issuance of the NEPA Decision Document

- A discussion of whether a public-private partnership or traditional procurement could more effectively leverage the revenue stream for the project, including the available debt capacity and cost of capital for both the public and private sector

- A discussion of the current state-level legislative authorizations for public-private partnerships, including legislative authorizations regarding public sector debt capacity

- A concluding statement regarding the appropriateness of a public-private partnership to deliver the project

D. VALUE ENGINEERING ANALYSIS

Value Engineering (VE) is a systematic process of project review and analysis conducted during the concept and design phases by a multi-disciplined team not involved in the project. The process is to provide recommendations for:

- Providing the needed functions safely, reliably, and at the lowest overall cost

- Improving the value and quality of the project

- Reducing the time to complete the project

States are no longer required to provide a value engineering analysis or other cost-reduction analysis for Design-Build contract delivery.

See Procedure No.: 625-030-002, Value Engineering Program, for more detail.

Section 1503(a)(3) of MAP-21 essentially doubled the thresholds for the total cost of projects requiring a VE analysis. VE analyses are now required for:

- Projects on the National Highway System (NHS) receiving federal assistance with an estimated total cost of $50,000,000 or more; and

- Bridge projects on the NHS receiving federal assistance with an estimated total cost of $40,000,000 or more.

- Any other project designated by the USDOT Secretary

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PART IV - CHAPTER 4: OTHER FEDERAL PROGRAM CHARACTERISTICS

A. USING FEDERAL FUNDS FOR EARLY STAGES OF A PROJECT (PD&E, PE AND/OR R/W) BUT NOT CONSTRUCTION

Title 23 U.S.C. Section 145 provides the statutory authority that allows State Transportation Agencies (STA) to select projects for the federal-aid highway program. If a STA uses federal funds for early phases of project development (preliminary engineering, environmental documentation, right of way (R/W), etc.) there is no requirement to use federal funds for construction. If the STA chooses to use state funds for construction, federal requirements such as the use of form "FHWA-1273 Required Contract Provisions Federal-aid Construction Contracts" would not be required.

In light of the proposed Florida Future Corridor Planning and Screening Process (FCPSP) and the Florida Department of Transportation (department) Executive Board's proposal to use state procedures and funds to acquire right of way, the department requested an opinion by Federal Highway Administration (FHWA) as to whether the use of federal-aid funds for National Environmental Policy Act (NEPA) activities triggers the application of the Uniform Act for right of way acquisition purposes. The FHWA Chief Counsel issued a legal opinion dated April 26, 2007 (attached below) which reaffirms FHWA's previous position that the use of federal funds for NEPA activities does trigger the application of the Uniform Act. The legal opinion provides that when federal-aid funds participate in NEPA activities and FHWA issues a NEPA finding, the state is obligated to comply with the Uniform Act and all other federal requirements (environmental mitigation and FHWA 1273 construction provisions such as Davis-Bacon and Buy America, if federal funds are used for construction).

The legal opinion provides that the Uniform Act would *not* apply if the *only* federal expenditures on a project relate to planning level feasibility studies or other expenditures typically associated with planning level decision-making. Based on the FCPSP's Concept, Feasibility, and ETDM/PD&E stages of activity, the legal opinion provides that (based on the *Future Corridors Planning Screening Process Implementation Guidance*) the FCPSP Concept and Feasibility stages would be considered planning level activities. Additionally, the legal opinion provides that a state may withdraw or "defederalize" a project under certain circumstances at early stages of project development provided there is repayment of all federal funds previously received for the project and provided FHWA has not issued a NEPA finding (i.e., a Finding of No Significant Impact or Record of Decision, or the project does not involve significant environmental impacts and is classified as a Categorical Exclusion under 23 CFR 771).

It is important to note that the department inquiry and the FHWA response dealt with the issue of Uniform Act applicability for right of way acquisition subsequent to FHWA NEPA approval. The Uniform Act also applies to all state, local, and privately funded early right of way acquisition (i.e., pre-FHWA NEPA approval) in advance of projects that will utilize federal funds in the NEPA, right of way, preliminary and final design, or construction project phases (see 49 CFR 24.101(b), 24.2(22), and Uniform Act, Sec. 207). Local governments and others should work closely with their department Local Agency Program and Right of Way Offices prior to undertaking early right of way acquisition in advance of federal-aid projects.

If the STA has used federal funds for preliminary engineering or environmental phases of the project development, and now wants to use state funds for construction, this would not free them from compliance with federal environmental requirements, such as NEPA and Section 4(f). However, if the STA was in compliance with federal environmental law and was choosing to use state funds for construction for another reason, that is their right under 23 U.S.C. 145, and, if they do so, compliance with federal requirements for construction projects, such as the form FHWA-1273 requirements would not be required.

B. FEDERAL AND STATE FUNDED PROJECTS UNDER A SINGLE CONTRACT

There are instances where multiple financial projects have been tied (or strung) together under a single contract for bidding purposes. In some instances both federally funded and state funded projects have been tied together.

It is important to understand that, when this takes place, the entire contract becomes federalized, including the 100% state funded financial project which was tied to the federally funded financial project and, as a result, must comply with applicable federal laws, rules and regulations.

Many of the federal requirements described in the Code of Federal Regulations pertain to contract provisions. When referring to a federal-aid project, the regulations intend for the work described in the proposed contract to constitute the "federal-aid project" if any federal funds are financing the contract. This is without regard to how the individual financial projects are set up and funded in the department's adopted work program.

Generally speaking, FHWA's construction contracting requirements apply when the division office authorizes traditional federal-aid funding, loan or credit assistance for a specific construction contract. The requirements will apply to a specific contract regardless of the level of federal investment. Federal construction requirements under Title 23 and its implementing regulations apply to the specific activity or contract carried out with federal funds, whether those funds are in the form of a grant or TIFIA credit assistance.

C. PROJECTS WITH MINIMAL SHARES OF FEDERAL FUNDS

FHWA encourages the utilization of the highest permissible percentage of federal-aid funds on projects, but they will approve a lesser federal aid percentage when justified and determined to be in the traveling public's best interest. The FHWA Florida Division Office relies on the current provision of 23 CFR 630.106(g) which states:

"The state may contribute more than the normal non-federal share of Title 23, U.S.C. projects. In general, financing proposals that result in only minimal amounts of federal funds in projects should be avoided unless they are based on sound project management decisions."

D. DISTRICTWIDE AND GENERAL CONSULTANT CONTRACTS

This guidance pertains to FHWA's position relative to the use of area wide, district wide, program wide, general and other similar types of grouped work consultant contracts. These contracts generally involve multiple tasks, multiple projects/locations with similar scopes, or specific task assignments. Generally, federal funds may only be used when the scope of work, method of payment, and a detailed cost estimate including labor costs are clearly defined.

1. TASK ASSIGNMENT CONTRACTS

As required by 23 CFR Section 172, FHWA is required to approve the procedures to hire consultants using federal-aid funds. On December 22, 2006, FHWA issued a letter approving the department's Quality Assurance Review (QAR) process for Consultant Agreements and has agreed to classify all types of districtwide consultant agreements as exempt from project by project oversight.

- FHWA accepted the increased cost limits for districtwide miscellaneous minor professional services contracts from $750,000 to $1.5 million

- Increased the limit per task assignment from $150,000 to $300,000

- Increased the contract term from two years to five years

This approval will be retroactive and any existing districtwide consultant contracts (except planning) that were previously oversight may be modified to state administered. The following comment should be used when submitting the authorization request,

> "Due to FHWA approval of the districtwide consultant selection and quality assurance review process this project is being changed from oversight to state administered."

For new contracts:

- The department will provide the FHWA transportation engineer with a copy of the executed contract with scope, staff hours (if available) and method of compensation.

- Individual executed task work orders are no longer required for submittal to or approval from the FHWA Transportation Engineer.

- FHWA will continue to retain project by project oversight of planning contracts following the process outlined in their July 12, 2006, letter.

The Quality Assurance Monitoring Plan provides for the review of every district on a 2-year cycle. FHWA may elect to participate in these reviews, or conduct independent evaluations. An annual summary report of the reviews performed, including findings, positive or negative, will be submitted to the FHWA with recommendations and actions on how to correct any deficiencies noted. Additional details on the QAR process for review of these contracts can be obtained from the Procurement Office responsible for the quality assurance reviews in accordance with the department's Quality Assurance (QA) and Quality Control (QC) Policy, Topic No.: 001-260-001-a.

Procedure No.: 375-040-020, "Procurement of Commodities and Contractual Services" which is currently in the online procedure review process has also been modified to include the following statement:

> "The procurement unit may proceed with the contract vendor hiring process up to, but not including, contract execution prior to being provided a copy of the executed FHWA Electronic Signature Document (ESD). If the contract is executed prior to receipt of an approved ESD, services provided prior to approval will not be federally funded."

Procedure No.: 375-030-002, "Acquisition of Professional Services" has also been updated by the Procurement Office to incorporate the FHWA approved changes.

Professional services provided to the department on a continuing basis with no time limitation except that the contract will provide a termination clause. Continuing contracts for professional services will be restricted in use to services for projects which construction costs do not exceed $1,000,000 each, or for each study activity when the fee for such professional service does not exceed $50,000, or for work of a specified nature as outlined in the contract**.** Continuing contracts using federal-aid funds must be limited in duration to a period not to exceed two years, unless otherwise approved by the appropriate federal agency. Without the approval of the Secretary of Transportation, the period for a continuing contract may not exceed five years and total fee may not exceed $5,000,000.

2. GENERAL CONSULTANTS

FHWA will not participate in General Consultant contracts.

E. REPAYMENT OF FEDERAL FUNDS FOR PRELIMINARY ENGINEERING AND/OR RIGHT OF WAY IF CONSTRUCTION IS NOT TO BE COMPLETED

Title 23, Chapter 1, Section 630.112(c), Code of Federal Regulations, states:

- Project for acquisition of rights-of-way. In the event that actual construction of a road on this Right of Way is not undertaken by the close of the twentieth federal fiscal year following the federal fiscal year in which the project is authorized, the state transportation department will repay to the FHWA the sum or sums of federal funds paid to the transportation department under the terms of the agreement. The state may request a time extension beyond the 20-year limit with no repayment of federal funds, and the FHWA may approve this request if it is considered reasonable.

- Preliminary engineering project. In the event that Right of Way acquisition for, or actual construction of, the road for which this preliminary engineering is undertaken is not started by the close of the tenth federal fiscal year following the federal fiscal year in which the project is authorized, the state transportation department will repay to the FHWA the sum or sums of federal funds paid to the transportation department under the terms of the agreement. The state may request a time extension for any preliminary engineering project beyond the 10-year limit with no repayment of federal funds, and the FHWA may approve this request if it is considered reasonable.

FHWA's April, 26, 2011, directive entitled, "Repayment of Preliminary Engineering Cost" clarifies:

The FHWA has a longstanding practice of not mandating repayment of PE funds when project termination is directly related to compliance with another federal law. For instance, repayment of reimbursed PE costs would not be required if the FHWA and a state determine that a project should not be advanced as a result of findings during the National Environmental Policy Act (NEPA) process. To do otherwise could skew the NEPA process by causing a state to favor a "build" alternative to avoid repaying PE costs incurred during the NEPA review.

Examples of factors for the division office to consider for granting time extensions include:

- Litigation resulting in delays to project development.

- Complex project consultations involving federal, state, local agencies, or sovereign nations.

- Where the public involvement process has altered the state's plan for satisfying the project's purpose and need.

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PART IV - CHAPTER 5: STATEWIDE AND LOCAL TRANSPORTATION IMPROVEMENT PROGRAMS (STIP AND TIP)

A. REQUIREMENTS TO OBTAIN APPROVED FEDERAL AUTHORIZATION

Before a federal authorization can be obtained, the project must be properly listed in the federally mandated four-year state transportation improvement program (STIP) and, if the project is located within a metropolitan planning organization's (MPO's) boundaries, it must also be listed in the first four years of the MPO's five-year transportation improvement program (TIP).

Generally, a properly filed Federal Authorization Request (FAR) will be approved by Federal Highway Administration (FHWA) within two weeks of submission to FHWA by the Federal Aid Management Office (FAMO). However, if the project is not properly listed in the STIP/TIP, then a TIP amendment requiring MPO board action may be required to obtain the federal authorization, which may delay commencement of work by weeks, if not months.

A STIP amendment generally needs to accompany the TIP amendment. STIP amendments are processed monthly. Both the federal STIP and MPO TIPs follow the same guidelines for amendments to the plans, as outlined in later sections of these instructions.

Prior to submitting a FAR to the district federal aid coordinator, district staff (e.g. in the Offices of Planning, Work Program, Estimates, Right of Way) should verify that the project is properly listed in the STIP/TIP. This verification should take place at least two months in advance of the district's submission of the project authorization request to the district federal aid coordinator to ensure adequate time to process a STIP/TIP amendment if required. For advanced warning on projects that may need TIP/STIP amendments the following reporting tool has been developed:
http://webapp02.dot.state.fl.us/fmsupportapps/federalaid/stip.aspx

If a project falls within the STIP/TIP amendment criteria, district planning staff will notify the MPO of the need to process a TIP amendment and will notify the Office of Policy Planning (OPP) of the need to process a STIP amendment. The OPP will review all TIP amendments for accuracy and for compliance with all applicable criteria prior to submitting them to the FAMO for electronic transmission to FHWA along with the accompanying STIP amendment.

B. STATE TRANSPORTATION IMPROVEMENT PROGRAM (STIP)

The STIP is a federally mandated document which, as a component of this plan, must include a listing of projects planned with federal participation in the next four federal fiscal years. Although the STIP is approved annually by FHWA at the beginning of each federal fiscal year (October 1st), FHWA allows the Florida Department of Transportation (department) to report these four years on a state federal fiscal year basis (July 1st thru June 30th). This is because the report is based upon the federally funded projects listed in the first four years of department's adopted five-year work program.

Therefore, in order for a project to be listed in the approved STIP, it must first be included in the first four years of the adopted five-year work program. The project must either be gamed into the tentative work program during the annual tentative work program development cycle, or it must be amended into the work program after it has been adopted on July 1st of each state fiscal year.

1. Regionally Significant Projects (not federally funded):

Federal law requires all regionally significant transportation projects for which an FHWA or FTA approval is required be included in the TIP/STIP, whether or not the projects are to be funded with

Title 23, U.S.C., or Federal Transit Act funds (e.g., addition of an interchange to the interstate system with state, local, and/or private funds, demonstration projects not funded under Title 23, U.S.C., or the Federal Transit Act, etc.). FHWA or FTA approval in this context is not limited to obtaining federal approval to participate in the cost of the project, but extends to FHWA or FTA approval of environmental and/or permitting documents as well.

The STIP should, for information purposes, include all regionally significant transportation projects proposed to be funded with federal funds other than those administered by the FHWA or the FTA. It should also include, for information purposes, if appropriate and cited in any TIPs, all regionally significant projects, to be funded with non-federal funds (23 C.F.R. 450.216(h)).

2. REGIONALLY SIGNIFICANT PROJECT DEFINITION (23 CFR 450.104 AND 40 CFR 93.101):

A transportation project (other than an air quality exempt project, and projects that may be grouped in the TIP/STIP pursuant to 23 C.F.R. 450.216 and 23 C.F.R. 450.324) that is on a facility which serves regional transportation needs (such as access to and from the area outside of the region, major activity centers in the region, major planned developments such as new retail malls, sports complexes, etc., or transportation terminals as well as most terminals themselves) and would normally be included in the modeling of a metropolitan area's transportation network, including at a minimum all principal arterial highways and all fixed guideway transit facilities that offer an alternative to regional highway travel.

Additions in any of the four years of the TIP/STIP of regionally significant projects (for which an FHWA or FTA approval is required) will require a TIP/STIP amendment.

3. Full Project Cost in STIP

The total cost of a typical transportation project will include costs for discrete "phases" of work, generally accomplished in a chronological sequence, as follows:

1. Project Development and Environmental (PD&E)
2. Preliminary Engineering (Design plans and specifications)
3. Right of Way Acquisition
4. Construction

The time span necessary to accomplish all phases of a project from PD&E to Construction can be many years and generally cannot be displayed in the four years of the STIP. Some phases may have already been completed prior to the four year STIP "window" and some phases may extend well beyond the four years of the STIP.

According to federal planning regulations, projects in metropolitan planning areas must show full project costs in the MPO Long Range Metropolitan Transportation Plan. Projects in non-MPO areas do not need to be specifically identified or have their costs shown in the Statewide Long Range Transportation Plan, but the projects do need to be consistent with the objectives of that plan.

It is FHWA's preference for full project costs to also be shown in the STIP and MPO TIPs. However, FHWA's guidance document issued 2-9-2011 states that "for projects scheduled to start within the existing STIP/TIP years, if the majority of the work will be conducted in years beyond the STIP/TIP [four year] time frame, only the project costs within the next four years must be in the STIP/TIP."

It is FDOT's intention to accommodate FHWA's preference for full project costs to be shown in the STIP, to the extent that the information is available in FDOT's Work Program database. Project phases commenced by FDOT in years prior to the four years of the STIP will automatically be included in the STIP.

FDOT lists in the Work Program database five years of project phases for projects not on the Florida

Strategic Intermodal System, and ten years of project phases for projects on the Strategic Intermodal System, so all of these phases will be listed in the annual STIP document.

Public Private Partnership (P3) projects in the Work Program database which have project phases in the four years of the STIP and also have deferred payments to the contractor beyond the four year time frame will show all future year payments in the STIP. P3 projects which have project phases in the four years of the STIP and which will be procured via concessionaire agreements to operate and maintain the facilities for long periods (30-40 years) will also show all planned future payments in the STIP.

C. MPO'S TRANSPORTATION IMPROVEMENT PROGRAM (TIP)

Each MPO in the state is required by Florida Statutes to have a TIP which, as a component of this plan, must include a listing of projects planned for the next five federal fiscal years. MPOs are also required to have a similar TIP for federally funded projects for the next four years. Therefore, each MPO annually publishes a single five-year document to satisfy both state and federal requirements.

D. PROJECTS ADMINISTERED BY FEDERAL TRANSIT ADMINISTRATION (FTA)

Federal law requires virtually identical treatment of highway and bridge projects administered by FHWA and transit projects administered by FTA relative to TIP/STIP requirements. Both federal agencies require projects to be included in the currently approved STIP and applicable TIP before highway and bridge projects are authorized with FHWA or before transit grants are approved by FTA.

MAP-21 FTA Section 5339 replaces Section 5309 (Bus and Bus Facilities, and New Starts). Funds are eligible to be transferred by the State to supplement urban and rural formula grant programs (5307 and 5311, respectively). Projects must be listed in the current approved STIP in order to be funded. To ensure all transit projects funded with FTA funds are included in the State Transportation Improvement Plan (STIP), projects in the Metropolitan Planning Organization Transportation Improvement Plan (MPO/TIP) will be programmed in the department's five-year work program whether or not a state matching share is involved. Projects listed in the department's five-year work program with a status of less than 070 (contract executed), must roll forward and appear in the new STIP submitted to FTA before they will process the grants.

In July of each year, the work program staff will provide the district transit staff a list of all FTA nonbudgeted projects for that year. The transit staff will be responsible for contacting the transit agencies throughout the year to confirm when the grants have been received. The transit staff will then inform the district work program staff and the status of the project can be adjusted to 070 (Contract Executed). With this status change, the project will not roll forward. As many of these projects have multiple years programmed on each project, the status will be in place for the entire item. If multiple years exist, the status should be set to 010 after July 1st each new year and not be re-set to status 070 until the grant for that fiscal year has been received. At such time that a particular grant should have rolled forward and the status was 070 or greater, the work program staff will have to manually roll the project forward.

When federal FTA discretionary funds are awarded that are non-budgeted (do not require a state match), these funds must still be programmed in the department's five year work program to align with the MPO's TIP and provide a STIP reference when the local agency eventually files a grant application with FTA. These discretionary projects should be programmed using program 16, even though they may not be a capital project. The FTA fund code must be used and may include LF (local funds) if the discretionary grant requires a local match.

E. AMENDING THE STIP AND TIP

1. HOW TO DETERMINE IF A TIP/STIP AMENDMENT IS REQUIRED

Not all changes to the TIP/STIP require state review and federal approval of the changes. Changes requiring formal state review and federal approval are referred to as "TIP/STIP amendments", and are based upon criteria established under federal law. All TIP/STIP amendment requests should be reviewed by a single point of contact within the district to ensure that the information is accurate and complete before submittal to the MPO Liaison in the OPP by the 10th of each month. The TIP/STIP amendment requests will be reviewed by the OPP to ensure they are complete, prior to submittal to the FAMO by the 15th of each month. The FAMO will review the TIP/STIP for financial constraint and submit to FHWA and/or FTA for their review and approval.

TIP/STIP will require formal amendments based on the following criteria:

- The change adds new individual projects to the current TIP/STIP.
- The change affects air quality conformity.
- The change adversely impacts financial constraint, including cost estimate increases.
- The change results in major scope changes; and/or.
- The change removes or deletes an individually listed project from the TIP/STIP.

Caution: Please note that, although advancements from year two, three, or four of the TIP/STIP into year one do not require a formal TIP/STIP amendment, a work program Amendment will be required for such advancements (assuming the dollar thresholds are exceeded) along with all required notifications (including to MPOs). Similarly, deferrals from year one to year two, three, or four of the TIP/STIP do not require a formal TIP/STIP amendment, but a work program Amendment will be required (if dollar thresholds are exceeded) along with required notifications (including to MPO).

2. APPLICATION OF MINIMUM FEDERAL CRITERIA

a. Adding New Individual Projects to the Current TIP/STIP:

- The TIP/STIP covers a period of four years. Any federally funded project listed in any of the years of the TIP/STIP may be advanced or deferred within those years without requiring a TIP/STIP amendment.
- Any new project added to any of the years of the TIP/STIP will require a TIP/STIP amendment, if any federal funding is involved.
- If a project is listed in the first four years of the work program with state funds only, and the funding is subsequently changed to add federal funds, then this fund change will not require a TIP/STIP amendment.

b. Changes Affecting Air Quality Conformity:

If the MPO is in a designated maintenance area of the state, a determination must be made as to the effect of the change on air quality conformity. Any additions or deletions of projects, and any major scope changes to projects already in the TIP/STIP must consider the effect on air quality conformity.

If the project is exempt from air quality conformity as defined by 40 C.F.R. 93.126, the TIP/STIP amendment transmittal letter must state that it is exempt.

If the project is not exempt, a new conformity determination must be made by the MPO before the TIP/STIP amendment can be approved. The TIP/STIP amendment transmittal letter must state that conformity has been re-determined.

A project is seen as affecting air quality conformity when it includes additions and modifications to the transportation network that the transportation plan reports will be operational in specific horizon years (40 C.F.R. 93.106).

If a project affecting air quality is advanced or deferred such that the change crosses a designated horizon year, air quality must be re-determined.

If a project affecting a milestone (an emissions level and the date on which it is required to be achieved) is added or deleted, air quality conformity must be re-determined.

For further information regarding air quality conformity determinations, please contact the OPP.

c. Adverse Impacts to Financial Constraint, Including Cost Estimate Increases:

Federal law requires that the TIP/STIP must be financially constrained to the amount of funds that have been projected to be available, by year, over the four year period of the approved TIP/STIP. This means that the cost of new projects and cost increases on existing projects must be offset by decreases in other areas of the TIP/STIP to maintain the financial constraints upon which the TIP/STIP was originally developed, unless new sources of funds are identified.

If new projects are added to the TIP/STIP, the TIP/STIP amendment transmittal letter must identify the source of funds for the new project. Examples include, but are not limited to, one or more of the following:

- The funds are coming from a contingency box item already included in the appropriate year of the work program. The TIP/STIP amendment should show the reduction in the contingency box item as well as the cost of the new project addition.

- The funds are coming from the deletion or deferral of another individual project in the appropriate year of the TIP/STIP. The TIP/STIP amendment should identify the specific project being deleted or deferred as well as the new project addition.

- The funds are coming from reduction(s) of cost estimate(s) to other project(s) already included in the appropriate year of the TIP/STIP. The TIP/STIP amendment should identify the specific project(s) where estimated costs are being reduced.

- The funds are coming from new appropriations or allocations of federal funds that were not available, or reasonably expected to be available, when the TIP/STIP was originally developed. The TIP/STIP amendment should identify the source and amount of the new funds.

If the estimated cost increases on an existing project already included in the TIP/STIP, then a TIP/STIP amendment is not required to make this cost adjustment, as long as all of the following statements are true:

- The funds financing this cost increase did not come from the deletion of another project already included in the TIP/STIP (or deferral of another project beyond the four years of the TIP/STIP).

- The TIP/STIP remains financially constrained after the cost adjustment.

- The cost increase did not arise as a result of a major scope change to the project, as defined below.

- The cost increase does not represent more than 20% of the total project cost of all the phases on the federal authorization, or $2 million, whichever is greater.

If the cost increase represents more than 20% of the total cost of all the phases on the FAR, and such cost increase is more than $2 million, then a TIP/STIP amendment will be required.

The following table provides examples of how these criteria are applied:

Cost Estimate in STIP	Latest Estimate in Work Program	Increase in Cost	Percentage Increase	Increase Exceed 20%?	Increase Exceed $2 million?	STIP Amendment Required?
$ 1,000,000	$ 1,250,000	$ 250,000	25.0%	Yes	No	No
$ 1,000,000	$ 3,200,000	$2,200,000	220.0%	Yes	Yes	Yes
$ 5,000,000	$ 6,500,000	$1,500,000	30.0%	Yes	No	No
$ 5,000,000	$ 7,500,000	$2,500,000	50.0%	Yes	Yes	Yes
$10,000,000	$ 12,000,000	$2,000,000	20.0%	No	No	No
$10,000,000	$ 15,000,000	$5,000,000	50.0%	Yes	Yes	Yes
$15,000,000	$ 17,500,000	$2,500,000	16.7%	No	Yes	No
$15,000,000	$ 18,500,000	$3,500,000	23.3%	Yes	Yes	Yes

d. Major Scope Changes

A TIP/STIP amendment is required if there are major changes to the scope of a project. In this context a major scope change is defined to be one that changes or significantly expands the basic attributes or nature of a project (design concept). Examples include, but are not limited to, the following:

- Any change that would materially affect air quality conformity determinations.

- Any material changes to project limits.

- Any material changes to capacity (e.g. adding additional lanes).

- Any material changes to type of work (e.g. adding bridge repairs to resurfacing job, or changing modes from highway to transit).

- Any scope change that is significant enough to affect the priority order of projects in the TIP/STIP, or to affect consistency with the MPO's Long Range Transportation Plan (LRTP).

e. Deleting an Individually Listed Project From the TIP/STIP:

The deletion of any individually listed project in the four years of the TIP/STIP requires a TIP/STIP amendment, including a statement of its effect on air quality conformity, if applicable.

3. CONTENTS OF TIP/STIP AMENDMENT PACKAGE

TIP Amendment packages must include specific documents and provide specific information regarding projects changes to be considered complete. The accompanying STIP amendment (prepared by the FAMO) will draw upon the contents of individual TIP amendments as the basis for its preparation.

TIP Amendments must contain the following information for new projects:

- Project name, limits, a detailed project description and type of work
- Financial Project Number (FPN)
- Federal Aid Project Number, if assigned
- Department work program fund code
- Estimated cost
- Phase
- State fiscal year in which work is to commence
- Reason for the proposed change
- Effect of the change to financial constraints
- Effect of the change on air quality conformity, if applicable
- Consistency of the change with the goals of the MPO's LRTP
- Whether a STIP Amendment is required
- Documentation of MPO Board approval of the TIP amendment (or staff approval if approval authority has been delegated to MPO staff, and documentation of the delegation of approval authority)
- Confirmation of coordination/consultation between district and MPO regarding the change
- Signed document from district staff attesting that the TIP amendment package has been reviewed and found to be in compliance with applicable laws and procedures
- Signed document (by MPO Chair or designee) attesting that the TIP amendment was developed and approved in compliance with applicable laws and procedures
- A copy of the amended TIP page showing the change
- For all TIP amendments involving FTA funding, include the FTA Funding Section Number and Description, i.e., Section 5307 Large Urban Cities Transit Improvements. Including this information on the Item Segment Definition (WP01) screen as an "xdesc" field will ensure that the reference is automatically incorporated. See the Freight, Logistics and Passenger Operations (FLP) chapter, Transit section of these instructions for specific programming guidelines

For existing projects, include the same information as 1-18 above, and:

- As listed in the current TIP (include TIP page number)

- As proposed to be amended (include new TIP page number)

- The page number in the existing STIP where it may be found

To assist MPO, district/Turnpike Enterprise staff in the preparation of TIP Amendment packages, a TIP amendment form has been developed and is available in electronic form from the OPP. This form is designed to function as a checklist to ensure all applicable criteria are met, and the amendment package is accurate and complete when submitted to the OPP for review.

District/Turnpike Enterprise staff will be notified via email when TIP/STIP amendment(s) are approved by FHWA, and approved amendment packages will be posted to the FAMO's Internet site.

4. ROUTING OF STIP AMENDMENT REQUESTS

a. STIP Amendment requests within MPO boundaries

STIP Amendment requests within MPO boundaries are generally accompanied by corresponding TIP amendments already prepared by the various MPOs. These STIP amendment requests must be routed to the OPP for review for completeness and consistency with the TIP amendments, and for air quality conformity determinations, if applicable. After completing their review, OPP forwards these requests to the FAMO. The FAMO then consolidates all requests on hand into a single STIP Amendment for submission to FHWA.

b. STIP Amendment Requests Outside of MPO Boundaries

STIP Amendment requests from areas outside of MPO boundaries will not have accompanying TIP amendments, and there are no air quality conformity areas outside MPO boundaries in Florida at the present time. Therefore, these requests DO NOT need to be sent to OPP for their review.

STIP Amendment requests outside of MPO areas may be sent directly to the FAMO for incorporation into the next consolidated STIP Amendment.

5. SCHEDULE FOR PROCESSING TIP/STIP AMENDMENTS

FHWA has requested we limit the processing of STIP amendments to once per month. Further, FHWA has indicated that in the month of September each year their staff is very involved in the review of the new MPO TIPs and the state STIP and will not accept STIP Amendments to the current STIP during the month of September.

STIP Amendments will be processed according to the following schedule:

a. TIP/STIP Amendment Requests Within MPO Boundaries

TIP/STIP amendment requests received by the OPP for review by the 10th of each month will be included in the STIP amendment for that month, provided the requests are complete and require no clarifications or other district/Turnpike Enterprise, or MPO input.

b. STIP Amendment Requests Outside of MPO Boundaries

STIP amendment requests from areas outside of MPO boundaries received by the FAMO by the 15th of each month will be included in the STIP amendment for that month, provided the requests are complete and require no clarifications or other district/Turnpike Enterprise input.

This should enable FHWA to routinely approve the amendment by the end of the month, or thereabouts.

This schedule will apply to all months except September. No STIP amendments will be processed during the month of September, so plan accordingly.

It is important to note that submitting an incomplete STIP amendment request may result in the request not being included in the consolidated STIP amendment for that month, if needed information cannot be obtained prior to the due dates for that month as outlined above.

F. ROLL FORWARD PROJECTS IN NEW TIP

Every March, the Office of Work Program and Budget (OWPB) provides the districts the tentative work program that is to be adopted on July 1st. The MPO's TIP incorporates the tentative work program and is also adopted on July 1st. Year 1 of the TIP and the work program should always match. However when the new TIP and work program become adopted on July 1st, there are often projects which were intended to be authorized prior to June 30th (i.e. when the previous TIP and work program were in effect), but did not. These projects will automatically roll forward in the work program (and also in the STIP) but not in the TIP. Hence there is a need to reconcile the two documents and bring the TIP up to date. This is accomplished by what is known as a Roll Forward TIP amendment. Around mid to late July, the OWPB posts the Roll Forward Report online. This report lists, by district, those projects which did not get authorized by the end of the last federal fiscal year and have been rolled forward in the newly adopted work program. The districts provide this list to the MPO, and the MPO uses this list to process a Roll Forward TIP Amendment.

An MPO can do a Roll Forward TIP amendment as soon as the Roll Forward Report is published. However, FHWA will not recognize the approval of the Roll Forward TIP Amendment until after October 1st, the effective date of the new MPO TIP. Please note that there is no need for the MPOs to request a Roll Forward STIP Amendment because these Roll Forward projects are already included in the new STIP, to be effective October 1st.

G. ADMINISTRATIVE TIP AMENDMENTS FOR AMENDING OLD TIP AFTER NEW TIP IS ADOPTED ON JULY 1ST

MPOs statewide will adopt their new TIPs to be effective July 1st. However, they will not be recognized as effective for federal purposes until October 1st since the federal fiscal year doesn't start until October 1st.

This difference in state versus federal fiscal year presents the MPOs with the situation of having some projects in the state federal fiscal year 2014 in the new TIP that may not appear in the old TIP because they were added during the last tentative work program development cycle.

FHWA has, in the past, required Board action to amend these same projects into the old TIP during the months of July, August and September before we can get a federal authorization approved for these projects. Yet MPO board action to adopt the new TIPs on July 1st each year clearly demonstrates the intent of the MPO to include these projects in their TIPs for that time period.

FHWA recognizes the confusion caused by having to bring to the MPO Board these requests to amend projects into the old TIP, after July 1st each year, when these same projects are already included in the new TIP already approved by the Board and adopted on July 1st.

Therefore, FHWA has agreed to allow the MPO Executive Directors to process "administrative" TIP amendments for these types of projects when adding them to the old TIPs during this three month period, rather than having to take full board action to add projects already included in the new adopted TIPs. FHWA will allow this ONLY under the following conditions:

- The administrative amendments take place between July 1st and September 30th of each year.

- The projects included in the administrative amendment are the identical projects already approved and included in the first year of the new TIP adopted on July 1st. There must be no change in the project description, funding or scope of work. They must appear in the administrative amendment exactly as they appear in the new TIP.

All other requirements for processing TIP amendments must be adhered to, including a letter from the MPO Executive Director approving the amendment, with the detailed project information included.

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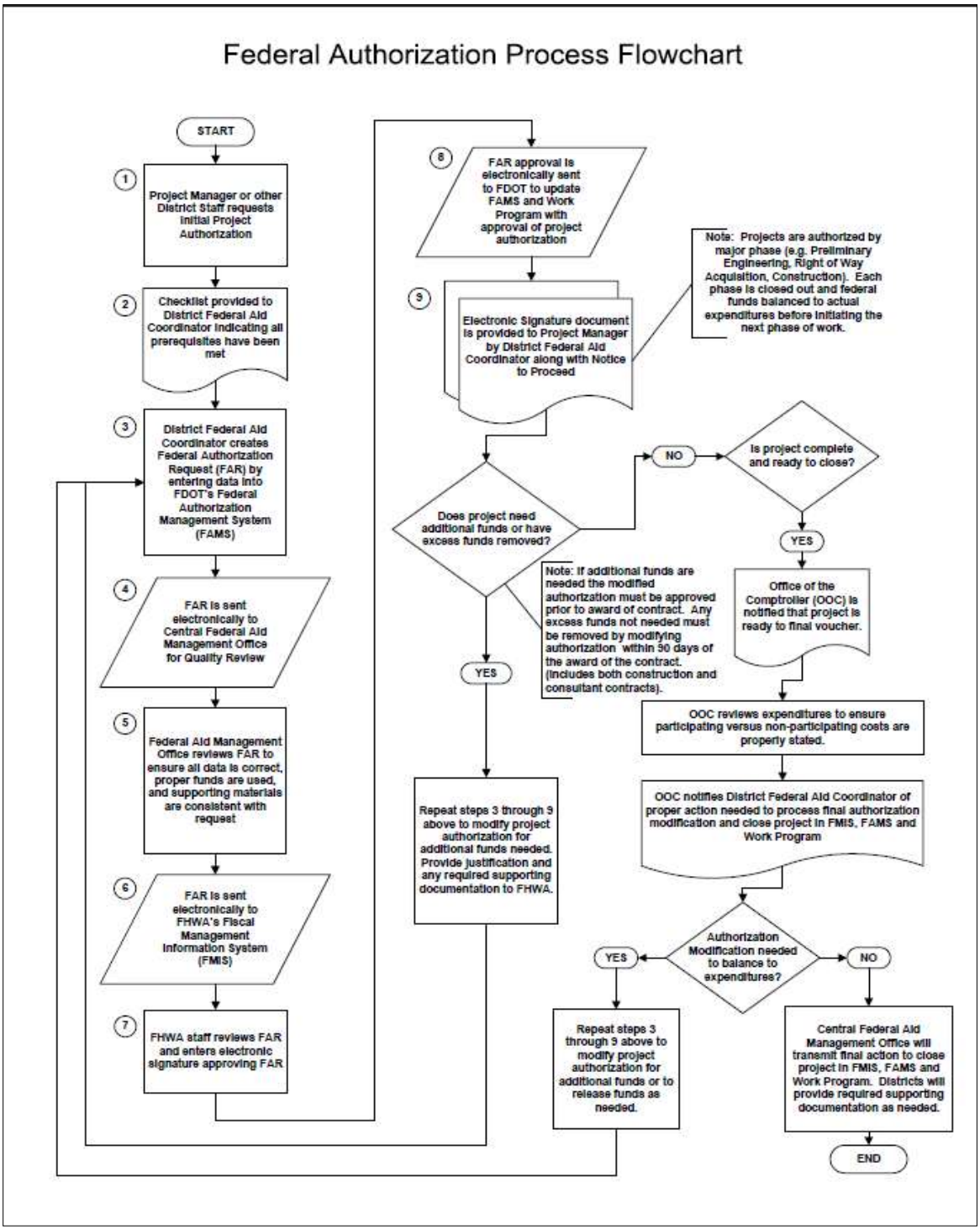
PART IV - CHAPTER 6: AUTHORIZING FEDERAL PROJECTS WITH FEDERAL HIGHWAY ADMINISTRATION

A. FLOWCHART ON FEDERAL AUTHORIZATION PROCESS



B. DEPARTMENT PROCEDURE NO. 350-050-005 FEDERAL PROJECT AUTHORIZATIONS

This Florida Department of Transportation (department) procedure provides an overview of the process for obtaining an approved authorization from Federal Highway Administration (FHWA) to provide funding to begin a specific transportation project.

It also provides an overview of the process for modifying initial project authorizations for contract awards, supplemental agreements, non-participating costs, and other adjustments as required throughout the life of the project, and for closing the project in FHWA's (and the department's) fiscal records upon completion.

It is a brief procedure designed for individuals interested in the basic steps involved in obtaining federal participation in the cost of transportation projects administered by FHWA. It does not address detailed instructions for each of these basic steps. Detailed instructions are found in later sections within this chapter and the procedure is available from: 350-050-005.

C. DEFINING THE FEDERAL PROJECT

1. RELATIONSHIP OF FINANCIAL PROJECTS TO FEDERAL PROJECTS

Each phase group generally represents a separate federal project phase. A typical road or bridge job will consist of two or three separate federal project phases, each having a separate Federal Aid Project Number (FAP No.):

- Preliminary Engineering
- Right of Way (if needed)
- Construction

With few exceptions, each phase of work must be closed in the fiscal systems (FAMS and FMIS) before the next phase of work can begin.

Other types of phases are treated differently in terms of phasing and closing procedures. These are discussed in other sections of this chapter.

Each federal project will consist of one or more financial projects and/or financial project phases. Generally, a federal project will consist of only one set of related phases, such as PE, R/W or Construction. These are known as "phase groups" in the department's work program (1st digit of phase). The work program phase types (2nd digit of phase) are more specific subsets of the phase groups. See Appendix D of these instructions for details.

Examples follow:

- A single federal project may consist of (be associated to) multiple types of construction (5x,6x) phases from a single financial project in a single year, such as:
    - Phase 52, construction contractor
    - Phase 56, construction utilities
    - Phase 61, construction engineering support, in-house
    - Phase 62, construction engineering support, consultant

- A single federal project may consist of a single type of design consultant phase for multiple financial projects in a single year, such as:
  - Phase 32, PE consultant, for financial project No. 123456 32 1
  - Phase 32, PE consultant, for financial project No. 234567 32 1
  - Phase 32, PE consultant, for financial project No. 345678 32 1
- A single federal project may consist of multiple right of way phases of a single financial project programmed over several years, such as
  - Phase 42, R/W consultant Yr1
  - Phase 42, R/W consultant in Yr2
  - Phase 43, R/W purchase in Yr1
  - Phase 43, R/W purchase in Yr2

2. ASSIGNING THE FEDERAL AID PROJECT NUMBER

The district federal aid coordinator initiates the request for FAP No. (Exhibit 1). The request includes:

- A statement requesting a FAP No.
- Financial Project number(s) (FPN) including the phase(s) and sequence(s) to be associated.
- FAP No.'s are primarily derived from the geographical location. If an earlier phase of work on this financial project has already had a FAP No. assigned then the FAP No. should be provided with the request. The new request will then utilize the same geographical route number with a new assigned improvement number. Otherwise, provide a project location map so the route number can be identified and the improvement number assigned.

3. SHOW TOTAL PROJECT COSTS ON FEDERAL AUTHORIZATION REQUESTS; ASSOCIATE NON-FEDERAL FUNDS

Federal Authorization Requests (FAR) should reflect the total cost of the project, not just the federal funds (and required state match, if any). Other funding sources on the project should be "associated" or incorporated within the FAR. These associated funds can be any type of funds other than federal funds, including state (in addition to required match, if any), local, turnpike, bonds (Tpk, R/W), and/or loans (SIB, TIFIA).

D. COMMON CRITERIA FOR ALL FEDERAL PROJECTS

FAR are prepared in the department's Federal Authorization Management System (FAMS) and submitted electronically to the Federal Aid Management Office (FAMO) in Tallahassee by the federal aid coordinators in each district, turnpike and central offices where statewide programs are managed.

It is the responsibility of Project Managers to ensure that federal aid coordinators are notified in a timely manner of the need to request federal authorizations for federally funded projects. This responsibility includes ensuring all the required prerequisite criteria are met (and supporting materials are available) BEFORE requesting the federal aid coordinators to prepare the FAR.

Federal authorizations must be approved by FHWA before construction contracts can be advertised, or in the case of professional services contracts, before the contracts may be executed.

Concurrence in award must be obtained from FHWA on oversight construction contracts let in central office before the contract is awarded. FHWA's concurrence in award is obtained and documented by the FAMO.

Federal projects must be modified to match the contract award amount. Obligation of additional federal funds to match the contract award must be approved by FHWA prior to the award of the contract. De-obligation of federal funds to match the contract award must be requested within 90 days after award, so the federal funds can be released and used on other projects. See Procedure 525-010-300, Local Agency Program Manual, for deobligation of federal funds on LAP agreements.

FARs submitted to the FAMO must be reviewed for accuracy before they are transmitted electronically to FHWA, and are occasionally returned to the originator for corrections. FHWA's Financial Administrator also reviews all project transmittals and electronically approves projects exempt from federal oversight, and if the project is subject to FHWA oversight, a FHWA engineer reviews and approves it electronically. Occasionally, an engineer may be on travel status, which may also delay the approval. For these reasons, FARs should be submitted to the FAMO at least 30 days prior to the date the approval is needed, to avoid unnecessary delays.

The federal aid coordinators will notify appropriate staff when federal project authorizations are approved. Approved authorizations are also posted daily to the FAMO's Infonet site.

Certain criteria must be met for all projects that are partially or fully funded with federal funds before work can commence on the project. These criteria are listed below:

- The project phase(s) must be included in department's adopted five-year work program.
- The project phase(s) must be listed in department's federally mandated state transportation improvement program (STIP), with the exception of planning and emergency repair phases.
- If the project phase(s) is located in an area represented by a Metropolitan Planning Organization (MPO), the project phase(s) must also be included in the MPO's transportation improvement program (TIP).
- State budget authority must be available for the project so it can be encumbered prior to contract execution.
- A FAP No. must be assigned to the project phase(s) included in each FAR.
- A FAR must be prepared by the district federal aid coordinator (or selected statewide program managers) in FAMS and submitted electronically to the FAMO in Tallahassee, along with all required supporting materials. The FAMO, after reviewing the FAR for accuracy, will electronically transmit the FAR to FHWA for their approval.
- The initial federal authorization must be approved by FHWA before any work can commence or any costs can be incurred on the project with the exception of emergency repairs performed immediately after a declared disaster to keep roads and bridges open to traffic. See the Overview of Major Programs chapter, Emergency Relief Program section of these instructions for further details.

Please refer to the following sections of this chapter for guidelines on the specific steps necessary to obtain approved federal authorizations for specific types of projects.

E. COMPLIANCE WITH SUPERCIRCULAR REQUIREMENTS

The Office of Management and Budget (OMB) has published 2 CFR Part 200 (referred to as the "Supercircular") to streamline the Government-wide guidance on Administrative Requirements, Cost Principles, and Audit Requirements for Federal awards.

The Supercircular consolidates and eliminates the duplicative guidance found in a number of other OMB circulars which includes A-50, Audit Follow-Up; A-87, Cost Principles for State, Local, and Indian Tribal Governments; A-102, Grants and Cooperative Agreements with States and Local Governments; and A-133, Audits of States, Local Governments, and Non-Profit Organizations.

<u>The administrative requirements and cost principles will apply to new awards (initial federal authorizations) authorized on or after December 26, 2014 and for modifications to any project which has a contractual cost increase or an AC conversion:</u>

The new Supercircular expands requirements in several areas. FHWA issued Implementation Guidance on December 4, 2014, (Appendix A) to address these expanded requirements and describe the key changes affecting FHWA business processes.

Federal Award Requirements as related to FAMS authorization requests to FHWA

<u>The District must include the following information, in the FAMS comments (state remarks) for the initial Federal Authorization Request (FAR) and for modifications to any project which has a cost increase or an Advance Construction (AC) conversion to federal funds:</u>

- Catalog of Federal Domestic Assistance (CFDA) number
- Indirect cost rate claimed for reimbursement
- Period of Performance end date for the Federal Aid Project

Authorization modification requests for authorization decreases should <u>not</u> trigger the Supercircular guidance requirement for the three new data elements.

Format example for entering the three new data elements in the FAMS comments (state remarks):
CFDA# 20.205; INDIRECT RATE .0324; PERIOD OF PERFORMANCE END DATE: 9/2/2017

Catalog of Federal Domestic Assistance (CFDA) number

Almost all of our federal aid projects authorized through FMIS will be under CFDA# 20.205, with the few exceptions noted below. Please contact the Federal Aid Management Office if you have questions about the appropriate CFDA#.

CFDA#	Program Title	Federal Agency	Type of Assistance	Comments
20.205	Highway Planning and Construction	FHWA	Formula Grants & Project Grants	This covers almost all of our FHWA administered funds. Exceptions are shown below.
20.200	Highway Research and Development	FHWA	Project Grants	This covers discretionary R&D grants awarded through FHWA Headquarters
20.215	Highway Training and Education	FHWA	Cooperative Agreements	This covers On-the-Job Training Grants and Cooperative Agreements
20.219	Recreational Trails Program	FHWA	Formula Grants	This program is administered in Florida by Florida DEP
20.240	Fuel Tax Evasion-Intergovernmental Enforcement Effort	FHWA	Project Grants	This program is administered in Florida by Florida DOR
20.933	National Infrastructure Investments	USDOT Office of the Secretary (OST)	Project Grants	This covers TIGER discretionary grants

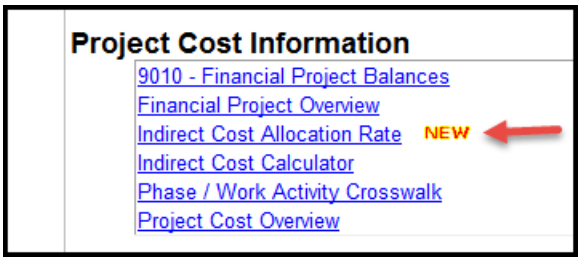
FDOT Indirect cost rate claimed for reimbursement

The current FDOT policy is to program phases for indirect costs (x9 phases) with state funds, not federal. So the indirect cost rate to include on federal authorizations will be Not Applicable "N/A". The only exceptions are for Emergency Relief (ER) funded projects, and federal earmarks and discretionary awards where direct costs are not sufficient to fully consume the total amount of the grant award.

Indirect cost rates (an approved percentage of direct costs) will vary by the phase of work and by the year approved by FHWA. By agreement with the FHWA Florida Division Office the appropriate rate to include on the federal aid authorization will be for the phase with the highest rate (if more than one phase is on the federal aid project) in effect at the date of the initial federal authorization.

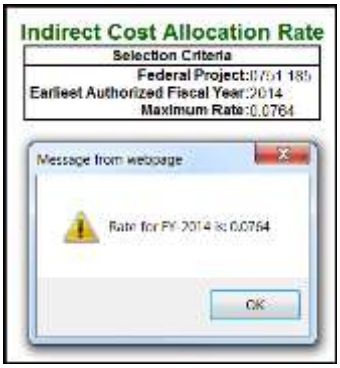
Please use the following link to determine the appropriate indirect cost rate for ER funded projects and earmarks/discretionary awards: Indirect Cost Allocation Rate

This link is on the Office of Work Program and Budget SharePoint site as shown below:

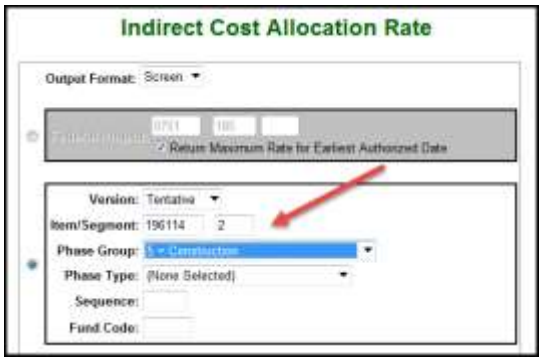


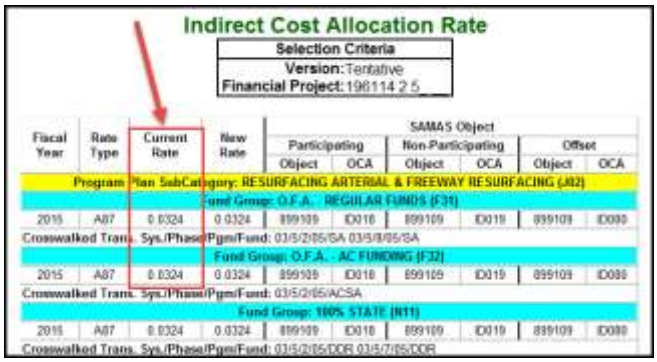
This link allows indirect cost rates to be displayed in four different ways: 1) by Federal Aid Project, 2) by Item Segment, 3) by Transportation System and 4) by Program Plan Category.

For modifications to existing Federal Aid Projects, the most useful option will be by Federal Aid Project. Under this option (if the checkbox is checked) the application will return the maximum rate (out of all of the phases on the project) for the year in which the initial federal authorization was approved. For example, see results below for Federal Aid Project # 0751-185 initially authorized on 10/18/2013:



For initial federal authorizations it will be most useful to use the Item Segment option. Under this option the application will return all the rates for each of the phases specified in the query. For example, see results below for Item Segment # 196114-2 for all 5x phases:





The highest current rate from all phases included in the initial authorization rate should be selected. In this example .0324 is the appropriate rate since all federally funded phases carry the same rate. Be sure to use the "Current Rate" for new federal authorizations since the "New Rate" may not yet be approved by FHWA.

Sub-recipient indirect cost rates claimed for reimbursement

Under the new rules, Federal agencies and pass-through entities (like FDOT) must accept from a sub-recipient a negotiated indirect cost rate if one exists, or negotiate a rate in accordance with federal guidelines.

Non-federal entities that have never had a negotiated indirect cost rate may use a de minimis rate of 10% of modified total direct costs, as long as they receive less than $35 million in direct federal assistance annually.

FDOT's sub-recipients include, but are not limited to, local agencies under the LAP Program, MPOs receiving federal metropolitan planning funds (PL funds), other state agencies such as DEP and DOR, and universities and transportation research institutes.

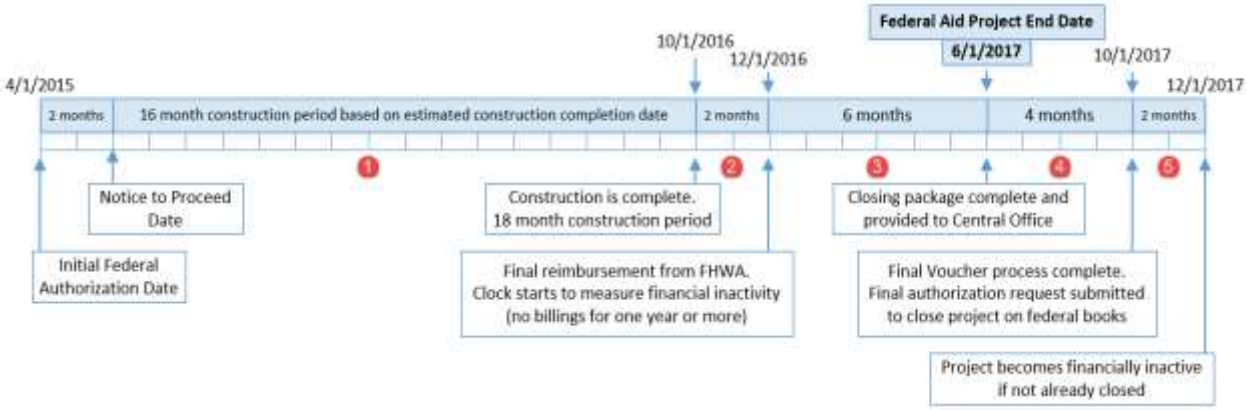
Programming and operational guidance is still being formulated regarding sub-recipient indirect cost rates. Detailed guidance on this topic will be included in a separate Federal Aid Technical Bulletin in the near future.

Period of Performance End Date for Federal Aid Project

The period of performance for the federal aid project is from the date of the initial approved federal authorization to the end date specified in the authorization. This end date for the federal aid project is the new data element required by the Supercircular. Please take note that this end date is not a contractual end date. This end date must be based on the federal aid project's estimated project schedule, and should include the time required to accomplish all required physical work (deliverables) plus the additional time required for final invoices to be received and paid, for final federal reimbursements to be billed and collected from FHWA, and for completing closing packages and/or any other type of required documentation following completion of the physical work.

Important points regarding the federal aid project end date:

- Costs incurred after the end date will not be eligible for federal reimbursement.
- The end date may be modified as necessary, based on documented revisions to project schedules or other circumstances.
- The established end date does not include the time it takes for the Office of Comptroller to complete the Final Voucher process. The end date should be established based on the assumption that the final invoice has been paid to the vendor and reimbursed by FHWA and that all required paperwork has been completed to enable the project to enter the Final Voucher process, by the established end date.
- The Office of the Comptroller will need an average of approximately 3-4 months following the federal aid project end date to complete the Final Voucher process and to complete the final federal authorization request to close the project on the federal books. Some projects may take a longer or shorter timeframe depending upon the financial complexity of the project.
- The end date must be established to ensure that the federal aid project does not go financially inactive before it can be closed. See the following simplified illustrative timeline for a Contract Class 1 resurfacing construction project (initially estimated to be complete in 18 months) which highlights the milestone events in this process:



As noted in the above timeline, the key components (time periods) for determining the Federal Aid Project Period of Performance End Date are:

1 Period of time to complete physical construction or, in the case of other phases of work, the period of time estimated to accomplish the deliverables of the contract. In most cases this period of time will represent the contract period.

For Task Order based federalized contracts: This time period 1 represents the time allowed in the individual Task Order (Work Order) to accomplish the deliverables of the Task Order.

2 Period of time (2 months) to receive final invoice from vendor, pay the invoice, request reimbursement from FHWA, and collect the reimbursement.

3 Period of time (6 months) to remove excess encumbrances, balance project to expenditures, adjust federal obligation if needed, and complete the closing packages and/or other required reports or documentation required by FHWA.

4 Period of time (4 months) to complete the Office of Comptroller's Final Voucher process.

5 Period of time (2 months) reserved for any delays in the above processes. If cumulative delays in accomplishing the above milestones do not exceed 2 months, then the project can still be closed before it becomes financially inactive and in jeopardy of having federal funds withdrawn.

<u>Federal aid projects with multiple phases of work</u>

Federal aid projects are generally authorized by major phase group:

- Preliminary Engineering
  - In FHWA's FMIS system generally includes P,D&E (2x phases) and Design (3x phases)
- Right of Way
  - Land acquisition and related support phases (4x phases)
- Construction
  - Construction (5x phases)
  - Construction Engineering Inspection (6x phases)

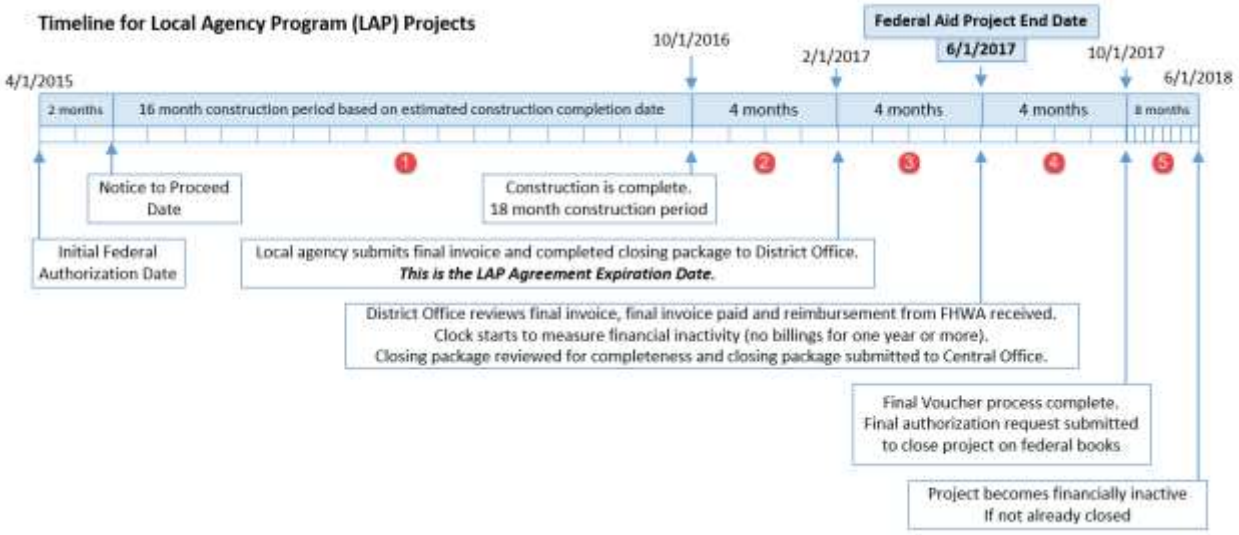
In these cases the Period 1 should encompass the phase with the longest period to accomplish the related work. For example, a construction contract (phase 52) may be completed a month or two earlier than when the CEI inspection work (phase 62) will be completed. In that case add two months to the construction contract end date to determine Period 1.

<u>Other types of federal aid projects</u>

Period 1 for most federal aid projects will be determined based on some type of contractual arrangement. Period 1 for emergency repairs are specified in federal regulations. Some common examples follow:

- JPAs with MPOs: Federal Metro Planning (PL) funds are authorized via a Joint Participation Agreement (JPA) with the various Metropolitan Planning Organizations (MPOs) throughout the state. These agreements expire after two years, so Period 1 should be 24 months.
- JPAs with County governments: Federal funds for ITS support are authorized via a JPA with specific local governments. The time duration of the JPA (generally five years) should be used for Period 1.
- Research Agreements with Universities: Federal Statewide Highway Research (HR) funds are authorized via Vendor Agreements with universities and institutes in the state and have specific contract durations. The duration of the contract should be used for Period 1.
- Emergency Relief projects: Projects for emergency repairs using federal ER funds are expected to be complete within 180 days of the qualifying event. The duration for Period 1 should be 6 months.

Local Agency Program (LAP) projects



The expiration date of the LAP Agreement should not be used for establishing the end date of Period 1 (period of time to complete physical construction), nor for establishing the Federal Aid Project End Date.

As noted in the above timeline, the LAP Expiration Date occurs approximately four months before the Federal Aid Project End Date, and includes an additional four months (Period 2) following physical project completion (Period 1) to submit the final invoice and closing package to FDOT.

Following the LAP Agreement Expiration Date, District staff have an additional four months to review the final invoice and closing package for accuracy and completeness (Period 3). **The Federal Aid Project End Date will be at the end of Period 3.**

F. AUTHORIZING HIGHWAY PLANNING AND RESEARCH PROJECTS

Planning includes the activities and resources required to evaluate the impact of development throughout the state, identify transportation problems and needs, develop short and long range transportation plans, and provide planning database services.

New contracts and task work orders must be submitted to FHWA for their approval prior to authorization.

See the Planning chapter, Programming Guidelines section of these instructions for additional detail.

Highway Planning and Research Projects should use the HP numbers assigned for this purpose by central office. Each district will be assigned an FAP No. in the form HP0#-xxx where the # is representative of the district and “xxx” is the Improvement Number as the next sequential number available. Central office will utilize HP09-xxx

FPN are established for each type of work activity approved in the SPR are associated to the FAP No. established for each district and central office as follows:

Transportation Planning Activities	Phase 11 with a 1 year date range
Data Collection Activities	Phase 11 with a 1 year date range
Systems Planning Activities	Phase 11 with a 1 year date range

Operating Consultants	Phase 12 will not have a date range and the sequence number should be incremented for new contracts.

Note: Central office will have many more project numbers for specialized tasks and special projects to be identified by the Office of Work Program and Budget in consultation and coordination with the Office of Policy Planning (OPP).

- The phase 11 FPN will have a one year length and will be re-used and associated to a new FAP No. where the improvement number will be incremented by one. See "Example 1."

- The phase 12 FPN will not have a date range and the sequence number will be incremented by one and associated to the new FAP No. See "Example 2."

Example 1:

FAP No. HP0X- 046 with an FPN phase 11 should be established to end at the state federal fiscal year end 6/30/2014. The next number would be HP0X-047 and it would be associated with the same phase 11 FPN and the date range would be from 7/1/2014 to 6/30/2015.

Example 2:

An FAP No. such as HP46-001 with an FPN phase 12 will be assigned for the consultant phase of work with a three year date range to allow for the processing of invoices that will be submitted until the encumbrance is fully expended. Each year a new Route Identifier will be established to track which year the contract originated and will correspond to that year's SPR approval. Each new consultant contract will receive the next subsequent FAP No. for that year's approved SPR. The next contract would receive HP46-002 and would remain open until the encumbrance is fully expended or the maximum contract length negotiated with FHWA (currently three years with the potential for an extension). The following year's Route ID would be HP47-001 and all consultant contracts approved in that year's SPR will receive the next sequential number.

FHWA may grant approval of three-year planning contracts (for HP funds) if all of the federal requirements are incorporated into the boilerplate contractual provisions. PL funds will still be subject to the two-year $750,000 limitation unless a documented exception is obtained from FHWA. Regardless of contract length, task work orders should be submitted to FHWA for approval prior to commencing work. Any work that begins prior to task work order approval by the FHWA Division Planning Programs Coordinator must be coded as non-participating.

See Procedure No. 375-030-002, "Acquisition of Professional Services" or http://fdotwp1.dot.state.fl.us/ProceduresInformationManagementSystemInternet/?viewBy=0&procType=pr which documents the process to be used when federal funds are used on any contract.

In the event that federal funds are utilized on a task work order, operating margin will be established as a lump sum compensation element (fixed fee); otherwise FHWA will not participate in cost reimbursement.

G. AUTHORIZING METROPOLITAN PLANNING PROJECTS

The allocations to the MPOs should be used for their Unified Planning Work Programs (UPWP) as well as HP allocations for In-House and Operating Budget Consultants in the districts and central office.

MAP-21 continued the SAFETEA-LU requirement for the state to promptly reimburse metropolitan planning (PL) funds to MPO's in Section 1007, Metropolitan Planning, with the following provision of 23 USC 104(f)(4):

> "(B) REIMBURSEMENT.- Not later than 30 days after the date of receipt by a state of a request for reimbursement of expenditures made by a metropolitan planning organization for carrying out Section 134, the state shall reimburse, from funds distributed under this paragraph to the metropolitan planning organization by the state, the metropolitan planning organization for those expenditures.''

This provision became effective with SAFETEA-LU and is applicable to all claims for reimbursement for PL funds that the state receives from an MPO after August 10, 2005, which must be paid within 30 days of receipt of the MPO's request for reimbursement. This requirement is also reflected in a revision to 23 CFR Part 420, Planning and Research Program Administration.

For FAP No. assignment, the Route ID Number will represent the county using the federal County Codes and Improvement Number will be the next sequential number incremented by one each year they are assigned for a period of two federal fiscal years.

See the Planning chapter of these instructions for additional detail.

H. AUTHORIZING PRELIMINARY ENGINEERING PROJECTS (INCLUDING PD&E)

District federal aid coordinators should e-mail their central office representative for a FAP No. and the financial management phases to be associated to the project along with a location map.

With the exception of interstate, bridge and off the State Highway System projects, all in-house preliminary engineering phases shall be programmed with DIH, DSBX or PKXX, as appropriate. For interstate or bridge projects, in-house preliminary engineering phases may be programmed with federal funds. For projects Off the State Highway System, in-house engineering phases must be programmed with federal funds.

I. AUTHORIZING RIGHT OF WAY PROJECTS

Presently, FHWA requires that districts provide a Right of Way (R/W) cost estimate when requesting the initial federal authorization on a right of way phase.

FHWA has confirmed that R/W map submission is no longer required on any project, including oversight, except for advance acquisition (hardship buying, protective buying).

However, there have been several instances recently where it was discovered that offers had been presented to property owners prior to the date of the approved federal authorization. This is a violation of the federal regulations relating to acquisition of right of way land with federal aid funds. The FHWA Florida Division Office realty officer has requested the department to provide documentation that offers have not been made prior to the federal authorization.

In addition to the R/W cost estimate, districts must also provide the “acquisition detail” report for the R/W phase requesting authorization. This report is generated out of the Right of Way Management System (RWMS) and will show, for each parcel, the dates when initial negotiations began. The column on this report titled “Initiation of Negotiation” should be blank prior to the approval of the FAR. This will provide FHWA with the negative assurance they require in order to approve the initial authorization request.

This report may be generated and saved in either Adobe PDF format or Excel spreadsheet XLS format. The file can then be attached to an email and sent directly to FHWA Florida Division Office right of way officer, or it can be sent to your district representative in the FAMO. We will forward the document to FHWA when we submit the authorization request to FHWA for approval. If the document is sent directly to FHWA by the district, then a comment should be placed on the authorization request indicating it was sent, and include the date it was sent.

A representative sample of the acquisition detail report is shown below:

RWMPW016 FLORIDA DEPARTMENT OF TRANSPORTATION PAGE 04/26/06 10:00:29 PAGE: 1

ACQUISITION DETAIL

Selected Values - Parcels: All, Sort By: R/W Project
Project Numbers: 2568812

District	R/W Project	Construction Project	Parcel	Interest Parcel Name	Interest Status	Status Date	Agent	Notification Date	Appraisal Due	Appraisal Received	Initiation of Negotiation	Initial Offer
07	2568812	2568812	0100	MENINA-PINELLAS, LLC, A FLORIDA LIMITED LIABILITY	OPEN	02/06/2006			04/28/2006	04/04/2006		$.00
				SYNOVUS BANK OF TAMPA BAY	OPEN	04/10/2006						$.00
				SYNOVUS BANK OF TAMPA BAY	OPEN	04/10/2006						$.00
				CHHABRIA ENTERPRISES, INC., A FLORIDA CORPORATION AND SHANTIA SINGH	OPEN	04/10/2006						$.00
			0102	DILLEY, BARBARA JEAN, INDIVIDUALLY AND AS TRUSTEE	OPEN	04/10/2006						$.00
				HUMBLE OIL AND REFINING COMPANY, A DELAWARE CORPORATION	OPEN	04/10/2006						$.00
				OBS OUTDOOR, INC., A DELAWARE CORPORATION	OPEN	04/10/2006						$.00
			0103	S & A FEE PROPERTIES SPE 2, LLC., A DELAWARE LIMITED LIABILITY COMPANY	OPEN	04/10/2006						$.00
				WELLS FARGO BANK N.A.	OPEN	04/10/2006						$.00
				GOOCH REALTY, INC. A FLORIDA CORPORATION	OPEN	04/10/2006						$.00
				FLORIDA POWER CORP	OPEN	04/10/2006						$.00
			0104	HELIKA PROPERTIES, A FLORIDA GENERAL PARTNERSHIP	OPEN	04/10/2006						$.00
				FLORIDA POWER CORP	OPEN	04/10/2006						$.00
			0105	SANDELMAN, JEFFREY, AS TRUSTEE OF THE SABROOKE TRUST	OPEN	04/10/2006						$.00
				SANDELMAN, SANFORD AS TRUSTEE OF THE JASUE TRUST & SUSAN SANDELMAN	OPEN	04/10/2006						$.00
				SANDELMAN, JEFFREY, AS TRUSTEE OF THE SABROOKE TRUST	OPEN	04/10/2006						$.00
				FLORIDA POWER CORP	OPEN	04/10/2006						$.00
			0106	KULACH, STANLEY AND ANNA KULACH, HUSBAND AND WIFE	OPEN	04/10/2006						$.00
				SYNOVUS BANK OF TAMPA BAY	OPEN	04/10/2006						$.00
				CITY OF CLEARWATER	OPEN	04/10/2006						$.00
				FLORIDA POWER CORP	OPEN	04/10/2006						$.00
			0107	CONGO RIVER GOLF AND EXPLORATION CO., - CLEARWATER, A MICHIGAN CORP.	OPEN	04/10/2006						$.00

Look for dates in this column

J. AUTHORIZING CONSTRUCTION PROJECTS

1. INITIAL AUTHORIZATION

Construction letting projects must be authorized prior to Advertisement. Schedule of Advertising dates can be found on Production Management's Website under "Critical Dates."

For each letting, the FAMO determines the oversight classification of each project and posts the classification to Production Management's Processing List.

Production Management Office coordinates receipt of required documents known as the contract package. The completed contract package is forwarded to FAMO on or before the date shown on the critical processing dates list as "To Fed Aid for Assembly of PS&E package." On or before that same date, the district federal aid coordinator submits the FAR to FAMO.

Documents as required by the Plans Preparation Manual are listed below.

- Checklist
- Preliminary engineering certification
- Utility certification
- Environmental re-evaluation (no more than one year old)
- Design certification (including documentation of design variances on oversight projects)
- Calendar days calculation if the project is oversight
- Maintenance agreement (all off-system jobs)

- CM justification if the project uses congestion mitigation funds
- Right of way certification
- Estimate (from TRNS*PRT) including summary sheet

FAMO does a quality assurance review of the FAR, assembles the required portions of the package to transmit to FHWA on the oversight projects, and transmits the FAR to FHWA. FHWA completes the authorization process by electronically "signing" the authorization.

2. MODIFICATIONS

All project modifications that result in an increase of federal funds must accurately and succinctly describe in the comments why additional funds are justified. Supplemental agreements should be signed by the FHWA area engineer for oversight projects and remain available upon request in accordance with the department's records retention schedule. Prior approval must be obtained before commencing work. Initial contingency amounts and other non-participating pay items should be coded as non-participating.

3. CLOSING THE PROJECT

Project is identified as potentially ready for final voucher audit (district, FAMO, Office of Comptroller (OOC)). For a project to be ready for audit all encumbrances and retainage on all phases must be cleared and appropriate documentation must be in the file.

- **In Preparation for Final Voucher -** An "In preparation for final voucher" modification may be processed to balance to billable amounts as long as encumbrances and retainage are cleared. Project should NOT be placed in Ready Final Voucher mode on the FP55 screen until encumbrances are cleared and documentation is in the file.
- **Ready Final Voucher -** After project is in Ready Final Voucher mode, OOC proceeds with audit. Files will remain available for OOC audit purposes until the audit is complete. The files will be sent to archive for offsite storage in accordance with the department's record retention schedule when the audit is complete.
- **Audit Completed -** When OOC completes the audit, they send an e-mail requesting a modification if needed. FAMO processes the modification, "Based on OOC FV Audit and to Close." The modification should be processed with the project in FV Audit 07 status. This will accomplish both the final modification and the project close simultaneously.
- **Closing the Project -** When the billed amounts equal the agreement and OOC is satisfied that the project is complete, they send an e-mail saying that the project is ready to be closed. At this time, estimates are balanced to commitments in work program. A response is sent to OOC that the status may be changed to FV Audit 07. This is the last opportunity to delete complete years from WP20. District should thoroughly examine work program at this time.

OOC changes the status from Ready Final Voucher to FV Audit 07**.** After the status of the project has been changed to FV Audit 07 (FV07), the project will be quality reviewed in FAMO to verify that:

- Agreement and expenditures in FMIS and FM are equal for all funds.
- The project has an FV07 Status.
- OOC audit is complete (e-mail from them will be sufficient).
- Project has no pending ARs.

- There is a final acceptance on file (if one cannot be located, check the FMIS screen to see if it has a project completed date indicating that FHWA has the final acceptance and obtain a copy from the FHWA area engineer).

The project will be quality reviewed in FAMO when it is ready to close to verify that all requirements have been met and will be certified and transmitted to FHWA. Once FHWA signs the project in FMIS, the nightly batch approval transaction in FAMS closes the project to an FV Closed09 status.

K. AUTHORIZING DESIGN/BUILD PROJECTS

The following instructions cover the scheduling of the project authorization, preparing the authorization request, and closing the project. Design/Build (D/B) projects are authorized under the Special Experimental Project (SEP) 14 plan approved by FHWA. This annually approved plan governs federal participation in D/B projects. See the Special Contracting Methods chapter of these instructions for more information on SEP 14.

Federal Aid authorization on D/B projects is also subject to the provisions of the Florida Federal Aid Stewardship Agreement executed between FHWA and the department. This agreement identifies types of projects and functions subject to oversight by FHWA and those projects and functions delegated to the department.

It is suggested that district work program managers and district federal aid coordinators be included in district coordination activities, meetings and correspondence concerning D/B Projects to insure timely programming and federal aid authorization activities.

1. PHASING IN THE WORK PROGRAM

Once a project is identified as a D/B project, it should be decided who is going to perform the services necessary to bring the project to completion (services such as utilities/railroad, permits, geotechnical services, survey, and CEI). Some of these services may be done prior to the D/B contract. However, it is important to ensure that the funds are programmed in the correct category, i.e., in-house or consultant.

D/B contracts will be identified in WPA as phase 52, contract class 9**.** Depending upon who is to perform necessary services, additional phases may be needed for PD&E work prior to the D/B phase, right of way (R/W) land acquisition and/or R/W services, construction engineering (CEI) services, and/or phases for the payment of compensation to the short-listed firms on D/B projects. The following guidelines provide more information on when each of these additional phases may be appropriate.

Construction Engineering and Inspection (CEI): FHWA requires that the department provide independent verification testing and oversight inspection outside of the D/B firm's contract. This can be accomplished with in-house forces (phase 61) or with an oversight CEI contract (phase 62). This is true even if the majority of the CEI work is done within the D/B contract and is included in the phase 52.

In-house CEI estimates that are automatically generated by WPA (based on the overall phase 52 level) must be manually revised to represent only the in-house effort required to manage the CEI consultant.

When independent inspection is to be performed by CEI consultants who are not members of the D/B firm and included in the D/B contract, a separate contract shall be advertised and awarded for CEI services (use phase 62).

If R/W services (consultant and support) are to be provided as part of the D/B contract, R/W support will be included in the construction (phase 52) authorization. Consideration must be given to how

R/W support will be provided in the eminent domain phase of the project and whether that portion of the total R/W support needs to be authorized separately. R/W land payments and relocation payments must be programmed as phase 43 and phase 45 respectively. R/W land and relocation payments can never be programmed in phase 52. Phases 41 and 49 (in-house support and indirect overhead) will be programmed in accordance with the work program instructions for right of way projects. D/B projects including right of way services will still require in-house support.

The district federal aid coordinator should request one FAP No. for the entire D/B project, regardless of the number of phases programmed.

2. TIMING OF THE FEDERAL AUTHORIZATION

Unlike regular construction which uses activities/events pertaining to the letting schedule, D/B projects must be authorized before the request for proposals and design criteria package is published or mailed and after approval of the RFP and design criteria package.

RFP and design criteria packages for interstate system capacity projects subject to FHWA oversight ($1 million or more) are approved by the FHWA Division office. The FHWA Division office requests up to three weeks to review the RFP and design criteria package before granting their approval. Since several draft submittals and re-submittals can occur, the authorization request is processed only upon final written package approval. For exempt projects, the district D/B team approves the package. Usually, the district Professional Services Administrator notifies the federal aid coordinator in writing of this approval.

These package approvals are necessary for FHWA participation in the project. The D/B authorization request should be processed immediately upon notice of receipt of package approval. Upon receipt of the approved FHWA authorization, district federal aid coordinators should notify the district D/B team so that the RFPs and Design Criteria packages can be distributed.

D/B projects must be included in the TIP/STIP before the federal authorization can be approved by FHWA.

3. SCHEDULING THE FEDERAL AUTHORIZATION

The department plans for the obligation of federal funds apportioned and allocated to Florida based upon projects in the adopted work program and their related activities and events in the Project Scheduling System. Major D/B projects consume significant amounts of these funds. The Federal Obligating Authority Plan includes D/B project fund commitments in months when the authorization is needed as defined by the scheduled Activity/Event.

A Project Scheduling System Activity/Event has been established to plan for the future obligation of federal funds and also to schedule the anticipated date of package approval. The PSM code is: **"**RFP/DES BUILD PKG APPROVAL**" –** Activity/Event No. 285

Regardless of the oversight or exempt project nature or type of D/B (Adjusted Score or Low Bid), this Activity/Event is to be scheduled in PSM when the project is incorporated into the work program.

4. PREPARING THE FEDERAL AUTHORIZATION

Since R/W must be certified clear with environmental determinations and permitting complete before the RFP design criteria package is approved, these activities normally will be authorized with federal funds in advance of the D/B authorization. Therefore, district work for project development phases should serve as the basis for the original federal project authorization, followed by R/W (survey and acquisition) if required.

The sequence of federal authorizations is as follows:

- PD&E advance activities are included in the original project authorization

- Authorization modification for R/W, if required

- Authorization modification for D/B

Note: If the RFP package includes a provision to pay compensation to short-listed firms on an Adjusted Score D/B project, the authorization request will include a work program phase 32 for the compensation with the D/B phase 52 and CEI phase.

- Work program phase estimates for D/B (phase 52) and CEI (phase 61 and/or 62) and the FHWA federal aid authorization previously established, will need to be adjusted after the contract is awarded. Generally, these contract price adjustments should occur in the month following D/B contract award.

- For district-let D/B oversight projects, the district must ensure that the FHWA area engineer has provided concurrence in award via e-mail or formal letter to be included in the central office, FAMO files and district Procurement Office files. The EDMS loading doc could also be a place where it would be convenient to store such relevant documentation. Each year Florida's Auditor General conducts a federal awards audit and this information must be readily available upon request and must be provided to the central office, FAMO letting coordinator as soon as it becomes available.

- Final authorization modification for project closeout, if needed, to balance authorization to final expenditures.

5. RIGHT OF WAY (R/W):

If R/W services are included in the D/B contract, the request for federal authorization for each D/B project shall include a R/W certification signed by the district Right of Way Manager. The certification may be either a certification for construction or a certification for authorization and advertisement. The certification for construction shall state that either no additional R/W is required for the project, or additional R/W was required for the project and all R/W activities have been completed in accordance with applicable federal and state requirements. The certification for authorization and advertisement shall state that additional R/W is required for the project, that the necessary processes and procedures are in place to address R/W issues, and appropriate controls have been included in the D/B contract to ensure construction activities do not commence prior to the department's certification that all R/W activities have been completed in accordance with applicable federal and state regulations.

On federally funded projects, federal authorization is required prior to beginning any R/W activities. For those projects which include R/W services in the D/B contract, authorization for R/W land may be obtained at the same time as the authorization for the D/B contract as long as the department has controls established by contract to preclude the start of negotiations prior to NEPA approval. R/W maps, title information and legal descriptions must also be complete prior to the start of negotiations.

6. DOCUMENTATION REQUIREMENTS FOR FEDERAL AUTHORIZATION

The form of documentation requirements for D/B is different from regular construction projects. D/B authorizations with federal funds, whether oversight or exempt, should be supported by:

- R/W clear certifications

- Written FHWA or district D/B Team approval of the RFP and design criteria package

- For projects exempt from FHWA's project level oversight, the state is required to assure these projects meet the 12 D/B Operating Parameters described in FHWA memo to the department dated December 19, 2001, and reproduced as part of Federal Aid Technical Bulletin 02-03 (may be found on FAMO's Infonet site. This statement may be made via email but must come from the project manager or the district production director.

- Signed electronic signature forms from FHWA authorizing funds for the project

The RFP and Design Criteria package documentation should confirm that other applicable checklist items, such as utilities and permits and NEPA status, are complete.

See Procedure 625-020-010, Design-Build Procurement and Administration, for additional information.

L. AUTHORIZING LOCAL AGENCY PROGRAM (LAP) PROJECTS

Local agency program (LAP) agreements executed between the department and local LAP certified government entities may include more than one phase of work. Locals may be performing design phases (including PD&E) and right of way (R/W) acquisition phases as well as the construction phase.

FHWA presently requires 1) the PE phase is complete and 2) R/W (if any) is certified clear before the construction phase can be authorized. This means that **encumbrances and federal authorizations must be requested by phase of work**, not for the entire amount of the LAP Agreement, unless the agreement only includes a single phase of work (PE, R/W, or Construction).

LAP Agreements must contain language stating that: **"Encumbrances and federal authorizations can only be requested for the cost of the first phase of work included in the LAP Agreement. Subsequent phases of work, if any, must request additional encumbrance and federal authorization before a notice to proceed can be issued to begin the subsequent phase of work."**

Construction LAP projects must be authorized before the project will be encumbered.

The FAR is transmitted to FAMO for authorization, and the authorization process is completed in the same manner as for regular construction projects. The request for authorization from the district must contain an assertion that the preliminary engineering phase of the project is complete.

LAP Project Certification Process: To ensure compliance with all federal-aid requirements, a checklist will be used to verify and reference the corresponding construction contractual documents. The process will be as follows:

- The Local Agency and the district LAP Administrator will review the contract documents, reference the location of the requirements, and sign indicating that the project complies with all requirements in the checklist. The entire package will be submitted to the state LAP Administrator and an e-mail will be sent to the district federal aid coordinator by the district LAP administrator so they can begin preparing the project for review in the Federal Authorization Management System (FAMS).

- The state LAP Administrator will review the package and determine if it meets all of the requirements. If more information or clarification is needed, it will be returned to the district LAP administrator for correction.

- Once the state LAP Administrator signs off on the checklist for these projects, he will send the contract package and the original checklist back to the district LAP administrator to be retained in their files. He will also send a copy of the signed checklist to the FAMO for retention. The state LAP Administrator will send an e-mail to the district federal aid coordinator and district LAP administrator upon certification so that they can put the project in review for submission to the FAMO. In addition,

the district LAP administrator needs to make sure a copy of the signed checklist is sent to the district federal aid coordinator.

- The district federal aid coordinator will place the date of the state LAP administrator signature, in the field in FAMS designed to store this information.

- Projects that were previously authorized will still need to go through the LAP Project Certification process before any subsequent authorization modifications will be processed (including modification to convert Advanced Construction projects to regular funds).

M. AUTHORIZING NATIONAL BRIDGE INSPECTION PROGRAM

The NBIS program is a districtwide program that will fall under the rules outlined in Chapter 5: Section D of this part of these Instructions and will be subject to the five-year limitation unless a documented exception is obtained from FHWA. The work improvement type should be entered as “Special Bridge” in FAMS. Each district should request to have an on-system and an off-system number set up, every two years.

The project must be in the approved STIP prior to authorization. Contact your district representative in FAMO for assistance. The route number for these FAP No.’s will begin with NBIS.

N. AUTHORIZING INTELLIGENT TRANSPORTATION SYSTEM (ITS) PROJECTS

Intelligent Transportation System (ITS) projects must be sent to the FHWA ITS engineer for determination of oversight status. If the project is designated as oversight, task work orders or scope of services must be approved by the FHWA ITS engineer prior to authorization. Modifications that increase the total project cost or significantly change the approved scope must also be approved by the FHWA ITS Engineer.

The route numbers assigned to ITS projects will be assigned in the format (ITS#-xxx), where the “#” is representative of the district and the “xxx” is the next sequential improvement number.

O. AUTHORIZING PROJECTS IN LOCAL GOVERNMENT ADVANCE/REIMBURSEMENT PROGRAM WHERE REPAYMENT IS WITH FEDERAL FUNDS

It is not necessary to associate the A8 payback phase of a project in FAMS because this would create an inflated appearance and overstate the financial impact of the project. The locals are providing the funds to the department to advance the project into a more current year of the adopted work program and they will be paid back when the project was originally scheduled. A note should be added on the Federal Project Information (FP Info) screen in FAMS indicating that the A8 phase does not need to be associated.

P. AUTHORIZING PROJECTS WITH STATE INFRASTRUCTURE BANK (SIB) LOANS WHERE REPAYMENT IS WITH FEDERAL FUNDS

The State Infrastructure Bank (SIB) is a revolving loan and credit enhancement program consisting of two separate accounts. The federally-funded SIB account is capitalized by federal money matched with state money as required by law; the state-funded SIB account is capitalized by bond proceeds and state money only. SIB funds may be loaned to a variety of public and private entities, and may be used for various

forms of financial assistance such as subordinated loans, interest subsidies, letters of credit, capital reserves for bond financing and construction loans.

Federal payback of SIB loans federalizes the entire project and all normal federal requirements must be fulfilled prior to letting the project. Additionally, all repayments with federal (FHWA) funds must be authorized in FAMS for the total of all future loan repayments before any loan proceeds are disbursed.

The estimate summary sheet for letting projects should not include the payback phases because this would potentially make the project appear to be in excess of the STIP/TIP amendment threshold.

All right of way land acquired using the federally-funded SIB must be in compliance with Public Law 91-646, Uniform Relocation Assistance and Real Property Acquisition policies Act of 1970, as amended and all state/federal laws and rules governing Right of Way acquisition by the department.

See the State Infrastructure Bank chapter, Programming Guidelines section for additional guidance and programming examples.

Q. AUTHORIZING PROJECTS WITH TRANSPORTATION INFRASTRUCTURE FINANCE AND INNOVATION ACT (TIFIA) LOANS

The Transportation Infrastructure Finance and Innovation Act of 1998 (TIFIA) established a new federal credit program under which the United States Department of Transportation (USDOT) may provide three forms of credit assistance - secured (direct) loans, loan guarantees, and standby lines of credit for surface transportation projects of national or regional significance. The program's fundamental goal is to leverage federal funds by attracting substantial private and other non-federal co-investment to help finance critical improvements in the nation's surface transportation system. The USDOT uses a merit based system to award credit assistance to project sponsors for eligible projects, taking into account statutory selection criteria. After approval of a project and completion of negotiations, the USDOT executes a credit agreement that is the definitive legal agreement between the USDOT and the project sponsor specifying all terms and conditions of the TIFIA credit assistance.

Although the repayment is with state funds, a project that includes federal TIFIA loans as part of the funding becomes federalized. A FAP No. will not be assigned since TIFIA doesn't flow through our normal federal authorization process. TIFIA loans are obtained through electronic funds transfer directly from FHWA into the State Transportation Trust Fund, well ahead of the time of the construction letting. There may be times when a FAP No. will be assigned for tracking purposes and additional assurance that oversight responsibilities are being fulfilled.

Nonetheless, if any part of a contract is funded by federal dollars then the entire contract becomes federalized and subject to all the federal contract provisions such as Davis-Bacon, Buy America, etc.

See the Overview of Major Programs chapter of these instructions for more detail or http://tifia.fhwa.dot.gov/.

R. AUTHORIZING FEDERAL LANDS ACCESS PROGRAM PROJECTS

The Eastern Federal Lands Highway Division holds a program meeting with Federal Aid Management Office, district representatives, FHWA, and Forest Service.

The following items are discussed at the program meeting:

- Status of Forest Highway funds

- Prioritized list of projects
- Status of current projects
- Funding plan for current FY plus next four years

The funds must be used within four years and the federal share is 100%

- District federal aid coordinator will request authorization based on the obligation plan
- District federal aid coordinator creates a FAR by entering data into FAMS and submits request to FAMO for review
- FAMO will review the FAR and place in a certified status
- FAMO will also create a PR1240/2 for the initial authorization or modification for submittal to Eastern Federal Lands Highway Division
- The federal aid program manager must sign the original PR1240/2
- A copy of the PR1240/2 is placed in the file
- The original PR1240/2 is mailed to Eastern Federal Lands Highway Division

S. REQUIRED STATISTICAL INFORMATION IN FAMS AND FMIS

1. ENVIRONMENTAL CLEARANCE INFORMATION

The date (month, day and year) must be present on FAR for all environmental clearances.

For our purposes, one of the following must be used for the Categorical Exclusion:

- Programmatic (Programmatic under department PD&E procedures)
- State documented (Type I under department PD&E procedures)
- FHWA documented (Type 2 under department PD&E procedures)

Other environmental clearance type data selections when issued by FHWA are available options from the drop-down menu when applicable (I.e.: Environmental Assessment, Finding of No Significant Impact (FONSI), or Environmental Impact Statement (EIS).

2. CONGRESSIONAL DISTRICTS

If a new line is being added to the project, the “Does FMIS have this district?” checkbox should be “No” the first time that line is transmitted. When FHWA issues guidance about the new Congressional District Boundaries and Redistricting from the 2010 Census that became effective in January 2013, the department will issue additional guidance on how to update federal aid projects with this information. Until FHWA updates their new County/Congressional District validity check table, please use the boundaries of the 2012 Congress.

3. PROJECT COMPLETION AND ESTIMATED CONSTRUCTION DATES

The “Project Completed” date in FAMS should be entered from the final inspection date that the resident engineer signed the “Final Inspection and Acceptance of Federal-Aid Project” form number

700-010-32 available at: http://procnet.co.dot.state.fl.us/forms/ByNumber.asp?formnumber=700-010-32. These may be signed by a local public official if an engineer is not on staff but may not be signed by a consultant.

The "Estimated Construction" date field should be the day that construction is anticipated to begin and should always be prior to the project completion date.

Project completion dates are not required on the project for R/W and PE phases unless earmark, demonstration, or discretionary funds are being utilized.

T. USING THE "COMMENTS" AND "NOTES" FIELDS IN FAMS AND OTHER MISCELLANEOUS INFORMATION

In general, comments should summarize the modifications being requested on the project. These will be transmitted with the project and will be reviewed by FHWA prior to approval. They should not include information which is department specific, such as phase numbers or obscure activity work codes which may be superfluous information to FHWA.

Notes, on the other hand, which are reviewed by both the district and central office federal aid staff, are an excellent method of capturing any relevant information to explain irregularities, status changes, special exceptions, dates, or other useful information. These are not transmitted to FHWA and will appear each time project edits are generated during the review process.

1. BOILERPLATE CONTRACT LANGUAGE FOR LAP PROJECTS

This provision has been added to new local agency program (LAP) and joint participation agreements (JPA), and emergency agreement contracts. LAP example:

> "If Agency fails to timely perform its obligations in submitting invoices and documents necessary for the close out of the project, and said failure results in a loss of the remaining unbilled federal (FHWA) funding either by federal withdrawal of funds or loss of state appropriation, Agency will be responsible for the remaining unbilled federal funds on the project. No other funds will be provided by the department. Agency waives the right to contest such removal of funds by the department, if said removal is directly related to federal (FHWA) withdrawal of funds or loss of state appropriation due to local Agency's failure or nonperformance. In addition to loss of funding, the department will consider de-certification of said Agency for future LAP projects."

The OOC, in consultation with the Office of General Counsel, has updated the Locally Funded Agreements (Non-PTO) – Financial Provisions and Processing, Procedure 350-020-300-n and the Financial Provisions for Joint Participation Agreements (Non-FLP), Procedure 350-020-301-i, have been updated to reflect the suggested language below.

The boilerplate language for agreements that are funded by FHWA must be updated to include the following language:

> "The Agency shall be fully responsible for the proper billing of any federal reimbursable costs or charges, including those incurred by its contractors and subcontractors. The agency shall timely submit invoices and documents necessary for the close out of the project.
>
> The Agency agrees to promptly reimburse the department for any and all amounts for which the department has made payment to the Agency if such amounts become ineligible, disqualified, or disallowed for federal reimbursement due to any act, error, omission, or negligence of the Agency, including missing or deficient documentation of costs and charges, untimely, incomplete, or insufficient submittals, or any other reason declared by the applicable federal agency.

The Agency agrees that the department may offset such amounts from payments due for work or services done under any agreement between the parties if payment for the Agency is not received by the department after *(Generally 90)* days of written notice from the department. Offsetting any amount pursuant to this paragraph shall not be considered a breach of contract by the department.

The Agency understands that if it fails to timely perform its obligations, or timely submit invoices and documents necessary for the close out of the project, the maximum limiting amount may become unavailable or reduced due to a removal or withdrawal of federal funds or a loss of state appropriation, and the department will have no obligation to provide funds from other sources. The Agency agrees that in the event the maximum limiting amount of this Agreement is reduced by such removal, withdrawal, or loss of funds, the Agency will be solely responsible for payment of costs and outstanding invoices no longer reimbursable due to the loss of funding."

In addition, if there is not already a start date in the agreement, language must be added setting a date certain by which the project must begin or the agreement becomes null and void. There should already be an end date. This will allow the department to pull the funding if the project does not start in a timely manner and FHWA requires the funds to be deobligated.

2. DEPARTMENT FINAL INSPECTION AND ACCEPTANCE FOR EMERGENCY RELIEF (ER) PROJECTS

There is a new Final Inspection and Acceptance website available for use on state administered (exempt) projects. The site is accessible from the Infonet → Offices → Work Program SharePoint →Work Program Applications →Federal Project Information → Final Acceptance Form, which will link to the following location:

http://webapp02.dot.state.fl.us/fmsupportapps/federalaid/FinalAcceptance.aspx

The form should be processed by contract number. All the FPN, the amounts for each financial project, DDIR number(s), and federal aid numbers will appear and can be selected for inclusion in the automated form.

Final Inspection and Acceptance for a contract that has more than one FAP No. or multiple projects that will be completed at different times may be closed by FPN. When the contract number is entered, the form will be populated with all of the associated phase/project(s) which are associated to that contract number and only those portions of the contract that are being final accepted should be selected. If all of the associated FPN are not selected, when the Print Suitable format button is selected, a note will be automatically inserted indicating: Note: This is a partial contract closeout.

3. INTERSTATE PROJECTS AND CAPACITY WORK MIXES

Projects on the interstate which are adding capacity through lanes will default to an 80/20 participation rate in FAMS for the soft-match calculation. Projects will still be entered at 100% on the AR Detail and the soft-match will be displayed on the FAR Update screen once the project has been submitted to review.

Projects for the reconstruction or new construction of bridges, interchanges, and over crossings along existing interstate routes, including the acquisition of right-of-way where necessary are not considered capacity and is eligible for 90% participation.

If there is any capacity work on the project that is adding through lanes, we will soft-match at 80/20. The amount of state and local funds associated to the project will affect the actual amount that is recorded for the project for the soft match calculation. Some work mixes are optional, such as 0022 - bridge replacement, as to whether capacity is being added. The FP Info page must be updated prior to any authorization requests being pulled. The system will not allow a pending authorization until

this field has been updated by the district federal aid coordinator. This determination should be made based on the plans and in consultation with the project manager.

The following work mixes have been identified as capacity work types and will default to added capacity in the system:

0002 NEW ROAD CONSTRUCTION

0020 NEW BRIDGE CONSTRUCTION

0023 BRIDGE-REPLACE AND ADD LANES

0025 BRIDGE-REHAB AND ADD LANES

0213 ADD LANES & RECONSTRUCT

0218 ADD LANES & REHABILITATE PAVEMENT

0547 ADD THRU LANE(S)

2000 RIGHT OF WAY - FUTURE CAPACITY

9982 PRELIM ENG FOR FUTURE CAPACITY

If any other funds such as Urban (SU) are to be used on the interstate, the 1.93% additive for sliding scale should not be included.

4. PAYBACK PHASES FOR LOCAL GOVERNMENT REIMBURSEMENTS

A note should be added on the Federal Project Information (FP Info) screen in FAMS indicating that the A8 phase does not need to be associated if it is part of a local government reimbursement.

5. EDIT ERRORS

Any edit error that cannot be corrected must include a legitimate explanation to proceed with federal aid authorization. Certification and transmission of projects with edit errors will be evaluated by the FAMO coordinators in central office on a case by case basis.

6. ESTIMATING FUEL OVERRUNS

FHWA has approved authorizing the estimated fuel/bituminous overruns that are expected to occur over the lifecycle of a construction project. These will be tracked by pay item and Activity 209 and will periodically be adjusted to actual amounts as other modifications to the project are needed. This should reduce the number of authorization requests for the project in the Federal Authorization Management System because the funds would be authorized in advance.

Please do not encumber these amounts. The OOC's current process will continue and they will be paid as unencumbered disbursements.

Please indicate in the FAMS comments the amount of the modification and that the increase is for "Anticipated Fuel/Bituminous Adjustments." The estimate should be added to the phase 52 of the construction project based on current prices and the remaining term of the contract.

APPENDIX D1 – WPA DEFINITIONS

1. WORK PROGRAM ITEM NUMBER

The system assigned, sequential, six digit number used to identify each work program project.

2. ITEM SEGMENT

The item segment is used to partition a project for scheduling or funding reasons. Item segments may be used when the boundaries of construction projects are different from the preliminary engineering and/or right of way (R/W) phase of a project. It may also be used when it is desirable to use the same item number to track projects along a corridor. For example, the Florida Department of Transportation (department) may want or need to let different segments at different times. Item segments may **NOT** cross county lines, except for districtwide items. Item segment numbers cannot be reused for a new project and must be retained for historical purposes.

Note the following:

- Lettings are done via item segment.
- Item status is tracked via item segment.
- English/metric indicator is tracked via item segment.
- Item segments are limited to nine per item.

3. PHASE

The work program phase consists of the phase group and phase type. Phase group identifies the various major areas of work performed by the department, such as planning, R/W, construction, etc. Phase type identifies who is being paid to perform the work on a department defined activity. Examples include in-house, consultant/contractor, etc.

PHASE GROUP	PHASE TYPE
1 - Planning	1 - In-House
2 - P.D. & E.	2 - Consultant/Contractor
3 - Preliminary Engineering	3 - Purchase
4 - Right of Way	4 - Grant*
5 - Construction	5 - Relocate
6 - Construction Support	6 - Utility
7 - Maintenance	7 - Railroad
8 - Operations	8 - Other Agency**
9 - Capital	9 - Indirect Support
A - Administration	A - Contract Incentive
B - Research	B - Service Contract
C - Environmental	C - Districtwide/GC***

A list of the phase groups and phase types is also available at the following link:
http://www2.dot.state.fl.us/fmsupportapps/workprogram/support/appendixd.aspx?CT=PH

Notes:

- Use phase type 4 when there is a grant number attached and it can be tracked in the Florida Accounting Information Resource (FLAIR) system. Typically the department is not involved in monitoring these projects.

- Use phase type 8 when department contracts with another governmental agency for services provided. The department will be responsible for the administration and oversight of the project (e.g., local agency program (LAP) projects).

- Do not use phase type C for direct programming. This phase is used as part of the automated redistribution of costs for districtwide/GC contracts.

4. FINANCIAL PROJECT SEQUENCE NUMBER

The number comprised of the work program item number, item segment, phase and financial project sequence number. Use a different financial project sequence if you would like to collect costs to isolate the project amount in the FLAIR system. For example, joint participation agreements with different utility companies should each carry a different sequence number. This is a two digit code.

5. PAY SEQUENCE

The pay sequence designates the order in which funds should be charged when multiple funds exist. This is an optional field and will default to pay sequence 1.

6. PROGRAM NUMBER

The two digit alpha numeric code used to crosswalk estimates to specific budget categories or classify generic phase usage. For example, program 07 identifies the arterial traffic operations improvement sub-program within the construction programs of the department. See the program plan crosswalk for specific combinations of program numbers allowed on each combination of transportation system and phase. Each combination of phase, transportation system and program number crosswalks to a specific program

line in the Program and Resource Plan. It also denotes a specific appropriation category, and, when combined with budgeting district, a specific budget entity.

7. OVERRUN FLAG

The overrun indicator flag for the cost allocation process. When set to N, it signifies that accounting transactions allocated to the project cost estimate must not exceed the amount authorized.

- Note: the system will not allow all estimates to be set to N.

8. TRANSPORTATION SYSTEM

This code identifies the major system designations used by the department to meet Federal Highway Administration (FHWA) or program plan requirements.

01 - Intrastate Interstate
02 - Intrastate Turnpike
03 - Intrastate State Highway
04 - Intrastate Toll
06 - Non-Intrastate Off State Highway
08 - Transit
09 - Aviation
10 - Rail
11 - Seaport
12 - Facilities
13 - Non-System Specific
14 - Transportation Disadvantaged Commission
15 - Multimodal
16 - Off State Hwy. System/Off Federal Hwy. System

A list of the transportation systems is also available at the following link:
http://www2.dot.state.fl.us/fmsupportapps/workprogram/support/appendixd.aspx?CT=TS

Some department programs do not use all the codes available. For example, routine maintenance programs use code 05 to represent routine maintenance performed on the State Highway System not otherwise identified as interstate, turnpike or toll.

9. OLD ITEM NUMBER

The numbers assigned prior to the conversion to the FM system. This field is no longer used.

10. CONTRACT CLASS

Describes which category the contract is a part of.

CLASS	DESCRIPTION
1	To Be Let (Contracts Let in Tallahassee)
2	Extern Mngd (Not LAP)
3	Studies
4	Miscellaneous (General Consultants, PD&E Studies, CM@ Risk, Districtwide R/W Support) - Projects that will not have a letting.
5	Local Agency Program (LAP) Contracts
6	Advanced Acquisition of Right of Way Only (Corridor Specific Acquisitions - No Phase 52 Identified in the FM system that will utilize this R/W project. See Part III, Chapter 29, Section 1.B.16)d) of these Instructions for further guidance.)
7	District Contracts (Contracts Let in Districts)
8	Box (Supplementals, Overruns, Litigation, AC Conversions)
9	Design Build (All phases Let As one contract for PE, Construction, CEI for FCO and Bridge Programs)

A list of the contract classes is also available at the following link:
http://www2.dot.state.fl.us/fmsupportapps/workprogram/support/appendixd.aspx?CT=CC

11. ITEM STATUS

This code specifies the stage of the project.

ITEM STATUS	DESCRIPTION
000	Candidate Line Item
003	Dropped/Transferred
005	Adopted/Not Begun
010	Pre-Construction Begun
014	Right of Way Acquisition Begun
016	Plans in District (9 mos.)
017	Plans in District (4 mos.)
018	Plans in District in Adopted 5-Year WP for APP
019	Plans in District Design-Build for APP
020	Plans/Right of Way in Central Office
021	Plan Package in District Contracts
024	Right of Way Clear/In Court
025	Plans in Central Office/Inactive
026	Plans in Readiness
028	Plans in District not in current 5-Year WP for APP
030	Advertised
040	Bids Received
045	Under Protest
050	Bids Rejected
060	Contract Awarded
070	Contract Executed
080	State Forces Construction
090	Under Construction
091	Work in Progress

095	Work Complete
096	Construction Complete
098	Complete Except Right of Way
099	Line Item Reopened
100	Line Item Completed

A list of the item statuses is also available at the following link:
http://www2.dot.state.fl.us/fmsupportapps/workprogram/support/appendixd.aspx?CT=ST

12. EXAMPLES FOR WP CODE LISTINGS:

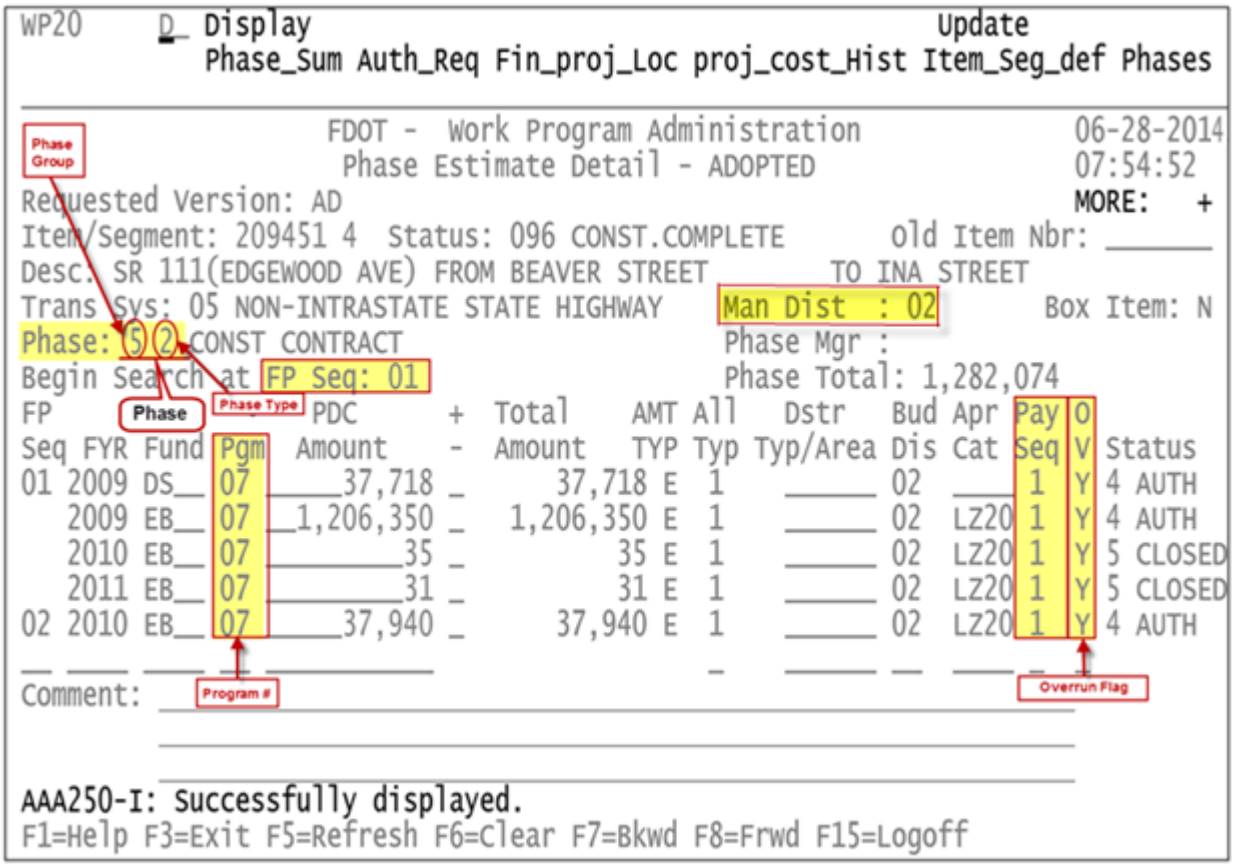
A. FIELDS IDENTIFIED ON THE ITEM SEGMENT DEFINITION (WP01) SCREEN:

- Item
- Segment
- Transportation system
- Contract type
- Status

```
WP01      D_  Display              Update              Item_Comm Phases Group
 Seg_Comm Location Change_Hist Status_Hist Phase_Est Phase_Sum Items Rel_Item
_____________________________________________________________________________
                      FDOT - Work Program Administration            12-16-2015
                           Item/Segment Definition                  10:36:57
                                                                    More:   +
Item: 209451  Segment: 4    Item Managing District: 02  Box Item: N (y/N)
Geo District: 02   County: 72 DUVAL          Project Mgr: KT/RM/CT_____________
Trans System: 05   NON-INTRASTATE STATE HIGHWAY      Contract Type: 1
Work Mix  . : 0/14 TRAFFIC SIGNAL UPDATE             Measure Type : E
Status  . . : 100  LINE ITEM COMPLETED               As of: 01-17-2012
Box Code  . : XX   EMRG: ____     Related Items: Y   Old Item Number: _______
Description :    (Version: Displayed - AD ADOPTED          Requested - G1 )
    SR 111(EDGEWOOD AVE) FROM BEAVER STREET TO INA STREET
Work Length: 2.538                           Project Length:      2.538 MI
                  Item Segment Comments                Type (1=xdesc, 2=misc)
 MULTIPLE SIGNALS / NEED PRESS RELEASE BEFORE CST                  2
 ADD ROW PHASES BACK, NEED NEW SCHEDULE. ( COJ COORDINATION )      2
 ________________________________________________________________  2
 ________________________________________________________________  2
 ________________________________________________________________  2
 ________________________________________________________________  2
AAA250-I: Successfully displayed.
F1=Help F3=Exit F5=Refresh F6=Clear F7=Bkwd F8=Frwd F15=Logoff
```

B. FIELDS IDENTIFIED ON THE PHASE ESTIMATE DETAIL (WP20) SCREEN:

- Managing district
- Phase (group and type)
- Financial project sequence
- Program number
- Pay sequence
- Oversight flag



13. ITEM SEGMENT STATUS UPDATES

The following status updates are driven by the WP20 screen in WPA, the Federal Aid Management System (FAMS) or the Project Scheduling and Management (PSM) system:

- Adopted, Not Begun (005) - WP20 and gaming adopt batch process: Set when the first phase on an item segment is adopted.
- Pre-Construction Underway (010) - WP20 (state funds) or FAMS (federal funds): When the first project delivery and environmental (PD&E) or preliminary engineering (PE) phase is authorized.
- R/W Acquisition Begun (014) - WP20 (state funds) or FAMS (federal funds): When R/W phase is authorized.
- Plans & R/W in Central Office (020) – PSM: When plans to Tallahassee actively occurs.
- Advertised (030) - Manually updated by Production Management staff: For contract class 1 projects only.
- Bids Received (040) - PSM: When this activity occurs and the status has not already been set by TRNS*PORT process. (Contract class not equal to 1.)
- Line Item Completed (100) - WP20: When last estimate is closed (status 5).

The following status updates are driven by a weekly batch process that runs against TRANS*PORT.

TRNS*PORT Status (TRNS*PORT Module)	Item Segment Status
Bids Received/Lettings (LAS)	Bids Received (040)
Award Date (LAS)	Awarded (060)
Execution Date (SIM)	Contract Executed (070)
Work Begin Date (SIM)	Under Construction (090) - Construction Or Work Underway (091) - Maintenance
Final Acceptance (SIM)	Construction Complete (096) (construction contracts only)

Note: District program staff must manually update item segments with construction contracts not in TRNS*PORT. Central office or district work program staff manually perform all other status updates.

14. PROJECT COST STATUS CODES

This code specifies the project cost status of the estimate.

CODE	DESCRIPTION
*	Undefined
0	Replaced
1	Candidate
2	Unauthorized
3	Dropped
4	Authorized

5	Closed
6	Finalized
7	Converted

A list of the project cost statuses is also available at the following link:
http://www2.dot.state.fl.us/fmsupportapps/workprogram/support/appendixd.aspx?CT=ES

15. DISTRICT CODES

The following table presents district and central office division codes with related managing, budgeting and geographic indicators.

- Managing district is the district or central office division responsible for the project's management.
- Geographic district is one of the seven physical districts in Florida where the project resides.
- Budgeting district is the district or central office division in which the budget will be requested.
- Production district is the district or central office division responsible for a group of phases when it differs from the managing district for the work program item.

DISTRICT/CENTRAL OFFICE DIVISION	CODE	MANAGE	BUDGET	GEOGRAPHIC
Central Office	00	No	No	Yes
District 1 – Bartow	01	Yes	Yes	Yes
District 2 – Lake City	02	Yes	Yes	Yes
District 3 – Chipley	03	Yes	Yes	Yes
District 4 – Ft. Lauderdale	04	Yes	Yes	Yes
District 5 – Deland	05	Yes	Yes	Yes
District 6 – Miami	06	Yes	Yes	Yes
District 7 – Tampa	07	Yes	Yes	Yes
Turnpike	08	Yes	Yes	No
Fin. Bgt Reserve	09	No	No	No
Secretary and Staff	10	Yes	Yes	No
Personnel	11	Yes	Yes	No
Trans. Disadvantaged	12	Yes	Yes	No
Administration	14	Yes	Yes	No
Comptroller	15	Yes	Yes	No
Data Center	16	Yes	Yes	No
Work Program	17	Yes	Yes	Yes
Planning	20	Yes	Yes	No
Environmental Management	21	Yes	Yes	No
Freight, Logistics and Passenger Operations	30	Yes	Yes	No
Florida Rail Enterprise	31	Yes	Yes	No
State Highway Engineer	40	Yes	Yes	No
Research Office	41	Yes	Yes	No
MPOAC Advisory Council	42	Yes	Yes	No

DISTRICT/CENTRAL OFFICE DIVISION	CODE	MANAGE	BUDGET	GEOGRAPHIC
Intermodal Systems Development	44	Yes	Yes	No
Construction	50	Yes	Yes	No
Toll Operations	60	Yes	Yes	No
Maintenance	62	Yes	Yes	No
Traffic Engineering Office	63	Yes	Yes	No
Motor Carrier	65	Yes	Yes	No
Safety Office	67	Yes	Yes	No
CME & Warehouse Operations	70	Yes	Yes	No
Unfinanced Budget Reserve	88	No	Yes	No
Financed Budget Reserve	89	No	Yes	No
Statewide	99	No	No	Yes

The list of district comparisons is also available at the following link:
http://www2.dot.state.fl.us/fmsupportapps/workprogram/support/appendixd.aspx?CT=DC

16. FUND ALLOCATION TYPE

Following are fund allocation codes, name and definitions.

- Code 1 REGULAR: The normal code for projects that require the use of state budget. Exceptions are made for program numbers 61, 69, 75 and 78, which are non-operating budget.

- Code 2 UNFUNDED: Not to be used at the current time. Reserve for future use.

- Code 3 REVENUE: No longer being used for new projects.

- Code 4 NON-BUDGETED: Used to identify funds not managed within the department's state budgeting process. Standard use is to identify federal funds from agencies other than FHWA which are paid directly from the federal government to local project sponsors without passing through the state budget.

- Code 5 PENDING CONVERSION: Coded to temporarily identify regular funds in the process of replacing advanced construction funds. When conversion is obligated, allocation type is changed to 1. These funds are not budgeted and should not normally be included as a use in the production accomplishment report (PAR).

- Code 6 TRANSFER: Used to indicate transfers from one outside agency to another outside agency or trust fund. Example of current use is for transfers from a FHWA fund to the Federal Transit Authority. The transfer amount is always coded without matching funds; include only the amount to be transferred. These funds are not budgeted but must always be included as a use in the PAR. Only for funds that do not generate an expenditure (pass-through dollars) with the exception of program number 75, State Infrastructure Bank to the Florida Turnpike Enterprise.

17. DISTRIBUTION AREA CODES

The following distribution area codes are to be used in conjunction with general use urban funds (SU, MU, BU) to identify specific transportation management areas, those with populations greater than 200,000.

CODE	DESCRIPTION
X01	Cape Coral
X02	Sarasota - Bradenton
X03	Jacksonville
X04	Pensacola
X05	Ft. Lauderdale - Hollywood - Pompano
X06	W. Palm Beach - Boca Raton - Delray Beach
X07	Daytona Beach – Port Orange
X08	Melbourne - Palm Bay
X09	Orlando
X10	Miami - Hialeah
X11	Tampa - St. Petersburg
X12	Bonita Springs – Naples
X13	Tallahassee
X14	Port St. Lucie
X15	Lakeland
X16	Winter Haven
X17	Kissimmee

A list of distribution areas is also available at the following link:
http://www2.dot.state.fl.us/fmsupportapps/workprogram/support/appendixd.aspx?CT=DA

18. COUNTY CODES

Code	County	Code	County	Code	County	Code	County
26	Alachua	73	Flagler	11	Lake	15	Pinellas
27	Baker	49	Franklin	12	Lee	16	Polk
46	Bay	50	Gadsden	55	Leon	76	Putnam
28	Bradford	31	Gilchrist	34	Levy	58	Santa Rosa
70	Brevard	05	Glades	56	Liberty	17	Sarasota
86	Broward	51	Gulf	35	Madison	77	Seminole
47	Calhoun	32	Hamilton	13	Manatee	18	Sumter
01	Charlotte	06	Hardee	36	Marion	37	Suwannee
02	Citrus	07	Hendry	89	Martin	78	St. Johns
71	Clay	08	Hernando	90	Monroe	94	St. Lucie
03	Collier	09	Highlands	74	Nassau	38	Taylor
29	Columbia	10	Hillsborough	57	Okaloosa	39	Union
87	Miami-Dade	52	Holmes	91	Okeechobee	79	Volusia
30	Dixie	88	Indian River	75	Orange	59	Wakulla
04	DeSoto	53	Jackson	92	Osceola	60	Walton
72	Duval	54	Jefferson	93	Palm Beach	61	Washington

Code	County	Code	County	Code	County	Code	County
48	Escambia	33	Lafayette	14	Pasco	97	Turnpike
						99	Statewide

A list of county codes is also available at the following link:
http://www2.dot.state.fl.us/fmsupportapps/workprogram/support/appendixd.aspx?CT=CO

19. SYSTEM CODE INTERRELATIONSHIPS

PROJECT LEVEL	DATA ELEMENTS
Item	Managing District, Box Code, Project Manager
Item/Segment	Geographic District, Contract Type, English/Metric Indicator, Project Status, Work Mix, Letting Information, Physical Inventory Code (Road, Bridge, Airport), County
Item/Segment/Phase	Production Manager
Item/Segment/Phase/Sequence	Budgeting District, Fund, Amount, Fiscal Year, Phase Status, Program Number, Distribution Area, Allocation Type

20. REFERENCES

A report that will run selected codes listed in Appendix D of these instructions is available at:
http://www2.dot.state.fl.us/fmsupportapps/workprogram/support/appendixd.aspx

The program plan crosswalk is available at:
http://webapp02.dot.state.fl.us/fmsupportapps/itemsegmentsearch/ProgramPlanCrosswalk.aspx