

I. PURPOSE

The working instructions define Stewardship and Oversight (S&O) responsibilities, activities, and assessment processes that will be used to evaluate compliance with the administration and program delivery of the Federal Lands Transportation Program (FLTP). These instructions are not meant to cover every step in the process. Rather, they solely include the S&O related considerations. This document follows a simple, sequential process:

1. What are the steps for requesting FLTP funds for program administration?
2. When a Federal Land Management Agency (FLMA) identifies a new project to be funded with FLTP funds – what happens next?
3. What are the S&O related roles, protocols, activities, and associated milestones required to advance the project to completion?

The intent of this document is to implement an effective and efficient S&O process that includes:

- Simplifying and streamlining S&O processes for Federal Lands Management Agencies (FLMAs) and Federal Lands Highway (FLH).
- Providing clear roles and expectations for administration and selection of projects funded under the FLTP;
 - Institutionalizing S&O related FLTP procedures supporting the development of a Program of Projects (POP).
 - Memorializing S&O related FLTP procedures supporting the financial accountability of program funds used by FLMAs for project delivery and administration.
- Describing the POP development process and establishing the multi-year POP Database as FLH's official program of projects system of record.

II. BACKGROUND

From 2018 to 2021, updated procedures on parent-child reporting by the child, (i.e., FLMA), were instituted after many coordination meetings between FHWA and FLMAs. The working instructions reflect the outcomes of those policy discussions and includes both established protocols used in FYs 2018-2021 in addition to new practices that reduce administration and oversight of FLTP FLMA-delivered projects.

III. SCOPE

The S&O working instructions apply to FLTP projects delivered by FLH and FLMAs and supersede previous FLH S&O guidance issued in 2014¹, 2016² and 2018³.

IV. ACRONYMS

AA – Associate Administrator
AoF – Authorization of Funds
AOP – Aquatic Organism Passage
BLM – Bureau of Land Management
BOR – Bureau of Reclamation
CAP – Compliance Assessment Program
CBO – Chief of Business Operations
CE – Construction Engineering
CFL – Central Federal Lands
CN – Construction
CR – Continuing Resolution
DD – Division Director
DOT – Department of Transportation
EFL – Eastern Federal Lands
ERFO – Emergency Relief for Federally Owned Roads
ERM – Enterprise Risk Management
FA DO – Federal-Aid Division Office
FHWA – Federal Highway Administration
FIRE – Financial Integrity Review and Evaluation
FLAP – Federal Lands Access Program
FLH – Federal Lands Highway
FLH DO – Federal Lands Highway Division Office
FLMA – Federal Land Management Agency
FLPP – Federal Lands Planning Program
FLTP – Federal Lands Transportation Program

¹ Federal Lands Highway – Stewardship and Oversight Guidance, December 2, 2014.

² Stewardship and Oversight Guidance: Supplemental Instructions for FLTP Partners, January 6, 2016.

³ Memorandum: New S&O Process for Programmatic Delivery of FLMA-Delivered Funded Projects, August 3, 2018

FS – Forest Service
FTA – Federal Transit Administration
FTE – Full-time Equivalent
FWS – Fish and Wildlife Service
FY – Fiscal Year
GTC – General Terms and Conditions
HFL – Headquarters Federal Lands Highway
HFPD – Office of Federal Lands Highway Programs Director
HQ – Headquarters
LT – Leadership Team
MOA – Memorandum of Agreement (see also PA and PMP)
NPS – National Park Service
NPM – National Program Manager
O&M – Operations and Maintenance
PA – Project Agreement, interchangeable with MOA and PMP
PCS – Permanent Change of Station
PDC – Programming Decisions Committee
PE – Preliminary Engineering
PgM – Program Manager
PMIS – Project Management Information System
PMP – Project Management Plan – interchangeable with MOA and PA
PMR – Procurement Management Review
POC – Point of Contact
POP – Program of Projects
PP&E – Planning, Programming, and Environment
PS&E – Plans, Specifications and Estimate
PT – Presidio Trust
ROW – Right of Way
SDOT – State Department of Transportation
SES – Senior Executive Service
SOP – Standard Operating Procedure
STIP – Statewide Transportation Improvement Program
S&O – Stewardship and Oversight

TIP – Transportation Improvement Program

USACE – US Army Corps of Engineers

USBR - Bureau of Reclamation

WFL – Western Federal Lands

V. FLTP PROGRAM ADMINISTRATION

Program Administration eligible fund activities

Eligible activities include:

- a) FTE government staff, inclusive of leave and benefits;
- b) Contractor staff supporting FLTP administrative functions;
- c) Program-related travel and PCS;
- d) Training directly related to implementing programmatic activities;
- e) Program-related expenses for licenses and certifications;
- f) Production and procurement of reports required by 23 U.S.C. Section 203 and /or requested by FHWA in support of Section 203 of title 23;
- g) Facility workspace; and,
- h) Office supplies, office equipment, and commercial software to support program administration functions.

This list is subject to change per discussions between FLH and FLMA HQ offices on the eligible list. These activities are listed in Attachment 2 of the program administration allocation memorandum. Refer to [Appendix 1](#) for an example of a program administration allocation memorandum including GTC (attachment 1), funded activities (attachment 2), and reporting requirements (attachment 3).

Funds for program administration should support program level requirements, i.e., requested funds will not be approved to support project-specific activities; including but not limited to, project oversight, project management, project administrative activities, planning, technical training, and travel pertinent to project's engineering activities, etc. FLTP funding for project support is addressed under the Program Management section later in the document.

Roles of HFL and FLMAs

The HFL roles include, but are not limited to:

- a) Collecting FLMA's annual program administration funding needs;
- b) Reviewing FLMA's requests to ensure requested activities are consistent with program administration eligible fund activities;

- c) Requesting and reviewing FLMA's quarterly reports and assets, reconciling and reporting inconsistencies with the original requirements documents submitted by the FLMA(s), and maintaining the reports in a centralized location; and,
- d) Coordinating recommended changes from the FLMA's with the HFPD.

The FLMA HQ roles should include, but are not limited to:

- a) Determining the FLMA's national program administration needs;
- b) Collecting and prioritizing program administration needs from the FLMA's regional offices, if applicable;
- c) Transmitting a single list of FLMA's program administrative needs by electronic letter (e-letter) to the attention of the HFPD;
- d) Producing, submitting, and distributing quarterly reports on program administration obligations and expenditures; and,
- e) Addressing questions from HFL NPMs as needed.

FLMA's Request for FLTP Funds for Program Administration

By June 15 of each FY, the HFL NPMs will request the FLMA's to submit their program administration fund needs for the upcoming FY. The FLMA's HQ Programs staff are responsible for providing their agency's program administration needs to HFL NPMs via e-letter by September 1st. The e-letter will be addressed to the HFPD and cc to HFL NPM. The communication of annual program administration needs will follow a template found in [Appendix 2](#).

HFL NPMs will communicate by e-letter the program administration funds approval to the FLMA within 10 business days of the receipt date by the requesting FLMA. The program administration announcement e-letter template can be found in [Appendix 3](#)

HFL will initiate the FLTP funds transfer to the FLMA for their entire annual program administration needs after October 1st, once the new authority funding becomes available. If Continuing Resolutions (CRs) restrict FLH's ability to fund program administration in its entirety in a single allocation, FLH and the FLMA HQ offices will determine the program administration funds amount to be made available and the HFL will initiate the FLTP funds transfer to the FLMA(s).

Subsequent FLMA written requests to FHWA may be necessary throughout the fiscal year to react to changes in program administration needs (both additional funds and/or significant changes to the approved plans not needing additional funds). These requests should revise the program administration needs template that was originally provided on September 1, with clear explanations of why these additional mid-year program changes are necessary for timely, efficient execution of the program. For these supplemental requests, HFL NPMs will follow the same procedures as identified above.

Transfer of Program Administration funds

Once the HFPD approves the program administration funds and FLTP funding becomes available, the HFL NPM will communicate the amount to be transferred to the FLMA to the HFL Finance Team staff. The HFL Finance Team staff within two business days from receipt will draft the allocation memorandum and submit for signature. Once signed within one business day, the HFL Finance Team staff submits it to the FHWA Budget office by email with a copy to the HFL NPM and applicable FLMA. The FHWA Budget office will process the transfer request via the Parent – Child methodology using the FHWA Form 370 within three business days.

FLMA’s management of FLTP funds for Program Administration

Following the FLMA’s receipt of FHWA’s allocation memorandum for program administration and posting of the Advice of Funds (Form FHWA-370), the FLMA is responsible for distributing (or assigning in a centralized FLMA system) the FLTP funds to their respective organizational units: regional, state, district, or field unit offices – collectively referred to here as regional offices. The FLMA has the flexibility to shift funds between regional offices as needed based on the requirements and needs of each agency (for example: as positions and other needs across the FLMA’s regional offices shift).

Quarterly reporting

Per the GTC in the program administration allocation memorandum, the FLMAs will submit the quarterly reports to the HFL NPMs. The FLMA’s quarterly reporting requirement to FHWA (Attachment 3 of the program administration allocation memorandum) satisfies FHWA’s internal accounting and program controls. The reports are due on:

- a) January 31st (status for FY quarter 1);
- b) April 30th (status for FY quarters 1-2);
- c) July 31st (status for FY quarters 1-3); and,
- d) October 31st (status for entire FY).

The HFL NPMs are responsible for reviewing the reports ([Appendix 4](#)) and will be providing the FLMAs a written acknowledgement of receipt (by email). The HFL NPM will email a summary of their review within 10 business days of receipt, to the FLMA HQ representative with copy to the HFPD, FLH S&O Coordinator and HFL Finance Team Leader.

If there are concerns, the HFL NPM and FLMA HQ staff will collaboratively solve discrepancies and/or issues. If the differences cannot be reconciled or there is a lack of an FLMA timely response, the HFL NPM will elevate the issue to the HFPD. The HFPD will follow up with and his/her counterpart in each FLMA, as appropriate.

Failure to provide complete and timely reports to FLH on the use of program administration funds may result in the delay of program administration funds in the subsequent FY until the current FY issues are reconciled and/or documentation, i.e., Attachment 3 in the allocation memorandum ([Appendix 1](#)), is provided by the FLMA.

Reprogramming program administration funds and end-of-year procedures

If the FLMA determines the funds previously transferred for program administration are not needed and want to reprogram them for construction needs within the same FY, the FLMA needs to send the request to the HFL NPM. The HFL NPM will coordinate the administrative change (withdrawal memorandum for the program administration funds and allocation memorandum for construction projects, both memorandum with the updated attachment 2) with the HFL Finance Team staff. The HFL Finance Team staff will submit to the FHWA Budget office with a copy to the HFL NPM and the applicable FLMA within three business days. No new FHWA Form 370 will be issued by the FHWA Budget office.

If the FLMA determines the funds previously transferred for program administration are not needed within the same FY, the FLMA needs to request the HFL NPM to withdraw the funds. The HFL NPM will request the HFL Finance Team staff to draft the withdrawal memorandum and request the HFL Finance Team Leader's signature. Once signed, the HFL Finance Team staff submits the withdrawal memorandum to the FHWA Budget office with a copy to the HFL NPM and applicable FLMA within three business days. The FHWA Budget office will process the withdrawal request using the FHWA Form 370.

In July, the FHWA Budget office reaches out to the FLMAs that received Federal funds and requests them to report the proposed amount to be returned to FHWA. Once received, the FHWA Budget office compiles and communicates this information to HFL. This process is known as August Redistribution. The HFL will proceed as needed.

If unused funds are identified after the end of the fiscal year, the funds will be restated once the next year program needs are approved for either program administration or for construction projects. (See example located in [Appendix 5](#))

VI. FLTP PROGRAM MANAGEMENT - POP DEVELOPMENT PROCESS

Eligible program activities cited in 23 U.S.C. Section 203:

- (A) program administration, transportation planning, research, preventive maintenance, engineering, rehabilitation, restoration, construction, and reconstruction of Federal lands transportation facilities, and-*
 - (i) adjacent vehicular parking areas;*
 - (ii) acquisition of necessary scenic easements and scenic or historic sites;*
 - (iii) provision for pedestrians and bicycles;*
 - (iv) environmental mitigation in or adjacent to Federal land open to the public-*
 - (I) to improve public safety and reduce vehicle-caused wildlife mortality while maintaining habitat connectivity;*

- (II) to mitigate the damage to wildlife, aquatic organism passage, habitat, and ecosystem connectivity, including the costs of constructing, maintaining, replacing, or removing culverts and bridges, as appropriate;*
- (v) construction and reconstruction of roadside rest areas, including sanitary and water facilities;*
- (vi) congestion mitigation; and*
- (vii) other appropriate public road facilities, as determined by the Secretary;*
- (B) capital, operations, and maintenance of transit facilities; and*
- (C) any transportation project eligible for assistance under this title that is on a public road within or adjacent to, or that provides access to, Federal lands open to the public.*
- (D) not more \$20,000,000⁴ of the amounts made available per fiscal year to carry out this section for activities eligible under subparagraph (A)(iv)(I).*

Roles of FLH DOs, HFL, and FLMAs

The FLH DOs roles include, but are not limited to:

- a) Coordinating the meetings with the FLMA staff to discuss the proposed projects;
- b) Meeting with the appropriate FLMA leaders to discuss and reach agreement on the proposed projects, delivery entity, and/or any foreseeable mid-year programming requirements;
- c) FLH DDs with FLMA designee(s) jointly approving or disapproving projects;
- d) Generating an e-letter that reflects the joint approval/disapproval of projects and other issues discussed and agreed upon between the FLH DD (or designee) and FLMA leader;
- e) Distributing the e-letter to the FLMA counterpart and the HFPD;
- f) Developing and maintaining the POP⁴, updating projects, and tracking funding;
- g) Working with FLMA staff to identify projects to be funded in the FY Obligation Plan (Ob Plan)⁵, including move-up and shelf projects, in coordination with HFL NPMs and FLMA HQ PMs;
- h) Communicating to the HFL NPMs the FLH DO funding needs;
- i) Ensuring all project documentation required under the PA has been received from the FLMA;
- j) Providing project roll-up status reports to the FLMAs and HFL NPMs;

⁴ The POP is an FLH multi-year programming database tool that includes all projected projects (including ones not yet approved), projected budgets by project, phase (PE, CE, CN), FY, and by the agency getting the funding.

⁵ The FY Ob Plan provides all parties with a constrained snapshot of project budgets to be funded in the current FY. The FY Ob Plan includes projects administered by both FLMA and FLH to be funded in the current FY. FLH NPMs will use the FY Ob Plan to develop the allocation memorandum with the list of FLMA-delivered work and the AoF for FLH delivered work to allocate the FLTP funds.

- k) Provide end-of-year accomplishment report data to FLMAs for use in FLMA end-of-year accomplishments report.

The HFL role includes, but is not limited to:

- a) Being a liaison with FLMA HQ offices;
- b) Reviewing the POP, coordinating regional ceiling amounts and reconciling concerns with the FLH DOs and FLMA HQ offices;
- c) With FLMA HQ office, jointly establishing performance targets for the statutorily defined program metrics, and coordinating performance targets among FLMAs;
- d) Discussing with FLMA how the proposed POP supports progress towards meeting the performance targets;
- e) Coordinating any proposed project or funding changes (e.g. loan/credits) suggested by FLH DOs with FLMA HQ, as needed;
- f) Coordinating the identification of projects to comprise the FY Ob Plan, including move-up projects, with the FLH DOs and FLMA HQ offices;
- g) Being a facilitator for national level projects priority discussions and move-up projects strategy, as needed;
- h) Requesting HFL Finance Team staff to process the allocation of funds to the FLMAs and to the FLH DOs;
- i) Requesting, reviewing, and tracking both FLMA and FLH DOs quarterly reports, consolidating information, and reporting findings to FLMA HQ; and,
- j) Monitoring roll-up program information during and at the end of the fiscal year.

The FLMA HQ⁶ office provides:

- a) An official liaison to FLH;
- b) FY ceiling amounts to their regional offices, if applicable;
- c) Proposed projects to the FLH DOs for coordination and approval as appropriate;
- d) Performance targets for the statutorily defined program metrics that are jointly established with the HFL;
- e) Assistance on how the POP demonstrates progress towards meeting the jointly defined performance targets;
- f) Baseline FY Ob Plan coordination with HFL NPMs and FLH DO staff as appropriate; and

⁶ The FLMA HQ office may delegate these duties down to FLMA regional offices (or equivalent) as necessary.

- g) Quarterly reports and end-of-year program accomplishments report to HFL NPM on the funds allocated to FLMA's.
- h) Scheduling and coordination for programming meetings;
- i) Project proposals, based on level of complexity, for inclusion on the Project List⁷ based on discussions with FLH DO;
- j) Prioritized Project List;
- k) To the appropriate FLH DO staff, project information to discuss, develop and maintain the program through coordinated program meetings;
- l) Coordination for the annual approval/disapproval e-letter between FLH DD and FLMA designee, that reflects the agreed upon list of projects, delivery entity, and/or other issues, (e.g., midyear project programming needs);
- m) Project funding obligation and expenditure status to update the POP (and/or other financial systems) with FLH DO staff;
- n) Development and execution of PA or PMP for project level S&O in partnership with FLH DO staff, with both parties' signature, and include the S&O checklist; and,
- o) All necessary project documentation, as determined by the project's S&O level, to the FLH DO for their respective action in a timely manner.

Project coordination, selection, and approval (see [Figure 1](#) below)

1. Meeting coordination:

FLH DO or FLMA staff will schedule and coordinate programming meetings with the appropriate counterpart in their respective geographic areas to identify new proposed projects for the Project List and review the POP at least annually. The FLMA POC will lead the project scope discussion. The projects to be identified will be in accordance with the goals and priorities established in 23 U.S.C. Section 203, FHWA-FLMA MOU, FLTP Investment Strategy submission, FLMA's Long-Range transportation plans⁸ and as applicable, asset and resource management plans.

The following table (Table 1) shows the meeting coordination required between FLH DOs and FLMAs:

⁷ The Project List is a comprehensive list of all projects programmed to use FLTP funding in the upcoming fiscal years. This report contains project summary information such as project type, brief description, complexity, proposed delivery agency, projected delivery year, estimated total project costs, and approval status. The FLH DD and FLMA leadership approves the proposed projects one-time only based on this list. The Project List is divided by region for NPS, FWS, or FS, and nationwide for USACE, BLM, BOR.

⁸ Long-Range Transportation plans are located at <https://flh.fhwa.dot.gov/programs/fltp/lrtp/>.

Table 1: FLTP Meeting coordination matrix

FLTP Meeting Coordination matrix			
FLMA	FLH	FLMA	FLH
BLM	HFL, CFL, WFL	FWS – Reg 5	EFL
USBR	HFL, EFL, CFL, WFL	FWS – Reg 6	CFL, WFL
USACE	HFL, EFL, CFL, WFL	FWS – Reg 7	WFL
PT	HFL, CFL	FWS – Reg 8	CFL
NPS – Reg 1 (NER, NCR)	EFL	FS – Reg 1	WFL, CFL
NPS – Reg 2 (SER)	EFL	FS – Reg 2	CFL
NPS – Reg 3, 4, 5 (MWR)	EFL, CFL	FS – Reg 3	CFL
NPS – Reg 5, 6, 7, 8 (IMR)	CFL, WFL	FS – Reg 4	CFL, WFL
NPS – Reg 8, 9, 10, 12 (PWR)	CFL, WFL	FS – Reg 5	CFL
NPS – Reg 11 (AKR)	WFL	FS – Reg 6	WFL
FWS – Reg 1	CFL, WFL	FS – Reg 8	EFL, CFL
FWS – Reg 2	CFL	FS – Reg 9	EFL
FWS – Reg 3	EFL	FS – Reg 10	WFL
FWS – Reg 4	EFL		

Notes: For FLMAs with two or more FLH DOs, FLH will coordinate which office will take the lead.
All meetings not listing HFL as a required participant, may include HFL as an optional participant.

The FLH DOs or the FLMA, as appropriate, shall invite the applicable FLH DOs and FLMA HQ PMs to the coordination meetings. For regional meetings with the NPS, FS, and FWS, HFL NPMs will participate at a minimum⁹ in three FLH Division- FLMA Region meetings per FLMA. For centrally managed programs (BOR, USACE, BLM and PT), the HFL NPMs will participate in all programming meetings.

2. Project discussions between FLH DOs and FLMAs:

FLMA Regions and/or FLMA HQ offices and FLH DOs will discuss the proposed projects to be funded. Project discussions, at a minimum, must address the following key areas:

- a) Project description:
 - i. Scope
 - ii. Location
- b) Eligibility as per 23 U.S.C. Section 203(a)(1),
- c) Project merits: how does the proposed eligible project advance the statutorily defined program goals of:
 - i. a state of good repair of transportation facilities;
 - ii. a reduction of bridge deficiencies;
 - iii. an improvement of safety;

⁹ The minimum of three meetings must span across the three FLH DOs to provide the HFL NPMs with an understanding of each FLH DOs programming approach.

- iv. high-use Federal recreational sites or Federal economic generators; and,
 - v. the resource and asset management goals of the Secretary of the respective FLMA over the eligible projects.
- d) Analysis to designate project S&O level based on the project complexity,
 - e) Estimated total project costs:
 - i. Preliminary Engineering (PE), Construction (CN), and Construction Engineering (CE) can be rolled-up into one estimated cost; and,
 - ii. Historical percentages can be utilized to estimate PE and CE costs.
 - f) Options for delivery organization and method,
 - g) Funding for preliminary scoping purposes where:
 - i. Partial funding can be provided for scoping purposes. The intent is to gather additional project information needed to understand the project's complexity and identify the S&O project level and delivery agency. It shall not exceed \$50,000 per project.
3. Project approval:

Once finalized, the Project List will be presented to the FLH DD and FLMA designee for joint project delivery approval with title 23 funds.

The Project List is due by August 1st of each FY.

Following the submission, the FLH DD and FLMA leader counterpart meet to evaluate the Project List and provide a final decision within 20 business days. The projects on the Project List will be approved or disapproved based on eligibility, and the projects' merits per the statutorily defined FLTP program goals¹⁰.

These FLMA working instructions support many areas, including:

- a) providing the FLMA Region/FLMA HQ office and FLH DO an opportunity to discuss and decide upon projects openly, candidly and collaboratively,
- b) precluding any surprises when the final decision e-letter is distributed,
- c) allowing the FLMA Region (or FLMA HQ) and FLH DO to identify alternative projects to be approved and obligated, and
- d) reducing any consternation by both parties and need for an appeals process that can linger well into the FY.

By the first week of September, the deliverable will be a decision e-letter to the appropriate FLMA counterpart¹¹ with the FLTP Project List with approval status

¹⁰ Refer to the Performance Management section of the Implementation Guidance for the Federal Lands Transportation Program located at: <https://highways.dot.gov/sites/fhwa.dot.gov/files/docs/federal-lands/programs/federal-lands-transportation-program/8186/fltp-guidance-cleared.pdf>

¹¹ Note: The letter will be address to the FLMA Regional Director or to the FLMA HQ liaison for nationally centralized programs.

attached. The e-letter will include the list of projects approved and disapproved, including a justification for disapproving a project. A copy of the e-letter will be distributed to the HFPD who will forward the e-letter to the appropriate HFL NPM and FLMA HQ PM counterpart(s). A template e-letter is provided at [Appendix 6](#).

Midyear project additions are permitted on an exception basis only. Extenuating, uncommon circumstances should be the filter for such an approval. The FLH DD and FLMA designee jointly retain the authority to approve midyear projects funded with title 23.

Note: Project approvals is a FLH DO role. HFL staff will not participate in meetings with FLMAs related to project approvals/denials.

Multi-year POP and baseline FY Ob Plan

Once the project approval process is completed, staff attention is directed toward the multi-year POP and the next fiscal year obligation plan.

The multi-year POP Database is FLH's official program of projects system of record. It will serve as FLH's official repository of approved projects, including the delivery agency, and FLMAs are encouraged to use it, to promote greater consistency and accuracy. To encourage its use, FLH will fund FLMA efforts to interface with the POP database.

1. POP Development and Updates:

The FLH DD and FLMA approved Project List is included in the POP by the FLH Division staff.

The FLH Division staff is responsible for following-up with the FLMA region and/or FLMA HQ staff (depending on the FLMA) to address any/all questions/concerns and updating the project information in the POP throughout the year. FLMAs and FLH DOs should focus on opportunities for efficient and effective delivery of program (ex. leveraging CE staff, advantages of building shelf, FLMA and FLH workload capacity, etc.). The participants should collaboratively discuss and develop a strategy to identify approved move-up projects, strive for full utilization of available funds, develop a fiscally constrained program, and utilize loan/borrow flexibilities as needed.

To fiscally constrain¹² the program, **by March 15th** of each FY the HFL NPMs will provide the anticipated total program funding distribution to the FLMA HQ POCs. The anticipated total program funding will be based on the FLMA Regional funding distributions calculations communicated to the HFL NPM by **April 1st** of the previous FY. For example, by March 15th of FY 2022, HFL NPMs will inform FLMAs the

¹² Fiscally constrain: means that the TIP includes sufficient financial information for demonstrating that projects in the TIP can be implemented using committed, available, or reasonably available revenue sources, with reasonable assurance that the federally supported transportation system is being adequately operated and maintained.

estimated amount of funding to expect for FY23. The HFL NPMs will provide the information to the FLH DO. The FLH DO shall collaborate the regional funding distribution with their FLMA representative as appropriate.

Loan/credit flexibilities between FLTP programs and/or and the Federal Lands Access Program (FLAP) are permitted under a Transportation Bill authorization period, but not during the last year or any Extension Act of a Transportation Bill because repayment is not guaranteed. HFL NPMs will communicate to the FLH DOs and FLMAs when loan/borrow flexibilities are not allowed between FLTP/ FLAP programs. FLMA internal FLTP funds loans between regions to advance projects are an FLMA prerogative and not restricted.

All project changes delivered either by FLH or FLMA should be noted in the POP. The FLH Division staff should include a comment describing the approval rationale if the FLH DD project approval occurred off schedule. The HFL NPMs will support the FLH DOs efforts as needed, but the ultimate responsibility to develop and update the POP lies with the FLH DO. HFL NPMs will not be communicating directly with FLMA regional staff – that is the role of the FLH DO.

2. Baseline FY Ob Plan:

The HFL NPMs will extract the baseline FY Ob Plan from the POP and distribute by e-letter to the FLMA HQ counterparts and FLH CBO for a final review by the last business day of the second week of September of each FY. FLMA HQ and the FLH CBO have 10 business days to communicate any concern. If no responses are received, it will be considered acceptance.

If the FLMA HQ requests project changes to the baseline FY Ob Plan, the HFL NPMs will communicate the changes to the FLH DOs for their action.

By October 1st of each year, the HFPD will send an e-letter listing the projects being funded the next FY to the applicable FLMA HQs staff and cc the FLH DO.

FLTP funding allocation

FLH will transfer the full amount of funding for FLMA work at the beginning of the FY or as soon as funding becomes available. If applicable, the funds allocations will be capped at the CR levels at the time of the transaction. The FLH DOs and the FLMA (HQ and/or Regions as applicable) will jointly decide how to divide funds between approved projects delivered by the FLMA vs FLH that have been identified on the POP during a continuing resolution. For FLH delivered projects, the AoF template ([Appendix 7](#)) will be used. For FLMA delivered project the allocation memorandum template, including GTC and Reporting requirements ([Appendix 8](#)) will be used.

Quarterly reporting

To ensure FHWA's S&O role is satisfied, FLMA HQ is required to provide quarterly project status reports to HFL NPMs using the template provided on the allocation memorandum, attachment 3, titled "Project Funds and Performance Status Report." Similarly, the FLH DOs will generate and distribute project roll-up reports to HFL NPMs and FLMA HQ staff so transparency is supported on the whole program. The end of year report will clearly show the allocation, obligations, expenditures, and carryover for the life of the project so that the POP can be appropriately updated to reflect project carryover.

This allows the NPMs at both agencies to have the full breadth of project and performance information needed to manage the program. The quarterly project status reports template and instructions are in [Appendix 9](#).

The quarterly project status reports are due by both FLMAs and FLH DOs:

- a) January 31st (status for FY quarter 1);
- b) April 30th (status for FY quarters 1-2);
- c) July 31st (status for FY quarters 1-3); and,
- d) October 31st (status for entire FY).

The HFL NPMs will distribute the FLMA quarterly reports to the FLH PP&E Branch Chief.

Discrepancies and/or issues are to be reconciled collaboratively between FLH DO and FLMA HQ programs staff. If no response is received within 5 business days, the HFL NPMs will elevate to the HFLP Director who will contact the appropriate FLMA and/or FLH DO counterpart to reconcile.

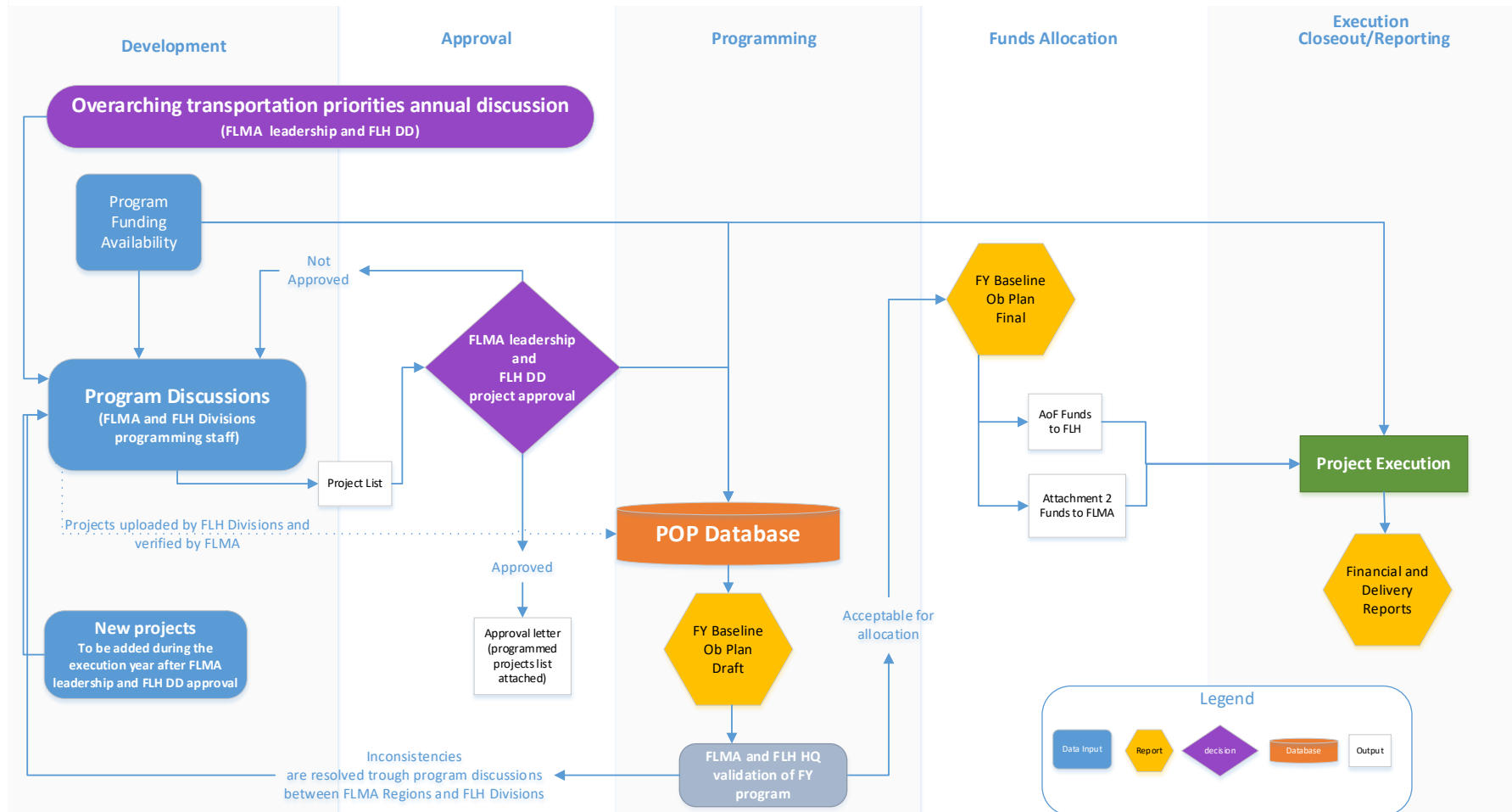
Failure to provide complete and timely project reports may result in the delay of future funds allocation.

Reprogramming Program Management funds and end-of-year procedures

The HFL NPM will execute administrative changes on the allocation memorandum if the FLMA determines the funds previously transferred for construction projects are not needed within the same FY. The FLMA needs to coordinate the POP changes with the FLH DOs. Similarly, the FLH DOs need to communicate with the FLMA on funds previously transferred for construction projects that are no longer needed the same FY and update the POP accordingly.

Figure 1: FLTP- Program Development General Process

FLTP - Program Development General Process



Note: FLMA regional leadership or national leadership for centralized managed programs.

VIII. FLTP S&O PROCESS FOR FLMA DELIVERY

These procedures, protocols, and tools represent S&O processes and expectations on the administration of the FLTP when both; FLH and FLMAs, deliver projects.

1. S&O Level Determination

To help guide the discussion and determination between the FLMA and FLH DO on the proper S&O level and to encourage consistency, Table 2 was developed to list common project components and their typical S&O Level. These are intended to provide typical project scenarios; it is not an all-inclusive list. After joint project discussions it may be determined that a project requires a different S&O level from what is suggested in Table 2.

FLH will coordinate with FLMA staff to determine the S&O level of the project based on discussions and/or scoping visit reports. Additional information can be requested or gathered by FLH before making an S&O level determination.

If the FLMA and FLH DO cannot come to an agreement on the appropriate S&O level, the FLH DO and the FLMA should use the following process:

1. Collaboratively complete a FLTP Project Discussion Questionnaire (see [Appendix 10](#)).
2. The FLH DO and FLMA will use their professional judgment on how to address outlier projects and, where appropriate, err on the side of collaboration.
3. If agreement cannot be reached, it should be elevated internally within the FLH DO and the FLMA. The DD has final delegated FLH authority to discuss and reconcile disagreements with FLMA staff regardless if FLMA staff are located regionally or in the HQ office.

Table 2 – Typical FLTP S&O Levels based on Project Components

	Project Component	Programmatic Level S&O	Project Level S&O
1	Transit Equipment and Services (via Concessionaire)	<u>Including purchase</u> of driver-led buses and shuttles owned by FLMA. Includes highway and water transit services, charging stations	Purchase of autonomous vehicles/buses/shuttles owned by the FLMA Purchase of Ferryboats by FLMA
2	Transit related Capital Improvements	Transit Shelters / Public Stops / EV Charging stations	
3	Docks and Boat Ramps	Rehabilitation or replacement of boat ramps including adjacent parking lot rehabilitation, associated trail work, and restroom facilities as needed	New construction, replacement, rehabilitation, preservation of water dock facilities
4	Parking Lots	New construction, reconstruction, rehab. preventative maintenance, signing and/or striping	Complex parking lot and safety issues
5	Realignment and Widening	Trail realignment	Roadway realignment or substantial widening
6	Design Exceptions	Minor design exceptions	Major design exceptions related to safety
7	Geotechnical	Structural foundations that meet geotechnical site requirements (bridges without special/complex substructures)	Embankments with certain heights or soil conditions that have a high level of risk Major retaining walls (cut or fill side) with certain heights or in soil conditions that have a high level of risk
8	Hydraulic	Minor culvert replacements <48”	Major hydraulic analyses Major culvert replacements >48” Scour analysis for bridge foundations
9	Structures/Bridges	Standardized/prefabricated timber and trail bridges with standardized substructures Cyclical maintenance activities	Bridge construction and replacement Major work required to restore the structural integrity of a bridge, as well as work necessary to correct major safety defects. Condition-based Maintenance Activities ¹³ on bridge components in response to known defects
10	Paved or Gravel Surfaces	Paved - Preservation and preventative maintenance activities including; asphalt crack sealing, chip sealing, slurry or micro-surfacing, thin and ultra-thin hot-mix asphalt overlay, concrete joint sealing, diamond grinding, dowel-bar retrofit, and isolated, partial and/or full-depth concrete repairs to restore functionality of the slab; e.g., edge spalls, or corner breaks only.	

¹³ Condition-based maintenance activities are performed on bridge components or elements in response to known defects. Condition-based maintenance improves the condition of that portion of the element but may or may not result in an increase in the component condition rating.

		Gravel - Preservation, preventative maintenance, and rehabilitation work performed on the road which generally involving loosening of a significant amount of material, adding aggregate material, and changing part of, or much of the cross section of the roadway, including foreslopes and ditches. Dust abatement Stockpiling of gravel for maintenance use is not eligible under title 23	
11	Environmental	Routine Categorical Exclusions or EA's Routine environmental mitigation	EIS Complex environmental mitigation?
12	Right of Way	Transfer or formalizing a Highway Easement Deed with local agency	Purchase of non-federal ROW
13	Miscellaneous	Restrooms Roadside safety hardware (guardrail, crash cushions, breakaway signs/lighting, etc.) in compliance with SDOT standards and details	Wildlife crossings EV Charging Stations Roadside safety hardware NOT in compliance with SDOT standards and details New Emerging Technologies/ Initiatives

NOTE: In addition to the project attributes listed above that are used to determine the project complexity and the S&O level, the total cost of the project is also a consideration – the higher the cost, the higher the potential risk to the program. Therefore, FLH determined that a two-million-dollar mark will be used. The two-million-dollar mark is not to be used to identify delivery agency and should not automatically cause projects to be assigned to a higher S&O level but instead to ensure collaborative discussions regarding potential risks and delivery mitigation factors occur when this mark is reached. The intent is for the S&O level to be jointly determined based on the content of the discussion.

2. S&O Requirements

2.a Programmatic S&O Requirements

The title 23 requirements and FHWA’s expectations of the FLMA are included in FLH’s Allocation Memorandum GTC and reporting requirements. These provisions satisfy the S&O requirements. FLH staff may also elect to request project documentation on any FLMA delivered Programmatic S&O Level projects at any time, if desired. Moreover, this subset of FLMA delivered projects may be included in program and/or project reviews led by HFL program staff.

Projects determined to only need Programmatic level S&O typically do not require a separate project agreement. Project documentation should not differ from that of a Project Level S&O project. The only difference is that a Programmatic Level S&O project does not require FLH action to advance. When the FLH DD approves FLMA delivered projects and the FLTP funds are transferred to the FLMA, FLH transfers the project S&O responsibility to the FLMA, while retaining the overall program S&O responsibility. Therefore, the GTC requirements contained in the FHWA's allocation memorandum apply.

2.b Project Level S&O Requirements

Projects identified as Project level S&O require the development of an S&O checklist ([Appendix 11](#)) and a project agreement ([Appendix 13](#)) describing the project documentation to be submitted throughout the life of the project for FLH action. The FLMA is responsible for timely submittals of the project documentation to the applicable FLH DO at the different project phases for FLH action for funding allocation. Similarly, the FLH DO is responsible for concurring, reviewing and/or approving submittals in a timely manner so funding for the next phase of the project can be provided to the FLMA. The following Project Level S&O requirements apply throughout the life of the project. When a FLMA elects to deliver a title 23 funded project, FLH must ensure the delivery processes used by the FLMA meet requirements of the title. A PA will be used to document the specific roles of the FLH DO and the FLMA as well the deliverables, funding sources, project specific requirements, etc. Please note, for some agencies the term "agreement" carries certain legal requirements. The title of the document may be changed to make it more applicable for its intended use. Accordingly, the following procedures and tools described below:

- a. The FLH DO Point of Contact (POC) will generate an S&O checklist jointly with the FLMA. (See [Appendix 11](#)). The S&O checklist includes documentation and deliverables expected from the FLMA, information needed for the terms of the PA, and defines actions required by both parties. The items selected on the checklist will be included as part of the written PA with the FLMA. The checklist will be tracked by the FLH DO POC and the FLMA.
- b. Specific items to consider for inclusion in the PA are cited in [Appendix 12](#). The FLH DO POC and the FLMA, will collaboratively determine how to leverage the items listed and/or amend the list based on project requirements in writing. For construction funds, a jointly signed PA between the FLMA and the appropriate FLH DO must be completed before the funding allocation occurs by the HFL NPM. The PA will reflect the FLH DO and FLMA's S&O role. A sample PA can be found in [Appendix 13](#).
- c. During the life of a project, the FLH DO POC and the FLMA will co-manage the required actions identified in the PA. The FLMA will provide deliverables to the FLH DO POC and the FLH DO POC will ensure deliverables in the written PA and identified

in the S&O checklist are being received, reviewed, concurred upon, and/or approved as necessary.

- i. The following documents must be approved (*not just reviewed) by FLH DOs before the next phase of project development commences: NEPA document, design exceptions, ROW/utility certification, Plans, Specifications, and Estimates (95%).
- d. Funding for projects will be allocated by phase (PE, CE/CN) once the FLH DO approves the respective documentation provided by the FLMA per the PA. The HFL NPM will allocate funds to the FLMA after the FLH DOs POC provides confirmation of approval of the appropriate deliverables from the FLMA.
- i. If the project deliverables are not received in accordance with the timeline outlined in the PA, the FLH DO will follow the escalation process/conflict resolution matrix in the PA to obtain project documentation and/or deliverables from an FLMA. If attempts are not successful, the request should be elevated internally between the FLH DO and the FLMA counterpart to achieve resolution. Likewise, if the timely reviews are not received from the FLH DOs, the matter will be elevated accordingly.
- e. All FLMA delivered, Project Level S&O project documentation, including the executed PA, will be stored and maintained by FLH in a single location accessible by all FLH staff. The single location will be the official FLH repository for conducting S&O assessments. The project documentation stored in this location must be kept current by the FLH Divisions. This practice supports efficient business practices and easy access to project information to support S&O activities by HFL NPMs and potential auditors. The FLH Divisions will store these files on their respective servers as official records.
- f. It is the discretion of the FLH Divisions to visit FLMA delivered project sites and observe the delivery practices of Project Level S&O projects. Any planned project visits at the DD level will be coordinated with the appropriate FLMA HQ office and communicated to the applicable HFL NPMs for their situational awareness. The subset of visit findings and/or recommendations that relate to the FLMA HQ must be coordinated through the HFL NPM.

3. FLH Delivered Project Requirements

Projects delivered by FLH Divisions will follow the roles and responsibilities established in the PA between FLMA and FLH. These roles and responsibilities include similar requirements to the FLMA delivered Project Level S&O requirements described above. The FLH DO and the FLMA will collaboratively define their roles, responsibilities, terms and actions required by both

parties in the PA. Although the complexity level of the project may vary, all project documentation is required to be shared and reviewed with the FLMA facility owner throughout the life of the project, including detailed design information upon request from the FLMA.

4. Agency Force Account¹⁴

Per 23 USC 203 (a)(5), FLTP projects are to be performed by contracts awarded by competitive bidding. As an exception, agency force account can be used only when the DOT Secretary or the Secretary of the appropriate Federal land management agency affirmatively finds that, under the circumstances relating to the project, a different method is in the public interest. A “public interest” finding (PIF) must be approved by the Secretary (or official designee) of the appropriate FLMA, and FLMAs shall provide the PIF and Secretarial approval to FLH. *Please note, delegation letters are not required.* Elements and factors of the PIF may include but are not limited to the following:

- i. Availability of commercial sources, including small businesses, in the project area,
- ii. Effect on the Small and Disadvantage Business Utilization Goals,
- iii. Whether the agency typically has federal employees performing the work,
- iv. Estimated cost of federal employee performance versus contractor performance,
- v. Project Complexity,
- vi. Size of the project,
- vii. Location of the project,
- viii. Urgency of the need for the project,
- ix. Benefits to the agency for using agency force account,
- x. Other internal Federal agency considerations/requirements used to justify use of agency force account.

FLH does not approve FLMA agency force account requests. Upon receipt of the PIF and Secretary-approval from the FLMA, the FLH DD (or delegated designee) has the responsibility to determine that the PIF has addressed the agency force account request satisfactorily. FLTP project funds will be made available by HFL to FLMAs only after agency force account documentation has been received, reviewed, and concurred on by the FLH DD.

IX. COMPLIANCE ASSESSMENT PROGRAM REVIEWS

The purpose is to provide reasonable assurance that projects funded with FLTP funds comply with key title 23 federal requirements.

1. The biennial review will be performed on FLH and FLMA Delivered projects by HFL NPMs, in collaboration and coordination with FLH DOs and FLMA’s.
2. At the beginning of May every other FY, the HFL NPMs will randomly select up to four (4) projects from the POP for each program. The project sample will consist of up to 2

¹⁴ The term “agency force account” shall mean the direct performance of transportation construction work by using federal labor, equipment, materials, and supplies, in place of a construction contract awarded by competitive bidding. The term shall also include other non-competitive bid scenarios for transportation construction projects funded in whole and/or in part with FLTP resources

projects each per FLMA, and FLH DO that have gone to construction during the previous 12 months. There may be cases where more projects may be reviewed if the program size warrants an increased review. The project file information, stored in a location TBD, will be reviewed for compliance by the HFL NPMs.

3. The HFL NPMs will use the template located in [Appendix 14](#) to conduct the CAP review. These reviews consist of checking documentation against the S&O check list and PA/PMP/MOA to ensure the federal requirements have been met. No travel or site visits are needed for these recurring, biennial CAP reviews by HFL NPMs. HFL reserves the right for a more detailed program or partner delivery review on site. To reiterate, it is important all project file information is stored in the single repository. This is the responsibility of FLH DOs.
4. If a selected project falls within the Programmatic S&O level category, the HFL NPM will request the project documentation to the FLMA HQ.
5. The HFL NPMs will compile the information into a single report and provide a draft of the report to the FLMA HQ for comment. If needed, the FLMA will develop a Plan of Corrective Action (PCA).
6. After FLMA comments are incorporated and PCA developed (as needed), the HFL NPM will brief the FLH CBO and PP&E Branch Chiefs on the results. Thereafter, the information will be shared with the FLH SES LT.
7. The HFL NPMs will communicate the CAP review results and applicable PCAs to FLMA HQ.

All CAP review results will be stored and maintained in the single file repository, along with project file information, at a location TBD. Any follow-on actions associated with the review will be tracked and monitored accordingly by the HFL NPMs. All information will be accessible to FLH DOs. Partner-specific information will be shared, as appropriate.

X. ANNUAL ASSESSMENTS ON PROGRAMS, PROJECTS, AND PROJECT ENGINEERING FUNCTIONS

FLH will perform annual assessments and will continue to apply Enterprise Risk Management (ERM) principles and practices to the program office's evaluation of program and project delivery including S&O activities. The annual assessments are intended to generate cross-unit discussions and analyses on business operations and document notable practices for wider FLTP program use, including FLH and FLMA delivery areas.

The general process is as follows:

1. HFL will coordinate annually with FLMA HQ on the analysis of data and information, solicit feedback from internal and external stakeholders, discuss potential review areas during the Annual Business Meeting, and develop one or more proposed review areas for the FLH SES LT's approval. The HFL S&O Coordinator will be responsible for the generation and vetting of candidate program assessment topics and/or project delivery engineering practices with staff and leadership.
2. The proposed review assessment area(s), for the following FY, will be coordinated and align with the agency's program assessment area selection process which generally occurs in July of the current FY. The scope of the review/assessment may vary, e.g. it may look at only specific phases such as environmental compliance or transportation planning or it could be more overarching e.g. focus on holistic view of program.
3. The approved review area(s)/topics will inform the composition of the assessment review team (aka review team or assessment team). The HFPD in coordination with the FLH SES LT will determine who will be leading the different assessment review teams. The HFL S&O Coordinator can assist on coordinating the development of assessment teams and participate on the review teams as warranted.
4. The assessment review team may be comprised of HFL and FLH DO staff; other FHWA offices; and/or FLMAs to ensure the proper expertise and experience of team members exists. The team will seek opportunities to leverage resources that promote independence and unbiased review.
5. The assessment review team will develop a review plan and submit to the HFPD for approval. The HFPD will coordinate with the FLH SES LT, FLH CBO and FLMA HQ Leadership as applicable.
6. The review team will conduct Entrance and Exit meetings with the host offices/organizations (e.g. FLH DOs, and/or FLMAs leaders.) The scope and target timeline of a typical assessment is approximately 1-2-week period but could span longer if field reviews are needed. Information will be requested and collected based upon the assessment focus area. Host offices/organizations of assessment review team representatives should plan for 80 business hours, including any travel.
7. The assessment review team will generate a report to help improve processes, ensure compliance and to provide consistency. The audience of assessment reports are the FLH SES LT, FLH CBO and FLMA HQ Leadership.
8. An initial draft report will be shared with the FLH DO and FLMA within 30 days from the initiation of assessment, last site visit or virtual outreach to clarify information. The

FLH DO and FLMA will have 10 business days to provide clarifying comments to the assessment review team. In the absence of comments, the team will move forward to finalize the report.

9. Within 60 days after the assessment initiation, a final report will be generated and presented to the FLH CBO, FLH Chief of Engineering and/or FLMA directly with a courtesy copy provided to the FLH SES LT, Directors of Finance/Data Integrity and A&E/Construction Acquisitions and Special Assistant. The assessment team leader will coordinate a final briefing with both FLH and/or FLMA leadership.
10. Once the report is finalized, the approval authority to share report results outside FLH (for privacy purposes) resides solely with the FLH AA. One predictable exception may be an external auditor's request for past program assessment information. In this case, relevant assessment report materials will be provided to an auditor by the HFPD. In consideration of this scenario, the authors of future, annual assessment reports will be instructed to draft their team findings and recommendations in a constructive and professional manner. The written narrative will describe notable practices and improvement opportunities thoughtfully and judiciously. In the unlikely event that serious compliance issues are observed *during* the assessment review, they will be communicated by the assessment team leader to the HFPD before the final report is drafted. Further instructions to the team will be forthcoming by the HFPD following consultation with applicable FLH business council members and executive leaders.
11. If the assessment finds opportunities for improvements and/or corrective actions, a process improvement/corrective action plan will be generated by the host division/office and/or FLMA within 45 days of the final report date. The FLH CBO, FLH Chief of Engineering and/or FLMA will identify which findings and recommendations will be acted upon. Follow through will be monitored by the FLH DOs leadership first and foremost followed by the appropriate HFL NPM and/or FLMA HQ program manager(s) (if applicable) and HFL S&O Coordinator.
12. As this process develops fully, the HFL S&O Coordinator will perform an analysis of report findings, approved recommendations, and follow-up actions to help the program office and FLMAs ascertain if progress is being made and/or if trends are starting to appear that require closer examination. Analysis will also assist in defining subsequent scope(s) of reviews.
13. Review reports and corresponding process improvement/corrective action plans will be posted on an FLH secure server. This internal FLH site will serve as a central repository.

XI. APPENDICES

APPENDIX 1 – PROGRAM ADMINISTRATION ALLOCATION MEMORANDUM

APPENDIX 2 – PROGRAM ADMINISTRATION REQUIREMENT NEEDS TEMPLATE

APPENDIX 3 – FLTP PROGRAM ADMINISTRATION ANNOUNCEMENT E-LETTER
TEMPLATE

APPENDIX 4 – FLMA FLTP PROGRAM ADMINISTRATION QUARTERLY REPORT
REVIEW PROCESS

APPENDIX 5 – EXAMPLE: PROGRAM ADMINISTRATION CARRYOVER FUNDING
RESTATEMENT

APPENDIX 6 – FLTP PROJECT LIST APPROVAL STATUS E-LETTER TEMPLATE

APPENDIX 7 – AUTHORIZATION OF FUNDS (AoF) (FLH Delivered Work)

APPENDIX 8 – FLTP PROGRAM MANAGEMENT FUNDING ALLOCATION
MEMORANDUM

APPENDIX 9 – INSTRUCTIONS: FLTP PROGRAM MANAGEMENT QUARTERLY
REPORT PROCESS TEMPLATE

APPENDIX 10 – FLTP COLLABORATIVE PROJECT SELECTION DISCUSSION
QUESTIONNAIRE TEMPLATE

APPENDIX 11 – FLTP STEWARDSHIP AND OVERSIGHT CHECK LIST – FLMA
DELIVERED PROJECT LEVEL S&O PROJECTS

APPENDIX 12 – SAMPLE PROJECT AGREEMENT ELEMENTS

APPENDIX 13 – PROJECT AGREEMENT (TEMPLATE) with STEWARDSHIP AND
OVERSIGHT

APPENDIX 14 – CAP REVIEW TEMPLATE

APPENDIX 1: PROGRAM ADMINISTRATION ALLOCATION
MEMORANDUM



Memorandum

FLH Log code

Subject: **ACTION:** Allocation of Fiscal Year (FY) 20XX Federal Lands Transportation Program (FLTP) funds for Program Administration to the “FLMA” (XXX)

Date: DATE

From: Scott T. Johnson
Director, Federal Lands Programs

In Reply Refer To:
FLH Routing No.

To: Steven Frankel
Director, Office of Budget

With this memorandum, we are requesting the ALLOCATION of \$00 in FLTP contract authority and obligation limitation under program code (PC) K7XX (Delphi fund code: 15X0K7X050) to the FLMA. The FHWA Form 370, provided to the child/FLMA by the FHWA Budget Office, requires the child to comply with all terms and conditions reflected in this memorandum. The distribution of the FHWA Form 370 from FHWA to the child will include this memorandum and all attachments.

Please process as follows:

FUND	BPAC	Allocation of Unobligated Balance, Carryover	Allocation of CY Authority
15X0K7XX50	11X	\$0	(\$0)
15X0K7XX50	4XX	\$0	\$0

The sum of FY 20XX allocations of FLTP (PC-K7XX) contract authority and obligation limitation to the “FLMA” is shown below:

Summary of FY 20XX FLTP (PC-K7XX) Actions	Contract Authority	Obligation Limitation
This New Authority Allocation,	\$0	\$0
Sum of FY 20XX Allocations	\$0	\$0
This Carryover Restatement	\$0	\$0
Sum of FY 20XX Restatements	\$0	\$0
Authorized Sum Available	\$0	\$0

The General Terms and Conditions, cited in Attachment 1, apply to this contract authority and obligation limitation.

The funds will only be expended on administrative expenses identified in Attachment 2.

The program administration related activities funded with FLTP will be reported quarterly following the template in Attachment 3.

If there are any questions, please contact FLH Manager Name, FLTP National Program Manager at (xxx) XXX-XXXX or FLH Manager Name @dot.gov.

cc:

FLMA/Child
Director, HFPR
FLH NPM

Attachment 1

General Terms and Conditions

The purpose of the General Terms and Conditions is to identify the Federal Lands Management Agency (FLMA) authority and process supporting the allocation, in addition to communicating requirements of the organization using FLTP funds for program administration.

- 1) The allocation is between the Federal Highway Administration (FHWA/Parent) and the "FLMA" (FLMA/Child.)
- 2) The statutory authority supporting this funding transaction is 23 U.S.C. 201(b)(1) and (3); 23 U.S.C. 201(e); 23 U.S.C. 203(a)(2) and (b)(1).
- 3) The allocation memorandum funds program administration uses cited in Attachment 2 only.
- 4) If additional program administration funds are needed, the "FLMA" Headquarters (HQ) Program Manager will send a request to the FLH National Program Manager (NPM) explaining the need. The FLH NPM may request additional information from the "FLMA" HQ Program Manager and forward the request to the Associate Administrator, Office of Federal Lands Highway (or delegated representative) for approval.
- 5) FLMAs will coordinate with FHWA's Budget Office and the Office of Federal Lands Highway during the August Redistribution process to return funding and associated annual obligation limitation that is not expected to be obligated prior to the end of the fiscal year. Unobligated funds will either be returned for August Redistribution or carried-over at the end of the fiscal year to the next fiscal year. Carryover details will need to be coordinated between the agencies the following year before the funds can be restated to be used on future year needs.
- 6) FLMAs will follow the reporting requirements outline in the FHWA Handbook for Child Accounts, including, but not limited to sending FHWA monthly reports (SF133/ trial balance) by fund and program code. These reports will be submitted to the FHWA Budget Office to report the status of funds. The FLMA will record the transaction in their financial system in the month receiving the funds.
- 7) FLMA will report quarterly to the FLH NPM and HFL Finance Team Leader the accounting of Full-Time-Equivalents (FTEs) and other program administration related activities funded with FLTP using the template in Attachment 3 on the following quarterly due dates: January 31st, 20XX, April 30th, 2020, July 31st, 20XX, and October 31st, 20XX.

“FLMA” FYXX Program Administration’s Requirements

The requirements (below) stem from the “FLMA” Program Administration’s Requirements submitted on DATE, reviewed and approved by the Associate Administrator, Office of Federal Lands Highway on DATE.

EXAMPLE

Region	Position Title	Grade	FLTP FTE	Description of FLTP Program Work	Description as it relates to the Federal Lands Transportation Program	FY 20XX Budget
					Subtotal	\$ XX

Travel Expenses and Other Costs: EXAMPLE

Description of FLTP Program Work	Description as it relates to the FLTP	FY 20XX Budget
	Subtotal	\$ XX

Program Administration Reporting

Example:

Description	FY 2020 Budget	Cumulative Obligation	Cumulative Expenditures	Balance
FTE staff labor	\$600,000	N/A	(\$50,000)	\$550,000
Travel	\$200,000	(\$25,000)	0.00	\$175,000
Training	\$50,000	0.00	(\$10,000)	\$40,000
Materials	\$75,000	(\$20,000)	(\$5,000)	\$50,000
Supplies/Equipment				
Contracts supporting Program Administration				
Facility (office) Space				
Total	\$925,000	(\$45,000)	(\$65,000)	\$815,000

Notes:

1. For other program administration requirements, e.g., travel, contracts, FHWA is requesting a more detailed accounting of the eligible uses of program administration to promote greater transparency and accountability of funds.
2. The table above is intended to track *cumulative amounts*, not a breakdown per FTE position. The “FY 20XX Budget” is the amount FLH approved at the beginning of the FY and funded throughout the year – recognizing some positions may be vacant.
3. Negative values are obligations/expenditures. Positive values are de-obligations.
4. Request the table in Attachment 3 be updated and provided to the to the FLTP National Program Manager and HFL Finance Team Leader on the following dates quarterly, i.e., by January 31st, 20XX, April 30th, 20XX, July 31st, 20XX, and October 31st, 20XX.

APPENDIX 2: PROGRAM ADMINISTRATION REQUIRMENT NEEDS TEMPLATE

Email request example: Email from the FLH NPMs to FLMAs requesting their program administration needs for the next FY

To be sent by the FLH NPM by June 15.

To: FLMA HQ POC

CC: HFPD Director, FLH S&O Coordinator, HFL Finance Team Leader and other FLMA staff as applicable

Good Morning or Afternoon

The purpose of this email is to request program administration data and information from all eligible Federal Land Management Agencies (FLMA) and independent Federal agencies under the Federal Lands Transportation Program (FLTP). This information will inform planned, near-term discussions between the Federal Highway Administration and Offices of the Secretary of Transportation and Management and Budget.

Please populate the template below and provide your agency's response by September 1st. The emphases on this data call are positions and activities funded by FLTP program administration, i.e., not through agency GOE, 5% planning cap (FLPP), Operations and Maintenance, and/or other sources. If you have any questions, please contact (insert FLH NPM name).

Thank you.

Electronic Signature

"FLMA" FYXX Program Administration's Requirements

FLMA	Employee Name	Position Title	Grade	Percent of Position Funded by FLTP	Annual FLTP Cost Budget ¹	Description of FLTP Program Administration Work
Example	Jane Doe	Regional Program Manager	13	15%	\$30,000.00	Examples: 1) Coordinates the collection of project information from units. 2) Determines regional priorities to roll up to HQ 3) Reviews Asset Management data to inform program management.
Example	Jay Doe	Budget Specialist	11	20%	\$30,000.00	Examples: 1) Authorizes program expenditures. 2) Manages funding system.
Example	John Doe	Transportation Fellow	7	100%	\$80,000.00	Example: Performing study of visitor use and access along Johnny Appleseed corridor
Example	Jill Doe	Regional Bridge Program Manager	12	30%	\$51,000.00	Example: Manages Bridge Inventory System
Subtotal:					\$XX.XX	

APPENDIX 3 – FLTP PROGRAM ADMINISTRATION ANNOUNCEMENT E-LETTER TEMPLATE



U.S. Department
of Transportation
Federal Highway
Administration

1200 New Jersey Ave., SE
Washington, D.C. 20590

In Reply Refer To:
HFPA-1

[Recipient Name]
[Recipient Title]
[Recipient Company]
[Recipient Street Address]
[Recipient City, STATE Zip]

Dear [Mr./Ms. Recipient Last Name]:

The purpose of this letter is to announce the “FLMA” the FLTP Program Administration funds to be made available in fiscal year (FY) 20XX. Per the information provided by “FLMA” staff on DATE, we have determined that a total of \$0.00 FLTP funds required to be allocated for Program Administration needs, as shown in the enclosed Table A and Table B.

The Office of Federal Lands Highway will issue a separate allocation memorandum to the Federal Highway Administration’s (FHWA) Budget Office for them to issue a FHWA Form 370. The allocation will be under Program Code (PC)- K7XX (Delphi fund code: 15XK7X050) These funds must be tracked and monitored separately from other FLTP funds and any other funds transferred to the “FLMA”.

If there are any questions, please contact FLH Manager Name, FLTP National Program Manager at (xxx) XXX-XXXX or FLH Manager Name @dot.gov.

[Complimentary Closing],

[Full Name of Signer]
[Title of Signer]

Enclosure:
Table A - “FLMA” FY 20XX FLTP Program Administration’s Requirements
Table B - Travel Expenses and Other Costs

cc:
FLMA/Child
Director, HFPR
HQ FLH Finance Team Leader

APPENDIX 4 – FLMA FLTP PROGRAM ADMINISTRATION QUARTERLY REPORT REVIEW PROCESS

1. The FLH NPM will send the FLMA HQ POC a reminder a week prior to when the quarterly report is due in accordance with the reporting schedule below:
 - January 31st (1st FY quarter)
 - April 30th (1st - 2nd FY quarters)
 - July 31st (1st - 3rd FY quarters)
 - October 31st (1st – 4th quarters)
 2. The FLH NPMs will communicate to the FLMA acknowledging receipt (by email) of the report. This will begin the 10 business days timeframe for the program administration review process.
 3. The FLH NPM will communicate to the HFPD once the report is received. If the report is not received by the due date, the FLH NPM will communicate to the HFPD for further instructions.
 4. The review process includes:
 - a) Comparing the program administration support positions (FTEs) cumulative actual cost amounts against the FLMA annual FLTP program administration budget submitted on September 1st.
 - b) Comparing the budget vs cumulative actual costs for travel expenses and other related costs:
 - Travel
 - Training
 - Materials
 - Supplies/Equipment
 - Contracts supporting Program Administration
 - Facility (office) Space
- Note: The FLH NPM needs to keep in mind the FLMA program administration needs submitted by the FLMA on September 1st are estimated budget amounts. The costs reported quarterly are cumulative actual costs.
5. If there are concerns with the report regarding these comparisons, such as:
 - Added program administration costs not included in the original submission; or
 - Any other changes in the program administration costs previously approved.

The FLH NPM will communicate to the FLMA HQ the concerns and schedule a meeting as needed. If the differences can't be reconciled or there is a lack of an FLMA timely response, the FLH NPM will elevate the issue to the HFPD. The HFPD will follow up with and his/her counterpart in each FLMA, as appropriate.

6. The FLH NPM will provide a summary of their review to the FLMA, with copy to HFPD, FLH's S&O Coordinator, and HFL Finance Team Leader.

Email template requesting the FLMAs quarterly reports:

To: FLMA HQ POC

CC: HFPD Director, FLH S&O Coordinator, HFL Finance Team Leader and other FLMA staff as applicable

Good Morning or Afternoon:

As a reminder, the FLTP quarterly report is due (insert January 31st (1st FY quarter); April 30th (1st – 2nd FY quarters); July 31st (1st – 3rd FY quarters); or October 31st (1st – 4th quarters).

Please populate the template provided as attachment 3 of the allocation memorandum with the latest information and provide your agency's response by (insert same due DATE as above). Failure to provide complete and timely reports to FLH may result in the fund transfers delays until issues are reconciled and/or documentation is received.

If you have any questions, please contact (insert FLH NPM name).

Thank you.

Electronic Signature

APPENDIX 5 – EXAMPLE: PROGRAM ADMINISTRATION CARRYOVER FUNDING RESTATEMENT

The HFPD Director authorizes \$100.00 in FY20 for “FLMA” program administration needs. In August Redistribution, the “FLMA” reports and request the withdrawal of \$15.00 based on actual costs and projected needs through the end of FY20. The total program administration funds in FY20 to be reported by the “FLMA” is \$85.00.

For FY21, the “FLMA” previously submitted (September 1st) their program administration needs for \$100.00. Once approved by the HFPD Director, the FLMA shall receive the \$100.00 approved for FY21, not \$115.00. The FLH NPM can provide the \$100.00 approved as a combination of carryover and or new authority, but not transfer more than the \$100.00 approved. Please note the \$15.00 returned on August Redistribution, or carryover as applicable, will be returned to the “FLMA” FLTP program balance to be allocated and distributed based on the approved POP distribution and program administration needs.

APPENDIX 6 - FLTP PROJECT LIST APPROVAL STATUS E-LETTER TEMPLATE



U.S. Department
of Transportation
Federal Highway
Administration

Federal Lands Highway Division

FLH Division office address

FLH DD Contact info

[Recipient Name]
[Recipient Title]
[Recipient Company]
[Recipient Street Address]
[Recipient City, STATE Zip]

Dear [Mr./Ms. Recipient Last Name]:

Per 23 USC 201 (c)(2), the Secretary of Transportation is required to approve each Federal Lands Management Agency's Transportation Improvement Program. This approval authority has been delegated to the FHWA Federal Lands Division Director.

After meeting with FLMA leadership on DATE and review your proposed Federal Lands Transportation Program (FLTP) projects to be included on the Transportation Improvement Program, the following jointly determination was made:

Projects currently approved:

XX
YY
ZZ

Projects not currently approved:

XX – reason for denial

I truly appreciate the communication and collaboration with you and your staff this year. My staff and I look forward to continuing working collaboratively with the FLMA on the multi-year Program of Projects.

If you have any questions, please feel free to contact me at XXX-XXX-XXXX or Name @dot.gov.

[Complimentary Closing],

[Full Name of Signer]
[Title of Signer]

cc:
FLMA/Child
Director, HFPR

EXAMPLE: FLTP-NPS PROJECT LIST APPROVAL STATUS E-LETTER TEMPLATE



NPS Region

NPS RD
Contact info



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

FLH Division Office

FLH DD
Contact info

Date

Subject: Region x and Division z (as appropriate y) FLTP Projects Approval

The purpose of this document is to establish a jointly approved FY 2021 National Park Service (NPS) list of projects by the NPS Regional Director and the FHWA Federal Lands Highway (FLH) Division Director.

Per Title 23, United States Code (U.S.C.), Section 201(c)(2), the Secretary of Transportation is required to approve each Federal Lands Management Agency's Transportation Improvement Program for oversight and ensure compliance with the Secretary's transportation planning procedures, which are consistent with statutory requirements under 23 U.S.C. 134 and 135. The day-to-day oversight and approval authority as well as integration with other Federal-aid participants has been delegated to the FHWA FLH Division Directors.

Per Title 54, U.S.C., Section 101511(a), "the Secretary (of the Interior) may construct, reconstruct, and improve roads and trails in System units." In addition, section (c) provides authority, "Under agreement with the Secretary (of the Interior), the Secretary of Transportation may carry out any provision of this section."

Per Title 23, U.S.C., Section 203(a)(3) Administration, call for "All appropriations for the construction and improvement of Federal lands transportation facilities shall be administered in conformity with regulations and agreements jointly approved by the Secretary and the Secretary of the appropriate Federal land managing agency".

Per Title 23, 23 U.S.C., Section 203(b)(2)(B) "In evaluating an application submitted under subparagraph (A), the Secretary shall consider the extent to which the programs support performance management".

The STA Act of 1982 and the NPS/FHWA 1983 Interagency Agreement provides the roles and responsibilities, policy and guidance to meet these statutes. Any requirements must fall within the boundaries of the agreement and with authorizing legislation.

A series of collaboration meetings/communication between agencies' staff and executive leaders resulted in the attached projects list. The Associate Administrator, FLH has delegated final authority for program approval to the Division Directors. For NPS, the list requires the concurrence of the NPS AD, PPFL.

Attachment 1 identifies the approved and not approved projects. All projects that are not approved will be accompanied with an explanation for the record. Approved projects do not require further approval to proceed. After the approval of the project list, the FY 2021 Obligation Plan will be developed to identify the anticipated 2021 budget. During execution, projects may be prioritized from the move-up list and project funding may be adjusted as needed without seeking additional approval for daily programmatic activities.

Both organizations are committed to the partnership and the importance of collaboration and communication. FHWA FLH and NPS jointly value each other's expertise and ability to leverage it to support the delivery of the program.

We look forward to continuing working collaboratively with the development and maintenance of the multi-year Program of Projects in support of the NPS' mission and park transportation assets.

NPS Full Name of signer
Regional Director


FLH Full Name of signer
Division Director

Enclosure:
Projects list

cc.
Associate Director, Park Planning, Facilities, and Lands, NPS
Division Chief, Park Facilities Management, WASO
Park Road Program Manager, WASO
Director, Federal Lands Programs
FLH FLTP-NPS National Program Manager
NPS Regional Coordinator
FLH Division Program Manager

NPS - FHWA FY 2021 Federal Lands Transportation Program - Project List for Region X and Division Z (y as appropriate)													
PMS	FLH Project ID	Park Unit	Project Name	Delivery Agency	FLH Division	Region	State	Force Account	S&O Level	NPS Budget	FHWA Budget	TOTAL FLTP Budget	
												\$0	
												\$0	
												\$0	
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												\$0	
											NPS	FHWA	FLTP Total
											\$0	\$0	\$0

APPENDIX 7 – AUTHORIZATION OF FUNDS (AofF) (FLH DELIVERED WORK)

FEDERAL LANDS HIGHWAY OFFICE AUTHORIZATION OF FUNDS				Advice Date 6/16/2020	Advice No. 2020-FTNP-K700-13
Program Name:		Federal Lands Transportation Program (FLTP-NPS)		 For Approved: Scott Johnson	
Fund:	15X0K70060	Type of Obligation Authority:	Annual/Current Year		
BFAC:	114K700000	Subject to Matching Requirements:	NO		
FLH Period of Availability:	Current Year + 3 Years	Subject to August Redistribution:	YES		
Treasury Symbol:	89-X-8088				

Allottee	PROG CODE	STATE	ORGANIZATION LEVEL	ITEM DESCRIPTION	Previous Amount Available	This Action	New Amount Available
114	K700	--	0000000000	Carryover	\$21,712,344.69	\$0.00	\$21,712,344.69
114	K700	--	0000000000	New Authority	\$258,209,997.56	\$0.00	\$258,209,997.56
114	K700	--	0000000000	FLAP Loan Payback PY	(\$24,400,000.00)	\$0.00	(\$24,400,000.00)
115	K700	--	0000000000	Total Allocations to EFLHD	(\$35,000,000.00)	\$0.00	(\$35,000,000.00)
116	K700	--	0000000000	Total Allocations to CFLHD	(\$45,700,000.00)	\$0.00	(\$45,700,000.00)
117	K700	--	0000000000	Total Allocations to WFLHD	(\$55,512,000.00)	\$0.00	(\$55,512,000.00)
4PS	K700	--	0000000000	Total Allocations to Partner(s)	(\$63,674,891.16)	\$0.00	(\$63,674,891.16)
114	2700	AK	0002000000	FLAP match-AK DOT 170(3) Bison Gulch Parking Area & Trail Enhancement project	(\$10,000.00)	\$0.00	(\$10,000.00)
Total Remaining at HQ:					\$55,625,451.09	\$0.00	\$55,625,451.09

4PS	K700	PS	0000000000	New Authority To Partner	\$63,674,891.16	\$0.00	\$63,674,891.16
4PS	K700	PS	0000000000	FLAP loan	\$0.00	\$0.00	\$0.00
4PS	K700	PS	0000000000	Restated Carryover for Partner	\$0.00	\$0.00	\$0.00
Partner, Total (shown on 370)					\$63,674,891.16	\$0.00	\$63,674,891.16

115	K700	--	0000000000	EFLHD, Carryover	\$9,710,435.81	\$0.00	\$9,710,435.81
115	K700	--	0000000000	EFLHD, New Authority	\$35,000,000.00	\$0.00	\$35,000,000.00
115	K700	--	0000000000	EFLHD, FLAP Loan/Credit	\$0.00	\$0.00	\$0.00
EFLHD, Total (shown on 370)					\$44,710,435.81	\$0.00	\$44,710,435.81
EFLHD, Distribution of Funding					(\$26,492,730.00)	(\$2,654,136.00)	(\$28,086,889.00)
Remaining Balance					\$19,277,705.81	(\$2,654,136.00)	\$16,623,569.81

115	K700	--	1500000000	EFLHD Projects	\$0.00	\$0.00	\$0.00
115	K700	AL	1501000000	EFLHD Projects	(\$4,912,100.00)	\$0.00	(\$4,912,100.00)
115	K700	AR	1505000000	EFLHD Projects	\$0.00	\$0.00	\$0.00
115	K700	CT	1509000000	EFLHD Projects	\$0.00	\$0.00	\$0.00
115	K700	DE	1510000000	EFLHD Projects	\$0.00	\$0.00	\$0.00
115	K700	DC	1511000000	EFLHD Projects	\$9,631,071.00	\$2,686,478.00	\$12,316,550.00
115	K700	FL	1512000000	EFLHD Projects	(\$868,047.00)	\$0.00	(\$868,047.00)
115	K700	GA	1513000000	EFLHD Projects	(\$476,903.00)	\$0.00	(\$476,903.00)
115	K700	IL	1517000000	EFLHD Projects	\$0.00	\$0.00	\$0.00
115	K700	IN	1518000000	EFLHD Projects	\$5,000.00	\$0.00	\$5,000.00
115	K700	IA	1519000000	EFLHD Projects	\$0.00	\$0.00	\$0.00
115	K700	KY	1521000000	EFLHD Projects	\$2,083,966.00	\$0.00	\$2,083,966.00
115	K700	LA	1522000000	EFLHD Projects	\$0.00	\$0.00	\$0.00
115	K700	ME	1523000000	EFLHD Projects	\$0.00	\$0.00	\$0.00
115	K700	MD	1524000000	EFLHD Projects	\$11,259,386.00	(\$28,781.00)	\$11,230,605.00
115	K700	MA	1525000000	EFLHD Projects	\$500,000.00	\$0.00	\$500,000.00
115	K700	MI	1526000000	EFLHD Projects	\$32,541.00	\$0.00	\$32,541.00
115	K700	MN	1527000000	EFLHD Projects	\$0.00	\$0.00	\$0.00
115	K700	MS	1528000000	EFLHD Projects	(\$5,199.00)	\$38,643.00	\$33,444.00
115	K700	MO	1529000000	EFLHD Projects	\$381,521.00	\$0.00	\$381,521.00
115	K700	NE	1531000000	EFLHD Projects	\$0.00	\$0.00	\$0.00
115	K700	NH	1533000000	EFLHD Projects	\$0.00	\$0.00	\$0.00
115	K700	NJ	1534000000	EFLHD Projects	\$0.00	\$0.00	\$0.00
115	K700	NY	1536000000	EFLHD Projects	\$5,111.00	\$11,486.00	\$16,606.00
115	K700	NC	1537000000	EFLHD Projects	\$1,356,851.00	\$0.00	\$1,356,851.00
115	K700	OH	1539000000	EFLHD Projects	\$50,000.00	\$0.00	\$50,000.00
115	K700	PA	1542000000	EFLHD Projects	\$1,563,917.00	\$0.00	\$1,563,917.00
115	K700	PR(RQ)	1572000000	EFLHD Projects	\$0.00	\$0.00	\$0.00
115	K700	RI	1544000000	EFLHD Projects	\$0.00	\$0.00	\$0.00
115	K700	SC	1545000000	EFLHD Projects	\$0.00	\$0.00	\$0.00
115	K700	TN	1547000000	EFLHD Projects	\$2,268,061.00	\$0.00	\$2,268,061.00
115	K700	VT	1550000000	EFLHD Projects	\$0.00	\$0.00	\$0.00
115	K700	VI(VQ)	1578000000	EFLHD Projects	\$0.00	\$0.00	\$0.00
115	K700	VA	1551000000	EFLHD Projects	\$2,558,554.00	(\$60,800.00)	\$2,507,954.00
115	K700	WV	1554000000	EFLHD Projects	\$0.00	\$0.00	\$0.00
115	K700	WI	1555000000	EFLHD Projects	\$0.00	\$0.00	\$0.00
115	K700	HI	1560000000	EFLHD Projects	\$0.00	\$0.00	\$0.00
115	K700	IDAHO	1516000000	Bridge Design Projects	\$0.00	\$0.00	\$0.00
115	K700	MONTANA	1530000000	Bridge Design Projects	\$0.00	\$0.00	\$0.00

Advice of Funds for FLH - NPS										
Date: 6/22/2020 Fiscal Year: 2020										
Project ID	Project Name (Delivery Agency Name/No/ Delivery Agency Name if Different)	Delive Agency	FLH Division	FLMA Region	FLMA Unit	State	Proje Type	FLH Approv Status	Date Approv by FLH	FLH Total
AK NPS DENA 10(47)	Repair and Rehabilitate Two Park Road Bridges	WFL	WFL	NPS-AKR	DENA	AK	3R	Approved	09/13/2019	\$540,000
AK NPS DENA 10(45)	Pretty Rocks Investigation/Reducing Risk of Pretty Rocks Slump	WFL	WFL	NPS-AKR	DENA	AK	Study	Approved	09/13/2019	\$45,000
AK NPS DENA 10(46)	West District Culvert Replacement MP 62.7 & MP 63	WFL	WFL	NPS-AKR	DENA	AK	3R	Approved	01/09/2020	\$175,000
AK NPS DENA 10(48)	Rockfall Mitigation MP 52.9 & Low Water Crossing MP 52	WFL	WFL	NPS-AKR	DENA	AK	3R	Approved	09/13/2019	\$3,015,000
AK NPS DENA 10(49)	Polychrome Pass Alternatives Analysis	WFL	WFL	NPS-AKR	DENA	AK	Study	Approved	01/09/2020	\$620,000
AK NPS KATM 10(4)	Resurface Last Five Miles of the Valley of 10,000 Smokes Road	WFL	WFL	NPS-AKR	KATM	AK	3R	Approved	09/13/2019	\$105,000
AK NPS KEFJ 10(5)	Exit Glacier Road Bridge Rehabilitation	WFL	WFL	NPS-AKR	KEFJ	AK	3R	Approved	01/09/2020	\$5,000
AK NPS KEFJ 2018(1)	Exit Glacier Area Summer Transportation Feasibility Study	WFL	WFL	NPS-AKR	KEFJ	AK	Study	Approved	09/13/2019	\$4,000
AK NPS KLGO 2017(1)	KLGO Dyea Area Transit Feasibility Study	NPS	WFL	NPS-AKR	KLGO	AK	Study	Approved	09/13/2019	\$1,000
AK NPS SITK 2018(1)	Sitka NHP Transportation Master Plan	WFL	WFL	NPS-AKR	SITK	AK	Study	Approved	09/13/2019	\$4,000
AK PRA AKRO ES(3)	AKRO Engineering Studies/Collect baseline road soils data to facilitate out-year project designs	WFL	WFL	NPS-AKR	DENA	AK	Study	Approved	09/13/2019	\$12,000
AK PRA DENA 10(35)	Repave Denali Park Road MP 0 TO 3.4 /Replace Failing Pavement on the Denali Park Road	WFL	WFL	NPS-AKR	DENA	AK	3R	Approved	09/13/2019	\$305,000
AK PRA DENA 10(36)	Removal of Ghiglione Bridge/Replace Bridges That Cannot Be Seismically Retrofitted.	WFL	WFL	NPS-AKR	DENA	AK	4R	Approved	09/13/2019	\$180,000
TBD 17-AKR	Reconstruct Roadway Across the Pretty Rocks Landslide (mile 45.4)	WFL	WFL	NPS-AKR	DENA	AK	Spot	Approved	01/09/2020	\$823,520
TBD 21	Parks Highway Corridor Study - PEL (Planning and Environmental Linkages)	WFL	WFL	NPS-AKR	DENA	AK	Admin	Approved	01/09/2020	\$187,500
TBD 24	Address Parking Congestion at Exit Glacier for Improved Visitor Access	WFL	WFL	NPS-AKR	KEFJ	AK	4R_New	Approved	01/09/2020	\$200,000
TBD 25	Frontcountry Multimodal Transportation Study	WFL	WFL	NPS-AKR	GLBA	AK	Study	Approved	01/09/2020	\$135,000
AZ FTNP CAGR 10(2)	ENTRANCE ROAD	CFL	CFL	NPS-IMR	CAGR	AZ	3R	Approved	09/17/2019	\$1,919,788
AZ FTNP GLCA 409(2)	LEES FERRY RANCH HOUSE ACCESS ROAD	CFL	CFL	NPS-IMR	GLCA	AZ	Spot	Approved	09/17/2019	-\$25,528
AZ FTNP GRCA 11(4)	DESERT VIEW	CFL	CFL	NPS-IMR	GRCA	AZ	3R	Approved	09/17/2019	-\$349,705
AZ FTNP PEFO 10(7)	MAIN PARK ROAD	CFL	CFL	NPS-IMR	PEFO	AZ	3R	Approved	09/17/2019	\$850,821
AZ NPS PP 2019(1)	Pavement Preservation Southern Arizona	WFL	WFL	NPS-IMR	MULTI	AZ	1R	Approved	09/13/2019	\$345,000
AZ NPS PP GRCA 2019(2)	Pavement Preservation Grand Canyon	WFL	WFL	NPS-IMR	GRCA	AZ	1R	Approved	09/13/2019	\$9,440,000
CFL Technical Assistance- IMR	TBD, as needed	CFL	CFL	NPS-IMR	Varies	CO	Study	Approved	09/17/2019	\$50,000
CO FTNP BLCA TBD	ENTRANCE ROAD	NPS	CFL	NPS-IMR	BLCA	CO	3R	Approved	01/23/2020	\$25,000
CO FTNP FLFO 900(1)	VISITOR CENTER PARKING LOT AND ROAD	CFL	CFL	NPS-IMR	FLFO	CO	3R	Approved	09/17/2019	-\$79,526
CO FTNP GRSA 10(2)	CULVERT REPAIR ON MAIN ROAD	CFL	CFL	NPS-IMR	GRSA	CO	Spot	Approved	09/17/2019	\$30,000
CO FTNP MEVE 100(1) & 101(1)	CLIFF PALACE & MESA TOP LOOP ROADS	CFL	CFL	NPS-IMR	MEVE	CO	3R	Approved	09/17/2019	\$5,458,708
CO FTNP ROMO 11(4)	BEAVER MEADOWS ROAD	CFL	CFL	NPS-IMR	ROMO	CO	3R	Approved	09/17/2019	\$692,152
CO FTNP ROMO PRES 1(19)	ROCKY MOUNTAIN NP PAVEMENT PRES	CFL	CFL	NPS-IMR	ROMO	CO	1R	Approved	09/17/2019	\$65,000
MT NPS GLAC 11(3)	Camas Road Slumps/Repair Camas Road Slumps and Resurface Remaining 4 Miles	WFL	WFL	NPS-IMR	GLAC	MT	3R	Approved	09/13/2019	\$40,000
MT NPS GLAC 2017(1)	Glacier Pavement Preservation /Pavement Preservation Program (PPP) GLAC Roads and	WFL	WFL	NPS-IMR	GLAC	MT	1R	Approved	09/13/2019	\$185,000
MT NPS GRKO 2018(1)	Grant Kohrs Parking Lot Rehabilitation/Reconstruct Visitor Center and	WFL	WFL	NPS-IMR	GRKO	MT	3R	Approved	09/13/2019	\$25,000
MT NPS YELL 11(2)	North Entrance/North Entrance Road-Gardiner Gateway Project	WFL	WFL	NPS-IMR	YELL	MT	3R	Approved	09/13/2019	\$4,602,000
MT PRA GLAC 10(30)	West Entrance Road to Avalanche, Phase X/Rehabilitate GTSR Phase X	WFL	WFL	NPS-IMR	GLAC	MT	3R	Approved	09/13/2019	\$10,000
MT PRA GLAC 10(40)	GTSR Rising Sun to St Mary, Phase 13/Rehabilitate GTSR Phase XIII	WFL	WFL	NPS-IMR	GLAC	MT	3R	Approved	09/13/2019	\$15,000
MT PRA GLAC 10(42)	GTSR Final Phase/Rehabilitate the GTSR Final Phase	WFL	WFL	NPS-IMR	GLAC	MT	3R	Approved	09/13/2019	\$205,000
MT PRA GLAC 10(44)	Lake McDonald Utility Relocation/Replace Utilities Along Lake McDonald	WFL	WFL	NPS-IMR	GLAC	MT	3R	Approved	09/13/2019	\$32,500

APPENDIX 8 – FLTP PROGRAM MANAGEMENT FUNDING ALLOCATION
MEMORANDUM



Memorandum

FLH Log code

Subject: ACTION: Allocation of Fiscal Year (FY) 20XX Federal Lands Transportation Program (FLTP) funds to the “FLMA” (XXX) **Date:** DATE

From: NAME **In Reply Refer To:**
HFL Finance Team Leader FLH Routing No.

To: NAME
Director, Office of Budget

With this memorandum, we are requesting the ALLOCATION of \$0.00 in FLTP contract authority and obligation limitation under program code (PC) K7XX (Delphi fund code:15X0K7X050) to the “FLMA”. The FHWA Form 370, provided to the child/FLMA by the FHWA Budget Office, requires the child to comply with all terms and conditions reflected in this memorandum. The distribution of the FHWA Form 370 from FHWA to the child will include this memorandum and all attachments. Please process as follows:

FUND	BPAC	Allocation of Unobligated Balance, Carryover	Allocation of CY Authority
15X0K7X050	11X	\$0	(\$0.00)
15X0K7X050	4XX	\$0	\$0.00

The sum of FY 20XX FLTP (PC-K7XX) contract authority and obligation limitation available for the “FLMA” is shown below:

Summary of FY 20XX FLTP (PC-K7XX) Actions	Contract Authority	Obligation Limitation
This New Authority Allocation,	\$0	\$0
Sum of FY 20XX Allocations	\$0	\$0
This Carryover Restatement	\$0	\$0
Sum of FY 20XX Restatements	\$0	\$0
Authorized Sum Available	\$0	\$0

APPENDIX 9 – INSTRUCTIONS: FLTP PROGRAM MANAGEMENT QUARTERLY REPORT PROCESS TEMPLATE

Overview

Attachment 3 of the FLTP Construction Program allocation memorandum includes two tables:

Table 1: Funding reporting, and

Table 2: Project Infrastructure information

Table 1: Funding reporting

Project Description						Funding						
						Project Budget		Obligation		Expenditures		Current Total Projected FY Budget
Project ID	Project Name	State	Congressional District	Project Type	Project status	Total to date	YTD	Total to date	YTD	Total to date	YTD	YTD
AK PFH 10(1)	Repave Denali Park Road	AK	AK-1	Rehabilitation	C	\$5,000,000	\$4,000,000	(\$2,000,000)	(\$1,000,000)	(\$900,000)	(\$500,000)	(\$2,500,000)

Notes:

- Table 1 is to be submitted quarterly to the FLH NPM on the following due dates: January 31st, April 30th, July 31st, and October 31st.
- The table above is intended to track cumulative amounts. Negative values are obligations/expenditures. Positive values are de-obligations
- Total to date - Total amount for the project across multiple fiscal years by project phases: PE, CE, CN and Other.
- Year to Date (YTD) - Total amount within a Fiscal year.
- Project status: P- in pre-construction, C- in construction, F – final allocation for completed projects. This is the project status at the time of the report.
- Current Total Projected FY Budget: New total project budget amount. It does not require to divide the costs per project phases.

Table 2: Project Infrastructure information

Project Description					Project Infrastructure									
					Surfacing Deliverables				Bridge Deliverables			Other Deliverables		
Project ID	Project Name	Project Status	Latitude	Longitude	Lane Miles	Lane Surfacing type	Trail Miles	# Parking Lots	# New Roadway Bridges	# Rehab Roadway Bridges	# New Trail Bridges	# Rehab Trail Bridges	# Tunnels (Rehab and new)	# Transit Vehicles (purchased or O&M)

AK PFH 10(1)	Repave Denali Park Road	C	63.2928	-143.6796	2.25	Pavement	1.5	0	0	1	0	1	0	0
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Notes:

- Table 2 is to be completed annually and submitted on the 4th quarter or October 31st due date.
- Project status: P- in pre-construction, C- in construction, F – final allocation for completed projects. This is the project status at the time of the report.
- Lane Surfacing type: Type of surface corresponding to lane miles: pavement (all pavement types including concrete and asphalt), aggregate (includes gravel) and native.
- Latitude and Longitude in decimal degrees.

Process:

1. The FLH NPM will send the FLMA HQ and cc the FLH PP&E Branch Chiefs a reminder a week prior to when the quarterly report is due in accordance with the reporting schedule below (email example included below):
 - January 31st (1st FY quarter)
 - April 30th (1st - 2nd FY quarters)
 - July 31st (1st - 3rd FY quarters)
 - October 31st (1st – 4th quarters)
2. The FLH NPMs will communicate to the FLMA and FLH DO acknowledging receipt (by email) of the report. This will begin the 10 business days timeframe for the program management review process.
3. The FLH NPM will communicate to the HFPD once the report is received. If the report is not received by the due date, the FLH NPM will communicate to the HFPD for further instructions.
4. Once received, the FLH NPM will distribute a copy of the FLMA report submission to the FLH PP&E Branch Chief and upload a copy on the SharePoint site (location TBD).
5. For Table 1:
 - a) The FLH NPM will report to HFPD and cc the HFL Finance Team Leader the total amount obligated/expended per FLMA accounting for the FLH and FLMA cost amounts.
 - b) The FLH NPM will provide a copy of the FLH DO consolidated project report to the FLMA HQ PM and cc the HFL Finance Team Leader.
 - c) The FLH DO staff will:
 - i. Verify the projects budget per project against the Regional POP.
 - ii. Identify if move-ups were funded and verify with FLMA project status.
 - iii. Modify project budgets in the POP, as needed.
 - iv. Discuss with the FLMA to reprioritize projects on the POP, as needed.

- v. Prepare a project consolidated report outlining the project funding differences between the POP and the FLMA reports and include FLH delivered work within 10 business days from receiving the FLMA project report.
 - d) On the 3rd quarter the “Projected Obligation/Expenditures through the end of FY” column, will provide information that will be utilized to plan end of the FY adjustments. In conjunction with the data submitted during the August Redistribution process, the FLH NPM will coordinate with the FLMA HQ PM and the FLH DO to allocate or withdraw funding, as applicable.
6. For Table 2:
- a) The FLH DO will collect the project infrastructure information during the initial project discussions.
 - b) The FLH DO will log this information in the SharePoint site (location TBD)
 - c) By September 20th, the FLH NPM will download a copy of the spreadsheet with the information gathered during the FY for FLMA delivered projects and submit it to the FLMA for validation. The FLH NPM will request the FLMA to complete any missing information, update the project status, validate the project infrastructure values and submit to the FLH NPM by October 31st.
 - d) Once submitted, the FLH NPM will upload the report in the SharePoint site (location TBD).
 - e) The HFL Program Management Analyst will utilize Table 2 in conjunction with FLH data to report FLH annual metrics. (How FLH collects FLH delivered project infrastructure data is outside the scope of this document).
7. If applicable, the FLH NPM will communicate to the FLMA HQ PM concerns and schedule a meeting as needed. If the differences can’t be reconciled or there is a lack of an FLMA timely response, the FLH NPM will elevate the issue to the HFPD. The HFPD Director will follow up with and his/her counterpart in each FLMA, as appropriate.
8. The FLH NPMs will report the annual accomplishments to FLH AA.

APPENDIX 10 – FLTP COLLABORATIVE PROJECT SELECTION DISCUSSION QUESTIONNAIRE TEMPLATE

FLTP Collaborative Project Selection Discussion Questionnaire			
	FLMA tracking ID:		Date:
	Project Name:		FLH Project ID:
	Project Description:		
	Project Location:		
	Latitude		Longitude
	State		Congressional District
	FLMA Project POC:		
Line 11	Pre-screening Project Identification (High level scope, budget and FLMA priority)		
Line 12	Is the project eligible per 23 U.S.C. Section 203 (a)(1)?		

Line 13	Is this a study directly related to a project?			
Line 14	Factor	Project details & information	Discussion notes	Resolution
Line 15	Project objective			
Line 16	Improvement type			
Line 17	What are the project components?			
Line 18	What's the anticipated level of NEPA Documentation? (Environmental complexity)			
Line 19	What is the estimated project cost?			
Line 20	Does the project include other funding sources that require match or other requirements?			
Line 21	How does the proposed project advance the statutorily defined program goals?			
Line 22	Delivery Agency Determination - Select one below			

Line 23	<input type="checkbox"/> Based on the project pre-screening discussion, both parties have jointly agreed that FLH will deliver.			
Line 24	<input type="checkbox"/> Based on the project pre-screening discussion, both parties have jointly agreed that the FLMA will deliver. Complete Complexity Assessment below to determine complexity and S&O requirements.			
Line 25	<input type="checkbox"/> The delivery agency is undecided. Complete Complexity Assessment below to recommend the complexity and S&O/Documentation requirements.			
Line 26				
Line 27	Initials of FLMA Representative		Initials of FLH Representative	
Line 28	Complexity Assessment (Additional project information; Refined scope, schedule and budget; Stakeholders and political interest; project complexity level and project delivery agency considerations)			
Line 29	Factor	Project details & information	Discussion notes	Resolution
Line 30	Is this project included on the FLMA asset management plan? preventive maintenance plan? or other improvement plan?			
Line 31	ROW required			
Line 32	Utility easements			
Line 33	Railroad involvement			

Line 34	Safety implications/ design exceptions			
Line 35	Complex scheduling (Construction season limitations, FLMA events)			
Line 36	Complex engineering features			
Line 37	Complex geological features			
Line 38	Remote location / access limitations			
Line 39	Multiple construction sites (bundle projects into one contract)			
Line 40	Is this project dependent on another project (partially or fully) for sequencing?			
Line 41	Are there environmental mitigation components (like wildlife-vehicle mortality) to track?			

Line 42	Project urgency			
Line 43	Are there state and local stakeholders? What is the stakeholder level of interest?			
Line 44	Political interest			
Line 45	Tribal involvement - delivery, funding, oversight, etc.			
Line 46	Partnering complexity			
Line 47	What public communication protocols are needed?			
Line 48	What is the proposed contracting method?			
Line 49	How will NEPA be handled? -Roles, and responsibilities, payment, level of involvement with one Federal decision			

Line 50	Is the right contracting method being proposed?			
Line 51	Does the delivery agency understand Title 23 contracting requirements?			
Line 52	Does the delivery agency have expertise delivering Title 23 projects?			
Line 53	Does the delivery agency have the capacity and technical expertise to complete the project?			
Line 54	Other criteria at FLH discretion (what questions would be?)			
Line 55	Final determination			
Line 56	<i>S&O Level</i>			
Line 57	<i>Recommended delivery agency</i>			
Line 58				
Line 59	We certify that the FLTP Collaborative Project Decision Discussion questionnaire was jointly completed and agreed upon the results:			
Line 60				
Line 61				

Line 63	Initials of FLMA Representative	Initials of FLH Representative	
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	INSTRUCTIONS: Questions for FLMA and FLH to discuss project at different stages of the programming lifecycle. There is not a quantitative assessment. The objective is to identify project considerations. The outcome is a mutual understanding of the project’s complexity to inform the appropriate project oversight, to be documented in the project agreement as applicable. The questionnaire is divided in three sections: Pre-screening, Complexity Assessment and Final Determination.		
	S&O levels: <u>Programmatic S&O</u> – FLMA delivered Low complexity projects whereby the S&O responsibility has been delegated to the FLMA. The FLMA is responsible for storing and maintaining S&O documentation. <u>Project level S&O</u> – FLMA delivered high complexity projects. The FLMA will be required to submit project documentation for FLH action per the S&O checklist attached to the project agreement or project management plan. <u>FLH Delivery</u> – Projects delivered by FLH. The project complexity may vary, but FLH will maintain and request FLMA action as required per the comprehensive project agreement or project management plan throughout the life of the project.		
	Project complexity is defined as: <u>Low complexity project</u> - clear requirements, relatively low costs, preservation/preventative maintenance type projects. <u>High complexity project</u> - larger project, or unclear requirements, and/or FLMA has limited expertise (or lack of resources) for this type of project. It can also be a project with clear requirements but with nuances that require mitigation. (Note: the determination can be based on one or a combination of factors previously described).		
	Project Name: It can be the Recreation Area Name, Bridge Name or general name. Use the same project name in the Project List. FLH Project ID: Identifier to be used in the POP. Can be updated later once known. FLMA tracking ID: Number or code used by the FLMA to identify the project. Can be updated later once known. Project Description: High level description indicating the type and size of asset, treatment, and degree of complexity. Project Location: Road number, mile post, etc. FLMA Project POC: Please provide name, title, office, phone and e-mail.		
			Additional Clarifications
Line 11	Pre-screening discussion is not sufficient to add the project into the FLH "State" TIP report.		
Line 12	Yes	No	No - no need to discuss further. Project rejected
Line13	Yes	No	No - no need to discuss further. Project should be funded with planning funds (FLPP)
Line 14	Low Complexity	High Complexity	Resolution - include the outcome of the concerns raised during the discussion.

Line 15	What do we want to accomplish with this project? e.g. safety concerns, improve mobility, improve rideability		
Line 16	Pavement preservation, trail, rehabilitation, transit	Bridge, 3R, New construction (structures), replacement	
Line 17	e.g. pavement preservation, bridge, retention wall, slope stabilization, safety improvements, AOP, etc.?		
Line 18	Cat. Ex.	E.A or E.I.S.	For NPS only: NEPA classification determined first by NPS and then FHWA
Line 19	<\$2M	>\$2M	
Line 20	No	Yes	Different funds may have restricted uses, tracking/reporting requirements, and availability to be combined with other sources.
Line 21	<ul style="list-style-type: none"> ◦ a state of good repair of transportation facilities; ◦ a reduction of bridge deficiencies; ◦ an improvement of safety; ◦ high-use Federal recreational sites or Federal economic generators; and ◦ the resource and asset management goals of the Secretary of the respective FLMA. 		
Line 22			
Line 23	Agreement is reached for FLH delivery, therefore no need to continue. The additional project information will be gathered following FLH processes (example project agreement development). If delivery agency is undecided, then continue with the discussion to obtain additional project details.		
Line 24			

Line 25			
Line 26	Please initial here in there has been a joint decision on FLH delivery and no need to continue filling the questionnaire.		
Line 27			
Line 28	Do we have sufficient information to continue the assessment? If no, then stop here? If the discussion stops here, the project <u>can't</u> be submitted for FLH DD approval.		
Line 29	Low Complexity	High Complexity	Resolution - include the outcome of the concerns raised during the discussion.
Line 30			
Line 31	None, or only a small number of landowners to deal with	Many landowners, possible condemnation	Includes consideration of temporary construction easements.
Line 32	Above ground phone & power, only temporary relocation needed	Main trunk fiber optic line buried within construction limits	Determination by FHWA and FLMA if major effort is required; may involve multiple phases of construction to complete utility work and then transportation component.
Line 33	None	Crossing or building above an active line	Complicated overlap of other transportation systems may require special consultation and cooperative solutions.
Line 34	Minor	Will require design exceptions	
Line 35	Single season	Overlapping work window restrictions expected	Multiple construction seasons can mean more complex mobilization and/or demobilization and multiple projects contracted in same geographic area can complicate management.

Line 36	Nothing unusual	Customized components or specialized work effort required.	Material or supply source may be limited or costly, there may be a limited pool of contractors who can do the work, or the construction is extremely unique.
Line 37	Nothing unusual	Area has slide challenges, unstable slopes, riverine or coastal flooding, or wetlands or permafrost are present that will require specialized work	
Line 38	Have public or legal access without any legal obstacles. For transit: Typical multimodal access	Limited access - Isolated road or geographically remote where mobilization by air or barge is required. For transit: Isolated road or geographically remote where special access or operation is required.	Advance scheduling and construction timing critical; adds complexity to scheduling deliveries; may require special knowledge of FLMA unit staff. For transit: purchase timing adds complexity to scheduling start up or revised operations; may require special knowledge of FLMA unit staff
Line 39	No	Yes	
Line 40	No	Yes	
Line 41	No	Yes	
Line 42	Normal project timelines	Pressure to have the project expedited	Two types of circumstances contribute to urgency; a) external pressure by others to complete a project or b) an imminent environmental or public use impact that requires immediate attention.

Line 43	Low interest	High interest	
Line 44	Local interest only	Statewide, regional, and/or Congressional interest	A project that transcends state and Federal boundaries or that affects a nationally significant landmark or feature could pose interest.
Line 45	Tribal entity not involved	Tribal entity involved, explain involvement.	
Line 46	None or one transit partner	Multiple or multiple transit partners with possible complex negotiations	For transit projects: State, regional, or local systems with their own operational requirements or needs may pose challenges in coordinated interface.
Line 47	Not required	Required	
Line 48	Sealed bids	Has elements of cost reimbursement (e.g. Force Account)	Design build or selection of contractor based on more than sealed bid only is more involved. Has the FLMA successfully completed this contracting method?
Line 49			
Line 50			

Line 51	Yes	No	
Line 52	Has delivered projects of similar size/complexity successfully	First time or previously had problems	Determination of expertise mutually decided by FHWA and FLMA.
Line 53	Yes	No	
Line 54			
Line 55			
Line 56	FHWA and FLMA program managers make recommendation to FHWA FLH Division Director and FLMA leadership on project complexity level: Low, medium or high complexity.		
Line 57	FLMA and FLH based on complexity level propose a delivery agency. The final delivery agency determination will be included with the FLH DD approval determination.		
Line 58			
Line 59			
Line 60			
Line 61	Please initial here once the discussion is complete.		
Line 62			

APPENDIX 11 – FLTP STEWARDSHIP AND OVERSIGHT CHECK LIST – FLMA DELIVERED PROJECT LEVEL S&O PROJECTS

Notes: Phases or Activities marked with an asterisk (*) must be included in every Project Level S&O check list and project agreement.

FLH's role is not to perform regular, in-depth technical/engineering review to critique the FLMA's work. It is an S&O review to ensure the requirements of title 23 are being met.

Phase or Activity	Project Level S&O Projects	FLMA Role	FLH Role	Comments
<i>Planning & Programs</i>				
Evidence that project is on an approved program of projects	X	Provide	Review/concur	For funds disbursed by a division, they may know this already
*Evidence of being on a TIP or STIP	X	Provide	Review/concur	
Design Standards/Geometrics to be used identified	X	Provide	Review/concur	Generally, standards used by transportation agencies will be acceptable.
Evidence of funding allocation	X	Provide	File copy	
Project agreement with scope, schedule, & budget	X	Provide	Approve	FLH would be a signatory. Would be involved in the drafting to define what S&O deliverables it will receive
Maintaining agency identified	X	Provide	File copy	Many times, the entity doing the work is also the maintainer
Identify when funds will be de-obligated and returned (x days from project closeout)	X	Provide	File copy	
<i>Environment</i>				

Phase or Activity	Project Level S&O Projects	FLMA Role	FLH Role	Comments
Lead Federal agency identified	X	Provide	concur	FHWA must be a co-lead agency on an EIS
Anticipated NEPA action				
Copy of/review of Draft documents	X	Provide	Review/concur	FLH should review to insure they can be adopted by FLH
Copy of proposed level of NEPA documentation	X	Provide	File copy	(CE, EA, or EIS)
Evidence of permits	X	Provide	File copy	
Review of Public Notices	X	Provide	File copy	
Attend public meetings		Schedule, invite	Attend	FLH should attend if serving as a co-lead on an EIS regardless of project risk designation
* NEPA document	X	Provide	Adopt or develop parallel document	FHWA approval needed
Design				
Review 30% PS&E		Provide	Review/concur	
Review 70% PS&E	X	Provide	Review/concur	
Review 95% PS&E	X	Provide	Review/approve	Are required contract provisions included – Common Rule or Fed Aid?
Review or approve design exceptions	X	Provide	Review/approve	
*Review ROW certifications	X	Provide	Review/approve	If ROW is acquired, it must follow Uniform Federal Relocation Act

Phase or Activity	Project Level S&O Projects	FLMA Role	FLH Role	Comments
*Utility/Railroad Agreements	X	Provide	Review/approve	FLH needs certification
Acquisitions				
Approval of proprietary products	X	Provide	Review/approve	State DOT's already have approved lists. FLMA must follow FARs
*Concur in award of contract		Provide	Review/concur	Generally, would only get involved if additional funds required
Receive copy of award package	X	Provide	File copy	FLH should have a copy of the package in its files in case inquiries are received
Review or approve contract modifications		Provide	Review depends upon nature of CM	Need to assure non-eligible work is not being paid for with program funds
Construction				
Attend Pre-Construction meeting		Schedule	Attend	
Project Inspections		Schedule	Attend	Define which ones you will be doing.
Monthly				Is there a full time employed public employee in responsible charge for administering the project?
Mid-construction	X			
Final	X			Projects above \$xxx or type FLH should attend the final regardless of risk level. Final could

Phase or Activity	Project Level S&O Projects	FLMA Role	FLH Role	Comments
				be done electronically with photos.
Copy of As-built		Provide	File copy	Generally only request these if project adjacent to or along a corridor FLH is working on or if FLH does asset management. Used for updating system info
Materials Testing QA/QC Plan	X	Provide	Review/concur	If doing a field review, be sure to verify it is being followed.
Copy of final voucher		Provide	File copy	
Contract Dispute (Claim)		Notify	Provide assistance if requested	Need to be aware if additional funds are needed

APPENDIX 12 – SAMPLE PROJECT AGREEMENT ELEMENTS

(Elements required will vary depending upon project scope.)

- Project name(s)
- Who is a party to the agreement
- Signature/date block
- Project background/description
- Authority for agreement
- Purpose of agreement
- Scope
- Schedule/milestones
- Deliverables
- Budget (PL, PE, CE, CN)
- Funding sources identified
- Funding match type (Access Program)
- Other project nomenclature
- Design standards/geometrics
- ROW/railroad/utilities
- Construction
- Roles/responsibilities of participants
- Maintenance of facility
- Agreement amendment process
- Identify points of contact
- Dispute resolution/escalation process
- Any agency standard provisions
- Agreement duration
- Project closeout process & timeframes

APPENDIX 13 – FLTP PROJECT AGREEMENT (TEMPLATE) WITH STEWARDSHIP AND OVERSIGHT

(This template is designed for a FLTP project)

Project Name: *(may have several names)*

Project Route: *(may have several routes #)*

State:

Park, Forest, Refuge, County: *(where is the work being done)*

Type of Work: *(repair/rehabilitation, 4R, Category 1, 3R ...)*

Length: *(overall length of the work)*

Parties to this Agreement: *(list Division office, county, state, refuge, park, forest, FLMA, DSC, road district, ... who owns the road or is involved in delivering, funding, or maintaining of the project of the project)*

This agreement describes specific project requirements to be fulfilled and duties to be performed by all parties to produce or supply the services and products as agreed to below.

AGREED:

Federal Land Management Agency
(may have multiple lines, signatories)

Date

Division Director or Chief, Business Operations (FLH division)
(may be their acting "For" if they are out of the office)

Date

PROJECT AGREEMENT AUTHORITY

By what authority are we allowed to enter into this agreement?

PROJECT BACKGROUND

Short history of the road or why is the project being done?

OVERALL PROJECT SCOPE

The purpose of this project is to do what? Better define project location, - mileposts, intersection to intersection... Should expand upon the description on the signatory page.

The scope of this project consists of: (can insert a table with a preliminary listing of quantities and cost estimate if available– see example below. Want to get a feel for the major items and project estimate. Entity doing the work will provide this information. This could be provided separately as part of the documentation requested in the last section of this document.)

Main Road Items	Quantity	Unit	Price	Total Cost	Cost per Mile
Crack routing and sealing	31,070	LF	\$ 3.50	\$ 108,750.00	\$ 17,740.62
Imported Material	425	CY	\$ 25.00	\$ 10,630.00	\$ 1,734.09
Asphalt Concrete Pavement	14,171	Ton	\$ 85.00	\$ 1,204,520.00	\$ 196,495.92
Subexcavation	2,000	LF	\$ 25.00	\$ 50,000.00	\$ 8,156.61
Shoulder Stabilization	7,920	LF	\$ 100.00	\$ 792,000.00	\$ 129,200.65
Rock Scaling	11,110	SY	\$ 30.00	\$ 333,300.00	\$ 54,371.94
Concrete Barrier Rail - Remove/Reset	360	LF	\$ 50.00	\$ 18,000.00	\$ 2,936.38
Concrete Barrier Rail	360	LF	\$ 200.00	\$ 72,000.00	\$ 11,745.51
Remove Guardrail	34,600	LF	\$ 10.00	\$ 346,000.00	\$ 56,443.72
Guardrail	34,600	LF	\$ 65.00	\$ 2,249,000.00	\$ 366,884.18
Guardrail - End Sections	34	EA	\$ 5,000.00	\$ 170,000.00	\$ 27,732.46
Permanent Signing	50	EA	\$ 520.00	\$ 26,000.00	\$ 4,241.44
Removal of Signs	50	EA	\$ 100.00	\$ 5,000.00	\$ 815.66
Permanent Markings, White	64,730	LF	\$ 0.12	\$ 7,770.00	\$ 1,267.54
Permanent Markings, Yellow	64,730	LF	\$ 0.10	\$ 6,470.00	\$ 1,055.46
Culvert Replacements	1,700	LF	\$ 100.00	\$ 170,000.00	\$ 27,732.46
Fish Passage Culvert MP 3.38	45	LF	\$ 2,500.00	\$ 112,500.00	\$ 18,352.37
Fish Passage Culvert MP 4.62	140	LF	\$ 1,900.00	\$ 266,000.00	\$ 43,393.15
Fish Passage Culvert MP 5.80	80	LF	\$ 1,750.00	\$ 140,000.00	\$ 22,838.50
Schedule				\$ 3,000.00	
Temporary Traffic Control				\$ 30,000.00	
Erosion Control				\$ 25,000.00	
			Subtotal 1:	\$ 6,145,940.00	\$ 1,002,600.33
Contractor QA/QC	2%			\$ 122,918.80	
Sampling & Testing	5%			\$ 307,297.00	
Survey	3%			\$ 184,378.20	
Contingency	30%			\$ 1,843,782.00	
			Subtotal 2:	\$ 8,604,316.00	
Mobilization	10%			\$ 860,431.60	
			Subtotal 3:	\$ 9,464,747.60	
Inflation Costs /Year (3 Years)	4%			\$ 1,135,769.71	
Total Estimated Cost (2013)=				\$ 10,601,000.00	

DESIGN STANDARDS

Criteria		Comments
Standard	Ex. AASHTO Very Low Volume	Add if needed
Functional Classification		
Surface Type		
Design Volume	vpd	

FUNDING


Fund Source	Amount	Comments
<i>Title 23 program funds-what type?</i>		<i>Add if needed</i>
<i>Other funds-type? May not have any</i>		
<i>Other funds-type?</i>		
TOTAL		

POINTS OF CONTACT

The following table provides the points of contact for this project. They are to be the first persons to deal with any issues or questions that arise over the implementation of each parties role and responsibility for this agreement. *(this table would list the representatives of the entities that signed the agreement. It may not be the same individuals who signed the agreement.)*

Organization	Name / Phone Number
FLMA	
FLH DO	<i>This is the person who will receive the requested documents and do/ensure the FLH role.</i>

APPENDIX 14 – CAP REVIEW TEMPLATE

			
FLH Compliance Assessment Program (CAP) Questionnaire			
FLH DIVISION	ID#	DATE OF REVIEW	FEDERAL PROJECT # STATE PROJECT #
<input type="checkbox"/> FLTP <input type="checkbox"/> FLAP <input type="checkbox"/> If FLAP, State _____		<input type="checkbox"/> STATE ADMINISTERED <input type="checkbox"/> LOCALLY ADMINISTERED	
PROJECT DESCRIPTION			
INDIVIDUAL (S) CONDUCTING REVIEW			
SUPERVISOR REVIEW			
NAME:			
DATE:			
ADDITIONAL CAP REVIEW GUIDE(S) USED ON THIS REVIEW (LIST ALL)			
Instructions			
1. Complete all questions in the CAP Core Question Form for all CAP reviews. Do not modify questions. 2. Provide comments for each of the NO, N/A or Don't Know answers. 3. Directly verify all answers with source documentation. 4. Ensure source documentation is retained by the Division or State and available as necessary for quality assurance reviews or audits.			

#	CORE QUESTIONS	CITATION	ANSWER	COMMENT
CQ1	Was the project included in the Transportation Improvement Plan (TIP) prior to the obligation of funds?	23 CFR 450.220(d)	<p>Yes, the project was included in the FLH approved TIP prior to the obligation of funds</p> <p>No, the project was not included in the FLH approved TIP prior to the obligation of funds. (comment required)</p>	

			<p>N/A, requirement does not apply (comment required)</p> <p>Don't Know, could not be verified at the time of review (comment required)</p>	
CQ2	Was the appropriate NEPA action completed within appropriate timeframes via USC23, i.e. Record of Decision (ROD), Finding of No Significant Impact (FONSI), or Categorical Exclusion (CE) determination?	23 CFR 771	<p>Yes, the appropriate NEPA action was completed within required timeframes, i.e. ROD, FONSI, or CE determination</p> <p>No, the appropriate NEPA action was not completed within required timeframes, i.e. ROD, FONSI, or CE determination (comment required)</p> <p>N/A, requirement does not apply (comment required)</p> <p>Don't Know, could not be verified at the time of review (comment required)</p>	
CQ3	Did the FLMA provide a statement regarding the status of all ROW, utility, and railroad work and provides copies of include all applicable permits?	23 CFR 635.309 (b)	<p>Yes, the FLMA provided a statement that all right-of-way clearance, utility, and railroad work has been completed prior to the date of authorization and applicable permits.</p> <p>Yes, the partner provided a <u>conditional</u> statement for right-of-way clearance, utility, and railroad work that necessary arrangements have been made for it to be undertaken and completed for proper coordination with the physical construction</p> <p>No, the FLMA did not provide a statement that all right-of-way clearance, utility, and railroad work has been completed prior to the date of authorization and/or applicable permits. (comment required)</p> <p>N/A, requirement does not apply (comment required)</p> <p>Don't Know, could not be verified at the time of review (comment required)</p>	
CQ4	Were the Plans, Specifications and Estimates (PS&E) submitted and approved at 95% by FLH?	<p>23 CFR 630.1012(b)</p> <p>23 CFR 630.1012(c)</p>	<p>Yes, the PS&E were submitted by the FLMA and approved by FLH.</p> <p>No, the PS&E were not submitted by the FLMA and/or approved by FLH.</p> <p>N/A, requirement does not apply (comment required)</p> <p>Don't Know, could not be verified at the time of review (comment required)</p>	
CQ5	Is there a full-time public employee administering the project?	<p>23 CFR 635.105</p> <p>FHWA Guidance Memo</p>	<p>Yes, a full time employed State engineer is in charge</p>	

			<p>Yes, a full time employed Local Public Agency employee is administering the project</p> <p>No, there is no full-time public employee responsible for administering the project (comment required)</p> <p>N/A, requirement does not apply (comment required)</p> <p>Don't Know, could not be verified at the time of review (comment required)</p>	
CQ6	If applicable, did the project require a contract change order or extra work order and if so, was a cost analysis performed and submitted to FLH for approval?	23 CFR 635.120	<p>Yes, the FLMA followed the contract modification process properly and secured FLH's approval.</p> <p>No, the FLMA did not follow contract modification processes properly and/or did not secure FLH's approval.</p> <p>N/A, requirement does not apply (comment required)</p> <p>Don't Know, could not be verified at the time of review (comment required)</p>	
CQ7	Was the project delivered within the project agreement's scope?	Citation or policy	<p>Yes, the project was delivered within the project agreement's scope.</p> <p>No, the project was not delivered within the project agreement's scope. (Comment required)</p> <p>Don't Know, could not be verified at the time of review (comment required)</p>	
CQ8	Was the project delivered within the schedule?	Citation or policy	<p>Yes, the project was delivered within schedule.</p> <p>No, the project was not delivered within schedule. (Comment required)</p> <p>Don't Know, could not be verified at the time of review (comment required)</p>	

CQ9	Was the project delivered within budget?	Citation or policy	Yes , the project was delivered within budget. No , the project was not delivered within budget. (Comment required) Don't Know , could not be verified at the time of review (comment required)	
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