



# ***ODOT Local Agency Certification Academy***

Thursday, March 17, 2011



***STIP Amendments***

***Project Funding***

***Programming of Projects***

***Invoicing***

***Summary***



## ***STIP Amendments***

- Full Amendments
- Administrative Amendments



# ***STIP Amendments (cont'd)***

## • Full Amendment Matrix

Type of Change	OTC Approval?	Region Manager/Program Manager Approval?	Federal Action	Full Amendment
<b>If Project is NOT in STIP:</b>				
1. Adding a state or federally funded (FHWA or FTA*) project or a project that requires a Federal action (any funding source) to the STIP.	If on state system	Yes	Approval	Yes
2. Adding a regionally significant project from any funding source.	If on state system	Yes	Approval	Yes
<b>If Project is already in STIP:</b>				
5. Cancelling a state or federally funded project or one that requires Federal action (any funding source)**	If on state system	Yes	Approval	Yes
6. Moving an approved project to a NEEDS status, releasing funding from the project.	If on state system	Yes	Approval	Yes
7. Major change in project scope.	If on state system	Yes	Approval	Yes
8. Adding or deleting a CN phase to an approved STIP project.	If on state system	Yes	Approval	Yes
9. Changing Project Eligibility Criteria conditions on a project for which the OTC has applied conditions of approval.	Yes	Yes	Approval	Yes



# ***STIP Amendments (cont'd)***

## • Administrative Amendment Matrix

Type of Change	OTC Approval?	Region Manager/Program Manager Approval?	Federal Action	Full Amendment	Administrative Amendment
<b>If Project is NOT in STIP:</b>					
3. Adding a federally funded project that is funded with discretionary/earmark funds.	If on state system	Yes	Notification		Yes
4. Adding a non-federally funded project that doesn't impact air quality conformity or require Federal action.	If on state system		Notification		Yes
<b>If Project is already in STIP:</b>					
10. Advancing an approved project or phase from year two, three or four into the current year of the STIP.			Notification		Yes
12. Adding or deleting any phase (except CN) of an approved project.			Notification		Yes
13. Combining two or more approved projects into one.			Notification		Yes
14. Splitting an approved project into two or more, or splitting part of an approved project to a new one.			Notification		Yes



# STIP Amendments (cont'd)

## • Administrative Amendment Matrix

Type of Change	OTC Approval?	Region Manager/Program Manager Approval?	Federal Action	Full Amendment	Administrative Amendment
<b>If Project is already in STIP:</b>					
15. Breaking a new project out of an approved program-specific pool of funds (but not reserves for future projects) or adding funds to an existing project from a bucket or reserve.			Notification		Yes
16. Minor technical corrections to make the printed STIP consistent with prior approvals, such as typos or missing data.			Notification		Yes
17. Changing name of project due to change in scope, combining or splitting of projects, or to better conform to naming convention.			Notification		Yes
18. Adding FHWA funds to an approved FTA project.			Notification		Yes
19. Increasing or decreasing the federal funds of an FTA-funded project without affecting the fiscal constraint of the STIP.			Notification		Yes
22. Obligating (the initial programming request with FHWA as compared to the current STIP) funds that exceed 20% or \$100,000 of the phase cost, whichever is greater, as compared to the current STIP.			Notification		Yes



## ***STIP Amendments (cont'd)***

- If project is in an MPO, it must be amended into the MTIP PRIOR to requesting a STIP amendment.
  - FHWA verifies project is in STIP before federal approval is granted for funding requests



## ***Project Funding***

- Federal Funds
- Match Requirements



## ***Project Funding (cont'd)***

- Federal Funds

- SAFETEA-LU

- Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users

- Enacted August 10, 2005, as Public Law 109-59. SAFETEA-LU authorizes the Federal surface transportation programs for highways, highway safety, and transit for the 5-year period 2005-2009.

- Currently operating under Extension Act



## ***Project Funding (cont'd)***

- Different Categories (sometimes referred to as “colors of money”)
  - Formula Limitation (vs. Apportionment)
    - Receive annually
    - Used on most projects
- Earmarks
  - Project specific funding
    - From SAFETEA-LU
      - »Funds paid out over life of Act



## ***Project Funding (cont'd)***

- From Annual Appropriations Bill
  - »Should be “obligated” in the year received
  
- Federal funding provided on a reimbursement basis
  - Must spend a dollar to get back .89



## ***Project Funding (cont'd)***

- Match Requirements
  - Most federal funds require non-federal funds as match
  - Most certified projects will not involve match up front since the Certified Agencies will be paying the invoices
  - Match can come from several sources
    - Cash
      - Check
      - Local Government Investment Pool (LGIP)
    - Irrevocable letter of credit



## ***Project Funding (cont'd)***

- Donations (must obtain prior approval in order to qualify)
  - Cash
  - Materials
  - Services
  - Real property
    - » Six point criteria
- Timing of match (as per IGA and AOC/LOC agreement)
  - Must be provided in advance of PE or ROW phases



## ***Project Funding (cont'd)***

- Will receive request for advance deposit when phase of work ready to commence
  - Transportation Program Office (TPO) makes the request of the Local Agency based on information provided by the Local Agency Liaison (LAL)
- Construction phase requires 110% of engineer's estimate and receipt must be prior to award
  - May request any excess funds after award of contract



## ***Project Funding (cont'd)***

### –Use of match

- As expenditures come in, federal funds and associated match funds are used
  - Match will be used incrementally over life of project phase
- At end of project phase, any unused funds are returned



## ***Programming of Projects***

- PE and RW projects where ODOT is taking the lead
  - Programming request comes to TPO from the region
    - TPO confirms project phase is in the STIP then enters request into FHWA system, FMIS
    - Once FHWA approves request, TPO sends approval notice to region along with expenditure account number to use for posting transactions



## ***Programming of Projects (cont'd)***

- Region will contact Local Agency to confirm start date
- CN Projects where the Certified Agency is the lead
  - PS&E spreadsheet sent to TPO from LAL for completing the funding portion
    - TPO confirms project phase is in the STIP then enters request into FMIS
    - Once FHWA approves request (which is the approval to go to ad), TPO sends approval notice to LAL that is working with the Certified Agency



## ***Programming of Projects (cont'd)***

- LAL will contact Certified Agency; ok to go to ad
- Once Certified Agency selects winning contractor, PS&E spreadsheet updated to reflect contractor bid and sent to LAL and forwarded to TPO
  - TPO enters project modification into FMIS
  - Once FHWA approves modification, TPO sends approval notice to LAL that is working with the Certified Agency and creates expenditure account



## ***Invoicing***

- All invoices sent to LAL for processing
  - Correspondence of billings must include:
    - Agreement number
    - Key number
    - Project name
  - Only federally eligible costs allowed for reimbursement



## ***Invoicing (cont'd)***

–CE billings are same as for non-certified agency projects

–Contractor payment reimbursements

- Follow desk procedures found in appendix of LAG Manual

–[http://www.oregon.gov/ODOT/HWY/LGS/docs/LAG\\_Manual\\_09/C5.pdf](http://www.oregon.gov/ODOT/HWY/LGS/docs/LAG_Manual_09/C5.pdf)



## ***Summary***

- Project can be funded with any funding source previously mentioned
  - Either as a sole source or any combination
  - Don't start work on federal project until approval given
  - Important to not only know how a project funded, but also if specific work within the project will have specific funding



***Questions?***



## ***Contact Information***

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