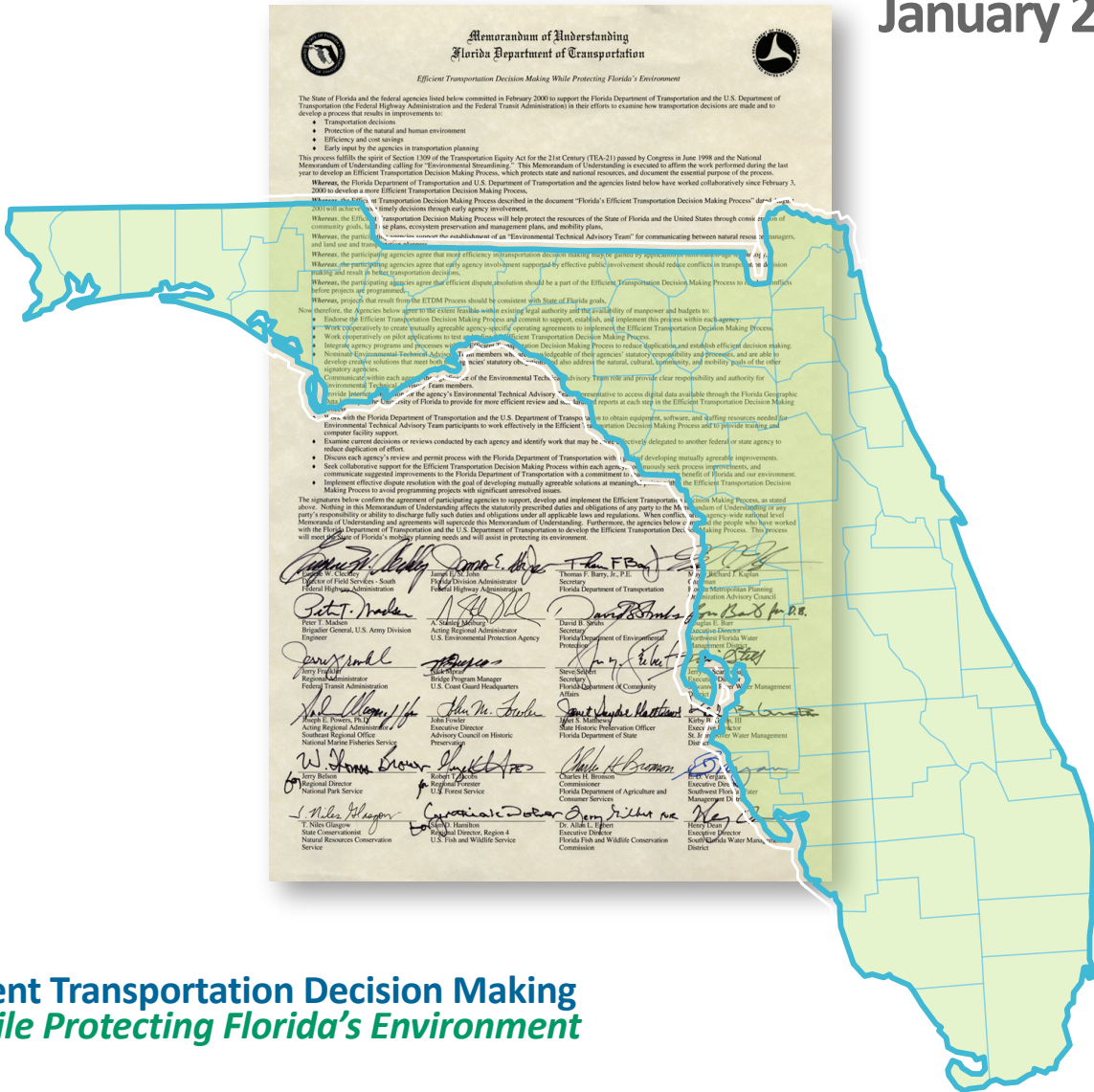




# FDOT Funded Positions Reference Handbook

January 2022



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

Florida Department of Transportation  
Office of Environmental Management  
Mail Station 37  
605 Suwannee Street  
Tallahassee, FL 32399-0450  
Phone: (850) 414-4447  
[www.fdot.gov/environment/](http://www.fdot.gov/environment/)



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## CHAPTER 1 PURPOSE OF HANDBOOK

### 1.1 Introduction

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

### 1.2 Background

The ETDM process creates linkages between land use, transportation, and environmental resource planning initiatives through early, interactive agency involvement in order to improve transportation decisions and reduce the time and cost to implement improvements. Two environmental screening events occur at the transportation planning and programming phases that increase program and project efficiency. Partner agencies participate in the screening events as members of an Environmental Technical Advisory Team (ETAT). The ETDM process provides stakeholders the opportunity for early input, involvement, and coordination. It allows for the early identification of potential project effects and informs the development of scopes of services for projects advancing to the Project Development and Environment (PD&E) Study phase. The ETDM process is consistent with the streamlining objectives of the Moving Ahead for Progress in the 21<sup>st</sup> Century Act (MAP-21) and the Fixing America's Surface Transportation (FAST) Act. For more information on the ETDM Process, please see the [ETDM Manual](#).

### 1.3 ETDM Support and Maintenance Activities

The authority to execute funding agreements with ETAT partner agencies is pursuant to 23 United States Code (U.S.C.) §139, which allows funding for transportation planning activities that precede the initiation of the environmental review process, activities directly related to the environmental review process, dedicated staffing, training of agency personnel, information gathering and mapping, and development of programmatic agreements. Each ETAT agency also identifies the legislative authorization specific to their agency allowing use the federal funding and the ability to perform the work specified within the funding agreement. Review each specific agreement for more details.

Moreover, Florida Department of Transportation (FDOT) provides technical assistance, support, and funding for the development, management, and maintenance of the ETDM process consistent with the streamlining objectives of 23 U.S.C. § 139 and 168, the ETDM Memorandum of Understanding (MOU), and implementing agreements.

Besides funding for ETAT participation, the following environmental streamlining activities are eligible for federal funding and reimbursement under 23 USC 139(j), per Federal Highway Administration (FHWA) approval email dated March 24, 2016:

- Activities essential to maintain, update, and develop Geographic Information System (GIS) databases essential to ETDM.
- Activities essential to maintaining, developing, storing, and using the Environmental Screening Tool (EST) - the online interactive database and mapping application that supports the ETDM Process, including the operation of an EST Help Desk.
- Activities essential to developing and updating sociocultural data and analysis, indirect and cumulative data and analysis, public involvement programs, and any other issue related to planning or National Environmental Policy Act (NEPA).
- Activities essential to developing, updating, and maintaining an online performance management system, including data collection, monitoring, and reporting.
- Activities essential to developing, conducting, and periodically updating online and classroom-based training for ETDM-related program areas, such as the EST and PD&E.
- Consultant staffing support needed to implement ETDM, and ETAT agency program management, invoicing, and funding as established by individual ETAT agency agreements.
- Statewide environmental streamlining initiatives to link planning and NEPA, establish efficiencies in NEPA and environmental programs and processes, procedures, and conduct resource agency ETAT meetings, or any other program development activities.
- Native American coordination activities related to environmental streamlining and NEPA.

FDOT coordination with FHWA occurs before execution of an ETAT funding agreement or consultant contract seeking to use federal funds, providing FHWA an opportunity to review the scope of service of the ETAT funding agreement or consultant contract to verify the activities are eligible for federal reimbursement. FHWA provides an email confirmation, which is placed in the contract file.

## CHAPTER 2 INTERAGENCY AGREEMENTS

### 2.1 Introduction

This chapter describes the purpose and content of the ETDM agency agreements. For specific details, each ETAT agency should refer to their executed agreements.

Since 2003, the FHWA and the FDOT have signed agreements with 17 federal and state agencies to participate in the ETDM and environmental review processes. The agreements consist of five (5)-year terms (previously three (3)- to four (4)-year terms). When the ETDM Process was first implemented, each agency had a Master Agreement (MA), an Agency Operating Agreement (AOA), and a Funding Agreement (FA), when applicable. Recent program evaluations revealed the desire to consolidate the content to create a single agreement. Now, as agreements come up for renewal, the three (3) agreements have been condensed into one (1) for each agency, either an AOA or an Agency Operating and Funding Agreement (AOFA). In addition, the agreements have been amended to reflect FDOT assuming lead agency responsibilities identified in the MOU executed by FHWA and FDOT on December 14, 2016, concerning the State of Florida's participation in the Surface Transportation Project Delivery Program pursuant to 23 U.S.C. § 327.

The ETDM agreements serve as a framework for agency participation in the ETDM Process, providing agency-requested technical expertise on projects and actively reviewing environmental and companion documents during the PD&E Study phase. FDOT and each agency negotiate the terms and conditions of the agreement based on the agency's regulatory and statutory requirements and funding resource needs. The agreements establish work activities, review timeline expectations, performance measures, and issue resolution protocols. Agreements are reviewed and updated when they approach expiration, as needed.

### 2.2 General Process Information

The agreements define the ETDM process, outlining general process participants, stages, and supplemental components, such as ETDM-related training opportunities. This general information, contained in the AOA or AOFA, is the same for each agency.

### 2.3 Agency-Specific Operations

The agreements specify agency statutory and regulatory review responsibilities and authorities within the ETDM Process. The AOA/AOFA describes an agency's unique engagement with the ETDM Process and establishes review expectations, timelines, activities, performance objectives, and products specific to the agency's authorities and expertise.

## 2.4 Funding Requirements

When needed agency funding to participate in this program is requested, an agency funding agreement is developed and specifies the work products or services expected in exchange for receiving funds to participate in the ETDM process. The two types of funding options include cost reimbursement and advance payment of funds. Through execution of either of these agreements, funding is authorized for agencies that are willing but unable to provide FDOT projects with expedited, priority review without an additional funding source.

Examples of activities eligible for funding include:

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

The allowable billable hours for funding submitted by review specialists shall be driven by the negotiated conditions in the executed agreement. In general, hours directly billed to funded ETDM agreements represent work done exclusively (100%) on reviewing FDOT projects, providing expedited project review and coordination, requested technical assistance, document review, and other activities identified in the executed agreement.

The following are typical tasks contained in AOFAs:

- Review and comment on ETDM projects
- Participate in agency scoping for PD&E
- Review and comment on resource inventory and impact assessment activities
- Provide preliminary environmental analyses, guidelines, and review
- Represent the agency at meetings
- Participate in the development and implementation of written FDOT and agency guidance
- Provide technical assistance and commentary, as requested by FDOT, to satisfy data needs on permits and environmental and technical documents
- Coordinate and provide training on resource issues
- Organize meetings and conference calls to clarify problems at the request of the agency or FDOT
- Provide reporting, billing, and other administrative functions

Agencies providing goods and services to FDOT should be aware of the following time frames: Upon receipt, FDOT has five (5) working days to inspect and approve the goods and services, and twenty (20) days to deliver a request for payment (voucher) to the Florida Department of Financial Services (DFS).

The twenty (20) days are measured from the latter of the dates the invoice is received or the goods or services are received, inspected, and approved pursuant to Section 215.422, Florida Statutes (F.S.)

## 2.5 Cost Reimbursement

An agency cost reimbursement AOFA is an agreement where the agency is providing all the upfront cost associated with the funded position (hiring, salary, benefits, etc.) which then allows the agency to submit their request for reimbursement after the qualifying services have been completed. The agency is reimbursed for allowable costs incurred that are directly related to services in the agreement. Payment reimbursements are distributed at specific intervals. These intervals can be either bi-weekly, monthly, or quarterly and solely based on the executed AOFA which states ETAT hourly rates for each hour worked, approved travel incurred, and other expenses allowable in the agreement.

## 2.6 Advance Payment

Advance Payment agencies or agencies who have identified the need to be provided funding in advance of performing the services in the executed AOFA. Agencies who wish to have their AOFA setup as advance pay must request this option during the negotiation process and the request must also be in writing (email is fine). The agency must provide the request to the OEM State Environmental Quality and Performance Administrator a justification as to why the advance pay option for the new agreement is needed and why the agency is unable to enter into a cost reimbursement agreement. Before negotiations of the AOFA can move forward the OEM State Environmental Quality and Performance Administrator must receive FDOT Comptroller approval and FHWA approval for an advance pay option to be used.

After execution of an approved advance pay AOFA the agency invoice submitter must prepare and submit the initial advanced pay amount within the EST Invoice Module. This initial request must be submitted within 7 days of the effective date of the executed AOFA. Payment will be made via electronic transfer (or as specified in the executed AOFA) within twenty (20) days of receiving the invoice for the initial advance funding payment, subject to fiscal year funding in the FDOT Adopted Work Program.

Additional quarterly advance pay distribution amounts requested from the agency are submitted by the agency quarterly within the EST Invoice Module with all cost incurred for completed activities during the previous quarter being reported.

If at any time a determination is made between FDOT and the agency during the AOFA period of performance that enough funds currently are in the agreement to cover the next quarterly distribution and a new quarterly distribution will not be granted. However, the agency, is still required to submit the next quarterly request as a zero-funding requested invoice and the invoice itself should report the costs incurred for the previous quarterly distribution.



## 2.7 Amendment of Agreements

Agreements may be amended prior to the expiration date of the current agreement. They cannot be amended after the expiration date. In the event an agency needs to modify their agreement prior to the expiration date to adjust to changing conditions, FDOT will submit an Agency Amendment form or a letter amendment, depending on whether the identified agreement delegates can authorize the amendment or whether the amendment must be executed by executive leadership. Amendments must include sufficient justification and be reviewed and approved by all parties to the agreement. Proposed modifications are effective the day all authorized signatures are obtained on the Agency Amendment form or letter amendment. Examples of agreement modifications include requests for personnel approval, increases in advance payment, or time extensions. A sample of the Agency Amendment form is included as **Appendix A**.

Time extensions or other modifications to existing executed agreements which add no additional activities to the scope of service nor additional funding may be processed by the project officers identified in the agreement.

Due to recent guidance from the FDOT Office of the Comptroller, no cost time extensions should only be for one year. Moving past 2022, instead of completing a no-cost time extension because enough funding remains in the existing agreement, we are required to close out the existing (and now dated) agreement and search to execute a new agreement. Amendments that include either a cost (funding) increase and/or expanding the scope of service activities must be reviewed and approved by FHWA before execution and must be signed consistent with the same agency level of signatures on the original executed agreement.

In the event an agency identifies the need for additional funding and/or additional staff to maintain expedited project review requirements, the standard Agency Amendment form (**Appendix A**) is also used. When generating this request, the agency provides answers to the questions supporting the justification found in **Appendix B**.

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

ETDM agreements may be terminated by any party to the agreement upon sixty (60) days written notice to the Project Officers listed in the executed agreement. Refer to the termination conditions found in each agreement for more details.

## 2.8 Renegotiation of Expiring Agreements

An ETAT agency and FDOT shall begin discussions to renegotiate a new agreement prior to the expiration of the current ETDM agreement, following these steps:

- 1) The draft agreement is developed, reviewed, and coordinated within the Office of Environmental Management (OEM) Quality Assurance and Performance section.
- 2) The draft agreement is coordinated with the ETAT agency contact and FHWA representatives to confirm federal funding eligibility.
- 3) Any questions or issues are answered and addressed to reach consensus.
- 4) The proposed agreement is reviewed within FDOT (including Legal and the Comptroller's office).
- 5) The final agreement is coordinated with the agency contact for final review and acceptance.
- 6) Executable version provided to FHWA for official federal funding eligibility approval.
- 7) Once FHWA approval received, funds are encumbered, and the agreement file is setup in the contract management system.
- 8) Once approved by all parties by email acceptance, OEM Quality Assurance Performance section will process the agreement for signature and execution.
- 9) A file copy of the executed agreement is forwarded to FHWA.

## 2.9 Single Audit Requirements

The administration of resources FDOT awards to other agencies as defined in the Office of Management and Budget (OMB) Circular A-133, as revised, may be subject to audits and/or monitoring by FDOT. FDOT has determined that the nature of the ETDM agreements is consistent with vendor services contracts where the federal funds are for the expedited review and timely delivery of technical expertise and do qualify for single audit provisions. FDOT's Recipient Checklist for Determining if the Entity Receiving Funds has a Contractor or Subrecipient Relationship is provided in **Appendix C**.

## 2.10 Evaluating Program Outcomes

To evaluate a funded positions program, FDOT considers the general benefits and challenges that funded positions provide. OEM designed and instituted both quantitative and qualitative performance measures that demonstrate the benefits that funded positions provide in streamlining project review and delivery. These measures are identified in the agency agreement. OEM monitors and reports on agency performance on a quarterly basis using an automated feedback report, administers a biennial ETDM survey to gather input from the agencies about the program, and summarizes progress in periodic progress reports.

## CHAPTER 3 ETDM FUNDING

### 3.1 Funding Levels

ETDM process funding comes from 100% federal funds authorized by FHWA as allowable activities consistent with the liaison initiative and streamlining objectives found in 23 U.S.C. §§ 139 and 168, the FHWA “[Establishing a Transportation Liaison Program](#)” published September 2021, as well as the ETDM MOU and implementing ETAT agreements.

### 3.2 Agency Budgets

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

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

Budgets are prepared by the agency and submitted to the OEM State Environmental Quality and Performance Administrator for review, modification, and approval. Budgets should not exceed five-year terms and must identify all staffing requirements, including FTEs, OPS, and administrative support staff to be funded by the program.

### 3.3 Expenses Not Eligible for Funding

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

- Awards and certificates (e.g., Employee of the Year)
- Employee relocation expenses

Each agency agrees to coordinate with the OEM State Environmental Quality and Performance Administrator and OEM Invoice Administrator prior to conducting any undefined or questionable activity to ensure funding eligibility.

### 3.4 Department of Financial Services Pre-Approval

Department of Financial Services (DFS) pre-approval must be obtained prior to signing an AOFA for:

- Advance payment
- Federal travel rates

### 3.5 Advance Payment and Federal Travel Rates

Agencies wishing to receive operational advances must receive approval prior to signature of the AOFA. The Agency Project Officer or ETAT Primary must send an email to the OEM State Environmental Quality and Performance Administrator stating that their agency requires advance payment and provide sufficient justification as to why the agency is unable to enter into a reimbursable agreement. This email, received by the department, is attached to the Request for Advance Payment to Government Agency – FDOT Official Form 350-000-10 (**Appendix D**) and coordinated with the Comptroller’s Office and approved by DFS. Advance payments can only be approved on a per year basis and all requests submitted for approval before the next twelve (12) month service period begins for each year of the agreement. Agency advance payment request occur quarterly and only one quarter’s payment can be requested by an agency in each invoice.

All public agencies receiving advance payments must account for the advanced amount, including interest earnings (if applicable), and the funds maintained and accounted for in an accounting system or separate account from other funds of the agency to ensure funds and projects are tracked separately. The agency will invoice no more than monthly for costs incurred, and the amount advanced, plus interest earnings shall be deducted on the latter month’s invoices. Any unexpended funds, including applicable interest, remaining at conclusion/termination of the agreement must be returned within the number of days specified in the agreement of completion or termination of the agreement. All interest returned to FDOT is used for Work Program activities.

In the event an advance pay approval request cannot be submitted before the AOFA service period of performance begins then an explanation or justification is required by DFS.

As well, in the event an agency is unable to submit an advance payment invoice request before the desired quarter requiring advance pay the invoice may be required by DFS to be resubmitted as a reimbursement invoice. Every effort to submit advance payment invoices ahead of the desired advance payment request period is necessary.

#### **Federal Travel Rates**

Federal agencies funded through these ETDM Agreements may elect to be reimbursed with the use of federal travel rates. However, that must be determined ahead of an executed funding agreement and before any travel related expenses are incurred. With the executed federal funding agreement in hand, OEM will obtain written approval from DFS in advance waiving Section 112.061 F.S. in lieu of the ruling or law that requires/allows federal rate reimbursement. This approval request is a separate standalone request requiring DFS approval outside of an Advance Pay Approval. DFS determination (approval) to allow the federal agency to use federal travel rates and travel regulations is completed one time and placed in the file to support any future invoicing submissions where travel reimbursement is requested.

All federal agencies travel related to FDOT project review and the ETDM process and lodging/hotel expense shall not exceed \$175 per night without prior authorization from the Department. All non-routine related travel request must be submitted one month in advance or as soon as practicable and receive electronic preapproval from the OEM State Environmental Quality and Assurance Performance Administrator.

### 3.6 FDOT Funding Encumbrance Process

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

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

### 3.7 Certification of Completion and Close-Out

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

At the end of the AOFA contract period and receipt of the agency final billing a Certification of Completion Agreement (COCA) form will be prepared by the OEM Invoice Administrator and signed by the ETAT agency and FDOT. Preparation of the COCA includes a balancing of the funds covered by the AOFA, and stipulates:

- The amount, if any, that is still due to the agency; or
- The unspent amount of any Advance Payment funds and accrued interest, if any, that will be returned to FDOT within 60 days of expiration of agreement; or
- Certification that all ETAT agency invoices have been submitted and paid, and there is no balance due to either party.

After the COCA has been signed by all parties, the OEM Invoice Administrator forwards the form to the Disbursement Office. The agency agreement is closed out, and any remaining funds are returned to the FDOT Work Program. If any funds are to be returned from the agency a copy of the form is also forwarded to the FDOT Cash Office. A copy of the COCA form is provided in **Appendix E**.

The signed COCA form is returned to the OEM Invoice Administrator at the following address or email:

Physical Address:

**Terri Cook**, Program Coordinator  
Florida Department of Transportation  
Office of Environmental Management  
605 Suwannee Street, Mail Station 37  
Tallahassee, Florida 32399-0450

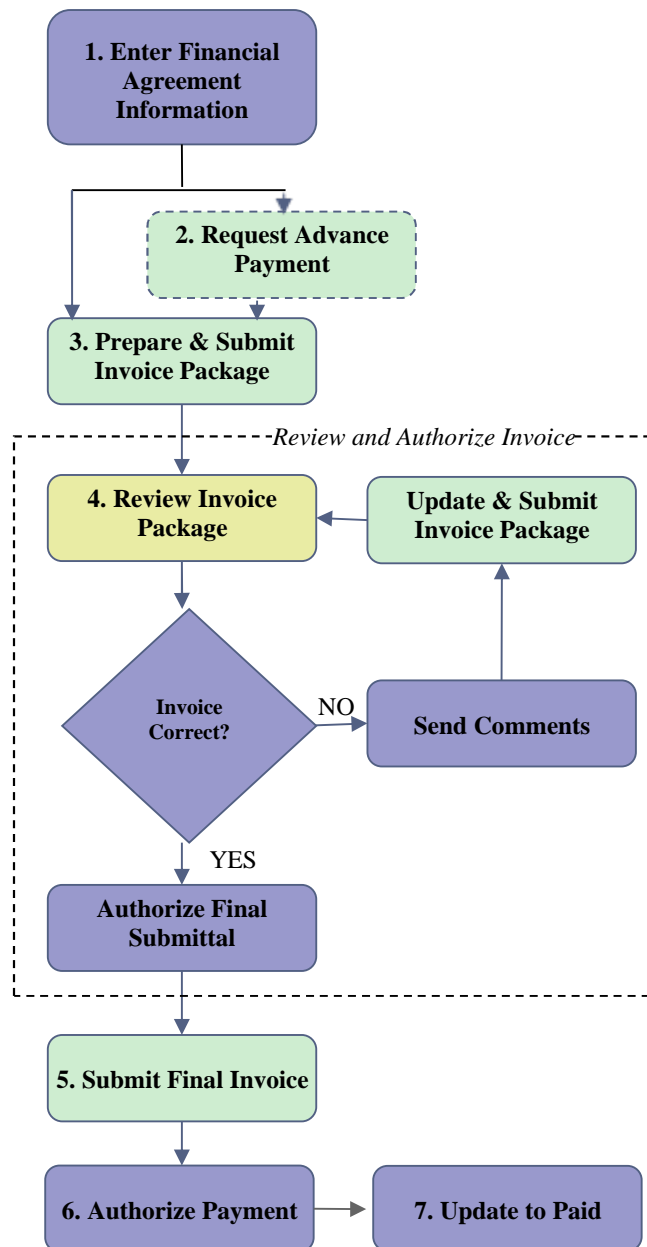
Email:

[Terri.Cook@dot.state.fl.us](mailto:Terri.Cook@dot.state.fl.us)

## CHAPTER 4 AGENCY INVOICING AND REPORTING

### 4.1 Purpose

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



The objectives of the ETDM agency invoicing system are to:

- **Reduce** paperwork
- **Reduce** errors
- **Expedite** the invoicing process

### 4.2 Invoice Process Overview

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

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

**Step 2 (contract dependent) – Request Advance Payment:** For agencies authorized to receive advance payment, the Agency Invoice Submitter submits an advanced payment request using the Advance Payment Request Form. This should be completed as soon as possible upon receiving Notice To Proceed from the FDOT Contract Manager.

**Step 3 – Prepare and Submit Invoice Package:** In accordance with the specific contract

schedule, the Agency Invoice Submitter prepares a draft invoice package and submits it to the FDOT via the EST.

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

Within 40 work hours (five workdays) of receiving the email, the OEM and District Invoice Reviewers review the invoice and submit any comments via the EST. When all comments are received, the OEM Invoice Administrator reviews the comments to determine if the draft invoice is correct and identifies any reconciliation items. If it is correct, the OEM Invoice Administrator authorizes the agency to submit a final invoice. If it is not correct, the OEM Invoice Administrator compiles the comments and forwards them to the Agency Invoice Submitter. The Agency Invoice Submitter makes all necessary corrections and re-submits the invoice for review. This step is repeated until the invoice is correct.

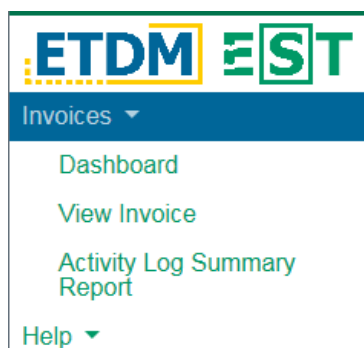
**Step 5 – Submit Final Invoice:** Upon authorization by the OEM Invoice Administrator, the Agency Invoice Submitter submits the final invoice. The OEM Invoice Administrator receives an email notification of the final invoice submittal. Should an error be identified in the final submission, the OEM Invoice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

**Step 6 – Authorize Payment:** When there are no outstanding corrections the OEM Invoice Administrator processes the invoice for payment, and updates invoice status to “Processed” in the EST.

**Step 7 – Update Invoice To Paid:** When payment has been made from DFS the OEM Invoice Administrator updates status to “Paid” in the EST.

### 4.3 Environmental Screening Tool Website

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



To access reports related to invoicing, click **Dashboard** in the **Invoices** menu. Please note that EST screenshots may not be reflective of what is seen by each user because of unique roles and since we are always enhancing the EST. However, the directions given are accurate.

For information on how to navigate the Invoicing section, click **Help** in the menu bar to view the Overview and Quick Guides.



## 4.4 Roles and Responsibilities

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

### 4.4.1 Agency Invoice Submitter

Within each of the funded agencies, one ETAT representative or designee can submit invoices on behalf of the agency. The Agency Invoice Submitter responsibilities:

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

#### 4.4.1.1 Agency Invoice Submitter Request for Change

Change request of agency Invoice Submitter will be sent from the ETAT representative or Project Officer by email to the ETDM helpdesk and copy to the OEM State Environmental Quality and Performance Administrator, OEM Environmental Process Analyst, and OEM Invoice Administrator.

ETAT representative or Project Officer request will include:

- First and last name of agency Invoice Submitter to remove.
- First and last name and email address of new agency Invoice Submitter.
- Change effective date.

### 4.4.2 OEM Invoice Administrator

The OEM Invoice Administrator maintains contract information, receives, and reviews invoice submittals, and processes submittals for payment. The OEM Invoice Administrator responsibilities are but not limited to the following:

- Initial contract information set-up, such as contract numbers, amounts, contacts, and schedules, as well as keeps the information current.
- Reviews draft invoices for completeness and correctness.
- Compiles comments from District and OEM Invoice Reviewers.
- Authorizes final invoice submittals.
- Processes final invoices for payment and update status.
- Updates invoice override information, as needed.

### 4.4.3 District and OEM Invoice Reviewers

District and OEM Invoice Reviewers submit comments related to initial draft invoices. The District and Invoice Reviewers responsibilities:

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

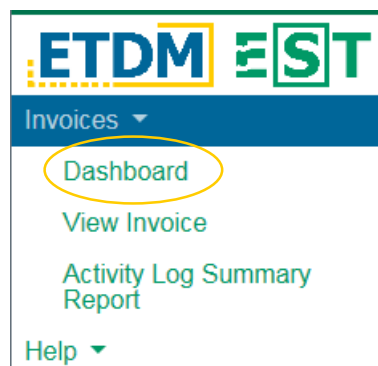
## 4.5 How to Prepare a Reimbursement or Advance Pay Invoice

Quick guides and tools are available within the EST to assist with generating, completing, verifying, and submitting agency invoices.

The OEM Invoice Administrator is also available to provide training of the EST Invoice Module upon request from an Agency Invoice Submitter by email to [terri.cook@dot.state.fl.us](mailto:terri.cook@dot.state.fl.us) .

### 4.5.1 Create an Invoice

From the Dashboard, agencies with either a Reimbursement or Advance Pay AOFA can create an invoice. To access the **Dashboard**, click **Invoices** on the menu bar to the left, then click **Dashboard**. You can also access the **Dashboard** by clicking **Invoice Dashboard** under **Quick Links** on the right.



In your Dashboard, you can see Open Agreements and Invoices as well as Invoices in Review. Click **Actions** next to an existing open invoice you want to work on.

Open Agreements and Invoices **Invoices in Review**

## Open Agreements

Organization	Agreement / Contract	
SHPO	<a href="#">AS978</a>	Actions ▾

Showing 1 to 1 of 1 entries

You can create a new invoice either by clicking the **Create New Invoice** Button to the right of the Open Invoices section or selecting **Actions** next to your open agreement and clicking **Create New Invoice**.

### Open Agreements

Organization	Agreement / Contract	
SHPO	<a href="#">AS978</a>	Actions ▾

Showing 1 to 1 of 1 entries

- View Agreement
- Create New Invoice**

### Open Invoices

Organization	Agreement / Contract	Invoice Number	Status	
SHPO	<a href="#">AS978</a>	1	Internal Draft (08/08/2018)	Actions ▾

**Create New Invoice**

Once you click **Create New Invoice**, you will see the information for your agreement. Ensure that information is correct or update it now and click **Save**. For an **Advance Pay Request**, you will be automatically directed to the **Prepare Advance Pay Request** page. If you are preparing a **Reimbursement**, you will be directed to the **Edit Expenses and Receipts** page.

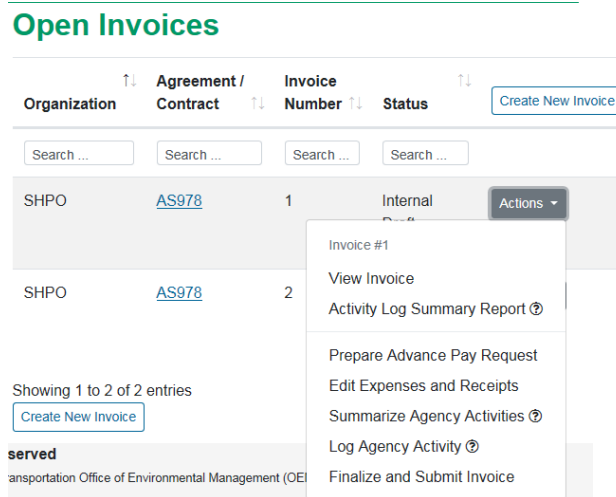
## 4.5.2 Tasks for Preparing an Invoice

**Invoice Tools** ▾

- View Invoice
- Edit Expenses and Receipts
- Summarize Agency Activities
- Log Agency Activity
- Finalize and Submit Invoice

Once you have created a new invoice, you can easily navigate to the next task by clicking **Invoice Tools** at the top right of the screen next to the wrench icon.

You can also locate these tasks under the **Actions** button next to each open invoice in the Dashboard.



The tasks for preparing an invoice are as follows:

- View an invoice
- Activity Log Summary Report
- Prepare Advance Pay Request (only appears for Advance Pay Agreements)
- Edit Expenses and Receipts
- Summarize Agency Activities
- Log Agency Activity
- Finalize and Submit Invoice

The tasks on this menu are arranged from top to bottom in the order they typically occur but can be completed in any order (except for Finalize and Submit).

#### 4.5.2.1 Activity Log Summary Report

Use this page to create a report and easily summarize and verify data on the invoice.

#### 4.5.2.2 Advance Pay Request Agreements

This task applies only to Advance Pay Request agreements. For Reimbursement Agreements, you will begin with the **Edit Expenses and Receipts** task (4.5.2.3).

When data is input, “Labor” and “Expenses” fields will auto-populate the “Amount of Advance Requested”, “Total Advances to Date”, and “Balance” fields. Click **Save** to save data. Then click **Invoice Tools** in the top right corner of the screen to move to the next task you wish to work on.

**Compensation Elements are as follows:**

**Labor:**  
  
*Method of Compensation: Direct Salary plus Overhead*

**Expenses:**  
  
*Method of Compensation: Actual Expenditures*

**Amount of Advance Requested:**

**Total Advances to Date (including this one):**

**Balance:**

### 4.5.2.3 Edit Expenses and Receipts

Here you can track expenses and receipts for Personnel, Overhead, Travel, Training, and Other. Use the buttons on the right to create a new expense, copy information to the clipboard, create an Excel spreadsheet of input information, or download a CSV file from the website.

**Edit Expenses and Receipts**

**Personnel**

Name and Job Class	Hours Expended	Average Hourly Rate	Cost this Period
No data available in table			

---

**Overhead**

Overhead Amount:

Total Direct Salary Costs	\$0.00
Overhead	\$500.00
<b>Total Salary Related Costs</b>	<b>\$500.00</b>

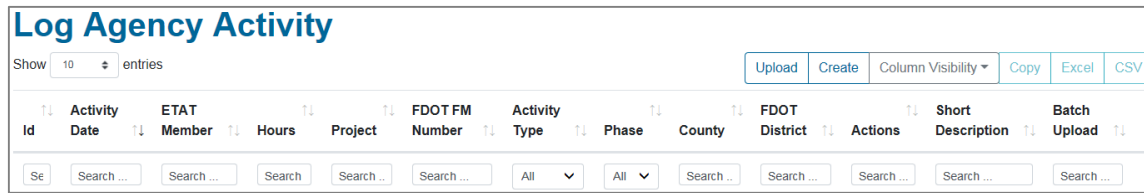
### 4.5.2.4 Summarize Agency Activities

Summarize activities including Invoicing Period, Accomplishments Made During Period, Summary of ETDM Screening Activities, and Anticipated Accomplishments for Next Period.

### 4.5.2.5 Log Agency Activity

This screen provides details about all agency activities. These activities should include additional screening activities, meetings, technical support of non-ETDM projects, Advance Notification and technical document review, permit coordination, etc. Log each activity individually; however, activities such as “Administrative Tasks” should be grouped by week or month.

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



To enter information directly into the **Create Activity** form, click the **Create** button and complete the fields below.

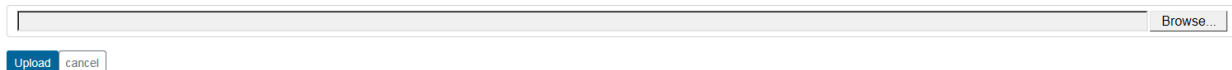
Click the **Save** button at the bottom of the page to save your work.

To upload a list of activities from a spreadsheet, use the **batch upload spreadsheet** template. Click the **Upload** button to find instructions on how to load a list of activities from Excel and the Excel spreadsheet. This template allows you to enter multiple activities at one time in batch mode and allows you to validate your entries prior to uploading your activities.

## Log Agency Activity

### Upload Batch Spreadsheet

Upload Spreadsheet:



#### Requirements

Must use the provided spreadsheet and meet the following specifications:

- Use the [batch upload spreadsheet](#) (Opens in a new window)
- Data must be in the first sheet of the Excel file
- The first row of the sheet must contain the column names
- Column names cannot be changed or deleted

Click The batch upload spreadsheet and it will open in a new window. Follow the requirements listed to properly input the information into the spreadsheet, click the **Validate** button to check your entries, and save the document. Click **Browse** to locate the newly saved file from your computer, then click **Upload**. Once the spreadsheet has been uploaded, you will be directed back to the log.

After an activity is created and **Saved**, you can edit or delete an activity by clicking the **EDIT** or **DELETE** button that appears next to the activity.

### Log Agency Activity for Agreement

Show 10 entries

Show All Upload Create Column Visibility Copy Excel CSV

Activity Id	Activity Date	ETAT Member	Hours	Project	FDOT FM Number	Activity Type	Phase	County	FDOT District	Actions	Short Description	Batch Upload
3145	10/10/2018	Sanders, Scott	7.0	12838 - test update swat project to non-swat	41506432804	Advance Notification	Administration	Not Applicable	Not Applicable	informal coordination	test	626

edit delete

The Log also allows you to search by relevant information in the “Search” bar below the headers and select options as they appear. You can select which columns you want to view by selecting **Column Visibility** and deselecting the ones you want to hide. Click the **Copy** button to copy data to your Clipboard, Click the **Excel** button to download to an Excel spreadsheet, or Click the **CSV** button to download as a comma-separated values (CSV) file.

The **Show ALL** and **Show ME** button allows Reviewers to filter activities by default. Click the **Show All** button to see all activity; Click the **Show ME** button to only see your activity.

### Log Agency Activity for Agreement

Show 10 entries

Show All Upload Create Column Visibility Copy Excel CSV

Activity Id	Activity Date	ETAT Member	Hours	Project	FDOT FM Number	Activity Type	Phase	County	FDOT District	Actions	Short Description	Batch Upload
3145	10/10/2018	Sanders, Scott	7.0	12838 - test update swat project to non-swat	41506432804	Advance Notification	Administration	Not Applicable	Not Applicable	informal coordination	test	626

edit delete

## 4.5.2.6 Finalize and Submit Invoice

Select the **Finalize and Submit Invoice** task when invoice is complete. If fields are incomplete, you will not be able to submit until all issues in the pink box are solved and fields have been completed.

## Finalize and Submit Invoice

**Blank fields:**

- Screening Problems Suggestions
- Other Comments
- Administrative or Supervision Tasks
- Coordination
- Performance Measures
- Problems Encountered/Suggestions for Improvement
- Description of Activities, Anticipated Accomplishments for Next Period

You may not submit this invoice until all validation issue are resolved.



## CHAPTER 5 POLICY DECISIONS RELATED TO FUNDED POSITIONS

Decisions related to funded positions and the general administration of the ETDM Process is based upon federal and state legislative authorities, including but not limited to 23 U.S.C., as well as agency business practices.

### 5.1 ETAT Representative Training

ETDM training, PD&E training, the use of the EST and various aspects of the transportation delivery process or other opportunities that furthers an ETAT representative's area of expertise is eligible for funding and/or reimbursement. Funding ETAT representative attendance at professional development activities is limited to no more than two meetings, workshops, and/or national conferences per year and is subject to prior written authorization from the OEM State Environmental Quality and Performance Administrator. All requests must include enough detail describing the event and justification identifying the benefits FDOT and FHWA should expect to receive by approving the ETAT representative's participation. With approval, one ETAT-funded position may attend a conference, workshop, or meeting to represent the agency. Other ETAT attendees are welcome to attend provided there will be no impact to expedited project review and technical support activities. Additional ETAT attendance is at the expense of the ETAT agency providing authorization to attend the event unless prior authorization from FDOT is provided. The reimbursable ETAT attendee must provide a brief report to their agency and FDOT. See **Section 5.3.2** for information regarding travel reimbursement.

### 5.2 Start-up Costs

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

### 5.3 Funding of the ETDM Program

#### 5.3.1 Planning through Production Phases

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

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

- Regional General Permit (U.S. Army Corp of Engineers (USACE) established eligibility for funding in cooperation with FDOT) – Permit conditional upon ETDM screening.
- Northwest Florida Water Management District (NFWFMD) Regional Mitigation Program (NFWFMD established eligibility for funding in cooperation with USACE and FDOT for ETDM screened projects).

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

### 5.3.2 Reimbursement for Travel

All training and travel must be related to FDOT project review and the ETDM process.

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

Federal agencies that receive ETDM funding are eligible for reasonable travel expenses reimbursement in accordance with Federal Travel Regulations; 41 <https://www.gsa.gov/policy-regulations/regulations/federal-travel-regulation-41> and comply with Code of Federal Regulations (CFR).

Non-routine or out-of-state travel under an ETDM agreement needs to be pre-approved one month in advance or as soon as practicable by the FDOT OEM State Environmental Quality and Performance Administrator and receive written or electronic pre-approval. The **Appendix F** is the Out-of-State Travel Request Form that must be used when traveling outside of Florida. ETAT agencies based in a state other than Florida must complete the Out-of-State Travel Request Form for all travel that occurs outside of their home state or area of jurisdiction unless in Florida. Travel within an ETAT agency's home state and within Florida is considered part of the normal scope of work and will not require the completion of the Out-of-State Travel Request Form.

Travel funds can be used for public and professional outreach initiatives to educate and inform the citizenry and other interest groups about the ETDM process and the integration of natural resource preservation programs and plans with transportation planning and project development. The public is

to be made aware of the collective efforts of the state and federal ETDM partners to streamline the transportation decision-making process and to protect natural resources and the human environment. Note, however, that the foremost priority of a funded position is the ETDM program, processes, and projects; therefore, travel provisions for outreach should be made with a sense of economy and require prior approval by the FDOT OEM State Environmental Quality and Performance Administrator.

### 5.3.2.1 Reimbursement for Computers and Other IT Equipment

State agencies receiving ETDM funding and eligible for reimbursement of qualifying IT equipment will require pre-approval of purchases over \$250 from the OEM State Environmental Quality and Performance Administrator. With the request, the agency will be required to provide a quote and justification for the purchase in advance created on Agency Amendment Form (**Exhibit A**). Upon receipt of property, the ETAT agency shall forward the OEM Environmental Process Analyst and OEM Invoice Administrator the following information:

- Copy of the purchase invoice;
- Equipment serial number;
- Date property was received; and
- Agency staff assignment of property.

All agency approved equipment purchases after reimbursement are forwarded a FDOT Inventory Control label to be affixed to the FDOT property.

### 5.3.3 Disclosure of Funding for Vendors

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

## 5.4 Tangible Personal Property

If the agreement includes the purchase of Tangible Personal Property as defined in Chapter 273, F.S., and is acquired in accordance with Rule 60A-1.017, Florida Administrative Code (FAC), upon completion of services or at the end of the agreement, whichever comes first, the Tangible Personal Property will be transferred to and controlled by FDOT upon completion of services or end of the AOFA. The agency is required to maintain physical inventories such time as the equipment is transferred back to FDOT.

## 5.4.1 Inventory Requirement

In accordance with Rule 69I-72.006 F.A.C., once each fiscal year a complete physical inventory of all FDOT property is taken. The ETAT agency representative responsible for the property will provide a verification email of the equipment still being in the possession of the agency to the OEM Environmental Process Analyst and OEM Invoice Administrator at the completion of the annual inventory and include the following information:

- Equipment serial number;
- FDOT Inventory Control label (NH #);
- Agency staff assignment of equipment; and
- Condition of equipment (Good, Fair, Poor).

A listing of all property assigned to an agency is maintained by FDOT and OEM. Whenever an employee separates from the agency, a Notice of Separation by email must be forwarded to the OEM Environmental Process Analyst and upon new assignment of the position.

## 5.4.2 Insurance

For insurance purposes, laptops and personal computers are covered by an insurance policy that provides reimbursement if lost or stolen.

## 5.5 Contacts

Contacts associated with administration of agency AOFA's are provided in **Table 5-1**.

**Table 5-1: Funding Agreement Administrative Contacts**

Name/Position	Agency	Address	Contact Information
Peter McGilvray State Environmental Quality and Performance Administrator	Florida Department of Transportation	605 Suwannee St. Mail Station 37 Tallahassee, FL 32399-0450	Phone: 850-414-5330 <a href="mailto:peter.mcgilvray@dot.state.fl.us">peter.mcgilvray@dot.state.fl.us</a>
Terri Cook Program Coordinator	Florida Department of Transportation	605 Suwannee St. Mail Station 37 Tallahassee, FL 32399-0450	Phone: 850-414-5319 <a href="mailto:terri.cook@dot.state.fl.us">terri.cook@dot.state.fl.us</a>
Ruth Roaza Environmental Process Analyst	Florida Department of Transportation	605 Suwannee St. Mail Station 37 Tallahassee, FL 32399-0450	Phone: 850-414-4620 <a href="mailto:ruth.roaza@dot.state.fl.us">ruth.roaza@dot.state.fl.us</a>

## Appendix A

### Modification to Agreement Form



## Agency Amendment Form

<b>FDOT Project/Program Manager:</b> Peter McGilvray		<b>Date of Request:</b>
<b>Address:</b> Florida Department of Transportation, 605 Suwannee St., M.S. 37, Tallahassee, FL 32399-0450		
<b>Agency:</b>	<b>Start Date:</b>	<b>End Date:</b>
<b>Agreement Type:</b>	<b>Contract Number:</b>	<b>Amendment Number:</b>
<b>Vendor Number:</b>	<b>Financial Number:</b>	
<b>Purpose of Amendment</b> (check all applicable terms):		
<input type="checkbox"/> Request for No-Cost Time Extension through: _____	<input type="checkbox"/> Request for Overtime	
<input type="checkbox"/> Total amount for Advance Pay is increased/decreased by: _____	<input type="checkbox"/> Request for Travel	
<input type="checkbox"/> Total amount for Compensation is increased/decreased by: _____	<input type="checkbox"/> Request for Equipment Authorization	
<input type="checkbox"/> Request for Personnel Approval	<input type="checkbox"/> Request to Modify Agreement Provisions	
<input type="checkbox"/> Request for Sub-Consultant	<input type="checkbox"/> Other (explain below)	
<b>Approval of above selections requested.</b> Provide justification/explanation of the requested action:		
"I certify that the above requested action is necessary for the operation of this project and is in compliance with the terms of the executed agreement."		
<b>ETAT Authorized Agency Signature:</b>		
(signature)	(title)	(date)

Compensation Element Description	Method of Compensation	Previous Amount	This Amendment Amount	Subtotal	Check if Estimate
			<b>This Amendment Total</b>	<b>Agency Agreement Total</b>	
			\$	\$ <b>NO Changes</b>	

<b>Other Comments/Notes:</b>	
"I certify to that to the best of my knowledge and belief, the above requested action is not in violation of the terms of the agreement and is necessary for the continued operation of this agreement."	
Department Action:	<input type="checkbox"/> APPROVED <input type="checkbox"/> DISAPPROVE
<b>FDOT Authorized Signature:</b>	
(signature)	(title) (date)
<b>FHWA Authorized Signature</b> (required only if amendment changes agreement scope or increases funding):	
<b>NOT REQUIRED</b>	
(signature)	(title) (date)

Attachments:

## Appendix B

### New or Additional Position Justification

## New or Additional Position Justification Questions

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

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



## Appendix C

### Recipient Checklist for Determining if the Entity Receiving Funds Has a Contractor or Subrecipient Relationship

# RECIPIENT CHECKLIST FOR DETERMINING IF THE ENTITY RECEIVING FUNDS HAS A CONTRACTOR OR SUBRECIPIENT RELATIONSHIP

This document is intended to help a recipient of federal funds make a judgment as to whether each agreement it makes, for the disbursement of federal program funds, casts the entity receiving the funds in the role of a subrecipient or a contractor. Based on 2 CFR Chapter I, Chapter II, Part 200 et al. Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance), issued by the U.S. Office of Management and Budget (OMB) on December 26, 2013, and effective for non-federal entities on December 26, 2014, the following information is intended for use by all non-federal entities.

## Important Terms:

**Recipient:** A non-federal entity that receives a federal award directly from a federal awarding agency to carry out an activity under a federal program. The term recipient does not include subrecipients. (See 2 CFR 200.86 of the Uniform Guidance.)

**Subrecipient:** A non-federal entity that receives a subaward for the purpose of carrying out part of a federal award. The subaward creates a federal assistance relationship with the subrecipient. (See 2 CFR 200.93 & .330 (a) of the Uniform Guidance.)

**Contractor:** A non-federal entity that receives a contract for the purpose of providing goods and services for the awarding non-federal entity's own use. The contract creates a procurement relationship with the contractor. The Uniform Guidance replaced the term "Vendor" with "Contractor." (See 2 CFR 200.22 & .330 (b) of the Uniform Guidance.)

**Instructions:** The "Characteristics" column in this checklist is based on language in the Uniform Guidance. The column lists characteristics that support the classification of a non-federal entity as a subrecipient or contractor. Since all of the characteristics listed may not be present in all cases, the Uniform Guidance recognizes that the recipient "...must use judgment in classifying each agreement as a subaward or a procurement contract." (2 CFR 200.330 (c).) In the "Explanations" column, AGA provides additional information to assist in answering the questions under "Characteristics." Answer each question by checking "yes" or "no" where indicated. Based on responses to the questions, a key provided at the end of each section will help in making a judgment as to whether a subrecipient or contractor relationship exists. White space is provided in between the "Characteristics" column and the "Explanation" column so that users can tailor this checklist to accommodate the unique aspects of various programs or jurisdictions.

**Note:** One check in a subrecipient box does not necessarily mean the entity is a subrecipient. A judgment should be based on the totality of responses.

Office Office of Environmental Management - FDOT  
Entity receiving funds ETAT Agencies - ETDM Process  
Funding Source(s) BE/SA Federal Funds - Through USDOT Environmental Liaison Agreement

## Notes:

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# CHARACTERISTICS

# EXPLANATIONS

## Decision Making Authority

**200.330 a. 1** Determines who is eligible to receive what Federal assistance;

a. Does the entity determine who is eligible to participate in the federal program? 

Yes	No
<input type="checkbox"/>	<input checked="" type="checkbox"/>

**200.330 a.3** Has responsibility for programmatic decision making;

a. Does the entity have the ability to make decisions about how services will be delivered to participants, in accordance with federal programmatic requirements? 

Yes	No
<input type="checkbox"/>	<input checked="" type="checkbox"/>

**OR**

**200.330 b.4** Provides goods or services that are ancillary to the operation of the Federal program;

b. Does the entity provide goods or services for the recipient's own use? 

Yes	No
<input checked="" type="checkbox"/>	<input type="checkbox"/>

b. Does the entity provide services designated by the recipient to serve the recipient's participants without regard to specific federal programmatic requirements? 

Yes	No
<input checked="" type="checkbox"/>	<input type="checkbox"/>

If you selected "yes" to **EITHER** item **a**, this is an indicator of a subrecipient relationship.  
If you selected "yes" to **EITHER** item **b**, this is an indicator of a contractor relationship.

Subrecipient	Contractor
<input type="checkbox"/>	<input checked="" type="checkbox"/>

If the entity determines whether a participant meets a federal program's eligibility requirements for assistance, it is most likely a subrecipient.

A contractor may provide services to clients in a program after eligibility has been determined by the recipient.

If the entity has authority to make decisions regarding the delivery of service, operations, or types of assistance provided within the terms of the agreement, it is typically a subrecipient.

If the entity provides goods or services directly to the recipient or to program participants at the direction of the recipient and does not make programmatic decisions or adhere to program requirements, it is typically a contractor.

## Nature of Award

## EXPLANATIONS

**200.330 a. 2** Has its performance measured in relation to whether objectives of a federal program were met;

a. Are the scope of work (or portion, if applicable) and terms and conditions of the agreement the same for the entity as they are for the recipient that received the federal funds? 

Yes	No
<input type="checkbox"/>	<input checked="" type="checkbox"/>

a. Is the entity carrying out completion of the goal of the grant (or part, if applicable) as stated in the federal award? 

Yes	No
<input type="checkbox"/>	<input checked="" type="checkbox"/>

**OR**

**200.330 b.5** Is not subject to compliance requirements of the Federal program as a result of the agreement, though similar requirements may apply for other reasons.

b. Does the recipient develop the scope of work and terms and conditions of the agreement to meet the recipient's needs? 

Yes	No
<input checked="" type="checkbox"/>	<input type="checkbox"/>

If you selected "yes" to **EITHER** item **a**, this is an indicator of a subrecipient relationship.  
If you selected "yes" to item **b**, this is an indicator of a contractor relationship.

Subrecipient	Contractor
<input type="checkbox"/>	<input checked="" type="checkbox"/>

If the entity is providing a service for the recipient to meet the goal of the grant, it is a contractor; if the entity is providing a service that carries out a goal within the scope of the grant, it is a subrecipient. When a grant program contains multiple goals, it is possible for the recipient to complete part of the goals and for the entity to perform another part.

If the scope of the agreement is per the federal program terms/guidance, the entity is a subrecipient. A subrecipient may also provide programmatic or progress reports to ensure compliance with federal program requirements.

Conversely, if the scope of the agreement is per the recipient's terms and not federal program guidance, and if the recipient's oversight is governed only by the contract terms and conditions, it is a contractor.



**200.330 a.4** Is responsible for adherence to applicable Federal program requirements specified in the Federal award;

a. Funding to the entity depends on the entity's ability to best meet the objectives of the award. Although performance is measured against federal award objectives, the entity assumes little risk if the objectives are not met.

Yes	No
<input type="checkbox"/>	<input checked="" type="checkbox"/>

OR

**200.330 b.5** Is not subject to compliance requirements of the Federal program as a result of the agreement, though similar requirements may apply for other reasons.

b. The entity assumes financial risk if they fail to deliver the goods or services agreed upon.

Yes	No
<input checked="" type="checkbox"/>	<input type="checkbox"/>

If you selected "yes" to item **a**, this is an indicator of a subrecipient relationship.  
If you selected "yes" to item **b**, this is an indicator of a contractor relationship.

Subrecipient	Contractor
<input type="checkbox"/>	<input checked="" type="checkbox"/>

If the funding is given to the entity with a purpose of completing the goal of the grant, the recipient will be required to ensure the entity adheres to federal grant program guidance. The recipient will also be required to monitor the activities of the entity per Uniform Guidance section 200.331. The entity assumes little risk should federal grant guidance not be met. The risk falls with the recipient.

If the recipient directs specific activities to be completed by the entity, by providing goods or services, the risk falls on the entity to deliver, per the agreement terms. In this case, the entity would not be required to adhere to the federal grant program requirements, just the terms and conditions in the agreement with the recipient.

Criteria for Selection

EXPLANATIONS

**200.330 a.5** In accordance with its agreement, uses the Federal funds to carry out a program for a public purpose specified in authorizing statute, as opposed to providing goods or services for the benefit of the pass-through entity.

a. Does the entity demonstrate a financial or public need for funding to carry out a project or provide a service?

Yes	No
<input checked="" type="checkbox"/>	<input type="checkbox"/>

a. Will the entity be contributing match or other non-Federal funding in support of the award?

Yes	No
<input type="checkbox"/>	<input checked="" type="checkbox"/>

a. Will the entity be reimbursed for only actual costs incurred?

Yes	No
<input checked="" type="checkbox"/>	<input type="checkbox"/>

OR

**200.330 b.3** Normally operates in a competitive environment;

b. Were procurement policies applied in the selection of the entity?

Yes	No
<input type="checkbox"/>	<input checked="" type="checkbox"/>

b. Was the entity's proposed price a factor in the selection process?

Yes	No
<input type="checkbox"/>	<input checked="" type="checkbox"/>

b. Will the entity derive a profit from the agreement?

Yes	No
<input type="checkbox"/>	<input checked="" type="checkbox"/>

If you selected "yes" to **ANY** item **a**, this is an indicator of a subrecipient relationship.  
If you selected "yes" to **ANY** item **b**, this is an indicator of a contractor relationship.

Subrecipient	Contractor
<input checked="" type="checkbox"/>	<input type="checkbox"/>

If the entity was chosen because it has the best widgets or service for the price, it has a contractor relationship with the recipient. Typically, a procurement method is followed, such as a competitive bid or RFP process. In this type of agreement, the entity usually makes a profit by delivering this good or service to the recipient. Payments to contractors are typically made based on contract terms.

Conversely, if the entity was chosen because it was already providing a service within the guidelines of the grant program and wants to partner with the recipient to expand the delivery or assist in meeting the goal of the grant, it may be a subrecipient. Typically, the entity may not make a profit and may provide its own non-federal funding as match or cost sharing. The entity may have been chosen through an application process or an announcement of funding, as opposed to the procurement process described above. Payment to a subrecipient is generally based on actual expenses unless awarded on a fixed amount subaward (2 CFR 200.332). It is typical of subrecipients to submit budgets, financial reports, or copies of invoices to the recipient, to document activity.



**Entity's Business Environment**

**EXPLANATIONS**

**200.330 b.1** Provides the goods and services within normal business operations;

b. Is the entity's normal business to provide the goods or services being purchased in the agreement?  Yes  No

**200.330 b.2** Provides similar goods or services to many different purchasers;

b. Does the entity provide the same goods or services to other organizations?  Yes  No

If a federal program provides funding to modify public buildings for handicapped accessibility and the recipient provides funds to an entity to update the entity's building, per the terms of the award, then a subrecipient relationship exists.

Conversely, if the recipient hires an entity to update their own building to be handicapped accessible, then a contractor relationship exists.

If you selected "no" to **EITHER** item, it is an indicator of a subrecipient relationship. If you selected "yes" to **BOTH** items, it is an indicator of a contractor relationship.

Subrecipient	Contractor
	✓

**Determination**

**EXPLANATIONS**

**Final Determination**

Subrecipient	Contractor
	✓

Review all the entries and make an overall determination of the relationship. **Check the appropriate box in this section.**

**Determined by** Peter McGilvray  
 (enter name of person initially making decision)

**Approved by** *Jim Wilkinson*  
 (enter name of person reviewing)

11/1/2017  
(date)

11/1/2017  
(date)

*Based on the relationship determined above, see additional guidance on requirements governing agreements. Section 200.331 - "Requirements for pass-through entities," for subrecipient agreements, Section 200.317 through 200.326 - "Procurement Standards," for contractor agreements.*

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## Appendix D

### Request for Advance Payment To Government Agency

STATE OF FLORIDA DEPARTMENT OF TRANSPORTATION  
**REQUEST FOR ADVANCE PAYMENT  
TO GOVERNMENT AGENCY**

350-000-10  
COMPTROLLER  
07/15

**Request Type**

- Initial Cash Needs (3 Months Max)  
 Alternative Pay Option  
 100%

**Contact Information**

Vendor Name: \_\_\_\_\_ Vendor Number: \_\_\_\_\_  
Contact Number: \_\_\_\_\_ FPN Number \_\_\_\_\_  
Participating or Non-Participating: \_\_\_\_\_ WPI Fund Code: \_\_\_\_\_  
Contract Execution Date: \_\_\_\_\_ Year \_\_\_\_ of \_\_\_\_ (applicable to multi-year agreements)  
Estimated Start Date: \_\_\_\_\_ Estimated Completion Date: \_\_\_\_\_  
Amount of Contract: \_\_\_\_\_ Amount of Advance Requested: \_\_\_\_\_  
Org: \_\_\_\_\_ EO: \_\_ Object: \_\_\_\_\_ OCA: \_\_\_\_\_  
Funds Already Encumbered for Advance (Y/N): \_\_\_\_\_  
New Expansion Option Needed for Advance (Y/N): \_\_\_\_\_  
If Yes, Date Request Submitted to GAO: \_\_\_\_\_  
Category: \_\_\_\_\_ Category Year: \_\_\_\_\_  
DOT Contract Contact if Different From Requester: \_\_\_\_\_  
Telephone Number: \_\_\_\_\_  
Justification:

**Sender/Requester Information**

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

\_\_\_\_\_  
Signature of Sender/Requester

\_\_\_\_\_  
Date Requested

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

**Comptroller Approval**

\_\_\_\_\_  
Amount Approved

\_\_\_\_\_  
Signature (Comptroller)

\_\_\_\_\_  
Date Approved

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

## Appendix E

### Certification of Completion Agreement





**CERTIFICATION OF COMPLETION AGREEMENT**

Contract No.: \_\_\_\_\_ Project Name: Efficient Transportation Decision Making (ETDM)  
Financial No.: \_\_\_\_\_  
Vendor No.: \_\_\_\_\_  
Federal No.: \_\_\_\_\_

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

**WITNESSETH:**

WHEREAS, the FDOT and the Agency heretofore on Insert Execution Date, entered into a voluntary (5) five-year agreement whereby the FDOT agreed to fund the Agency to furnish certain services in connection with Efficient Transportation Decision Making Process; and

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

Total Amount Funded \$ \_\_\_\_\_

and;

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

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

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

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

State Agency: \_\_\_\_\_ Florida Department of Transportation \_\_\_\_\_

Authorized Signature: \_\_\_\_\_

(Print/Type Name): \_\_\_\_\_ Peter McGilvray \_\_\_\_\_

Title: \_\_\_\_\_ State Environmental Quality and Performance Administrator \_\_\_\_\_

Date: \_\_\_\_\_

## Appendix F

### Out-of-State Travel Request Form



# Out-of-State Travel Request Form

<b>Agency:</b>	
<b>Contract Number:</b>	
<b>Employee Name and Title:</b>	
<b>Purpose of Travel:</b>	

<b>Benefit to the Department:</b>	
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<b>How is the travel related to your job?</b>	
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<b>Is request for Out-of-State Travel?</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO	<b>Is Teleconference/Videoconferencing available?</b> (If yes, complete justification section below)	<input type="checkbox"/> YES <input type="checkbox"/> NO
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<b>Justification for travel in lieu of videoconferencing:</b>	
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<b>Names and titles of other attendees:</b>	
---	--

### TRAVEL DETAIL

<b>Travel Dates</b>	<b>From:</b>	<b>To:</b>
<b>Origination/Destination</b>	<b>From:</b>	<b>To:</b>
<b>Registration Fee:</b>	\$ 0.00	
<b>Airfare:</b>	\$ 0.00	
<b>Lodging:</b>	\$ 0.00	
<b>Ground Transportation:</b>	\$ 0.00	
<b>Meal Allowance:</b>	\$ 0.00	
<b>Other:</b>	\$ 0.00	
<b>Estimated Travel Cost:</b>	\$ 0.00*	<small>*To get the total cost, right-click and select <b>Update Field</b></small>

### AGENCY APPROVALS

<b>Employee Signature</b> _____	<b>Date</b> _____
<b>Employee Direct Supervisor</b> _____	<b>Date</b> _____

### DEPARTMENT APPROVALS

<b>State Environmental Quality and Performance Administrator</b> _____	<b>Date</b> _____
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**NOTE:** Please attach and submit all documentation supporting this request including agenda, syllabus, travel quotes, registration fees, car rental, etc.



Florida Department of Transportation  
Office of Environmental Management  
Mail Station 37  
605 Suwannee Street  
Tallahassee, FL 32399-0450  
Phone: (850) 414-4447  
[www.fdot.gov/environment/](http://www.fdot.gov/environment/)

