



Federal Aid Technical Bulletin

Bulletin No. 16-03

Date: July 11, 2016, **Revised: November 10, 2021**

Subject:

- Associating state/local funds to Federal Aid Projects (updated 11/10/2021)
- Closing Federal Aid Projects: Revised Process (updated 11/10/2021)
- Appendix Chart Revised Page 5 of 6
- Revised Link to LAP Manual

Associating state/local funds to Federal Aid Projects

When creating a new Federal Authorization Request (FAR) it is important to associate all applicable state and/or local funds related to the group of phases being authorized. This is important for two reasons:

1. To accurately state total project cost for the federal aid project, and
2. To utilize state and/or local funds as “hard match” dollars to help with satisfying the federal matching requirements necessary to obtain the federal funds on the project.

The following guidance is provided to properly associate these state/local funds:

- Associate all the non-federally funded phases of the phase group requesting federal authorization. For example, all non-federal 5x and 6x phases highlighted below should be associated when authorizing a federal aid project for construction:

Phase	Seq	Year	Fund	Type of fund	Amount
52	01	2016	DDR	State	4,661,590
56	01	2016	NHRE	Federal	7,276,669
57	01	2016	DS	State	3,524,510
59	01	2016	DIOH	State	148,239
61	01	2016	ACSA	Federal	35,500
62	01	2016	ACSA	Federal	1,489,762
69	01	2016	DIOH	State	31

- Do not associate future state/local funded phases that are not part of the major group of funds being authorized. For example, if authorizing Preliminary Engineering (3x) group of phases, do not associate any right of way or construction phases.
- **Do associate local funds on LAP projects.** We are required to report the total project cost of the project to FHWA. If the local agency provided additional local funds to the project for contract price adjustment, we should update the associated funds in FAMS and send the project to FHWA for reporting total project cost. (Updated 11/10/2021)
- Note that prior phases of eligible associated costs can be included as hard match funds if they were not used previously.

Revised process for closing federal aid projects

When closing out projects using federal aid highway funds the following objectives are to be met:

- Upon physical completion of the project the financial records in both state and federal financial systems will be closed in a timely manner. This will ensure that
 - Completed projects do not fall into the category of “financially inactive” which show up on FHWA’s FIRE REPORT and count against our performance metrics, and
 - Unused federal funds not needed on the projects are released as soon as possible for use on other projects.

(See Federal Aid Technical Bulletin 15-01 for more information on establishing Period of Performance End Dates for federal aid projects).

- Federal funds will be maximized on the project, and only eligible costs will be charged to the federal funds for reimbursement from FHWA.
- All related state and local funds on the financial project will be included as “associated funds” on the federal aid project in FAMS to ensure that
 - The total cost of the project is shown in FHWA’s FMIS system, and
 - All eligible state and local funds are used to satisfy, or partially satisfy, the federal match requirements. This will minimize the use of toll credits to “soft match” any required match that is not already covered with “associated” state and/or local “hard” dollars on the project.
- At the point that the project is placed in Ready Final Voucher project status, FAMS will automatically update the associated state and local funds on the project to match current expenditure levels. This will prevent any possibility of non-compliance with federal matching requirements due to a reduction of state and/or local funds used as hard match on the federal aid project after the federal aid project has been closed on the federal books in FMIS.

To meet these objectives, it is necessary to modify the process used to close out federal aid projects, as described below.

Different phases of work require different types of documentation to demonstrate that a federal aid project is complete. For planning phases, it may be deliverables in a consultant contract. For project development and environmental phases it may be a categorical exclusion determination or record of decision. For preliminary engineering phases it may be a set of final plans and specs. For right of way phases it may be clear title to the final parcels. For construction phases it is a checklist of items that comprise the “closing package”. For non-construction phases, an email from the Project Manager will usually suffice for verification that the project is ready for close-out.

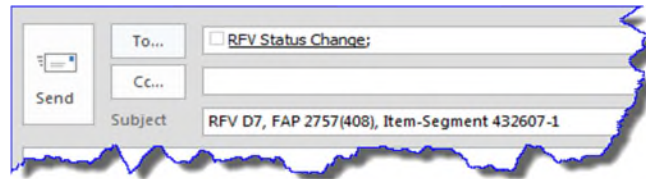
For purposes of describing the federal aid closing process in this bulletin, a construction project will be used as the example. Other than the type of documentation required to demonstrate the project is complete, this closing process as described applies to all types of projects in the federal aid highway program. (See appendix 'Documents Needed for Closing Federal Aid Projects' at end of document.)

Steps to complete before notifying the Office of Comptroller that the project is ready to enter the Final Voucher Audit process:

1. Verify that a complete Closing Package has been loaded into EEDMS Loading Doc (or [Florida Gap - Log In \(blackcatgrants.com\)](https://blackcatgrants.com) updated 11/5/2021) as required by the project's phase of work. (Please check to make sure these documents can be retrieved from the EEDMS system).
2. For standard construction projects, add the following comment to the 'FP Notes' section of the FAMS 'FP Info' screen: **“ALL CLOSING DOCUMENTS ARE UPLOADED INTO EEDMS WITH THE FDOT FINAL ACCEPTANCE DATED <enter date of Final Acceptance>”**. For LAP construction projects, add the following comment to the FP Notes section: **“ALL CLOSING DOCUMENTS ARE UPLOADED INTO GAP WITH THE FDOT FINAL ACCEPTANCE DATED <enter date of Final Acceptance>”**. The final step is to then add the date of the Final Acceptance into the “Project Completed:” field on the ‘FP Info’ screen and click the ‘Update’ button.
3. Verify that all AC Funds have been converted and/or de-obligated off the project.
4. Verify that all encumbrances (both federal and non-federal) have been removed from the project. If special circumstances require leaving some or all encumbrances on the project, approval to do so must be obtained in writing from FAMO, and the approval attached to the email requesting the RFV status change.
5. Verify that all Federal Authorizations have been balanced to Expenditure levels. (Please ensure that all non-participating expenditures have been moved to non-federal funds). If an authorization request has been submitted to balance the Federal Authorization, ensure that it is at least in transmitted status.
6. Check for any pending costs using the ‘OOC Financial Reporting System (Dashboard)’ – ‘Federal Projects Management’ section – ‘Print Pending Report’. A link can be found on the main OOC Share Point Site. All pending costs must be cleared before requesting the project be changed to RFV.
7. **Ensure that the federal project's Period of Performance date is at least 120 days out to allow time for the OOC's Final Voucher process. (New step revised 11/5/2021.)**

Once all these steps are complete notify OOC that the project is ready to advance to Ready Final Voucher project status. To facilitate this notification, the OOC PCM-Team has setup a special Outlook Inbox for these RFV requests at: “RFV Status Change”. Please make sure to include the characters “RFV” as well as the District, Federal Aid Project number (FAP), and the lead Item-Segment on the subject line of these email requests. Note also that all emails addressed to this special Outlook Inbox will automatically be forwarded to the Central Office FAMO group as long as they include the “RFV” characters on the subject line.

Sample Email Subject Line



Once OOC has completed their final processes, district staff will need to check and revise the project cost estimates in WPA, if needed, to ensure the cost estimates match the final project expenditures.

As always, please feel free to contact us with any questions or concerns.

Appendix to Federal Aid Technical Bulletin 16-03

Chart Revised October 25, 2019

Documents Needed for Closing Federal Aid Projects

Federal Aid Management Office

Phase	Description	Final Acceptance Form	Final Closing Documents
1X	Planning, In-house, consultant, or grant	NO	NO
2X	PD & E, In-house, consultant, or grant	NO	NO
3X	PE, In-house, consultant, or grant	NO	NO
4X	Right of Way All phases	NO	NO
52	Construction	<u>YES</u>	<u>YES</u>
54	Construction Grant JPA	<u>YES</u>	NO
56	Utility	NO	NO
57	Rail	NO	NO
58	Construction Grant LAP (not FHP)	<u>YES</u>	<u>YES</u>
62	CEI & Post Design Consultant	NO	NO
71	Maintenance In-house	NO	NO
72	Maintenance consultant	NO	NO
74	Maintenance Grant	NO	NO
78	Maintenance LAP	<u>YES</u>	NO
84	Operations Grant	NO	NO
88	Other Agency or Inter-Local Agency	NO	NO
ER	Emergency Relief In-house	NO	NO
ER	Emergency Relief CEI Consultant	NO	NO
ER	Emergency Relief Construction	<u>YES</u>	NO
ER	Emergency Relief Permanent Construction (ph 5X)	<u>YES</u>	<u>YES</u>
ER	Emergency Relief Permanent Non-construction	NO	NO
ER	Emergency Relief LAP	<u>YES</u>	NO
ER	Emergency Relief Maintenance consultant	<u>YES</u>	NO
HR / HP	Highway Planning and Highway Research	NO	NO
PL	Metropolitan Planning Orgs.	NO	<u>YES</u>
NBIS	Bridge Inspection	NO	NO

Environmental Certification, ROW and Utility clearances/certifications must be included in PS&E package for letting or local initial authorization of any of these phases.



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Final Inspection and Acceptance of Federal-Aid Project (Form 700-010-032) must be completed and uploaded through the EEDMS Loading DOC application. If the Federal Project is an Oversight or PoDI project then the FHWA Final Acceptance will also need to be uploaded.

Local Agency Program (LAP) projects have a different Closing Document Package than regular construction projects. Previously referenced in Federal Aid Technical Bulletin 12-01, please refer to:

[LAP Manual Chapter 23, Section 23.10.1](#)

Note that if any PL federal planning funds were used on a project then a PL Funds Close-out Confirmation Form (confirming Final Invoice and Reimbursement details) must be completed and uploaded into EEDMS.

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