

Stewardship and Oversight Guidance: Supplemental Instructions for FLTP Partners

PURPOSE:

The purpose of this document is to help our partners better understand how the December 2, 2014 Federal Lands Highway (FLH) Stewardship and Oversight (S&O) Guidance will be fully implemented in FY 16 for the administration of the Federal Lands Transportation Program (FLTP). This document also includes activities currently performed to ensure the proper management of the FLTP funds and delivery of the program.

DEFINITIONS:

- Oversight – The act of ensuring that the Federal highway programs and projects are delivered consistent with laws, regulations, and policies.
- Stewardship – The efficient and effective management of the public funds that have been entrusted to Federal Highway Administration (FHWA).

STANDARD PROCEDURES:

Transportation Improvement Plan (TIP)

1. Every year, the FLTP partners' point of contact (POC) for the NPS, FWS, FS, BLM and USACE work with the FLH division offices to update their multi-year TIP and affirm the subset of projects scheduled for delivery in the upcoming FY. This subset of projects is referred to as an Obligation Plan for purposes of this document. These documents will be made available to HQs Program Managers through coordination with division counterparts. Following coordination, administrative funds will be made available by HQs Program Managers.
 - a. Partners will be asked to indicate the responsible delivery agency per project on their TIP. If a project's delivery agency changes during the year, the partner is expected to coordinate the changes with FLH division office that oversees the project and the HQ PM. A list of the States each FLH division office oversees is located in Appendix #2.
 - b. The FLTP competitive partners may develop their TIP using the average of their program levels from previous fiscal years.
 - c. Partners should **submit their TIP by October 1st^t** to FLH Division Offices so they in turn can certify the TIP and coordinate its inclusion into the Statewide Transportation Improvement Program via USC 23 Sections 134/5.
 - d. The partner can utilize FLTP administrative funds for the development of the TIP.

Project Oversight

1. For partner delivered projects, the FLH Division Offices in coordination with a partner representative will evaluate the projects *together* using the risk and S&O check lists in the guidance. Working together at the inception of the project creates a collaborative and transparent process for the life of the project. For each project, a FLH division and partner representative will jointly perform a single risk assessment and categorize the project as low or elevated risk. The minimum risk analysis factors are included in Appendix D – Risk Analysis factors to Consider for Partners Delivering Title 23 Funded Projects of the S&O

Guidance, page 29. Please be aware the factor's list can be modified depending on the complexity of the project. The FLH division and partner representatives will perform an S&O evaluation using the checklist located on Appendix E – Stewardship and Oversight Check list – Partner Delivered Projects of the S&O Guidance, page 32. Additional activities can be added to the S&O checklist based on the project risk category. The S&O checklist will be included in the project agreement (PA) or project management plan (PMP).

2. Every effort will be made by FLH to leverage General Operating Expense (GOE) employees to conduct S&O activities. However, some activities will require project billable employee's assistance.
 - a. Project billable employees will charge to the FLTP funds, directly to the project.
 - b. The FLH divisions will coordinate an S&O budget with the partners by project. The S&O budget will be influenced by the project's complexity and risk.
 - c. Once the S&O project budget is coordinated between the FLH division and partner, the FLH division will send a funding allocation request to the HQ PM and the partner's POC.
 - a. The HQ PM will generate a FLH advice to allocate the FLTP funds to the FLH Division and cc the partner's POC.

Baseline Assessments of Partners' Delivery Capabilities and Processes

1. To streamline oversight procedures, reduce S&O costs, support the timely delivery of projects, and employ risk management principles, the Office of Federal Lands Highway will implement the following "option" available to partners. FLH will develop baseline assessment criteria allowing FHWA to assess partner's project delivery capabilities. (Note: Appendix E in the Dec. 2014 guidance will be used in large part.) The development of assessment criteria will be coordinated with partners. In summary, FLH envisions examining about 5 completed projects delivered by partners and using those projects to assess satisfactory compliance with USC 23 requirements. In addition to examining project specific documentation, partners' processes, e.g., contract administration, QA/QC procedures, will be examined so the assessment includes both project level and process level data to inform a pass, fail, or needs improvement conclusion. FLH will make every effort to create assessment teams that are independent and to work with partners whose project delivery structure may be decentralized.

Scenarios:

Following the completion of the risk check list by the division and partner representatives,...

- a) if the project is deemed elevated risk, all steps and requirements in the S&O guidance apply, e.g., project agreement is signed by the division, NEPA documents are reconciled with division offices, CAP folder is created at the division, key documents are reviewed and/or approved through the life of the project by divisions, etc;
- b) if the project is deemed low risk and the partner has "passed" the baseline assessment (see below and FAQs), the partner delivers the project and reporting requirements are reduced. Namely, a project agreement is required with the PA director's signature and NEPA (Categorical Exclusions) documents are reconciled with divisions to ensure compliance with law;
- c) if the project is low risk and the partner has failed the assessment but is in the process of making corrective actions, the current S&O guidance applies and partners are asked to submit all required

documentation for both elevated and low risk projects until HQs determines the corrective actions and/or possible second assessment satisfies the minimum requirements; or

- d) if the partner has yet to be assessed or chooses not to be, the current S&O guidance applies and the partner is expected to submit documentation for both low and elevated risk projects.

HQ will make every effort to conduct baseline assessments with partners in 2016, if requested by partners.

To ensure internal controls are satisfied, including partners who pass the baseline assessment, HQs Program Managers will review a small sample, i.e., up to 10 per partner, of partner delivered projects (elevated and low risk) annually. This spot check is called a Compliance Assessment Program or CAP review. When HQs PMs request documentation for low risk projects from partners who passed the assessment, e.g., PS&E, permits, the partner is expected to provide the documentation. Any issues associated with the submission of project documentation will be reconciled by HQs staff in FLH and the partner agency. This process allows FHWA/FLH to support our S&O role while reducing the oversight on numerous projects – most of which fall under the “low risk” category. If recurring concerns are noted in CAP reviews, this will warrant remediation discussions at the HQ level with partners and the possible removal of certification. All CAP review findings will be shared with partners to ensure transparency and promote trust.

Project Agreement/Project Management Plan

1. The partner will initiate the coordination for the development of the PA/PMP with FLH division office. The PA/PMPs for partner delivered projects should include the S&O checklist and signature of the FLH division office. The PA/PMP should also include a conflict resolution matrix to address discrepancies. FLTP administrative funds can be utilized to develop the PA/ PMP.
2. Once the PA/PMP is executed, the partners can request FLTP funds to be directly allocated to their agency. The partner’s POC will request the transfer of funds to the HQ PM. The HQ PM will confirm with the FLH division that the PA/PMP was signed and received.

Project S&O

1. The partner’s project manager or designee will work with the FLH division office’s representative to fill-out the risk and S&O check lists and monitor the S&O activities throughout the life of the project. Per the FLH S&O guidance, the partner’s project manager will ensure that the documents listed on the S&O checklist are delivered to the FLH division in accordance to the PA/PMP. For low risk projects delivered by partners who’ve been certified, partners are only required to develop a PA/PMP and provide the NEPA document. (Unless the project is selected under the CAP.)
2. The FLH divisions will create an S&O electronic folder that will house the risk assessment, PA/PMP, and S&O checklist documents identified for submission by partners. The electronic folder structure is described on Appendix #3: S&O Folder Template.
3. In accordance with the S&O guidance for elevated projects and/or low risk projects where partners delivery capabilities have not been certified, (page 15, paragraph 5), any NEPA Environmental Impact Statement documents, design exceptions, ROW certification, Plans, Specifications, and Estimates (95%) must be approved by the FLH division offices before the next phase of project development commences. The S&O guideline defines approval as “The reviewing or receiving entity is agreeing what has been submitted meets

the requirements specified by agreement, regulation, or law. Without approval, the submitter cannot proceed to the next phase without risk of losing federal funds for the project.” Consequently, projects are not to be advertised prior to all documentation that requires approval is approved by the FLH division office. An example of a PS&E approval letter is on Appendix #4: Example of a request letter for PS&E approval. Reviews/approvals of key project documents will be completed within 10 business days.

4. Project closeout –
 - a. The partner should notify the FLH division that the project is complete and the date of the final inspection. Depending on the project risk, the FLH division may request to participate.
 - b. Once the project is closed, the partner will submit a final expenditures’ report. The report shall include:
 - i. Project name
 - ii. Location
 - iii. Brief project description
 - iv. Final voucher that reflects the final contract amount, and release of any claims
 - v. As built plans (if available)
 - c. The FLH Division will receive the documents and send a letter to the partner indicating that the project is closed.
5. The partner delivery project process is on Appendix #5: Partner Delivered FLTP project general process.

Compliance Assessment Reviews (CAP) by HQ Program Managers

The purpose of the CAP reviews by FLH HQs is to assure Title 23 funded projects comply with the federal requirements. The CAP review consists of checking the project’s documentation that has been compiled and coordinated between the FLH division office and partner over the life of the project.

1. The FLH divisions will identify all partner delivered construction projects from May 1 of the previous year to April 30 of the current year.
2. The FLH divisions will forward the project’s listing to HQ PM for sample size determination and project selection.
3. The HQ PM will coordinate information requests directly with divisions and/or partners. An example of a CAP review checklist is located on Appendix #6.
4. The HQ PM will develop a written CAP report describing the findings. The CAP report will be shared with divisions and applicable partners by email. The HQs PMs will follow up with the partners to share best practices and/or address any corrective actions that are needed.
5. The CAP review information will be kept in MAX.gov available for the partners. The link will be provided by email and data will only be made available for the applicable partner’s projects.

Allocation of FLTP funds

1. FLTP Administrative funds –
 - a. These funds are for administration therefore a project agreement is not required to request the funds. Administration funds can be used for all activities that lead to the selection of projects. Remaining FLTP administration funds not utilized throughout the year can be used for project development activities.
 - b. The HQ PM will prepare an allocation letter to allocate the administrative funds to the partner.

2. FLTP allocation for project activities –
 - a. Once the partner and the FLH Division execute the project agreement or programmatic agreement, the partner will send a funding allocation request to the HQ PM by email and copy the FLH Division. The HQ PM will prepare an allocation letter to allocate the funds associated with project delivery. (The funding associated with S&O will be allocated directly to the FLH division, as described above.)
 - b. The allocation letter will be approved and signed by the FLH Director of Program Delivery (HFPD) and/or HQ Program Managers and sent to the partner by email and cc to the FLH divisions.
 - c. The HQ PM will send the allocation letter to the Budget office.
 - d. The FLH division may request the HQ PM support funding for a project and execute a reimbursable agreement to transfer the funds to the partner. This method is described in the FLH Funds Transfer Guide. (<http://flh.fhwa.dot.gov/resources/manuals/ftg/documents/funds-transfer-guide.pdf>).
3. For all allocations, the Budget office will generate a form FHWA 370 withdrawing the funds from FLH and another form FHWA 370 allocating the funds to partner agency. The form FHWA 370 will be posted in MAX.gov within five business days. For details refer to Appendix #7: 370 Advices on MAX.gov. The partner should contact the HQ PM if the form 370 Advice is not posted timely.

FLTP Funding reporting

1. Project /program funding reports – The HQ PM will send a request to the partner’s POC to submit a FLTP funding report. The report will include a list of all partner delivered projects from the TIP, authorized amount, obligations, balance and if the project is in schedule. The report will also include the FLTP admin funds.
2. The funding report will be requested periodically and the format will be provided. The frequency of the report will be coordinated with the partner.
3. Once received, the HQ PM will distribute the information to the FLH Divisions. The FLH divisions will review the project funding obligation. The HQ PM will revise the program administration and overall funding obligation.

Oversight of Restated Funds - August Redistribution

1. In late July/early August, the FLTP funds that will not be obligated by the end of the fiscal year need to be returned to Budget.
2. The HQ PM will utilize the report described above to request the partner the FLTP amount to be returned.
3. If the partner is returning FLTP funds, the HQ PM will send a withdrawal letter and Budget will proceed to withdraw the funds and the form FHWA 370 will be posted in MAX.gov as described above.
4. If the FLTP funding is within their four years’ period of availability in accordance with Legislation, the funding withdraw in August Redistribution will be restated the next fiscal year.

End of the Fiscal year

1. The HQ PM will send an FLTP funding report to the partner. The report includes the award amount, funds transferred to the partner, obligations performed by FLH, amount returned for August Redistribution and carryover balance.

Appendix #1: Frequently Asked Questions (FAQs) For FLTP Partners

1. Why is FHWA/FLH placing so much attention on S&O?

High performing organizations continuously seek opportunities to improve and FLH's S&O efforts are an extension of that philosophy. S&O is simply good business. As federal employees, we all appreciate and have experience with S&O as we witness increasing scrutiny from audit organizations, media, Congress and other interests. Since the initial authorization of the Federal Lands Highway Program in 1983, FLH has placed greater attention on how we manage funds entrusted to us by Congress and the American people. The latest guidance distributed in December 2014, coupled with these supplemental instructions, represent another step on the quality journey.

2. Why are partners subject to the S&O Guidance's Project Risk Assessment and S&O Checklist for partner-delivered projects?

These tools and processes are not intended to offend or slight any organization. Rather, their use is an acknowledgement that FLH works with a range of local, state, federal and tribal partners who possess a range of transportation expertise and delivery capacity(ies). These tools help FLH tailor its oversight accordingly.

3. Who independently looks at FLH HQs and division office's delivery of the program and projects, respectively?

The S&O guidance includes a national program review. In the review effort, a team is assembled comprised of partners, HQ PMs, and other FHWA office employees. FLH encourages partner participation and a non-FLH team leader to promote as much as independence as possible.

4. Why do FLTP partners need to indicate in their TIP who their delivery agent will be per project?

FLH continues to improve its program and project delivery procedures and is working deliberately to operate as a single enterprise across all division offices. Possessing information early in the FY allows FLH to better plan for, and resource, its workload for the immediate year and out-years. Having a corporate snapshot of all projects delivered by FLH will support an internal informed discussion on how FLH may share work across divisions to promote efficiency and reduce project delivery costs – when serving in a delivery capacity. Moreover, the TIP allows division staff to identify partner delivered projects and prepare for the S&O responsibilities associated with this delivery model. Programmatically, the information informs HQs on how and where program funds are being spent.

5. The documents identified on the S&O checklist typically involve the "review" by division staff. Does the FLH division office "approve" any project level documentation?

The role of the FLH division's POC is to ensure key project milestones and processes are followed and key documentation is received. The oversight by FLH should be to review eligibility. Per the S&O guidance; the PS&E (95%), NEPA document, design exceptions, and ROW certification, are subject to

approval by the FLH division office. With the baseline assessment option, partners whose delivery capabilities are approved will only be requested to provide NEPA documents for low risk projects, barring the CAP review sample process. Elevated risk projects will still require reviews and/or approvals on key project documentation per the S&O check list.

Any discrepancies or questions on documents provided by the partner should be highlighted and resolved in collaboration with the partners. In the event of disagreements, the issue should be elevated in accordance with the dispute resolution/escalation process located in the PA/PMP.

6. What are the eligible activities that can be billed against the S&O project's budget?

S&O activities include:

- Identify the risk level of the project, as described in the FLH S&O Guidance;
- Coordinate the development of project agreements and obligating documents;
- Evaluate the capabilities of the project delivery organization;
- Coordinate the receipt, review, and/or approval of documents stemming from the S&O Check List, in the FLH S&O Guidance for partner delivered projects;
- Create and maintain project files for partner-delivered projects for Compliance Assessment Program (CAP) reviews;
- Participate in all activities related to project specific S&O meetings; and
- Participate in final inspections, as needed.

Every effort will be made by FLH to leverage General Operating Expense (GOE) employees to conduct S&O activities.

7. How does this list of S&O activities differ from the activities that support performance management?

These instructions and activities focus on S&O for road, bridge, transit, and trail projects delivered on-the-ground. Conversely, the list of activities from the planning set-aside support S&O and administration in support of *planning activities of the FLTP*, e.g., developing minimum performance standards, updating planning guidance to support PM.

8. If a partner's capabilities have been reviewed in the past and were found acceptable, can those finding be applied in the short-term to satisfy pre-certification until the baseline assessment's requirements and subsequent review are completed?

Generally, "no". All partner-delivered projects will follow the requirements associated with an "elevated risk" status until the partner assessment is completed. If exceptions are possible, we'll assess those scenarios on a case-by-case basis. FLH will make every effort to complete the assessment(s) in a timely manner.

9. Do the annual CAP reviews serve as a high level "spot-check" and/or baseline assessment reviews?

The CAP reviews are a spot check to ensure partners are compliant with USC 23 requirements. The CAP reviews do NOT serve as baseline assessments.

10. How frequently will recurring baseline assessments be conducted?

Barring no issues and/or evidence of concern in the interim, full baseline assessments will be conducted every 4 years.

11. Who will conduct the assessment(s)?

The FLH HQs office will lead the assessment in coordination with other offices within FHWA. To promote transparency and independence, the assessment team will be comprised of FHWA individuals outside the FLH division offices.

12. What are the initial steps when a local public agency is identified to deliver a FLAP funded project?

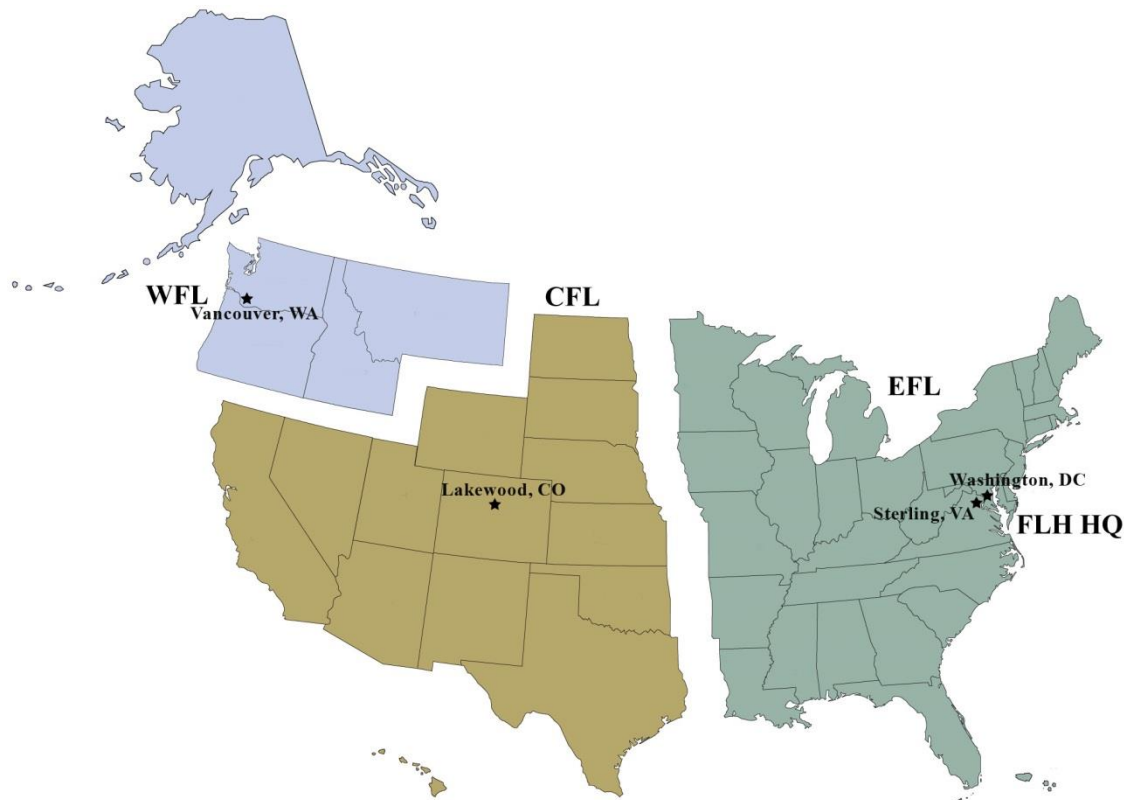
The division and local representatives will complete the risk and S&O check lists together and follow the full reporting and oversight requirements associated with partner-delivered projects.

13. Why does the certification process apply solely to FLMAs and not local public agencies (LPA) under the FLAP?

The number of FLMAs under the FLTP is about 5-6. The probability they may deliver multiple FLTP funded projects centrally and/or regionally is much higher than the hundreds of counties across the country who may benefit from FLAP funds once every 5-10 years. Additionally, the cost-benefit considerations make the certification process cost prohibitive for county-delivered projects. Finally, the risk with LPA-delivered projects has been historically higher agency-wide therefore the full reporting requirements on all LPA delivered projects helps mitigate the risk.

14. If a FLMA's delivery capabilities are approved, does that allow them to deliver a FLAP project as well, if the PDC approves the FLMA as the delivery agent?

Yes. The baseline assessment applies to any Title 23 funded project by the approved partner.

Appendix #2: States each FLH Division oversees**Eastern Federal Lands Highway Division (EFLHD)**

Alabama, Arkansas, Connecticut, Delaware, District of Columbia, Florida, Georgia, Illinois, Indiana, Iowa, Kentucky, Louisiana, Maine, Maryland, Massachusetts, Michigan, Minnesota, Mississippi, Missouri, New Hampshire, New Jersey, New York, North Carolina, Ohio, Pennsylvania, Puerto Rico, Rhode Island, South Carolina, Tennessee, Vermont, Virginia, West Virginia, Wisconsin

Central Federal Lands Highway Division (CFLHD)

Arizona, California, Colorado, Hawaii, Kansas, Nebraska, Nevada, New Mexico, North Dakota, Oklahoma, South Dakota, Texas, Utah, Wyoming

Western Federal Lands Highway Division (WFLHD)

Alaska, Idaho, Montana, Oregon, Washington

Appendix #3: S&O Folder Template

The following tabs should be included in partner delivered project files maintained by the FLH divisions:

Tab 1 – Project Risk Assessment

Tab 2 – S&O Checklist

Tab 3 – Signed Project Agreement/Project Management Plan

Tab 4 – PS&E (95% approved)

Tab 5 – CAP Questionnaire

Tab 6 – NEPA Documents

Tab 7 – Permits, if applicable

Tab 8 – Right-of-Way Certifications

Tab 9 – Utility/Railroad Agreements-examples

Tab 10 – Contract Award Package

Tab 11 – As Built(s)

Tab 12 – Final Voucher-examples

Tab 13 – Financial / Project Management System reports

Appendix #4: Example of a request letter for PS&E approval

Subject: **Request for Approval of PS&E**
PROJECT Name/ Number

Date:

From: Partner's project manager or POC name
Title
FLMA

To: Program Manager,
Title
Federal Lands Highway Division

The FLMA certifies the PS&E for the subject project is ready for approval. The following is provided for your review and information:

1. Funding: The Engineer's Estimate for the construction of this project is \$#####.##.

Currently, there is \$####.## programmed for the construction of this project in the Federal Lands Transportation Program in FY 20##. *Explain the difference in the amount and what will happen if bids are higher than the programmed amount.*

2. Scheduling: The contract is tentatively scheduled for advertisement in Month Year. Construction is tentatively scheduled to start in Month Year and be completed by Month Year.
3. Environmental Compliance Documentation:
 - a. National Environmental Policy Act (NEPA) Compliance: A Categorical Exclusion was approved by the FLMA on Month Day, Year and adopted by the FLHD on Month Day, Year.
 - b. Environmental Permits: The FLMA is responsible for acquiring any necessary environmental permits. If applicable, it is anticipated that the environmental permits required for this project include
4. Right-of-Way and Permits: All construction is within FLMA right-of-way and there are no known right-of-way conflicts.
5. Utilities: Existing utilities are located within the project limits; however, no utilities are proposed to be relocated prior to or during construction and no utility conflicts are anticipated.
6. Highway Design Standards Exception: The Highway Design Standards forms list the following exceptions:
 - i. The exceptions were approved on Month Day, Year.

CERTIFICATION OF FINAL PS&E PACKAGE

FLMA

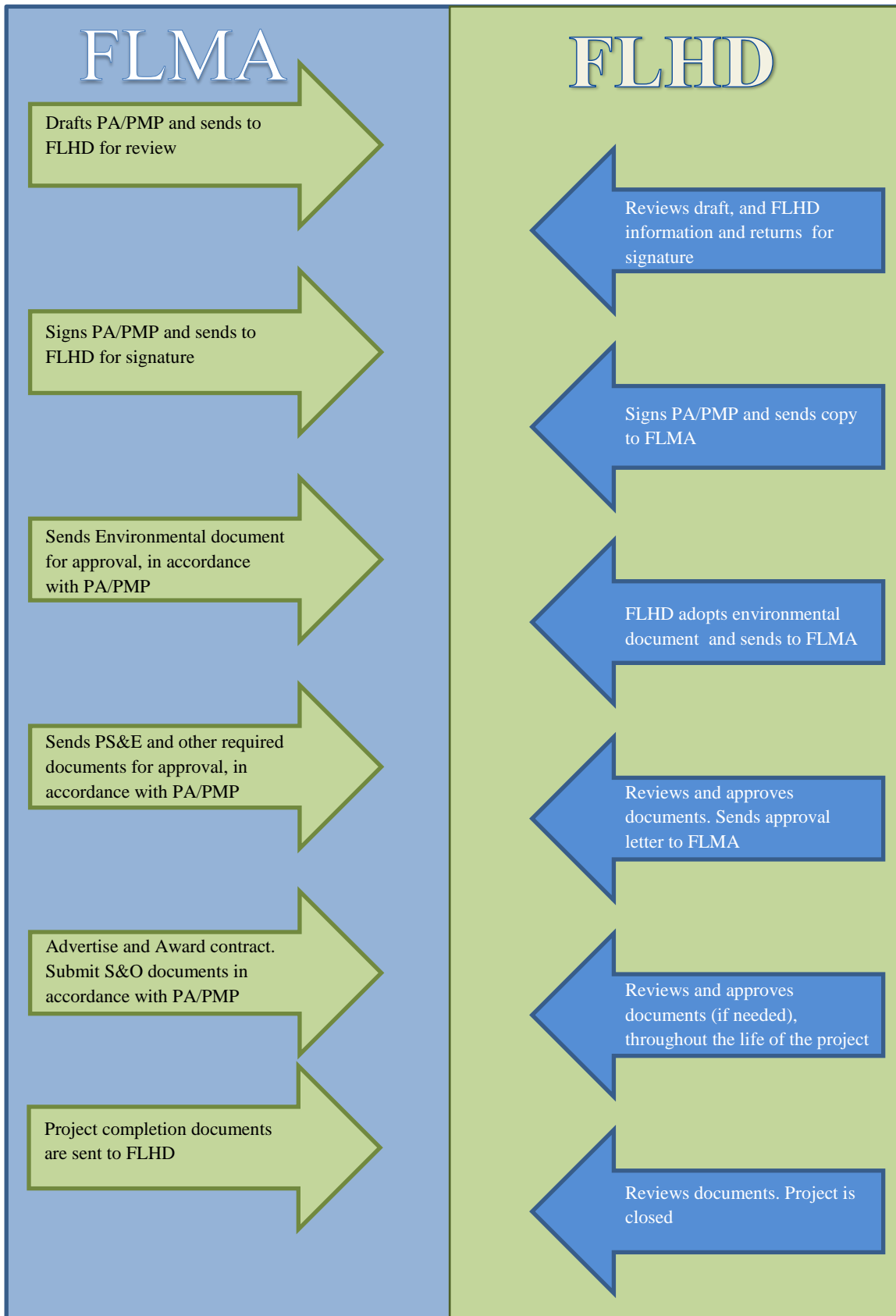
Date

APPROVAL OF PS&E


Federal Lands Highway

Date

Appendix #5: Partner Delivered FLTP project general process



Appendix #6: CAP Questionnaire

 FLH Compliance Assessment Program (CAP) Questionnaire				
FLH DIVISION	ID#	DATE OF REVIEW	FEDERAL PROJECT #	STATE PROJECT #
<input type="checkbox"/> FLTP <input type="checkbox"/> FLAP <input type="checkbox"/> If FLAP, State _____			<input type="checkbox"/> STATE ADMINISTERED <input type="checkbox"/> LOCALLY ADMINISTERED	
PROJECT DESCRIPTION				
INDIVIDUAL (S) CONDUCTING REVIEW				
SUPERVISOR REVIEW				
NAME:				
DATE:				
ADDITIONAL CAP REVIEW GUIDE(S) USED ON THIS REVIEW (LIST ALL)				
Instructions				
1. Complete all questions in the CAP Core Question Form for all CAP reviews. Do not modify questions. 2. Provide comments for each of the NO, N/A or Don't Know answers. 3. Directly verify all answers with source documentation. 4. Ensure source documentation is retained by the Division or State and available as necessary for quality assurance reviews or audits.				
#	CORE QUESTIONS	CITATION	ANSWER	COMMENT
CQ1	Was the project included in the Transportation Improvement Plan (TIP) prior to the obligation of funds?	23 CFR §450.220(d)	Yes , the project was included in the FLH approved TIP prior to the obligation of funds No , the project was not included in the FLH approved TIP prior to the obligation of funds. (comment required) N/A , requirement does not apply (comment required) Don't Know , could not be verified at the time of review	

			(comment required)	
CQ2	Was the appropriate NEPA action completed within appropriate timeframes via USC23, i.e. Record of Decision (ROD), Finding of No Significant Impact (FONSI), or Categorical Exclusion (CE) determination?	23 CFR §771	<p>Yes, the appropriate NEPA action was completed within required timeframes , i.e. ROD, FONSI, or CE determination</p> <p>No, the appropriate NEPA action was not completed within required timeframes , i.e. ROD, FONSI, or CE determination (comment required)</p> <p>N/A, requirement does not apply (comment required)</p> <p>Don't Know, could not be verified at the time of review (comment required)</p>	
CQ3	Did the partner provide a statement regarding the status of all ROW, utility, and railroad work and provides copies of include all applicable permits?	23 CFR §635.309 (b)	<p>Yes, the partner provided a statement that all right-of-way clearance, utility, and railroad work has been completed prior to the date of authorization and applicable permits.</p> <p>Yes, the partner provided a <u>conditional</u> statement for right-of-way clearance, utility, and railroad work that necessary arrangements have been made for it to be undertaken and completed for proper coordination with the physical construction</p> <p>No, the partner did not provide a statement that all right-of-way clearance, utility, and railroad work has been completed prior to the date of authorization and/or applicable permits. (comment required)</p> <p>N/A, requirement does not apply (comment required)</p> <p>Don't Know, could not be verified at the time of review (comment required)</p>	
CQ4	Were the Plans, Specifications and Estimates (PS&E) submitted and approved at 95% by FLH?	23 CFR §630.205	<p>Yes, the PS&E were submitted by the partner and approved by FLH.</p> <p>No, the PS&E were not submitted by the partner and/or approved by FLH.</p> <p>N/A, requirement does not apply (comment required)</p> <p>Don't Know, could not be</p>	

			verified at the time of review (comment required)	
CQ5	Is there a full time public employee administering the project?	23 CFR §635.105 FHWA Guidance Memo	<p>Yes, a full time employed State engineer is in charge</p> <p>Yes, a full time employed Local Public Agency employee is administering the project</p> <p>No, there is no full time public employee responsible for administering the project (comment required)</p> <p>N/A, requirement does not apply (comment required)</p> <p>Don't Know, could not be verified at the time of review (comment required)</p>	
CQ6	If applicable, did the project require a contract change order or extra work order and if so, was a cost analysis performed and submitted to FLH for approval?	23 CFR §635.120	<p>Yes, the partner followed the contract modification process properly and secured FLH's approval.</p> <p>No, the partner did not follow contract modification processes properly and/or did not secure FLH's approval.</p> <p>N/A, requirement does not apply (comment required)</p> <p>Don't Know, could not be verified at the time of review (comment required)</p>	
CQ7	For FLAP projects: Was the match required provided? Was the match for S&O activities provided?	23 USC §120	<p>Yes, the match was provided.</p> <p>No, there is a tapered match agreement. Match will be provided by the end of the project. (comment required)</p> <p>No, the match for S&O activities was not provided. (comment required)</p>	
CQ8	Was the project delivered within the project agreement's scope?		<p>Yes, the project was delivered within the project agreement's scope.</p> <p>No, the project was not delivered within the project agreement's scope? (Comment required)</p> <p>Don't Know, could not be verified at the time of review (comment required)</p>	

CQ9	Was the project delivered within the schedule?		Yes , the project was delivered within schedule? No , the project was not delivered within schedule. (Comment required) Don't Know , could not be verified at the time of review (comment required)	
CQ10	Was the project delivered within budget?		Yes , the project was delivered within budget. No , the project was not delivered within budget. (Comment required) Don't Know , could not be verified at the time of review (comment required)	

Appendix #7: 370 Advices on MAX.gov

Link to MAX.gov: <https://community.max.gov/>

The Budget Office creates an advice of funds page for each FLMA partner, located at:

<https://community.max.gov/display/DOT/FHWA+Office+of+Budget>

1. The page name will be: “FLMA” Advices of funds.
2. Once you click on the “FLMA” Advices of funds page, the information is organized by fiscal year. Select the appropriate fiscal year. For example: “FY 2016 FLMA Advices of Funds”.
3. There will be two subpages. The subpage, FY 2016 69X0500, is for all funding allocated from FHWA Federal-aid division offices. The subpage, FY 2016 69X8083, is for the funding allocated by Federal Lands. For FLTP funds select “FY 2016 69X8083”.
4. This location contains all the 370 advices to the FLMA. The file name includes the fiscal year, fund code, BPAC, and sequential number. The BPAC is a financial code used to distinguish the agency. For example; NPS is 4PS, FWS is 4FW, FS is 4FS, BLM is 4BL, and USACE is 4CE. The fund code for FLTP is 15X0G31050. The fund code for Federal Lands Planning Program is 15X0G51050.
5. MAX is capable of sending emails, every time a document is posted or modified. To set it up:
 - a. Use the link above and to go to the page you want to receive notifications.
 - b. On the right top corner, click under “Watchers”. A menu will drop down.
 - c. If you select “Watch This Page”, you will receive emails every time a 370 allocating funds from Federal Lands is posted.
 - d. If you select “Watch This Page Family”, you will receive emails for all 370 from FHWA, including Federal-aid and Federal Lands.

Appendix #8: FLHD Contact Information

Eastern Federal Lands Contacts

Planning and Programs Branch Chief, 703-404-6293

Central Federal Lands Contacts

Planning and Programs Branch Chief, 720-963-3729

CFL S&O Coordinator, 720-963-3621

Western Federal Lands Contacts

WFL S&O Coordinator, 360-619-7602

FLTP Program Coordinator, 360-619-7820