

Document Release Notice

Document #:	ENV-04	Title:	Federally Funded Major Projects Documentation	
Current Revision #:	1	Type of Change:	<input type="checkbox"/> ORIG RELEASE <input checked="" type="checkbox"/> REVISION <input type="checkbox"/> ARCHIVE <input type="checkbox"/> OBSOLETE	
New Revision #:	2	DRN Number:	10901	<input type="checkbox"/> MAJOR <input checked="" type="checkbox"/> MINOR <input type="checkbox"/> ADMIN
Date Submitted:	10/31/2022	Document Type:	QMS Document - ENV	Choose from Drop Down Menu

Summary of Proposed Changes:
 - Include paragraph numbers or other references & attach a copy of the new or revised documents
 - For new documents, indicate "Original Release"

QMS Procedure "ENV-04", Revision 2 updates include: procedures, responsibilities and flowchart updates to coincide with procedures and responsibilities in the word document.

Reason for New Release / Revision / Obsolescence:

Revisions are needed to ENV-02 regarding procedure updates, responsibility updates and flowchart updates to coincide with word document updates.

Required Signatures:

Title	Printed Name	Signature	Date
Originator	Bryan Dennis		11/7/22
Subject Matter Expert	Julie Morse ^{CRAIG HANCOCK}		11-3-2022
NTTA Manager	Kelly Johnson		11/10/2022
PD Manager of Contracts	Ben King	 B.M. King	02/08/23
Director of Project Delivery	Elizabeth Mow		2-10-23
Document Control/Quality Manager	Md Omar Faruk		3/23/2023

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1.0 PURPOSE:

The purpose of this procedure is to define the process of developing a Project Management Plan (PMP) and a Financial Plan (FP), and to ensure that both comply with the Federal Highway Administration (FHWA) requirements for all federally funded major projects.

2.0 RESPONSIBILITIES:

2.1 Executive Director (ED) – The ED shall be responsible for:

- Approving and signing the final PMP and FP prior to submittal to FHWA for approval.

2.2 Planning Manager – The Planning Manager shall be responsible for:

- Review of all NTTA major projects documents prior to review by the NTTA ED and FHWA.
- The NTTA’s main point of contact with the Texas Department of Transportation (TxDOT) and FHWA for major projects coordination, submittals, receipt of agency comments, and conflict resolution.

2.3 Planning Staff – The Planning Staff shall be responsible for:

- Development and oversight of FP and PMP documents
- Coordinating with the Planning Manager to submit the PMP, FP, and FP Annual Updates to TxDOT/FHWA prior to approval of the project’s environmental document.

2.4 Program Controls Manager (PCM) – The PCM shall be responsible for:

- Providing project financial data following the major projects policies and procedures pertaining to FPs.

2.5 Corridor Manager (CM) / Project Manager (PM) – The CM or PM shall be responsible for:

- Providing project information
- Reviewing draft and final versions of the PMP, FP, and FP Annual Updates

3.0 SCOPE/APPLICABILITY:

This procedure shall apply to all NTTA projects and corridors that are designated as major projects by the FHWA, that have an estimated total cost of \$100 million or more, and that are receiving federal financial assistance. For projects exceeding \$100 million, an FP is required for the project file. For projects exceeding \$500 million, both an FP and a PMP are required and will need FHWA approval prior to letting the project.

4.0 REFERENCES:

- FHWA Major Project Guidance Memorandum, found online at <https://www.fhwa.dot.gov/majorprojects/resources/070119.cfm>
- FHWA Project Management Plan Guidance, found online at <https://www.fhwa.dot.gov/majorprojects/pmp/guidance.cfm>

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- FHWA Financial Plan Guidance, found online at https://www.fhwa.dot.gov/majorprojects/financial_plans/guidance.cfm
- FHWA TIFIA Project Oversight and Credit Monitoring Guidance, found online at <http://www.transportation.gov/tifia/tifia-oversight-and-credit-guidance>
- FHWA Major Project Delivery Process and Deliverable Timelines, found online at <https://www.fhwa.dot.gov/majorprojects/defined.cfm>
- FHWA Project Management Plans Resources, found online at <https://www.fhwa.dot.gov/majorprojects/pmp/resources.cfm>
- FHWA Financial Plans Resources, found online at https://www.fhwa.dot.gov/majorprojects/financial_plans/resources.cfm

5.0 DEFINITIONS & ACRONYMS:

N/A

6.0 PROCEDURES:

6.1 PMP Preparation – The Planning Staff shall prepare the draft PMP with input and direct oversight from the CM and the Planning Manager. The PMP shall document NTTA and TxDOT roles and responsibilities and management controls in place. The Planning Staff shall submit the draft PMP to the Planning Manager for review prior to submittal to TxDOT/FHWA. The Planning Manager shall review the draft PMP and provide any comments back to the Planning Staff via *ENV-02-F1, Comment/Response Form*. The Planning Staff shall address all comments and re-submit the draft PMP until all comments are effectively resolved. Once comment resolution has been achieved, the Planning Staff shall coordinate with the Planning Manager to submit the draft PMP to TxDOT/FHWA for review prior to approval of the NEPA decision document (ROD or FONSI). The FHWA recommends submittal of the draft PMP two months prior to the submittal of the final NEPA document. The Planning Staff shall address all agency comments on the draft PMP and shall re-submit the PMP to the Planning Manager who shall submit the final PMP, inclusive of NTTA ED signature, to TxDOT/FHWA within 90 days following the NEPA document determination. The FHWA Division Office approves the PMP in consultation with the FHWA Headquarters Major Projects Team. Once the ROD or FONSI determination has been made for a project, the FHWA may withhold any further project approvals until the PMP is approved.

The necessary components of the PMP can be found by referencing FHWA *Project Management Plan Guidance*, <https://www.fhwa.dot.gov/majorprojects/pmp/guidance.cfm>.

6.2 FP Preparation – Near completion of the environmental documentation process in the project development phase, the Program Controls Manager/Cost Estimators shall evaluate the current project cost estimate to determine if the project meets the major project cost threshold of \$500 million. If the \$500 million cost threshold is met, the Planning Staff shall prepare the draft FP with input and direct oversight from the Planning Manager as early in the project development process as practical but usually during the final design phase of a project.

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The Planning Staff shall submit the draft FP to the Planning Manager for review prior to submittal to TxDOT/FHWA. The Planning Manager shall review the draft FP and provide any comments back to the Planning Staff via *ENV-02-F1, Comment/Response Form*. The Planning Staff shall address all comments and re-submit the draft FP until all comments are effectively resolved. The Planning Manager shall submit the FP to TxDOT/FHWA prior to NTTA requesting authorization of federal-aid funds for construction. The Planning Staff shall address all agency comments on the FP, and shall re-submit the revised version as the FP to the Planning Manager who shall submit the FP, inclusive of NTTA ED signature, to TxDOT/FHWA for approval. The FHWA Division Office approves the FP with prior concurrence from the FHWA Headquarters Major Projects Team. The FP must be approved prior to the FHWA authorizing federal-aid funding for mainline project construction or prior to issuing a Letter of Authority (LOA) for the project. For design-build projects, the FP must be approved by the FHWA prior to the award of the design-build contract.

Prior to the approval of the FP, the FHWA's Major Projects Team shall conduct a Cost Estimate Review (CER) workshop for the project with the NTTA and TxDOT. The FHWA recommends that the CER is held as early as one month before the submittal of the final NEPA document, but it can also be held during the final design phase. If the CER is conducted during final design, it is preferable to have completed a 30% cost estimate, at a minimum, prior to the CER.

6.3 FP Annual Updates – The above-mentioned process shall be repeated annually to produce FP Annual Updates until construction is substantially complete. The scheduled timing of the FP Annual Updates is shown in the FP by indication of the annual reporting date of the plan. The NTTA has the option of determining the effective date of the annual update submission. The Planning Staff shall provide the draft FP Annual Updates to the Planning Manager a minimum of 30 days prior to the due date to facilitate review and comment resolution. The Planning Manager shall submit the FP AUs, inclusive of NTTA ED signature, to TxDOT/FHWA for approval no more than 90 days after the designated date established in the FP. The FP Annual Updates must reflect changes in total and remaining project cost and/or available funding including changes in project scope that impact the cost estimate and/or completion schedule of the project, which have occurred since the previous submission. In the instance of major cost or funding changes, the FP Annual Updates may need to revise the cost and funding figures for future years in addition to those for the current year.

The necessary components of the FP and the revision requirements for the FP AUs can be found by referencing FHWA *Financial Plan Guidance*, https://www.fhwa.dot.gov/majorprojects/financial_plans/guidance.cfm.

6.4 FPs for Non-Major Projects – SAFETEA-LU requires recipients of federal financial assistance to also prepare an FP for projects with a total cost of \$100 to \$500 million that are not designated as major projects. The FPs for these projects do not require the FHWA's approval; however, they shall be consistent with the FHWA *Financial Plan Guidance* and shall be made available to the FHWA upon request. For projects in the \$100-500 million range, the Planning Staff shall prepare the FP and submit to the Planning

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Manager for comment resolution at the earliest feasible point in the project development process. The FP must be finalized prior to construction contract authorization and obligation of federal funds for construction under the design-bid-build process and prior to contract award for design-build projects.

6.5 Federal Funding Terminated Prior to Construction – If a project ceases to receive federal financial assistance at any point prior to the construction phase, the project sponsor may be released from the requirement to submit an FP. The NTTA or TxDOT must notify the FHWA Division Office in writing that federal funding will not be requested for future phases of the project. The FHWA Division Office, in consultation with the FHWA Headquarters Major Projects Team, determines whether future activities are subject to the requirements set forth herein. If the project sponsor is released from the requirement to submit an FP prior to the authorization of federal-aid funds for construction, no federal funding may be authorized for any subsequent phases of the project. The project sponsor shall continue to comply with all other federal requirements that flow from the use of federal-aid funds for any pre-construction phase of the project. It should be noted that the requirement to keep the PMP current continues even if the recipient has been released from the requirement to submit an FP.

7.0 REGULATORY REQUIREMENTS:

- Section 1503(a)(4) of the Moving Ahead for Progress in the 21st Century Act (MAP-21)
- Section 1904(a) of the SAFETEA-LU
- Section 1305(b) of the Transportation Equity Act for the 21st Century (TEA-21)
- Section 106(h) of Title 23
- Section 106(i) of Title 23
- Transportation Infrastructure Finance and Innovation Act (TIFIA) of 1999

8.0 RELATED BOARD POLICY:

N/A

9.0 COMPONENT DOCUMENTS:

- Risk Management Tool for Managing the Planning/Environmental Phases of Prospective Major Projects, FHWA, found online at https://www.fhwa.dot.gov/majorprojects/project_management/risk_management_tools.cfm
- Stewardship and Oversight Agreement on Project Assumption and Program Oversight by and between Federal Highway Administration, Texas Division and the State of Texas Department of Transportation, FHWA, found online at <https://www.fhwa.dot.gov/federalaid/stewardship/agreements/tx.pdf>
- Major Project Program Cost Estimating Guidance, FHWA, found online at https://www.fhwa.dot.gov/majorprojects/cost_estimating/guidance.cfm
- ENV-02-F1 Environmental Comment/Response Form

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10.0 FLOWCHART

N/A

11.0 REVISION HISTORY:

Revision	Revised by:	Date Issued	DRN	Reason for Revision
0	Julie Morse	10/24/2011	10360	Original Issue – This was originally FD-10
1	Julie Morse	02/21/2020	10810	Updated responsibilities to add Project Manager of Agency/Local Government Coordination and remove Financial Advisor/Planner. Updated procedures to reflect changes in staff responsibilities. Updated web links for references and component documents. Updated regulatory requirements. Updated component documents. Added form ENV-02-F1. Archived attachments ENV-04-A1 and ENV-04-A2.
2	Julie Morse	TBD	TBD	Updated position titles for consistency with other QMS procedures

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1.0 PURPOSE:

The purpose of this procedure is to define the process of developing a Project Management Plan (PMP) and a Financial Plan (FP), and to ensure that both comply with the Federal Highway Administration (FHWA) requirements for all federally funded major projects.

2.0 RESPONSIBILITIES:

2.1 Executive Director (ED) – The ~~NTTA~~-ED shall be responsible ~~to approve and sign the final PMP and FP prior to submittal to FHWA for approval.~~

~~2.0 Chief Financial Officer (CFO)~~ – ~~The NTTA CFO shall be responsible for reviewing the draft initial Financial Plan (FP).~~

- Financial Approving and signing the final PMP and FP prior to submittal to FHWA for approval.

2.2 Planning Manager – The ~~NTTA Financial~~ Planning Manager shall be responsible for ~~reviewing the draft FP.~~

- ~~Project Manager of Agency/Local Government Coordination~~ – ~~The Project Manager of Agency/Local Government Coordination shall be responsible for the review~~ Review of all NTTA major projects documents prior to review by the NTTA ED and FHWA. ~~The Project Manager of Agency/Local Government Coordination shall be the~~

~~2.3~~ • The NTTA's main point of contact with the Texas Department of Transportation (TxDOT) and FHWA for major projects coordination, submittals, receipt of agency comments, and conflict resolution.

~~2.3 Interagency Liaison/Environmental Manager~~ Planning Staff – The ~~Interagency Liaison and/or the Environmental Manager~~ Planning Staff shall be responsible for:

- Development and oversight of FP and PMP ~~development and for coordinating documents~~

~~2.4~~ • Coordinating with the ~~Project~~ Planning Manager of Agency/Local Government Coordination to submit the PMP, FP, and FP Annual Updates to TxDOT/FHWA prior to approval of the project's environmental document.

~~2.4 Program Controls Manager/Cost Estimators (PCM)~~ – The ~~Program Controls Manager/Cost Estimators~~ PCM shall be responsible for ~~providing:~~

~~2.5~~ • Providing project financial data following the major projects policies and procedures pertaining to FPs.

~~2.5 Corridor Manager (CM) / Project Manager (PM)~~ – The CM or PM shall be responsible for ~~providing:~~

- Providing project information ~~and reviewing~~

~~2.6~~ • Reviewing draft and final versions of the PMP, FP, and FP Annual Updates.

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~~2.7 Transportation/Environmental Planner – The Transportation/Environmental Planner shall be responsible for preparing the PMP, FP, and FP Annual Updates and for addressing comments.~~

3.0 SCOPE/APPLICABILITY:

This procedure shall apply to all NTTA projects and corridors that are designated as major projects by the FHWA, that have an estimated total cost of \$100 million or more, and that are receiving federal financial assistance. For projects exceeding \$100 million, an FP is required for the project file. For projects exceeding \$500 million, both an FP and a PMP are required and will need FHWA approval prior to letting the project.

4.0 REFERENCES:

- FHWA Major Project Guidance Memorandum, found online at <https://www.fhwa.dot.gov/majorprojects/resources/070119.cfm>
- FHWA Project Management Plan Guidance, found online at <https://www.fhwa.dot.gov/majorprojects/pmp/guidance.cfm>
- FHWA Financial Plan Guidance, found online at https://www.fhwa.dot.gov/majorprojects/financial_plans/guidance.cfm
- FHWA TIFIA Project Oversight and Credit Monitoring Guidance, found online at <http://www.transportation.gov/tifia/tifia-oversight-and-credit-guidance>
- FHWA Major Project Delivery Process and Deliverable Timelines, found online at <https://www.fhwa.dot.gov/majorprojects/defined.cfm>
- FHWA Project Management Plans Resources, found online at <https://www.fhwa.dot.gov/majorprojects/pmp/resources.cfm>
- FHWA Financial Plans Resources, found online at https://www.fhwa.dot.gov/majorprojects/financial_plans/resources.cfm

5.0 DEFINITIONS & ACRONYMS:

N/A

6.0 PROCEDURES:

- 6.1 **PMP Preparation** – The ~~Transportation/Environmental Planner~~ Planning Staff shall prepare the draft PMP with input and direct oversight from the CM and the ~~Interagency Liaison/Environmental~~ Planning Manager. The PMP shall document NTTA and TxDOT roles and responsibilities and management controls in place. The ~~Transportation/Environmental Planner~~ Planning Staff shall submit the draft PMP to the ~~Interagency Liaison/Environmental~~ Planning Manager for review prior to submittal to TxDOT/FHWA. The ~~Interagency Liaison/Environmental~~ Planning Manager shall review the draft PMP and provide any comments back to the ~~Transportation/Environmental Planner~~ Planning Staff via ENV-02-F1, Comment/Response Form. The ~~Transportation/Environmental Planner~~ Planning Staff shall address all comments and re-submit the draft

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PMP until all comments are effectively resolved. Once comment resolution has been achieved, the ~~Interagency Liaison/Environmental Planning Staff~~ shall coordinate with the ~~Project Manager/Agency Local Government Coordinator~~ to submit the PMP to TxDOT/FHWA for review prior to approval of the NEPA decision document (ROD or FONSI). The FHWA recommends submittal of the draft PMP two months prior to the submittal of the final NEPA document. The ~~Transportation/Environmental Planner/Planning Staff~~ shall address all agency comments on the draft PMP and shall re-submit the PMP to the ~~Interagency Liaison/Environmental Planning Manager~~ who shall ~~coordinate with the Project Manager/Agency Local Government Coordinator~~ to submit the PMP, revised NITA/ED signed by TxDOT/FHWA within 90 days following the NEPA document determination. The FHWA Division Office approves the PMP in consultation with the FHWA Headquarters Major Projects Team. Once the ROD or FONSI determination has been made for a project, the FHWA may withhold any further project approvals until the PMP is approved.

The necessary components of the PMP can be found by referencing FHWA *Project Management Plan Guidance*, <https://www.fhwa.dot.gov/majorprojects/pmp/guidance.cfm>.

- 6.2 FP Preparation** – Near completion of the environmental documentation process in the project development phase, the Program Controls Manager/Cost Estimators shall evaluate the current project cost estimate to determine if the project meets the major project cost threshold of \$500 million. If the \$500 million cost threshold is met, the ~~Transportation/Environmental Planner/Planning Staff~~ shall prepare the draft FP with input and direct oversight from the ~~Interagency Liaison/Environmental Planning Manager~~ as early in the project development process as practical but usually during the final design phase of a project.

The ~~Transportation/Environmental Planner/Planning Staff~~ shall submit the draft FP to the ~~Interagency Liaison/Environmental Planning Manager~~ for review prior to submittal to TxDOT/FHWA. The ~~Interagency Liaison/Environmental Planning Manager~~ shall review the draft FP and provide any comments back to the ~~Transportation/Environmental Planner/Planning Staff~~ via ~~EM-02-F1, Comment Response Form~~. The ~~Transportation/Environmental Planner/Planning Staff~~ shall address comments and submit the draft FP with comments effectively resolved. ~~Comments to be returned to the Project Manager/Agency Local Government Coordinator~~. The ~~Planning Manager~~ shall submit the ~~FP to the Interagency Liaison/Environmental Planning Manager~~ who shall ~~coordinate with the Project Manager/Agency Local Government Coordinator~~ to submit the FP, revised NITA/ED signed by TxDOT/FHWA for approval. The FHWA Division Office approves the FP with prior concurrence from the FHWA Headquarters Major Projects Team. The FP must be approved prior to the FHWA authorizing federal-aid funding for mainline project construction or prior to issuing a Letter of Authority (LOA) for the project. For design-build projects, the FP must be approved by the FHWA prior to the award of the design-build contract.

Prior to the approval of the FP, the FHWA's Major Projects Team shall conduct a Cost Estimate Review (CER) workshop for the project with the NTTA and TxDOT. The FHWA recommends that the CER is held as early as one month before the submittal of the final NEPA document, but it can also be held during the final design phase. If the CER is conducted during final design, it is preferable to have completed a 30% cost estimate, at a minimum, prior to the CER.

- 6.3 FP Annual Updates** – The above-mentioned process shall be repeated annually to produce FP Annual Updates until construction is substantially complete. The scheduled timing of the FP Annual Updates is shown in the FP by indication of the annual reporting date of the plan. The NTTA has the option of

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determining the effective date of the annual update submission. The ~~Transportation/Environmental Planner~~ **Planning Staff** shall provide the draft FP Annual Updates to the ~~Interagency Liaison/Environmental~~ **Planning** Manager a minimum of 30 days prior to the due date to facilitate review and comment resolution. ~~The Interagency Liaison/Environmental Manager shall coordinate with the Project Manager of Agency/Local Government Coordination to~~ **The Planning Manager shall** submit the FP AUs, inclusive of NTTA ED signature, to TxDOT/FHWA for approval no more than 90 days after the designated date established in the FP. The FP Annual Updates must reflect changes in total and remaining project cost and/or available funding including changes in project scope that impact the cost estimate and/or completion schedule of the project, which have occurred since the previous submission. In the instance of major cost or funding changes, the FP Annual Updates may need to revise the cost and funding figures for future years in addition to those for the current year.

The necessary components of the FP and the revision requirements for the FP AUs can be found by referencing FHWA *Financial Plan Guidance*, https://www.fhwa.dot.gov/majorprojects/financial_plans/guidance.cfm.

6.4 FPs for Non-Major Projects – SAFETEA-LU requires recipients of federal financial assistance to also prepare an FP for projects with a total cost of \$100 to \$500 million that are not designated as major projects. The FPs for these projects do not require the FHWA’s approval; however, they shall be consistent with the FHWA *Financial Plan Guidance* and shall be made available to the FHWA upon request. For projects in the \$100-500 million range, the ~~Transportation/Environmental Planner~~ **Planning Staff** shall prepare the FP and submit to the ~~Interagency Liaison/Environmental~~ **Planning** Manager for comment resolution at the earliest feasible point in the project development process. The FP must be finalized prior to construction contract authorization and obligation of federal funds for construction under the design-bid-build process and prior to contract award for design-build projects.

6.5 Federal Funding Terminated Prior to Construction – If a project ceases to receive federal financial assistance at any point prior to the construction phase, the project sponsor may be released from the requirement to submit an FP. The NTTA or TxDOT must notify the FHWA Division Office in writing that federal funding will not be requested for future phases of the project. The FHWA Division Office, in consultation with the FHWA Headquarters Major Projects Team, determines whether future activities are subject to the requirements set forth herein. If the project sponsor is released from the requirement to submit an FP prior to the authorization of federal-aid funds for construction, no federal funding may be authorized for any subsequent phases of the project. The project sponsor shall continue to comply with all other federal requirements that flow from the use of federal-aid funds for any pre-construction phase of the project. It should be noted that the requirement to keep the PMP current continues even if the recipient has been released from the requirement to submit an FP.

7.0 REGULATORY REQUIREMENTS:

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- Section 1305(b) of the Transportation Equity Act for the 21st Century (TEA-21)
- Section 106(h) of Title 23
- Section 106(i) of Title 23
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8.0 RELATED BOARD POLICY:

N/A

9.0 COMPONENT DOCUMENTS:

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- [ENV-02-F1](#) Environmental Comment/Response Form

10.0 FLOWCHART

N/A

11.0 REVISION HISTORY:

Revision	Revised by:	Date Issued	DRN	Reason for Revision
0	Julie Morse	10/24/2011	10360	Original Issue – This was originally FD-10
1	Julie Morse	02/21/2020	10810	Updated responsibilities to add Project Manager of Agency/Local Government Coordination and remove Financial Advisor/Planner. Updated procedures to reflect changes in staff responsibilities. Updated web links for references and component documents. Updated regulatory requirements. Updated component documents. Added form ENV-02-F1. Archived attachments ENV-04-A1 and ENV-04-A2.
<u>2</u>	Julie Morse	TBD	TBD	Updated position titles for consistency with other QMS procedures

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1.0 PURPOSE:

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2.0 RESPONSIBILITIES:

- 2.1 Executive Director (ED) – The NTTA ED shall be responsible to approve and sign the final PMP and FP prior to submittal to FHWA for approval.
- 2.2 Chief Financial Officer (CFO) – The NTTA CFO shall be responsible for reviewing the draft initial Financial Plan (FP).
- 2.3 Financial Planning Manager – The NTTA Financial Planning Manager shall be responsible for reviewing the draft FP.
- 2.4 Project Manager of Agency/Local Government Coordination - The Project Manager of Agency/Local Government Coordination shall be responsible for the review of all NTTA major projects documents prior to review by the NTTA ED and FHWA. The Project Manager of Agency/Local Government Coordination shall be the NTTA's main point of contact with the Texas Department of Transportation (TxDOT) and FHWA for major projects coordination, submittals, receipt of agency comments, and conflict resolution.
- 2.5 Interagency Liaison/Environmental Manager – The Interagency Liaison and/or the Environmental Manager shall be responsible for oversight of FP and PMP development and for coordinating with the Project Manager of Agency/Local Government Coordination to submit the PMP, FP, and FP Annual Updates to TxDOT/FHWA prior to approval of the project's environmental document.
- 2.6 Program Controls Manager/Cost Estimators – The Program Controls Manager/Cost Estimators shall be responsible for providing project financial data following the major projects policies and procedures pertaining to FPs.
- 2.7 Corridor Manager (CM) – The CM shall be responsible for providing project information and reviewing draft and final versions of the PMP, FP, and FP Annual Updates.
- 2.8 Transportation/Environmental Planner – The Transportation/Environmental Planner shall be responsible for preparing the PMP, FP, and FP Annual Updates and for addressing comments.

3.0 SCOPE/APPLICABILITY:

This procedure shall apply to all NTTA projects and corridors that are designated as major projects by the FHWA, that have an estimated total cost of \$100 million or more, and that are receiving federal financial

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assistance. For projects exceeding \$100 million, an FP is required for the project file. For projects exceeding \$500 million, both an FP and a PMP are required and will need FHWA approval prior to letting the project.

4.0 REFERENCES:

- FHWA Major Project Guidance Memorandum, found online at <https://www.fhwa.dot.gov/majorprojects/resources/070119.cfm>
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- FHWA Financial Plan Guidance, found online at https://www.fhwa.dot.gov/majorprojects/financial_plans/guidance.cfm
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- FHWA Major Project Delivery Process and Deliverable Timelines, found online at <https://www.fhwa.dot.gov/majorprojects/defined.cfm>
- FHWA Project Management Plans Resources, found online at <https://www.fhwa.dot.gov/majorprojects/pmp/resources.cfm>
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5.0 DEFINITIONS & ACRONYMS:

6.0 PROCEDURES:

6.1 PMP Preparation – The Transportation/Environmental Planner shall prepare the draft PMP with input and direct oversight from the CM and the Interagency Liaison/Environmental Manager. The PMP shall document NTTA and TxDOT roles and responsibilities and management controls in place. The Transportation/Environmental Planner shall submit the draft PMP to the Interagency Liaison/Environmental Manager for review prior to submittal to TxDOT/FHWA. The Interagency Liaison/Environmental Manager shall review the draft PMP and provide any comments back to the Transportation/Environmental Planner via *ENV-02-F1, Comment/Response Form*. The Transportation/ Environmental Planner shall address all comments and re-submit the draft PMP until all comments are effectively resolved. Once comment resolution has been achieved, the Interagency Liaison/Environmental Manager shall coordinate with the Project Manager of Agency/Local Government Coordination to submit the draft PMP to TxDOT/FHWA for review prior to approval of the NEPA decision document (ROD or FONSI). The FHWA recommends submittal of the draft PMP two months prior to the submittal of the final NEPA document. The Transportation/Environmental Planner shall address all agency comments on the draft PMP and shall re-submit the PMP to the Interagency Liaison/Environmental Manager who shall, in coordination with the Project Manager of Agency/Local Government Coordination, submit the final PMP, inclusive of NTTA ED signature, to TxDOT/FHWA within 90 days following the NEPA document determination. The FHWA Division Office approves the PMP in consultation with the FHWA Headquarters Major Projects Team. Once

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the ROD or FONSI determination has been made for a project, the FHWA may withhold any further project approvals until the PMP is approved.

The necessary components of the PMP can be found by referencing FHWA *Project Management Plan Guidance*, <https://www.fhwa.dot.gov/majorprojects/pmp/guidance.cfm>.

- 6.2 FP Preparation** – Near completion of the environmental documentation process in the project development phase, the Program Controls Manager/Cost Estimators shall evaluate the current project cost estimate to determine if the project meets the major project cost threshold of \$500 million. If the \$500 million cost threshold is met, the Transportation/Environmental Planner shall prepare the draft FP with input and direct oversight from the Interagency Liaison/Environmental Manager as early in the project development process as practical but usually during the final design phase of a project.

The Transportation/Environmental Planner shall submit the draft FP to the Interagency Liaison/Environmental Manager for review prior to submittal to TxDOT/FHWA. The Interagency Liaison/Environmental Manager shall review the draft FP and provide any comments back to the Transportation/Environmental Planner via *ENV-02-F1, Comment/Response Form*. The Transportation/Environmental Planner shall address all comments and re-submit the draft FP until all comments are effectively resolved. Once comment resolution has been achieved, the Project Manager of Agency/Local Government Coordination shall submit the draft FP to the NTTA's Financial Planning Manager and CFO for review and comment incorporation. The Interagency Liaison/Environmental Manager shall coordinate with the Project Manager of Agency/Local Government Coordination to submit the FP to TxDOT/FHWA prior to requesting authorization of federal-aid funds for construction. The Transportation/Environmental Planner shall address all agency comments on the FP, and shall re-submit the revised version as the FP to the Interagency Liaison/Environmental Manager who shall, in coordination with the Project Manager of Agency/Local Government Coordination, submit the FP, inclusive of NTTA ED signature, to TxDOT/FHWA for approval. The FHWA Division Office approves the FP with prior concurrence from the FHWA Headquarters Major Projects Team. The FP must be approved prior to the FHWA authorizing federal-aid funding for mainline project construction or prior to issuing a Letter of Authority (LOA) for the project. For design-build projects, the FP must be approved by the FHWA prior to the award of the design-build contract.

Prior to the approval of the FP, the FHWA's Major Projects Team shall conduct a Cost Estimate Review (CER) workshop for the project with the NTTA and TxDOT. The FHWA recommends that the CER is held as early as one month before the submittal of the final NEPA document, but it can also be held during the final design phase. If the CER is conducted during final design, it is preferable to have completed a 30% cost estimate, at a minimum, prior to the CER.

- 6.3 FP Annual Updates** – The above-mentioned process shall be repeated annually to produce FP Annual Updates until construction is substantially complete. The scheduled timing of the FP Annual Updates is shown in the FP by indication of the annual reporting date of the plan. The NTTA has the option of determining the effective date of the annual update submission. The Transportation/Environmental Planner

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shall provide the draft FP Annual Updates to the Interagency Liaison/Environmental Manager a minimum of 30 days prior to the due date to facilitate review and comment resolution. The Interagency Liaison/Environmental Manager shall coordinate with the Project Manager of Agency/Local Government Coordination to submit the FP AUs, inclusive of NTTA ED signature, to TxDOT/FHWA for approval no more than 90 days after the designated date established in the FP. The FP Annual Updates must reflect changes in total and remaining project cost and/or available funding including changes in project scope that impact the cost estimate and/or completion schedule of the project, which have occurred since the previous submission. In the instance of major cost or funding changes, the FP Annual Updates may need to revise the cost and funding figures for future years in addition to those for the current year.

The necessary components of the FP and the revision requirements for the FP AUs can be found by referencing FHWA *Financial Plan Guidance*,
https://www.fhwa.dot.gov/majorprojects/financial_plans/guidance.cfm.

6.4 FPs for Non-Major Projects – SAFETEA-LU requires recipients of federal financial assistance to also prepare an FP for projects with a total cost of \$100 to \$500 million that are not designated as major projects. The FPs for these projects do not require the FHWA’s approval; however, they shall be consistent with the FHWA *Financial Plan Guidance* and shall be made available to the FHWA upon request. For projects in the \$100-500 million range, the Transportation/Environmental Planner shall prepare the FP and submit to the Interagency Liaison/Environmental Manager for comment resolution at the earliest feasible point in the project development process. The FP must be finalized prior to construction contract authorization and obligation of federal funds for construction under the design-bid-build process and prior to contract award for design-build projects.

6.5 Federal Funding Terminated Prior to Construction – If a project ceases to receive federal financial assistance at any point prior to the construction phase, the project sponsor may be released from the requirement to submit an FP. The NTTA or TxDOT must notify the FHWA Division Office in writing that federal funding will not be requested for future phases of the project. The FHWA Division Office, in consultation with the FHWA Headquarters Major Projects Team, determines whether future activities are subject to the requirements set forth herein. If the project sponsor is released from the requirement to submit an FP prior to the authorization of federal-aid funds for construction, no federal funding may be authorized for any subsequent phases of the project. The project sponsor shall continue to comply with all other federal requirements that flow from the use of federal-aid funds for any pre-construction phase of the project. It should be noted that the requirement to keep the PMP current continues even if the recipient has been released from the requirement to submit an FP.

7.0 REGULATORY REQUIREMENTS:

- Section 1503(a)(4) of the Moving Ahead for Progress in the 21st Century Act (MAP-21)
- Section 1904(a) of the SAFETEA-LU
- Section 1305(b) of the Transportation Equity Act for the 21st Century (TEA-21)
- Section 106(h) of Title 23

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- Section 106(i) of Title 23
- Transportation Infrastructure Finance and Innovation Act (TIFIA) of 1999

8.0 RELATED BOARD POLICY:

N/A

9.0 COMPONENT DOCUMENTS:

- Risk Management Tool for Managing the Planning/Environmental Phases of Prospective Major Projects, FHWA, found online at https://www.fhwa.dot.gov/majorprojects/project_management/risk_management_tools.cfm
- Stewardship and Oversight Agreement on Project Assumption and Program Oversight by and between Federal Highway Administration, Texas Division and the State of Texas Department of Transportation, FHWA, found online at <https://www.fhwa.dot.gov/federalaid/stewardship/agreements/tx.pdf>
- Major Project Program Cost Estimating Guidance, FHWA, found online at https://www.fhwa.dot.gov/majorprojects/cost_estimating/guidance.cfm
- **ENV-02-F1** Environmental Comment/Response Form

10.0 FLOWCHART

N/A

11.0 REVISION HISTORY:

Revision	Revised by:	Date Issued	DRN	Reason for Revision
0	Julie Morse	10/24/2011	10360	Original Issue – This was originally FD-10
1	Julie Morse	02/21/2020	10810	Updated responsibilities to add Project Manager of Agency/Local Government Coordination and remove Financial Advisor/Planner. Updated procedures to reflect changes in staff responsibilities. Updated web links for references and component documents. Updated regulatory requirements. Updated component documents. Added form ENV-02-F1. Archived attachments ENV-04-A1 and ENV-04-A2.