



Alaska Department of Transportation and Public Facilities



# Guidance on Emergency Funding and Documentation

2022



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## 1. Introduction

### 1.1 Purpose

This guide is provided by the Alaska Department of Transportation and Public Facilities (DOT&PF) to assist in obtaining federal resources available for the repair of local federal-aid infrastructure assets damaged and/or destroyed by natural disasters or major catastrophes.

This guide provides contextual information and procedural guidelines for DOT&PF employees to prepare the documentation needed to respond to and recover from emergencies/disasters that affect the operations of the Department. This guide also references best practices on how to track these damaged locations to comply with federal regulations for twice-damaged assets.

The guide focuses primarily on funding through the Federal Highway Administration (FHWA) and Federal Emergency Management Agency (FEMA). Maximizing federal reimbursement of disaster response and recovery requires strict documentation, adherence to contract and procurement guidelines, and completion of activities by established deadlines.

While DOT&PF staff from many areas play roles in ensuring that DOT&PF can maximize federal reimbursement of disaster response and recovery, this guide is intended to advise non-field staff with responsibility for funding recovery.

Staff who should have familiarity with the contents of this guide include emergency support staff in finance, contracts, administration and design. Maintenance and operations (M&O) staff should be aware of the funding requirements for complete and timely site condition documentation.

During and after a disaster, this guide should be used in conjunction with DOT&PF's Field Operations Guide (FOG), which provides information on how the Department should respond in the field to incidents affecting roads, highways, and facilities. Field staff should refer to the FOG for initial response and recovery action items.

*To maximize reimbursement, documentation processes and funding procedures outlined in this guide should be used from day one, hour one of a disaster.*

### 1.2 Guide Organization

This document provides an overview of emergency funding processes and procedures for DOT&PF.

This is an evolving, working document that will be continually updated by DOT&PF staff. The lessons learned from significant responses will be applied to further "fine tune" this guide.

This guide uses the term "projects" to refer to repair, design, and construction projects. The term "projects" is also used to describe work referenced by Integrated Resource Information System (IRIS) program numbers.

The contents of this guide are organized as follows:

- **Chapter 1:** Introduction – Guide purpose and organization
- **Chapter 2:** Quick Start Guide – describes the life span of a disaster and the initial steps of the emergency response process
- **Chapter 3:** Funding Program Overview – overviews of funding programs, including FHWA emergency relief, FEMA public assistance, and other funding sources
- **Chapter 4:** DOT&PF Funding and Project Considerations – considerations related to maintenance and operations, design, construction, environmental, utilities, and right-of-way (ROW) processes



- **Chapter 5:** DOT&PF Funding and Documentation Procedures – process and “step-by-step” guidance on how to request emergency funding
- **Chapter 6:** Roles, Responsibilities, and Contacts – for DOT&PF, Alaska Department of Military and Veteran Affairs (DMVA), FEMA, and FHWA
- **Chapter 7:** Policies and Regulations – information for emergency funding, including regulatory considerations
- **Chapter 8:** Glossary
- **Chapter 9:** Acronyms
- **Appendix A:** Tip Sheets
- **Appendix B:** Checklists
- **Appendix C:** Examples and Forms

## 1.3 Icon Key

Icons are used throughout the document to draw attention to key information for DOT&PF functional groups.

 **Maintenance and Operations**

 **Construction**

 **Environmental**

 **Project Control**

 **Contracts**

 **Design**



## 2. Quick Start Guide

### 2.1 Lifespan of Disaster Funding

Initial site condition documentation and emergency response is typically handled by DOT&PF Regional M&O staff. After following response guidance in the FOG, M&O should reach out to the other sections for documentation support, repair scoping, project setup, and coordination. Documentation is required to complete the Detailed Damage Inspection Report (DDIR) on FHWA eligible sites and the Damage Dimensions and Description (DDD) on FEMA sites.

The following figures outline the lifespan of a disaster, from the occurrence of the disaster event through the final project closeout. The initial disaster response and longer-term permanent recovery efforts may happen concurrently. The figures chart the process for both FHWA Emergency Relief (ER) and FEMA Public Assistance (PA) program and include coordination with DMVA. **Figure 1, 2, and 3** describe the process for both emergency repair and permanent repair (PR) work.

Figure 1. Lifespan of a Disaster

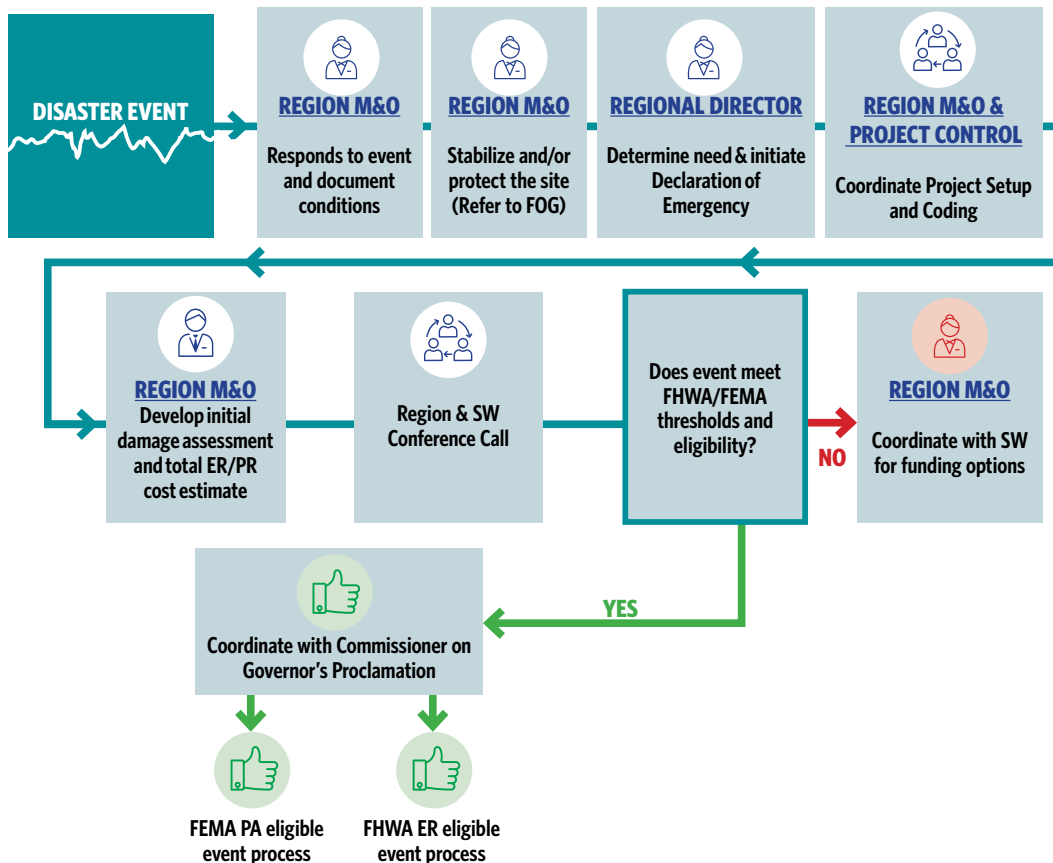




Figure 2. FHWA Emergency Relief (ER) Eligible Event Process

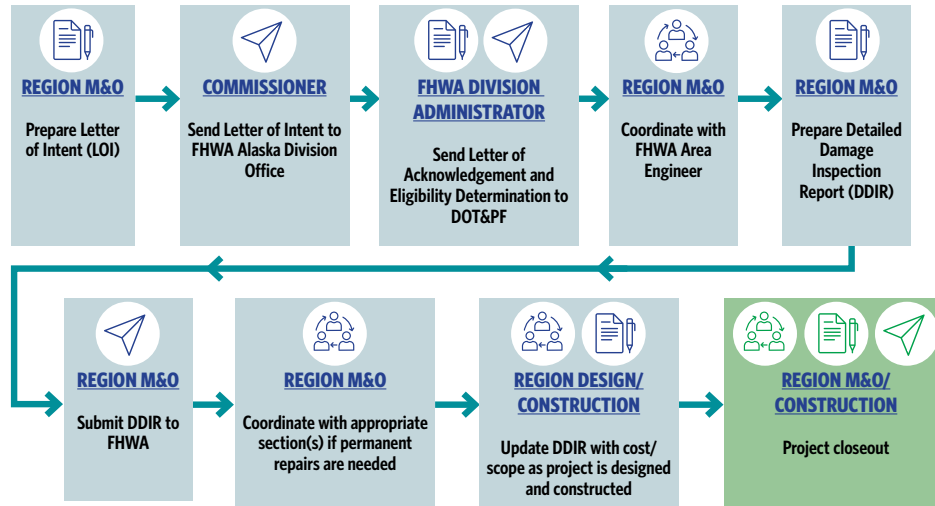
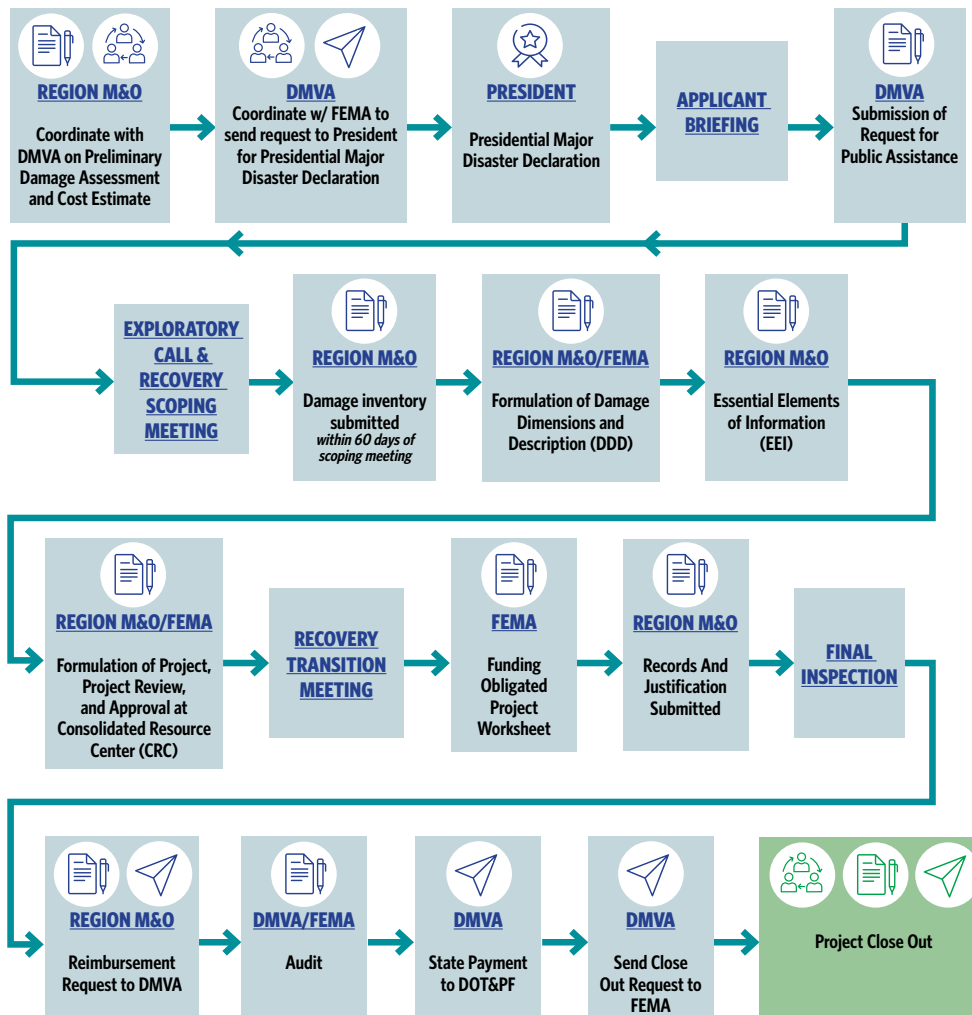


Figure 3. FEMA Public Assistance (PA) Eligible Event Process



## 2.2 Outline of the Emergency Response Process

### 2.2.1 DOT&PF Initiation of Emergency Declaration

When an emergency occurs, DOT&PF can make a determination of need for emergency repair (see **Appendix C.15**) and/or request a “Declaration of Emergency.”

A Declaration of Emergency is required whenever it is necessary to utilize Emergency Funds or State Force Account for work related to transportation facilities. There is a \$100K limit for work performed by State Force Account. This also includes all work affecting property owned or used by any Division (Source: 2 Alaska Administrative Code [AAC] 12.810).

The Regions are responsible for preparing the request for Declaration of Emergency authority for all work directly or indirectly related to transportation facilities.

### 2.2.2 Initial DOT&PF Coordination and Notification

As a disaster occurs, the primary objective is to respond to the event and stabilize and/or protect damaged locations and public safety. During an active disaster, all affected Regions need to track labor hours, equipment hours, materials, and contractors by each specific damage site.

During and following an emergency, DOT&PF’s roles are threefold:

- Maintain transportation infrastructure to provide for emergency response and evacuation.
- Protect transportation infrastructure that supports critical services and facilities (e.g., roads, bridges).
- Communicate infrastructure hazards to the public via a designated liaison and signage.

Once it is determined that funding beyond the M&O program is needed to re-open the facility and/or restore the area to the pre-damaged condition, it is critical that notifications are made to the Region and Statewide (SW) offices within 24 hours. If necessary, a conference with the following parties will occur:

- Regional M&O, Construction, and Project Control, as appropriate
- Region Contracts Chief
- SW Finance/Grants and Projects (assists with program control)
- SW Program Development (obtains and administers federal aid and funding)
- Department of Administration Risk Management (in events related to third-party damage)
- SW and Region Subject Matter Experts

Initial internal DOT&PF coordination includes the following:

- Region M&O coordinates with Project Control to establish a Disaster Reimbursement Emergency Repair (DRER) IRIS program number for each disaster site or area. Larger disasters with multiple sites may have to be tracked under multiple DRER program numbers. See **Section 5.2** for project setup processes and best practices for dealing with multiple sites.
- Region M&O coordinates with Region Environmental to follow the environmental process for emergency work. See **Section 4.5** for environmental processes.
- Region M&O coordinates with Region Contracts to set up emergency response contracts with contractors and consultants as needed to supplement DOT&PF Staff Force Account work. See **Section 5.5** for procedures.
- Region M&O may coordinate with Region Construction or contractors and consultants to supplement staff for site tracking and investigations, documentation, etc.

Given the dynamic nature of emergency needs and the critical funding challenges faced by the Department, it is necessary to collaborate during emergency situations and identify emergency and permanent restoration work to determine funding needs.



Without collaborative effort, the Department's ability to adequately fund or seek reimbursement from outside sources (e.g., FHWA, FEMA, third parties) may be compromised, which in turn could significantly impact DOT&PF's ability to meet existing program and project delivery commitments.

## 2.2.3 Initial Damage Assessment

Depending on the disaster, initial damage assessments are needed to identify the scope of the event's impact and applicable funding processes. Assessments may be based on windshield surveys of a sample of sites or detailed damage inspections at many or all sites. Before/after photographs of damage with specific locations identified by milepost or latitude/longitude are critical pieces of information that support the process of determining appropriate federal reimbursement options. There are times when the disaster is of such magnitude that media reports are sufficient to verify the scope of the disaster. See **Section 4.1** for details on site data collection and see the FOG for details on what to include in a windshield survey.

*Initial damage assessments are needed to initiate federal funding processes.*

Region M&O develops initial cost estimates and scopes of work for the emergency and permanent repairs. Depending on the magnitude of the event, Region M&O may reach out to other divisions, such as construction and design, for assistance in gathering cost estimate information for anticipated emergency and permanent repairs.

## 2.2.4 Governor's Proclamation

The Governor's Disaster Proclamation is usually issued during or shortly after the event. It must specify the affected boroughs, the severity of damage, and the date the event started. See **Appendix C.1** for an example of a Governor's Disaster Proclamation. See **Section 3.1.7** for more details on the FHWA funding timeline.

## 2.2.5 Initial Federal Agency Notification and Coordination

If the event meets the eligibility criteria, including minimum cost thresholds, Region M&O begins coordination with the appropriate state and federal agencies. The Regional Director sends a memorandum to the Commissioner requesting the use of federal emergency authorization to establish projects for initial emergency response and repairs due to the disaster. See **Appendix C.2**.

### ***FHWA Initial Notification and Coordination***

DOT&PF is responsible for submitting applications for ER funding to the FHWA Division. The application must include a comprehensive list of all eligible project sites and repair costs. To be considered for ER funding, a disaster declaration/proclamation is required. Either of the following fulfills this requirement:

- The President makes a major disaster declaration under the Stafford Act (42 U.S.C. 5121 et seq.), or
- The Governor of the state issues an emergency or disaster proclamation and FHWA concurs on the declaration.

While early submission of a complete application is desirable, it may not always be possible. DOT&PF may request partial ER funding based on available information from windshield surveys, detailed damage inspections, or a combination of both. Additional ER funding may be requested as damage inspections are completed and more accurate estimates are developed.

The expectation is that the application is completed within 6 to 10 weeks of the event. DOT&PF's typical application is a spreadsheet list of the sites and projects (if available), included with their Letter of Intent (LOI). Depending on the situation, DOT&PF may revise the spreadsheet and resubmit it (perhaps more than once throughout the process).

## *Letter of Intent*

The LOI is DOT&PF's request to FHWA for ER funds to assist in the cost of repairing damages on the federal-aid highways in the state. Regions draft the LOI and then forward it to the Commissioner's Office for approval and subsequent advancement to the FHWA Alaska Division Office. Within 1 to 5 days of the event, the Commissioner sends a LOI to FHWA requesting ER funds to assist in the cost of repairing damages. Included with the request is the Governor's Disaster Proclamation. See **Appendix C.3** for LOI examples.

## *FHWA Acknowledgement and Eligibility Determination Letter*

The FHWA Division Administrator acknowledges, in writing, DOT&PF's LOI. This Letter of Acknowledgment (LOA) will allow temporary operations, emergency repairs, and preliminary engineering to start before FHWA authorization of eligible ER funding. Reimbursement for allowed actions depends on the Division Administrator's subsequent eligibility finding for the disaster and on FHWA project authorizations. If FHWA concurs that the emergency is an eligible event, they will respond with a Letter of Eligibility Determination.

On rare occasions, FHWA may respond with only a LOA while more information is gathered to determine if the event is eligible. In those cases, the LOA will come separately from the Letter of Eligibility Determination.

**Appendix C.4** includes an FHWA Acknowledgement Letter from 2018 Flooding in Alaska.

## *FEMA Initial Coordination*

FEMA's State of Alaska contact is the DMVA Division of Homeland Security & Emergency Management (DHS&EM). DOT&PF coordinates directly with DMVA to request FEMA funds and reimbursement.

## *FEMA Preliminary Damage Assessment*

DOT&PF, DMVA, and FEMA officials conduct a "Preliminary Damage Assessment" (referred to by FEMA as a PDA), which is a joint assessment used to determine the magnitude and impact of an event's damage. DMVA uses the results of the Preliminary Damage Assessment to determine if the situation is beyond the combined capabilities of state and local resources and to verify the need for supplemental federal assistance. The Governor uses the assessment to support a request to the President of the United States for a Presidential Major Disaster Declaration.

DMVA provides the Preliminary Damage Assessment form to be filled out by the DOT&PF response manager (see **Section 3.2.6**). The form includes a description of the damage and the estimated emergency and permanent repair costs by FEMA category. DMVA typically sets up a meeting to review the Preliminary Damage Assessment form with DOT&PF before sending the request to the Governor and then to FEMA.

## *Presidential Major Disaster Declaration*

Based on the Governor's request, the President may declare that a major disaster or emergency exists, thus activating an array of federal programs to assist in the response and recovery effort. Not all programs, however, are activated for every disaster. The determination of which programs are activated is based on the needs found during the Preliminary Damage Assessment and any subsequent information that may be discovered.

There is potential for FEMA reimbursement under the PA Program once the President issues a Major Disaster Declaration under the Stafford Act. After the President declares a disaster (Presidential Major Disaster Declaration), DOT&PF will be notified by DMVA or the DHS&EM. Once a Presidential Major Disaster Declaration has been made, DOT&PF will begin coordinating with DMVA and FEMA on setting up projects.

## **2.2.6 Federal Funding Approval**

Once FHWA or FEMA has approved the projects for funding eligibility, the projects will follow either the FHWA or the FEMA process for funding obligation and reimbursement. **Section 3** details these funding programs and the processes required for documentation and reimbursement.

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## 3. Funding Programs Overview

This section provides an overview of federal funding programs, including the FHWA ER, FEMA PA Program, and FEMA Fire Management Assistance Grant. This section also includes an overview of other event funding sources from other state and federal agencies (see **Table 1**).

Disaster assistance projects funded through the FHWA ER Program must be located on a federal-aid highway. Disaster assistance for roads on federal land that are not federal-aid highways may be provided through the Emergency Relief for Federally Owned Roads Program. Local highway repair projects not located on federal-aid highways may qualify for disaster assistance through federal and state programs administered by FEMA.

Quick action and thorough documentation are essential when dealing with the FHWA and FEMA disaster relief programs.

Table 1. FHWA and FEMA Overview

AGENCY	PROGRAM	ROAD CLASSIFICATION <sup>1</sup>	FEDERAL COST SHARE		MINIMUM FUNDING/COST	
			EMERGENCY	PERMANENT	PER DISASTER	PER SITE
FHWA <sup>2</sup>	Emergency Relief Program	Interstate	100%	93.40%	\$700,000	\$5,000
		Non-Interstate: • Arterial • Urban Collectors • Major Rural Collectors	100%	90.97%		
FEMA <sup>3</sup>	Public Assistance Grant Program	Minor Rural Collectors	75%	75%	N/A	\$3,320
		Local Roads				

<sup>1</sup> *Statewide Functional Classification GIS Map* - <http://www.dot.alaska.gov/stwdplng/fclass/fclassmaps.shtml>

<sup>2</sup> *FHWA Emergency Relief Manual, 2013* - <https://www.fhwa.dot.gov/reports/erm/er.pdf>

<sup>3</sup> *FEMA Public Assistance Program and Policy Guide (PAPPG), V4 2020* -

[https://www.fema.gov/sites/default/files/2020-06/fema\\_public-assistance-program-and-policy-guide\\_v4\\_6-1-2020.pdf](https://www.fema.gov/sites/default/files/2020-06/fema_public-assistance-program-and-policy-guide_v4_6-1-2020.pdf)

Documentation should include photographs, field notes indicating the proposed scope of work (SOW), invoices, and timesheets that clearly indicate the location and type of work performed. See **Section 4.1** for site data collection guidance.

Accurate posting of charges to specific program and phase codes is essential in ensuring eligibility for federal reimbursement. See **Section 5.2** for financial project setup procedures.

Documentation for disaster assistance projects on both federal-aid and non-federal-aid highways must distinguish between emergency operations and regular maintenance. For more information on the differences between emergency operations and regular maintenance, see **Section 4.4**.

*The functional class of the damaged roadway should be determined early in the process to begin early coordination with the correct agency.*



## 3.1 FHWA Emergency Relief Program

The applicability of the FHWA ER program to a natural disaster is based on the extent and intensity of the disaster. Applicability of ER to a catastrophic failure due to an external cause is based on the criteria that the failure was not the result of an inherent flaw in the facility but was sudden, caused a disastrous impact on transportation services, and resulted in unusually high expenses to the highway agency. In other words, damage to highways and roadways must be severe, occur over a wide area, and result in unusually high expenses to DOT&PF.

*FHWA requires documentation via a DDIR for each site.*

- Federal-aid highways are public roads that are classified as interstates, arterials, urban collectors, and major rural collectors. Highways that are classified as minor rural collectors or local roads are not eligible for FHWA ER funding even if other federal-aid funds have been used on those roads. For example, “off system” bridges that were replaced using federal-aid funds or non-highway projects that were constructed using enhancement funds are not eligible for ER funding. [DOT&PF’s Statewide Functional Classification GIS Map](#)<sup>1</sup> identifies these routes and their designations.

### 3.1.1 References

- Office of Infrastructure, Office of Program Administration, Federal Highway Administration: [Emergency Relief Manual](#)<sup>2</sup>
- Federal Highway Administration: [Emergency Relief Website](#)<sup>3</sup>

### 3.1.2 Statutes

All FHWA ER Program assistance must comply with all applicable statutes. The statute that authorizes FHWA to provide assistance via the ER Program is the 23 United States Code (USC) 125 - Emergency Relief.

In general, an emergency fund is authorized for expenditure by the US Secretary of Transportation for the repair or reconstruction of highways, roads, and trails, in any area of the United States, including Indian reservations, that the Secretary finds have suffered serious damage as a result of:

- A natural disaster over a widespread area, such as a flood, hurricane, tsunami, earthquake, severe storm, or landslide; or
- Catastrophic failure from any external cause, such as bridge hits. Reference: [www.fhwa.dot.gov/programadmin/erelief.cfm](http://www.fhwa.dot.gov/programadmin/erelief.cfm)

For any disaster where the total estimated ER repair costs are less than the minimum thresholds, with few exceptions, FHWA will classify the repairs as heavy maintenance and will not reimburse the repair work.

### 3.1.3 Emergency Relief Funds

In 23 USC 125, Congress authorized a special program from the Highway Trust Fund for the repair or reconstruction of federal-aid highways and roads on federal lands that have suffered serious damage as a result of (1) natural disasters or (2) catastrophic failures from an external cause.

This program, commonly referred to as the Emergency Relief program, also called ER program, supplements the commitment of resources by states, their political subdivisions, or other federal agencies to help pay for unusually heavy expenses resulting from extraordinary conditions.

<sup>1</sup> <http://www.dot.alaska.gov/stwdplng/fclass/fclassmaps.shtml>

<sup>2</sup> <https://www.fhwa.dot.gov/reports/erm/er.pdf>

<sup>3</sup> <https://www.fhwa.dot.gov/programadmin/erelief.cfm>



A total of \$100 million for the ER Program is set aside from the Highway Trust Fund for nationwide coverage in any single year. Congress has periodically provided additional funds for the ER Program through supplemental appropriations.

### 3.1.4 Thresholds and Types of FHWA Emergency Repair Funding

When an emergency occurs, Regions need to determine if the emergency requires a Declaration of Emergency, which is required whenever it is necessary to utilize ER funding. See **Appendix C.15** for sample documentation of determination needed for emergency repairs.

If the event is large enough, federal ER funding will be pursued. The following event thresholds have been set by FHWA (Title 23 Code of Federal Regulations (CFR) Part 668, Subpart A):

- Minimum \$700,000 (federal share) threshold in damages per event
- Minimum \$5,000 in repair costs per site

Federal cost-share match requirements for FHWA vary by repair work type. See **Table 2**. The following federal cost-share match requirements apply by repair type:

- **Emergency Repair** – Eligible at 100 percent federal cost share if completed within the first 180 days from when the event started, based on the Governor’s Proclamation. Emergency repair work completed after the first 180 days is eligible at the normal pro rata share.
- **Incidental Repair** – Federal cost share reimbursement can vary from 90.97 percent to 100 percent. The rate of federal reimbursement will be identified on the approved DDIR.
- **Permanent Repair** – Permanent repair work is eligible at the normal pro rata share for the facility type (Interstate 93.40 percent, Non-Interstate 90.97 percent) regardless of when the work is done.

*Table 2. Federal Cost Share Reimbursement by Repair Type*

REPAIR TYPE	0–180 DAYS	AFTER 180 DAYS
Emergency Repair	100%	Interstate – 93.40% Non-Interstate – 90.97%
Incidental Repair	Varies from 90.97% to 100%	
Permanent Repair	Interstate – 93.40% Non-Interstate – 90.97%	

### 3.1.5 FHWA Emergency Repair Funding Eligibility

Normal maintenance and routine maintenance are not eligible for federal reimbursement. This work is funded out of the state-funded maintenance budget. Normal work orders, charge numbers, and coding are used to track accomplishments and costs.

Emergency maintenance work may be eligible for federal reimbursement when approved by FHWA and if the work exceeds the event and site cost thresholds. This work is initially funded out of the DOT&PF budget and later reimbursed with federal funds. Cost collectors (generally in the form of a DRER IRIS program number) are established to ensure that DOT&PF properly accounts for and documents expenditures. Some event and site eligibility considerations and definitions are listed in **Table 3**.



Table 3. FHWA Event and Site Eligibility Considerations

DEFINITION/CONSIDERATION FOR AN EVENT	DEFINITION/CONSIDERATION FOR A SITE
Damage must be widespread or catastrophic damage/failure	Damage must be directly attributable to eligible event Damage must be more than heavy maintenance
Collection of damaged sites	Highways must be part of federal-aid system
Requires either a Governor's Proclamation or President's Major Disaster Declaration. Either should include the nature of the event, area affected, and dates the damage occurred.	Repair cost \$5,000 per site (minimum) Rural minor collectors and local roads are not eligible Restore to pre-disaster condition

There are three types of repair work to consider when requesting federal ER funding:



**Emergency Repair** – Work necessary to stabilize the situation and restore essential traffic, minimize the extent of damage, or protect the remaining facilities. This work typically requires minimal preliminary engineering, geotechnical studies, structural analysis, or environmental review. These repairs are usually within the capabilities of the state and local maintenance forces, and most will be performed on a force account or an emergency contract basis.



The focus of the initial response is to assess the site and stabilize the situation using one or more of the following steps:

- Close the roadway and establish traffic control; and/or
- Clean up the roadway and debris and perform the temporary/emergency repairs necessary to open the facility to the traveling public.



**Incidental Repair Work** – Work completed incidental to the temporary/emergency repair work. This work is not necessary to restore essential traffic, minimize the extent of damage, or protect the remaining facilities; however, this work may be eligible for federal participation at the normal pro rata share for the facility type. Like temporary/emergency work, this work typically requires minimal preliminary engineering, geotechnical studies, structural analysis, or environmental review. This work is usually within the capabilities of the state and local maintenance forces, and most will be performed on a force account or an emergency contract basis.



**Permanent Repair Work** – Work performed as part of the permanent restoration to return the infrastructure to pre-disaster condition. Permanent restoration shall be administered using normal federal-aid procedures outlined in Chapter 4 of the *Alaska Highway Preconstruction Manual* (HPCM) for project delivery which includes written authorization, National Environmental Policy Act (NEPA) clearance, design approval, permits, ROW certification, Plans, Specifications, and Estimate (PS&E) packages, procurement, and other project-specific requirements. Construction should follow the process for inspecting and administering the project outlined in the *Alaska Construction Manual*.



Betterments are added protective features or changes that modify the function or character of a highway facility from what existed prior to the disaster or catastrophic failure. Betterments can include rebuilding of roadways at a higher elevation, lengthening of bridges, and building additional lanes or added access control. Betterments must be clearly economically justified to receive ER funding. Betterments almost always have a higher initial cost, so the justification must be based on sufficiently reducing future ER-eligible damage. Area improvements typically fall into the betterments category of work; proper justification documentation for betterments must be approved by FHWA. Funding for this work may not be needed immediately (especially construction funding).

## 3.1.6 FHWA Emergency Relief Funding Process and Documentation

The goal of the process and documentation is to ensure that emergency repair costs are accurately accounted for while ensuring that staff have charge codes in a timely manner. This guidance is in no way intended to stop required emergency work or to supersede applicable federal or state regulations. The following is a brief summary of the standard procedures followed to coordinate with the appropriate parties and fund an ER Program site.

Collecting detailed site data from day one, hour one of a disaster is essential to easily creating FHWA documentation packages. See **Section 4.1** for more on data collection.

### Detailed Damage Inspection Report

DDIRs are used to prepare the comprehensive scope of work and the full estimated costs of the repair at each damage site. DDIRs are usually submitted after FHWA has made a finding of ER eligibility. Damage sites located close to each other may be grouped into one DDIR.

FHWA utilizes the Mobile Solution for Assessment and Reporting (MSAR) application to collect and report post-disaster transportation information. This application uploads the information to <https://dot-msar.force.com/>. DDIRs can also be created and revised directly through the MSAR site. The DDIR includes information on eligible emergency and permanent repairs.

Regions should maintain enough licenses to start emergency response after an event. FHWA offers one-time use licenses that are available for 24 hours to allow rapid response during an event (2021 cost is \$75). DOT&PF has a limited number of MSAR licenses to access FHWA's site during the longer-term recovery phase (2021 cost is \$180). The M&O Manager or their delegate should coordinate with Procurement to purchase additional licenses. License users should coordinate with DOT&PF's Office of Information Technology to ensure that MSAR is not blocked from the user's computer. Annual renewal of the licenses may be necessary at the end of the fiscal year.

Generally speaking, items to include in the DDIR package include:

- Project information
- Description and cause of damage
- SOW (emergency and/or permanent repairs)
- Cost estimates (construction costs, construction engineering, preliminary engineering, and ROW and utility costs)
- Vicinity map
- Relevant local data (weather, news articles, and maps)
- Photos

Details and step-by-step instructions on how to fill out a DDIR can be found in **Appendix A.3**.

Once the DDIR is entered into the MSAR site, the M&O Manager will review and approve, and the DDIR will be sent to the FHWA Regional Coordinator for review and approval. Once the DDIR is approved by the FHWA Regional Coordinator, the DDIR will have an "Active Eligible" status.

If the work outlined in the DDIR changes in scope or costs increase by more than 10 percent of the initial cost estimate, a DDIR Revision is needed. The M&O Manager or their delegate will reject the Active Eligible DDIR in MSAR for revision. The status of the DDIR will be "Pending Revision" until the DDIR is resubmitted and approved by FHWA. Once submitted to FHWA, it will be in "Pending" status until approved by FHWA, when it will again become "Active Eligible."

*DDIRs are best submitted on a rolling basis as they are completed.*

*A small group of well-trained MSAR users helps ensure consistent and high quality DDIR data entry.*



Steps for completing a DDIR Revision include:

- Update the scope of work, including attaching an updated cost estimate and updating the construction bid items and engineering costs listed in the DDIR.
- Attach any additional information or documentation (e.g., geotechnical report, weather information) that justifies the change in the scope of work.
- Add maintenance records if applicable (e.g., roadway was patched and stabilized repeatedly and now it is severely damaged).
- Send additional photos to demonstrate the reason for the change.

Substantive and frequent communication between DOT&PF and FHWA is vital and can create efficiencies on both sides. Developing communication standards such as listing disaster number, site number, and route/facility name in the subject line of all email messages is recommended. Matters of uncertainty, such as site eligibility, should always be discussed with FHWA.

Coordinate with FHWA on the routine process for when to review and update DDIRs. Potential milestones to add to updates include ATP requests or when contractor bids are opened.

### 3.1.7 FHWA Timelines

FHWA timelines, including actions and responsible parties/points of contact, are summarized in **Table 4**.

Table 4. FHWA Timelines

ACTION	OFFICE OF RESPONSIBILITY / POINT OF CONTACT	TIMELINE
Start Governor’s Proclamation	DOT&PF’s Liaison with DMVA DHS&EM Incident Command Center	As soon as necessary
Letter of Intent	Region	As soon as it is clear there is eligible damage Beginning date of ER eligibility
Letter of Acknowledgement	FHWA	Within weeks of LOI (no set timeline)
DDIRs submitted	Region	Within 2 years of LOI
100% reimbursable window for emergency/temporary repairs	Region	First 180 days (time extensions are allowed)
Funding pro-rata share window	Region	After first 180 days
All sites are identified	Region	Within 2 years of LOI (time extensions are allowed)

The date identified in the Governor’s Proclamation is used as the start of the timeline for FHWA ER funding. Time extensions can be submitted to FHWA. Justification for such delay and request for time extension must be submitted to the FHWA Division Administrator for approval. FHWA may accept an additional 60-day time extension for emergency repairs, increasing the first 180-day window to 240 days. For permanent repairs and construction, time extensions are granted as defined in the HPCM and federal-aid agreements.

DOT&PF must submit an application that includes a comprehensive list of all eligible project sites and repair costs no later than 2 years after a natural disaster or catastrophic failure. Any project sites that are not identified in this application will not be eligible for FHWA ER Program funding.

## 3.2 FEMA Public Assistance Program

The mission of FEMA's PA Program is to provide assistance to state, Tribal, and local governments and to certain types of private non-profit organizations so that communities can quickly respond to and recover from major disasters or emergencies that have been declared by the President.

Through the PA Program, FEMA provides supplemental federal disaster grant assistance for debris removal, emergency protective measures, and the repair, replacement, or restoration of disaster-damaged publicly owned facilities and the facilities of certain private non-profit organizations. The PA Program also encourages protection of these damaged facilities from future events by providing assistance for hazard mitigation measures during the recovery process.

Under the Stafford Act, there are two types of declarations that can be made that provide public assistance funding:

- **Emergency Declaration** – An Emergency Declaration can be declared for any occasion or instance when the President determines that federal assistance is needed. Emergency Declarations supplement state and local efforts in providing emergency services, including Categories A and B eligible services. Permanent Work (Categories C through G) is not eligible under an emergency declaration. The total amount of assistance provided for a single emergency may not exceed \$5 million.
- **Major Disaster Declaration** – The President can declare a Major Disaster Declaration for any natural event, including storm, tsunami, earthquake, volcanic eruption, landslide, mudslide, snowstorm, or drought, or, regardless of cause, fire, flood, or explosion, that the President believes has caused damage of such severity that it is beyond the combined capabilities of state and local governments to respond. A Major Disaster Declaration provides a wide range of federal assistance programs for individuals and public infrastructure, including funds for both emergency and permanent work.

*The deadline for FEMA Emergency Work is 6 months from the declaration date. The deadline for Permanent Work is 18 months from the declaration date.*

The information listed in this guidance document is tailored towards projects receiving public assistance as a result of a Major Disaster Declaration.

### 3.2.1 References

[FEMA Public Assistance Program and Policy Guide \(PAPPG\), V4 2020](#)<sup>4</sup> FEMA funding limits and this document are updated every few years. During an emergency, check with FEMA for current information.

### 3.2.2 Statutes

All PA Program assistance must comply with all applicable statutes. The statute that authorizes FEMA to provide assistance via the PA Program is the Stafford Act.

**Reference:** <https://www.fema.gov/media-library/assets/documents/111781>

<sup>4</sup> [https://www.fema.gov/sites/default/files/2020-06/fema\\_public-assistance-program-and-policy-guide\\_v4\\_6-1-2020.pdf](https://www.fema.gov/sites/default/files/2020-06/fema_public-assistance-program-and-policy-guide_v4_6-1-2020.pdf)



## 3.2.3 Funding a FEMA Public Assistance Project

FEMA provides grant funding for:

- Emergency protective measures and debris removal (Emergency Work)
- Permanent restoration of damaged facilities, including cost-effective hazard mitigation to protect the facilities from future damage (Permanent Work)

There are two sizes of projects, each with different reporting and closeout requirements:

- **Small Project** – Less than \$132,800 but greater than \$3,320
- **Large Project** – Greater than \$132,800

These dollar figures are for Federal Fiscal Year (FFY) 21 and are updated annually. Project thresholds can be found here: [FEMA Per Capita Impact Indicator and Project Thresholds](#).<sup>5</sup> FEMA will reimburse eligible funds at 75 percent. The DMVA will typically match the non-federal funds at 25 percent of the approved project's eligible funds. Verification with DMVA should be made early regarding the state's match.

In Alaska, DMVA is the Recipient of all FEMA funds for all agencies requesting public assistance funds. DOT&PF is a Subrecipient to DMVA. DMVA will receive the funds from FEMA directly and reimburse DOT&PF. For more information on the FEMA PA Program in Alaska, visit the [Alaska DHS&EM website](#).<sup>6</sup>

### **FEMA Project Formulation**

DOT&PF will work with FEMA's Program Delivery Manager (PDMG) and DMVA to gather supporting documentation to develop the project worksheet (PW) for the disaster. As a best practice, a separate PW will be compiled for each impacted location and, when appropriate, for separate categories of work (e.g., separate PWs for Category A and Category C projects in a single location). See **Section 3.2.4** for definitions of FEMA project categories.

### **Small Projects**

Once FEMA obligates a Small Project, FEMA does not adjust the approved amount of an individual Small Project. This applies even when FEMA obligates the PW based on an estimate and actual costs for completing the eligible SOW differ from the estimated amount. FEMA will pay the approved amount for a Small Project whether actual costs are higher or lower than the approved amount. DMVA must submit the certification of completion of all Small Projects to FEMA within 180 days from the date that DOT&PF completes its last Small Project. Once FEMA receives the DMVA certification, FEMA closes all of the DOT&PF Small Projects.

### **Large Projects**

The final eligible amount for a Large Project is the actual documented cost of the completed, eligible SOW. Therefore, upon completion of each Large Project that FEMA obligated based on an estimated amount, DOT&PF should provide the documentation to support the actual costs. If the actual costs differ significantly from the estimated amount, DOT&PF should provide an explanation for the significant difference. The DMVA must certify that all incurred costs are associated with the approved SOW and that DOT&PF completed all work in accordance with FEMA regulations and policies. The DMVA must submit its certification of DOT&PF's completion of each Large Project with the final payment of claim and supporting documentation to FEMA within 180 days from the date that the Subrecipient completes each Large Project. FEMA reviews the documentation and, if necessary, obligates additional funds or reduces funding based on actual costs to complete the eligible SOW. See **Appendix C.12** for a reversioning request memorandum.

### **Alternate Projects**

In certain cases, if it is determined that the public welfare would not be best served by restoring a damaged facility or its function to its pre-disaster condition, DOT&PF may request DMVA approval for FEMA Public

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<sup>5</sup> <https://www.fema.gov/assistance/public/applicants/per-capita-impact-indicator>

<sup>6</sup> <https://ready.alaska.gov/Recovery/PublicAssistance>

Assistance funding for an alternate project. Alternate projects are capped at the total cost of the original project, which is agreed upon and approved by FEMA. See **Appendix C.10** for an example Alternate Project proposal to DMVA.

Potential alternate projects include the following:

- Purchase capital equipment that has a useful life of at least 1 year and is equal to or greater than \$5,000 per unit
- Demolish facilities
- Repair, expand, mitigate, or construct a facility that would not otherwise be an eligible facility under the PA Program

If the SOW to restore a facility includes PA mitigation and the DMVA elects to proceed with an Alternate Project, FEMA does not include costs related to the PA mitigation in the capped amount for the Alternate Project.

## Improved Project

DOT&PF may wish to make improvements to a damaged facility that are not required by eligible codes or standards. A project that restores the pre-disaster function of a facility and incorporates improvements or changes to the pre-disaster design is an Improved Project.

## 3.2.4 FEMA Public Assistance Considerations

### Categories of Work

To facilitate the processing of PA funding, FEMA separates Emergency Work into two categories and Permanent Work into five categories based on general types of facilities.

Categories of work are detailed below. Categories A, B, C, D, E, and Z are the types most typically claimed by DOT&PF.

### Emergency Work

#### Category A – Debris Removal

All debris removal falls under FEMA Category A. Note: As soon as there is a Presidential Major Disaster Declaration, debris removal is eligible under FEMA, not FHWA.

For debris removal, DOT&PF must demonstrate that the debris causing an immediate threat was generated during the declared incident period and directly by the declared incident. See **Appendix B.2** for a checklist of FEMA Category A work.

#### Category B – Emergency Protective Measures

Measures taken before, during, and after a disaster to eliminate/reduce an immediate threat to life, public health, or safety, or to eliminate/reduce an immediate threat of significant damage to improved public and private property through cost-effective measures. See **Appendix B.3** for a checklist of FEMA Category B work.

### Permanent Work

See **Appendix B.4** for a checklist of FEMA Categories C–G work.

#### Category C – Roads and Bridges

Eligible Facilities: Minor rural collector and local roads and bridges unless restoration is under the specific authority of another federal agency. Roads owned by a Tribal Government may be eligible even if they are not open to the general public.

#### EMERGENCY WORK

#### ADDRESS AN IMMEDIATE THREAT:

- A Debris removal
- B Emergency protective measures

#### PERMANENT WORK

#### RESTORATION OF:

- C Roads/bridges
- D Water control facilities
- E Buildings/equipment
- F Utilities
- G Parks, recreational, and other facilities



Not Eligible: Roads and bridges under the specific authority of another federal agency, such as the FHWA; private roads, including homeowners' association roads.

## **Category D – Water Control**

Eligible Facilities: Water control facilities, including dams, reservoirs, levees, floodwalls, lined and unlined engineered drainage channels, canals, aqueducts, sediment and debris basins, storm water retention and detention basins, coastal shoreline protective devices, irrigation facilities, pumping facilities, navigational waterways, and shipping channels.

Not Eligible: Flood control works under the authority of the U.S. Army Corps of Engineers (USACE) or Natural Resources Conservation Service.

## **Category E – Buildings and Equipment**

Eligible Facilities: DOT&PF-owned and maintained buildings and equipment, including construction equipment and vehicles.

## **Category F – Utilities**

Eligible Facilities: Drinking water, power, natural gas, sewage, and communications distribution systems and facilities.

## **Category G – Park, Recreational, and Other Facilities**

Eligible Facilities: Railways, beaches, parks, playground equipment, piers, boat docks, ports and harbors, recreational facility grass and sod, and some plantings.

Not Eligible: Unimproved natural features, long-term monitoring of vegetative growth, and some plantings.

## **Sites with Emergency and Permanent Repairs**

Depending on the damage, you could have a site that has both Category B emergency work and Category C permanent work. This happens especially in cases of paving in cold weather, limited available materials, or similar situations. Experience has found that permanent Category C roadway construction usually comes years after the event. So, if something is damaged now, get it fixed now well enough to potentially last through another winter season before it can be permanently fixed.

## **Category Z – Grant Management Costs (Formerly Direct Administrative Costs/DAC)**

See **Appendix B.5** for a checklist of FEMA Category Z work.

### **3.2.5 Minimum Work Eligibility Criteria**

At a minimum, work must meet the following three general criteria to be eligible:

- Be required as a result of the declared incident;
- Be located within the designated area, with the exception of sheltering and evacuation activities; and
- Be the legal responsibility of an eligible Applicant (i.e., DOT&PF).

### **Result of Declared Incident**

For temporary repairs and permanent work, DOT&PF must demonstrate that damage was caused directly by the declared incident. FEMA does not provide PA funding for repair of damage caused by:

- Deterioration
- Deferred maintenance
- Failure by DOT&PF to take measures to protect a facility from further damage



## Eligibility Criteria Based on Type of Employee and Work Performed

FEMA’s criteria for reimbursing straight-time labor costs differ depending on the type of employee and whether that employee is performing emergency work or permanent work.

State of Alaska regular labor hours are considered “straight-time.” Overtime (OT) labor hours vary by bargaining unit and can be found in the bargaining unit agreements. Review the current contracts for more details. For most bargaining units, overtime hours are hours in excess of 9 hours per day and/or 40 hours per week. For the General Government Bargaining Unit, overtime hours are hours in excess of 7.5 hours per day and/or 37.5 hours per week. For all other aspects of overtime law, Alaska follows the federal Fair Labor Standards Act.

*Best Practice: Use timesheets to track employee labor costs. Back up timesheet data with IRIS, then review and divide time into straight and overtime.*

DOT&PF can request participation in the Alternative Procedures Pilot Program for Debris Removal for reimbursement of both straight and OT force account labor for performing or administering debris removal. Participation in this program should be discussed with DMVA and FEMA at the Recovery Scoping Meeting.

For Emergency Work, only OT labor is eligible for budgeted employees. For unbudgeted employees performing Emergency Work, both straight-time and OT labor are eligible. Eligibility for emergency work labor for both budgeted and unbudgeted employee hours can be found in **Table 5**. For Permanent Work, both straight-time and OT labor costs are eligible for both budgeted and unbudgeted employees.

*Table 5. Emergency Work Labor Eligibility*

BUDGETED EMPLOYEE HOURS	OVERTIME	STRAIGHT-TIME
Permanent employee	★	
Part-time or seasonal employee working during normal hours or season of employment	★	
UNBUDGETED EMPLOYEE HOURS	OVERTIME	STRAIGHT-TIME
Reassigned employee funded from external source	★	★
Essential employee called back from furlough	★	★
Temporary employee hired to perform eligible work	★	★
Part-time or seasonal employee working outside normal hours or season of employment	★	★

*Source: FEMA PAPP, V4 2020, pg 70*

### 3.2.6 FEMA Public Assistance Delivery Model

Once a Presidential Major Disaster Declaration has been made, DOT&PF will work with an appointed FEMA PDMG and DMVA to determine eligible projects based on the information available. This includes formulating incident-related damage and work into projects (i.e., subawards) based on logical groupings of the damage and work. FEMA uses the PW to formulate the project.

FEMA uses the PW to document details of DOT&PF’s project, including a detailed description of the disaster-related damage and dimensions and the associated SOW and costs. If the project involves multiple locations, FEMA may use site sheets to differentiate damage, work, and costs by site within the PW.

FEMA utilizes a two-part online platform (Grants Manager and Grants Portal) to formulate and track award packages for the PA Program. Grants Manager is the internal platform used by FEMA specialists, while the Grants Portal is the external platform used by Applicants, Recipients, and Subrecipients to manage their projects.



Applicants can use the Grants Portal to:

- Register for and update an applicant profile
- Submit a Request for Public Assistance
- Create a project worksheet
- Upload project documentation

There are seven phases of the FEMA Public Assistance Delivery Model. They are detailed in the following sections. The progression of elements of the phases are also shown in **Figure 3**. See **Section 5** for DOT&PF procedures.

## ***Phase 1. Operational Planning***

DOT&PF will work with DMVA to identify disaster impacts and recovery priorities. As soon as possible following the President's Major Disaster Declaration, the DMVA will conduct briefings for all potential Applicants. DOT&PF, usually the M&O Manager, will coordinate with DMVA to create a user account to access to the Grants Portal. DOT&PF will submit a Request for Public Assistance through Grants Portal to DMVA, with M&O serving as the signature authority. The submission is then reviewed by DMVA for FEMA eligibility. DMVA will seek concurrence with FEMA. Once complete, FEMA will generally assign a PDMG to guide DOT&PF throughout the program delivery process. The PDMG will schedule an Exploratory Call and a Recovery Scoping Meeting to provide DOT&PF with information about next steps.

## ***Phase 2. Impacts and Eligibility***

DOT&PF must report all disaster-related impacts to FEMA within 60 days of the Recovery Scoping Meeting. FEMA then works with DOT&PF to finalize the list of impacts; logically group the impacts and associated damage and work them into project applications; conduct site inspections to develop a detailed description of the incident-related damage and dimensions; and collect additional project information and documentation.

## ***Phase 3. Scoping and Costing***

FEMA develops the DDD for completed/fully documented projects, SOW (if not provided by DOT&PF) including hazard mitigation plans, and costs for each project. This phase often includes a field review with FEMA. FEMA reviews and validates all documentation to ensure document integrity and compliance with all laws and regulations, including for duplication-of-benefits from insurance or other federal agencies and Environmental Planning and Historic Preservation (EHP) compliance.

## ***Phase 4. Final Reviews***

FEMA and DMVA review and validate the project application. The M&O Manager reviews all terms and conditions that FEMA or DMVA include in the project application and signs in agreement to the funding terms, including requirements for reporting on project work progress and completion.

*The Department may chose to pursue reversioning a project during Phase 4 if the Department's proposed repair and FEMA's SOW are significantly different. This process may be used to increase confidence in reimbursement of costs prior to advertisement.*

## ***Phase 5. Obligation and Recovery Transition***

FEMA obligates funds to DMVA, after which DMVA is responsible for distributing the funds to DOT&PF. Once the M&O Manager has signed all of its projects, FEMA coordinates with DMVA to schedule a Recovery Transition Meeting. The purpose of the Recovery Transition Meeting is to transition the primary point of contact from FEMA field personnel to DMVA. At the meeting, FEMA will confirm with DOT&PF that all claimed damage is sufficiently and accurately documented, explain deadlines for completion of work and appeal, and ensure that DOT&PF understands the terms and conditions of its projects.

## **Phase 6. Post-Award Monitoring and Amendments**

DOT&PF provides additional documentation as its recovery efforts unfold through design and construction. DOT&PF will answer a standard series of questions under the Essential Elements of Information (EEI) tab in Grants Portal and upload the relevant documentation requested for the EEI. DOT&PF may submit an amendment request to change the SOW or costs of a project, referred to as “reversioning” the project. DOT&PF may also request additional time to complete the project. Projects are typically reversioned at the end of the design phase ahead of construction once the quantities and scope have been finalized through design. The projects are reversioned when there is a major change in scope or cost during design or construction. FEMA will review all amendment and time extension requests for eligibility and compliance with EHP regulations. During this phase, DMVA will work with DOT&PF to submit quarterly progress reporting and address federal and non-federal audit requests.

## **Phase 7. Final Reconciliation and Closeout**

DOT&PF coordinates with DMVA to formally close projects upon completion of work. A final inspection of the completed construction may be completed by FEMA and DOT&PF. DOT&PF will submit the reimbursement request to DMVA. DMVA will open a Reimbursable Services Agreement (RSA) to transfer the funds they received from FEMA to DOT&PF. Once all projects are complete and reimbursed, DMVA will request closeout to FEMA for DOT&PF.

### **3.2.7 Supporting Documentation and Reporting**

DOT&PF is responsible for gathering supplemental documentation for each eligible PW. Each PW requires supporting documentation that matches the cost information provided on the Alaska Data Enterprise Reporting (ALDER) reports generated from IRIS. Requirements for supporting documentation for each PW include the following:

- Finalized timesheets for all personnel regular and OT hours, broken out by project/site. Note: For Category A Debris removal, both regular and OT labor hours may be eligible for reimbursement. For all other categories, only OT labor hours are eligible.
- Fringe benefit rates for all personnel.
- Equipment hours by equipment code. Hours will be reimbursed based on approved Fixed Utilization Rates (FUR) for the fiscal year in which the work took place.
- Maintenance Management System (MMS) reports that list crew time, equipment, and materials. Equipment hours must match labor hours for the specific employee assigned to that equipment.
- Before and after photographs (include a physical description with photos to include Milepost and/or latitude/longitude).
- For debris removal only:
  - » Type of debris
  - » Amount of debris (in cubic yards)
  - » Location of debris
  - » Location and means of disposal (e.g., chipped at pit site)

*Equipment rates are more expensive in Alaska than other locations. DOT&PF will likely need to submit a justification memo to get FUR rates accepted by FEMA. See Appendix C.13 for a sample justification memo.*



## FEMA Quarterly Progress Report

The FEMA Quarterly Progress Report is a tool for FEMA and the Recipient to track the progress of obligated projects. FEMA requires the Recipient (generally DMVA is the point of contact for this action) to report on the status of all open obligated projects on a quarterly basis.

Recipients need to submit Quarterly Progress Reports to FEMA no later than 30 days after the end of each fiscal quarter. To process the Quarterly Reports in a timely fashion, DOT&PF needs to submit the Quarterly Progress Reports to DMVA no later than 15 days after the end of each quarter.

The Recipient must report the status of each open obligated project by providing the following:

- Key milestones and dates
- Expected delays or identified problems
- Total funds awarded for project
- Total funds expended to date
- Anticipated cost overruns
- Projected project completion date
- Time extensions granted

### 3.2.8 FEMA Timelines

The President’s Major Disaster Declaration designates the incident period. The incident period is the span of time during which the federally declared incident occurs. This period varies in length, depending on the incident. FEMA timelines, including actions and responsible parties/points of contact, are summarized in **Table 6**.

Table 6. FEMA Timelines

ACTION	OFFICE OF RESPONSIBILITY / POINT OF CONTACT	TIMELINE
President’s Major Disaster Declaration	Federal Government	Varies
Recovery Scoping Meeting	FEMA and Region	Within 21 working days of assigning a PDMG
Emergency Work	Region	Within 6 months of declaration date
Permanent Work	Region	Within 18 months of declaration date

Time extensions can be filed through DMVA. See **Appendix C.9** for an example of a DMVA time extension request.

## 3.3 Other Event Funding Sources

Besides FHWA and FEMA, event funding can also come from various local, state, and federal sources. Some projects are not eligible for FHWA ER funding, including projects scheduled to be funded with Statewide Transportation Improvement Program (STIP) funding and Tribal Transportation Facilities (TTF).

### 3.3.1 Indirect Costs

Costs that are not allocable to a specific project are considered indirect costs that may be eligible for ER funding. The indirect costs include a general overall assessment of damage, administration, overhead, general supervision, contract administration other than construction engineering, and project planning and scheduling.



FEMA projects do not get charged an Indirect Cost Allocation Plan (ICAP) rate.

## 3.3.2 Indirect Cost for Emergency Repairs

FHWA will ask for documentation to support the collection of a disaster ICAP, including event narrative, cost allocation methodology, and apportionment of costs across the emergency repair projects. See **Appendix C.14** for DOT&PF Narrative Cost Allocation Methodology.



Regions should work closely with the Administrative Services Division and Grants and Programs when working on FHWA emergency repair projects.

## 3.3.3 Indirect Costs for Permanent Repairs

DOT&PF uses a federally approved indirect cost rate when billing FHWA for eligible ER costs. This cost rate is applied by IRIS to all eligible costs charged against the permanent repair.

## 3.3.4 Department of Natural Resources Fire Support

DOT&PF personnel may be requested by the Department of Natural Resources (DNR), Division of Forestry (Forestry), to assist in ground operations during a fire. The request must be made through the DOT&PF Division Chief prior to any employee accepting an assignment or agreeing to use Division resources on a fire operation. Employees may not take leave from their regular state job to work for DNR.

An employee may work outside of duties hours for DNR; however, work performed during duty hours or after duty hours requires an RSA to be in place. Annual RSAs are normally set in place for DOT&PF prior to spring of each fiscal year. See **Appendix C.16** for an example of an RSA between M&O and DNR Forestry.

If a contractor of DOT&PF is requested to assist, they must receive a resource order from Forestry in order to get reimbursed for their time/expenses. It is up to them to work with DNR on proper billing.

Incident Payroll Policy and Procedures:

- For regular state employees, a signed Form OF-288 (generated by Forestry upon release from the incident) is the mandatory backup for all assignments and must be turned in with the regular state timesheet. This is required to meet State and Federal guidelines.
- In the event of OF-288 not generated by the Requesting Agency, Crew Time Reports (CTR) signed by the incident supervisor are acceptable. For in-area assignments, CTRs are the mandatory backup for any time worked on fires, including those working in support capacities, and must be turned in with the regular Time & Equipment timesheet.
- ALL TIME MUST MATCH between the regular timesheet and the OF-288 or CTRs. This is the only way Forestry can determine the correct fire to bill to as well as the appropriate charges.

Equipment Policy and Procedures:

- Equipment used on an incident must be a resource or resources ordered by Forestry prior to assignment. It may be ordered as a piece of equipment (E#) with the operator(s) listed, or it may be documented on a personal resource order (O#) if needed by the position they are filling.
- The mandatory backup for an E# is a shift ticket signed by the equipment operator and the incident supervisor. The operator name should be legibly written on the shift ticket to match what is billed.

To facilitate timely approval of payment, as well as required backup to code change documents (including CH5 personnel and CH8 expense forms), the following is required:

- Copy of the resource order for equipment
- Original completed and signed employee timesheet
- Certified timesheet
- Completed and signed OF-288 and/or CTRs



- Detailed payroll billing report to include the name of the employee, hours worked, and coding of billed hours
- Completed and signed shift tickets (filled out by the employee and signed by the incident supervisor)

Employees and supervisors must ensure that they receive and properly fill out the forms provided by Incident Command in the [2019 Alaska Incident Business Management Handbook](#).<sup>7</sup>

### 3.3.5 Other Federal Agencies

There are federal ER funding opportunities offered by US Department of Transportation administrations, including the Federal Transit Administration (FTA). Each calendar year, they create an Emergency Relief Docket that can be activated by their administrators in case of an emergency event or situation.

FTA's ER program enables FTA to provide assistance to public transit operators in the aftermath of an emergency or major disaster. The program helps states and public transportation systems pay for protecting, repairing, and/or replacing equipment and facilities that may suffer or have suffered serious damage as a result of an emergency, including natural disasters. There is no permanent or annual appropriation to date, and supplemental appropriations are released specific to major disasters.

### 3.3.6 Statewide Transportation Improvement Program

Permanent repair or replacement of infrastructure scheduled for replacement with other funds and damaged during a disaster is not eligible for ER funds and should be funded as originally intended. The ER funds may participate in emergency repairs to restore essential traffic in such cases. A project is considered scheduled if the construction phase of a replacement structure is included in the FHWA approved STIP at the time of the event. Scope of work beyond the scope in the STIP-scheduled project may be eligible for ER funds. As used in this section, the term "construction phase" refers to the physical construction separate from any other identified phases in the STIP such as planning, design, and ROW phases. It is best to work with FHWA if this situation arises.

### 3.3.7 Emergency Relief for Tribal Transportation Facilities

Federally recognized tribes may access other sources of funding for TTF and certain classes of roads within or near tribal communities. In these situations, tribes may want to participate in repairs using force account. This will need to be coordinated on a case-by-case basis evaluating sovereign immunity, memorandums of agreement, and reimbursement using the 202(a)(9) federal transfer process.

Both emergency and permanent repair of a TTF facility can be reimbursed up to 100 percent. To ensure that a TTF is eligible, verify that the facility is registered with the Bureau of Indian Affairs. DOT&PF has a blanket approval for federally recognized tribes to include state DOT&PF infrastructure in a Tribe's Transportation Inventory.

To access federal ER funds for tribal transportation facilities, consult with DOT&PF's tribal liaison, FHWA, or DMVA/FEMA and appropriate tribal transportation partners as needed.

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<sup>7</sup> <http://forestry.alaska.gov/Assets/pdfs/fire/aibmh/2019/v2/COMPLETE.pdf>

## 4. DOT&PF Funding and Project Considerations

### 4.1 Site Data Collection



Detailed data collection from the beginning of a disaster is essential to support full federal reimbursement. In many disasters, M&O field staff are too busy responding to collect site data. In those cases, construction or other staff are deployed to assist in site data collection. The incident command system designates a person to collect and maintain detailed data logs.

Some disaster responses have used GIS applications deployed on devices in the field to collect accurate and adequate site data. In past disaster events in Alaska, Esri ArcGIS Field Maps (formerly Collector) and Survey123 applications have been used to collect photos, GPS locations, and initial damage descriptions.

The use of GIS-based applications helps collect consistent data efficiently and organize it in one centralized place. It also allows management and staff not deployed to the damage areas to monitor the site data collection in real time. It is critical to utilize applications with offline capabilities due to the likelihood of remote damage site locations and the potential for communications to be compromised during a disaster. Staff can upload data once an internet or mobile connection is available.

Consider coordination with M&O to deploy data collection guidance and systems as quickly as possible to ensure complete data collection early in the disaster life cycle.

Printed maps can be helpful when communications are down and when staff is working in remote locations with limited access to electronic files and maps.

See **Appendix A.1** on the importance of emergency response documentation.

See **Appendix C.5** for the Damage Site Inspection report form.

**Appendix C.6** and the FOG contain data tracking sheets and minute-to-minute logs (Rapid Assessment Form) to support DDIRs.

### 4.2 Project Grouping

Once sites are identified and the event meets funding thresholds, sites are often grouped together into individual emergency and permanent repair projects. Some key things to consider when grouping projects include:

- **Geographical proximity** – Projects can be grouped by road or by borough.
- **Overall size of project** – It is important to consider the overall size of the project to allow contractors of different sizes the ability to bid the work. It is also important to consider the amount of documentation needed to support a project. If projects are too big, the paperwork becomes difficult to review. If projects are too small, the administrative and management costs and effort increase to put out several of them.
- **Type of work** – Consider breaking specific damages out into their own separate projects, like a bridge project or a culvert repair project. This allows one contractor to do the same type of work across a larger geographical area.
- **Critical path items** – Consider breaking out projects with similar critical path items such as environmental permits and ROW impacts. These projects may need to be bid in a future construction season, so grouping them separately from other similar work allows the other work to progress sooner.
- **Funding source** - A good practice is to keep projects separate by funding source (FHWA and FEMA) and not combine them into the same construction project for advertisement.

See **Section 5.2.1** for project naming conventions.





## 4.3 Changes to Funding Source and Status

Changes to funding source and status can trigger different contractual, environmental, and site documentation requirements. Such changes can include switching from state to federal funds, between FEMA and FHWA, and between temporary and emergency work.

In the case that a project is determined eligible under a different federal program than originally assumed, it is important to coordinate and document the change to the funding source with both funding partners. This may happen based on road classification or if other previously unavailable federal grants become available.

As the emergency and permanent work progresses, it is likely that some sites will be determined to be ineligible for federal emergency funding based on a variety of factors. Sites may be deemed ineligible due to not meeting the minimum cost thresholds by FEMA and FHWA. Other sites may be deemed ineligible due to preexisting damage not related to the disaster event. It is important to document the ineligible sites and why they are removed from the program. See **Appendix C.11** for sample ineligibility documentation. At a minimum, the documentation should include photographs of the site and a narrative of why the site was removed from the program.

## 4.4 Maintenance and Operations



There are three types of maintenance: routine maintenance using state funds, preventive maintenance using federal funding, and emergency maintenance.

### 4.4.1 Routine Maintenance

Routine maintenance is not eligible for federal-aid funding. During an emergency, routine maintenance performed at higher than normal intensity levels or frequencies might merit emergency funding.

### 4.4.2 Preventative Maintenance

Preventive maintenance (PM) is a cost-effective means of extending the useful life of Alaska's highways. PM is a proactive approach to maintaining highway facilities while they are still in relatively good condition. PM performed before the onset of serious damage delays or eliminates the need for major rehabilitation or reconstruction. It is routinely performed on a scheduled basis using non-emergency funding and is intended to maintain the highway facility/element so that it substantially retains its original intended use and function. PM work items that are routinely eligible for federal-aid funding as PM are listed in Chapter 11 of the HPCM.

### 4.4.3 Emergency Maintenance

Emergency maintenance includes work activities that are the same or similar to normal maintenance activities except that they are greater in magnitude and scope depending upon the nature and intensity of the emergency. This work is not budgeted and/or scheduled and is not done on a routine basis. This includes work accomplished on a damaged highway facility/element that has substantially retained the intended functionality of its original design. It does not include construction of new roadway elements. Typically, this work is accomplished using force account labor, equipment, and materials, and documentation of hours and site conditions before and after work is important for reimbursement. M&O staff should take geolocation tagged photos of the site before and after the work is completed.

### 4.4.4 Maintenance Funding

Maintenance work performed on a preventive maintenance scale and timeline is not eligible for federal ER reimbursement because it is routinely scheduled or budgeted to historical levels. This work is funded out of the state-funded maintenance budget.





Emergency maintenance work may be eligible for federal reimbursement when properly approved by the appropriate federal agency and if the work exceeds the current federal thresholds for emergency work by site as follows:

- **FHWA** – \$700,000 minimum for a statewide event and \$5,000 per site
- **FEMA** – \$3,320 (FY21) per site

Emergency work can be initially funded out of the state emergency M&O funds and later reimbursed by a transfer of federal funds appropriation for reimbursement through the ER federal project. DRER program numbers are established to ensure that the Department properly accounts for and documents expenditures.

ER funds are not intended to cover all damage repair costs. Only the repair work that exceeds heavy maintenance, is extraordinary, and will restore pre-disaster service is eligible. Incidental costs resulting from a disaster, such as project delay costs or lost toll revenues, are not eligible.

## 4.4.5 Transition from Initial Maintenance Response to Emergency-Funded Maintenance

When an emergency occurs, federal funding eligibility is unknown, and often the initial response activities will utilize state funding. Often M&O leadership will be the first point of contact to make the determination if an incident rises to a level that additional resources beyond those capable of maintenance will be needed. M&O and Construction typically complete the emergency repairs with little to no formal design. In some cases, there may be some more technical solutions needed for emergency repairs that require engagement with Design of other functional groups.

To establish an avenue for additional resources and funding to support public safety, see **Section 2.2.1**, DOT&PF Initiation of Emergency Declaration. This normally includes a description of the incident and an initial cost estimate to protect the safety of the public and public infrastructure from further damage.



Once this has been completed, initial response staff, primarily M&O, should establish cost collectors by site so that project control can tie these emergency response activities to a federally funded project through DDIRs (FHWA) or PWs (FEMA) if the emergency event meets federal eligibility thresholds and or requirements. See **Section 5.2** for directions on project nomenclature and financial project setup.



M&O leadership will determine whether state forces can continue to respond to the event or if private contractors are needed. See **Section 5.5** for emergency contracting guidance.

## 4.5 Environmental Process for Emergency Work



The intent of temporary emergency work is to restore or protect essential transportation services as quickly as possible when they are threatened by a disaster. The roles of DOT&PF environmental staff during an emergency are to:

- Provide guidance on environmental resources that may be affected by the disaster or by disaster response activities;
- Assist emergency field operations by obtaining written environmental authorizations from federal, state, and local regulatory agencies for emergency response work; and
- Ensure that any stipulations by regulatory agencies are followed by M&O field operations staff.

When possible, necessary permits/authorizations should be obtained prior to conducting work. If not possible, environmental staff should coordinate with regulatory agencies of jurisdiction. Some types of urgent temporary/emergency repair work can start prior to NEPA document approval. This work must meet the emergency provisions of all other environmental regulations, such as USACE permitting. Most of these emergency provisions require that the regulatory agency be notified before beginning work. Best practices include securing authorization in writing for emergency repairs prior to performing repairs. Describe the work and provide a total cost estimate of work that is necessary to restore essential traffic, minimize the extent of damage, or protect the remaining facilities.



Incidental Repair Work is generally categorically excluded from NEPA requirements under 23 CFR 771.117(c) (9). This work must meet the emergency provisions of all other environmental regulations, such as Endangered Species Act Section 106(4f). Most of these emergency provisions require that the regulatory agency be notified prior to the beginning of work.

Once the emergency work is complete and safe transportation is re-established, any after-the-fact environmental permits/authorization paperwork must be completed and submitted to each agency that granted emergency authorization. This requires a detailed SOW and photos. After-the-fact NEPA documentation is required for FHWA projects. FEMA does their own NEPA process but may ask for assistance with their documentation. DOT&PF should get a copy of FEMA's environmental documents, once complete, to document NEPA compliance.

Subsequent permanent repair projects may need information from environmental staff about related temporary emergency work. Often, M&O environmental analysts conduct environmental work for permanent repair projects as well as temporary emergency projects. This is because analysts are already familiar with work sites and regulatory agencies often prefer one contact person.

## 4.6 Utilities

Emergency repairs may be performed by a utility owner as required, when an outage or break has occurred that jeopardizes the safety of the public. The utility must notify and coordinate the immediate response with the appropriate emergency services and contact the Department to provide notice of the situation. The owner is responsible for providing traffic control and safeguarding the public. Emergency projects may require an expedited process and additional coordination. Permanent repair projects will follow the project development process and will follow the same coordination steps with utility companies and the Alaska Railroad as directed in the HPCM and *Alaska Utilities Manual*.

## 4.7 Right-of-Way

Use rights of entry only on an exceptional or emergency basis. Do not use rights of entry solely to meet a predetermined construction schedule unless the project itself is of an emergency nature. In an emergency, DOT&PF may rely on as-builts of available mapping. ROW should be involved as soon as practicable when an event occurs. Permanent repair projects will follow the project development process and coordination outlined in the HPCM and *Alaska Right-of-Way Manual*.

## 4.8 Project Development and Design Process for Permanent Repairs



The project development process will follow the same coordination steps set out in the HPCM. FHWA projects will follow the standard process and have the same federal approval actions. FEMA projects follow processes similar to those used in developing state-funded projects. Project managers are responsible for developing projects in accordance with applicable federal, state, and local laws and regulations, and departmental policies and procedures. See **Appendix A.4** for best practices on how to develop permanent repair projects.

**Section 4.2** details project grouping considerations. **Section 5.2.1** details project naming conventions.



At project startup, the electronic project information document (ePID) and project development authorization (PDA) will have to be set up. The PDA establishes the funding level by phase and by location if multiple sites are grouped into a project.

On FHWA projects, the funding must be tracked by DDIR for all phases (2, 3, 4, and 7). The Phase 2 – Preliminary Engineering funding, split between DDIRs for FHWA, should provide enough to account for minor scope increases at locations to avoid triggering a new PDA for minor changes.

It is a best practice to group DDIRs into a project within a single PDA to align with how work will be advertised for construction based on the criteria outline in **Section 4.2**. If each DDIR had a separate PDA, each DDIR would need to have an individual environmental document, Design Study Report (DSR), and unique process for PDA development and approval. With a single PDA for multiple DDIRs, design can be completed on multiple DDIRs using a single environmental document and single design process.

Funding on the PDA must be also be assigned to a specific route number ID. In some cases, there may be more than one route number associated with each DDIR or PW. For example, if there is damage at the intersection of two roads, there will be one DDIR associated with the damage site but two separate coordinated data system (CDS) route numbers with their own funding assigned to each CDS route. In some cases, northbound and southbound (or eastbound and westbound) directions of a highway have separate CDS route numbers and funding must be split accordingly. This information is needed for project control and FHWA to incorporate into the Financial Management Information System (FMIS).

On FEMA projects, funding must be tracked by PW and each FEMA PW will be one IRIS project number. When establishing design funding on FEMA projects, funding can be approved from authorization to proceed (ATP) through final design, unlike FHWA, which requires two separate approvals (ATP through the environmental document, and the environmental document through final design). Example PDA and ePID documents are provided in **Appendix C.7** and **Appendix C.8**, respectively.



Work with the environmental analyst to determine the appropriate level of documentation in the Class of Action. Programmatic agreements may be utilized for activities such as geotechnical drilling.

Once ATP through the environmental document or through final design is approved, follow the process in the HPCM. Design standards and design designations are not typically required on emergency repair work. However, criteria that are considered routine and customary in the Department's normal processes for design development may be followed.

After the approval of the environmental document, ATP through Final Design must be obtained on FHWA projects before beginning final design effort.

The DSR should address the initial disaster and capture any emergency repair work completed at the location. Care should be taken to use the appropriate funding agency language within the DSR. If there are multiple projects derived from a single disaster, a modified DSR template may be beneficial. The signing for the DSR is considered design approval. The DSR requirement can be waived by the Regional Preconstruction Engineer.

*See Appendix A.4 for best practices on how to set up projects to advance through the design process as quickly as possible.*

See **Appendix A.7** for guidance on how to use AASHTOWare Project for multi-DDIR projects.



Certain requirements needed on typical DOT&PF projects are not needed on FEMA permanent repair projects. This includes the requirement for disadvantaged business enterprises, On-the-Job Training goals, or Davis Bacon rates for construction. FEMA follows design processes similarly to state-funded projects. FEMA does not require tracking of funding by improvement codes; however, it may be advantageous to track construction contractor payments and construction engineering costs using separate phase codes.

Funding for FHWA projects must be tracked by improvement type code, project phase, and DDIR. The 2018 Earthquake projects tracked funding using a standardized approach to phase codes. The first two digits represented the improvement type code, the third digit was the project phase code, and the remaining three digits referenced the DDIR. An example of this is 064### for 4R Restoration and Rehabilitation work in Construction (Phase 4).

FHWA has previously allowed tracking of construction engineering by a single funding phase code and then splitting out the costs by percentage for each DDIR at the end of construction. The 2018 Earthquake projects



created a code for each reimbursement rate if multiple cost share rates are within the same project, to simplify splitting the costs at the end of the project. As an example, the construction engineering (CENG) improvement code would be "174INT" for improvement type 17 Construction Engineering, Phase 4 for Construction, and the reimbursement rate associated with the interstate system. A phase code should be created for each rate on the project. Similarly, FHWA may allow improvement Type 42 training to be tracked by single funding phase code split out at the end. Before setting up your project, confirm with FHWA that they accept this methodology.

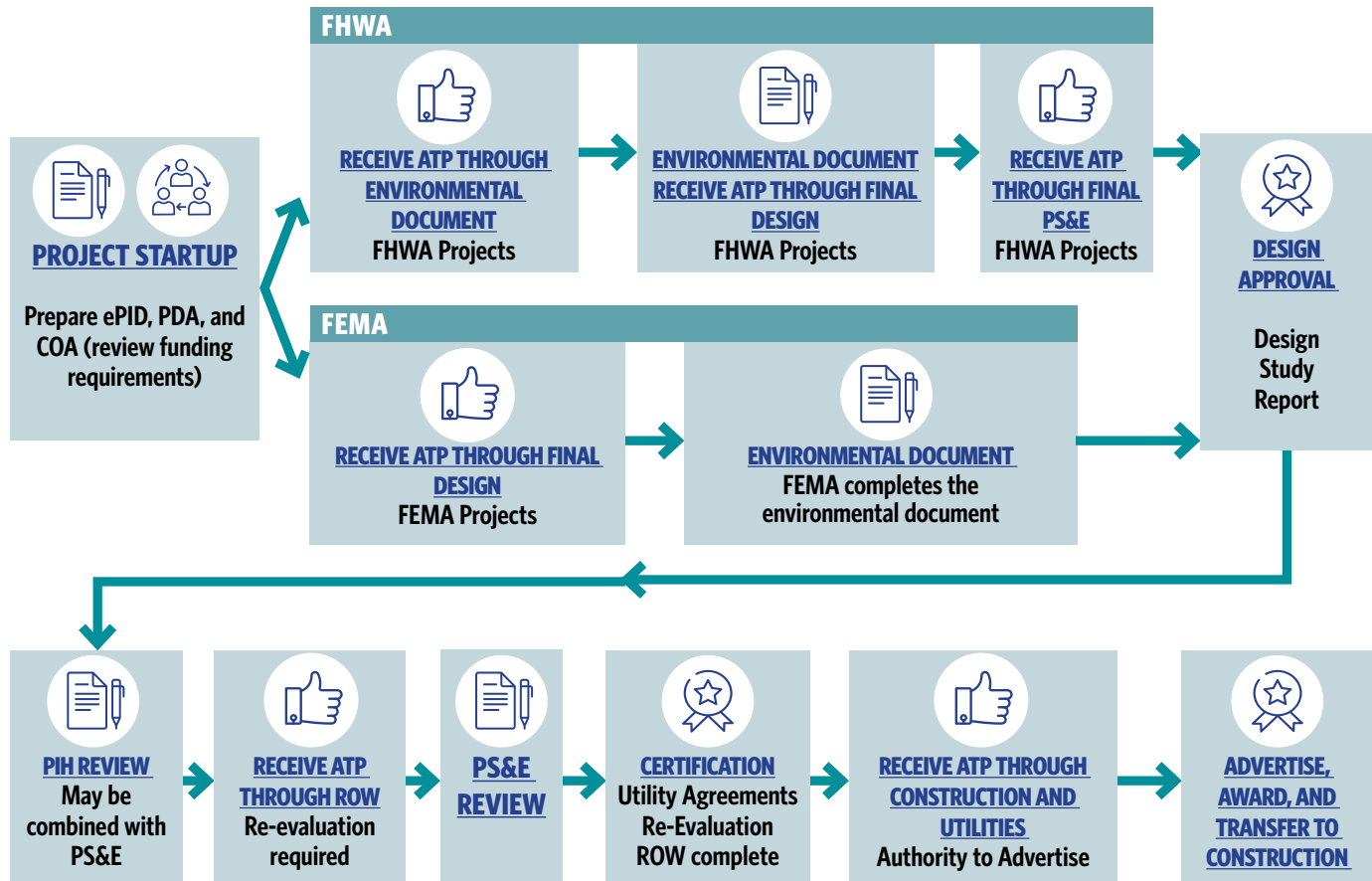
Table 7. Funding for FHWA Projects

PHASE CODE	IMPROVEMENT TYPE CODE	PROJECT PHASE	DDIR/ RATE	DESCRIPTION
064154	06	4	154	Restoration and Rehabilitation work in Construction on DDIR AK 2019 02 154
437154	43	7	154	Utility relocation work on DDIR AK 2019 02 154
174INT	17	4	INT	Construction Engineering on an interstate (cost share rate 93.4%) for DDIR AK 2019 154

A flow chart for permanent repairs is shown in **Figure 4**.

Follow the process in the HPCM for certification, advertisement, and transfer to construction.

Figure 4. Flow Chart for Permanent Repairs



The project development process will follow the same coordination steps set out in the *Alaska Highway Preconstruction Manual*. FHWA projects will follow the standard process and have the same federal approval actions. FEMA projects follow processes similar to development of state-funded projects.

## 4.9 Construction Work



Emergency work considered to be alteration, repair, or improvement when properly approved is eligible for federal reimbursement, either from normal highway construction funds or ER funds. Emergency work is initially funded with state funds and later transferred to federal appropriation for reimbursement through the ER federal project.

If the proposed work activity is not considered ordinary maintenance as defined previously, the work may be accomplished by state forces only to the extent permitted in Policy and Procedure 10.02.012. This policy applies whether the work involves an emergency or not.

This work typically requires the use of preliminary engineering services, personnel, and contract PS&E. When the work is not programmed, it follows the Department's unprogrammed project process.

Follow the current policies and procedures in the *Alaska Construction Manual* for inspecting and administering airport, highway, and marine construction contracts for DOT&PF. Appropriate phase codes are established to ensure that the Department can properly account for and document expenditures. See **Section 5.2** for phase code standards.

### 4.9.1 Limitations on State Force Accomplishing Construction Work

If the work involves alteration, repair, or improvement as defined above, the requirements set forth in Alaska Statute (AS) 19.10.170 Construction By Department and Policy and Procedure (P&P) 10.02.012 apply as follows:

- For state-funded force account work that is less than \$100,000, the Division/Regional Director may make the determination of public interest in support of the proposed force account work. A copy of the Director's determination of public interest must be sent to the DOT&PF Chief Contracts Officer.
- For all federally funded force account work and all state-funded force account work that exceeds \$100,000, a written Public Interest Finding must be submitted to and approved by the DOT&PF Chief Contracts Officer prior to permanent repair work.

There is no standard form for submitting a Force Account Public Interest Funding. See P&P 10.02.013. However, the force account Public Interest Finding must show that the proposed work is cost effective and in the best interest of the state by giving:

- The estimate of all costs on wage rates, non-salary expenses, indirect costs, and a comparison of costs between force account construction and a competitively bid construction contract. The estimated cost of construction by force account must be less than the estimated cost to perform under a competitively bid contract. Costs for mobilization of equipment must be included in the cost comparison.
- An explanation of:
  - » the entity's resources (labor, material, equipment, and financing) and workload as they affect their ability to satisfactorily do the work;
  - » the date when the work is estimated to be completed; or
  - » dates when the work will occur.
- A description of the nature and extent of the proposed force account work.
- A description of the benefits of using force account in lieu of the competitive bid process.

Other municipalities, boroughs, or departments that are working on FHWA disaster response and wish to use force account work must receive approval from DOT&PF. This request must be in the form of a letter or by a resolution by that agency. See **Appendix A.6** for guidance for local agencies and sub-entities.

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## 5. DOT&PF Funding and Documentation Procedures

This section outlines the specific DOT&PF procedures related to funding and documentation. The steps taken by DOT&PF to coordinate with FHWA to obtain quick release funds are outlined. Procedures related to setting up and tracking emergency projects, contracting work, and project closure are detailed. Repairs performed by M&O and construction through emergency contracts are also included.

### 5.1 FHWA Quick Release

Quick release ER funds can provide limited funds quickly with minimal paperwork to help DOT&PF with initial emergency repair costs. Quick release ER funds are intended as a “down payment” to immediately provide funds for emergency operations until the traditional application is submitted and approved. The quick release method is not intended to be used on every ER event, and it should be considered only for very large events where significant expenditures need to begin immediately. DOT&PF may request ER funds based on the preliminary estimates, and there is reasonable certainty that the event will qualify for ER funding. FHWA quick release steps include the following:

1. The Commissioner’s office sends a LOI and a quick release request for ER funds to the FHWA Division Emergency Relief Coordinator. The federal funding request relies on readily available information such as credible media reports or aerial surveys. A Damage Survey Summary Report is not required at this time.
2. The FHWA Division Administrator determines a finding of eligibility of the event based on the same assessment as to the extent and severity of the damage.
3. The FHWA Division submits a request for an initial allocation of ER funds from the FHWA Office of Program Administration. The Division office cannot commit to the approval or amount of the quick release.
4. The state must prepare and submit an abbreviated Damage Survey Summary Report to the Division Office after a majority of the detailed damage inspections have been completed. The report should prove support for supplemental allocation of ER funds for permanent repairs as well the initial emergency repairs.

The quick release request can be as simple as an oral request and can be done in anticipation of a Governor’s Proclamation of Emergency with no paperwork. The amount of a quick release is typically discussed by phone between FHWA Division staff and DOT&PF. However, the FHWA Administrator decides if a quick release will be made and the amount that will be allocated. FHWA can also independently authorize quick release of funds.

The quick release method requires the same documentation (LOI, Governor’s Proclamation, DDIRs, etc.), but it is submitted after the initial quick release request. Following the traditional process, supplemental allocations are released later.

### 5.2 Financial Project Setup Procedures



DRER projects are used to capture emergency/disaster expenditures.



A separate DRER project number is normally set up for each individual disaster site and includes a unique identifying number. (For FHWA, the DRER project may contain multiple DDIRs.) The goal



is to ensure that capital project(s) is established as soon as possible after a disaster event has occurred, that it follows DOT&PF processes, and that the project coding is distributed to all staff in a timely manner.

Project Control will coordinate with M&O for establishing the capital project(s) using the following structures associated with an emergency project:



- Initial budgets will be based on the sites identified and the initial repair cost estimates. Separate projects will be established for routes/sites that are eligible for FHWA funding and routes/sites that are eligible for FEMA funding.
- Unique phase codes can be established depending on how the repair costs will be identified (ex: specific to DDIRs). SW Finance can assist with establishing these unique phase codes in IRIS.

*A best practice when setting up admin codes for FEMA and FHWA is to set up one admin cost collector for each. Then, charge all admin costs to those codes.*

A best practice when setting up admin codes for FEMA and FHWA is to set up one admin cost collector for each. Then, charge all admin costs to those codes.

- Separate projects for FHWA and FEMA should be established for administrative expenses associated with the emergency repairs.
- Federal emergency authorization (appropriation units ending in EMERG) will be used until a separate funding source is approved by the legislature and available in IRIS.
- Multiple capital project amendments may be generated or new projects established as additional sites are identified for repairs and budgets adjusted as repair costs are better defined.
- M&O will establish the emergency codes in their MMS and the crosswalk with the IRIS project coding.
- Coding should be shared with all staff to ensure that proper expenses are captured beyond force account work.
- Consider assigning staff to monitor program expenses throughout the emergency response timeframe.

## 5.2.1 Naming Conventions

Consistent naming conventions help with consistency through the lifespan of a disaster. The following naming conventions should be considered when setting up and naming projects:

- Include the disaster in the name of the projects, i.e. “Nov 2018 EQ” or “Dec 2020 Flooding”
- For emergency repairs, use the program number “xDRERxxxx”
  - » The first character is the regional indicator (C = Central Region; H = Headquarters; N = Northern Region; S = Southcoast)
  - » DRER = Disaster Reimbursement Emergency Repairs
  - » The last five characters are numbers assigned by the responsible region
- For permanent repair projects, use “PR” at the end of the project name
- FEMA Projects: Create the DOT&PF project name with the project worksheet number in the name; i.e. “Clark-Wolverine Road 00031 - Nov 2018 EQ PR,” where “00031” is the project worksheet number

## 5.2.2 DRER Project Set Up

The following steps are taken to set up a DRER project:

1. The Regional Director sends a memorandum to the Commissioner requesting the use of federal emergency authorization to establish projects for initial emergency response and repairs due to the disaster. See [Appendix C.2](#) for example memo.

ATP end dates should be set using current guidance and account for a long closeout process that includes time to collect required documentation. Develop the end date through communication with M&O and Construction.



2. As soon as possible after an emergency event, the DOT&PF Chief Contracts Officer forwards the Waiver Request for Alternate Procurement Methods to the Commissioner for approval.
3. Within 1 to 5 days of the event, the Commissioner sends a LOI to FHWA requesting ER funds to assist in the cost of repairing damages. Included with the request is the Governor's Disaster Proclamation. FHWA responds with an acknowledgement and eligibility determination letter.
4. FHWA federal-aid divisions steps immediately after an emergency event occurs:
  - Contact DOT&PF during or shortly after a potentially eligible event occurs to ascertain if DOT&PF will seek ER funds and the need for a quick release. Coordinate with HIPA-10 (FHWA Office of Program Administration).
  - Advise DOT&PF to perform a disaster assessment as soon as practical after an event occurs to determine the severity of damage to the federal-aid highways.
  - Coordinate with DOT&PF on the LOI and LOA. See **Appendix C.3** for LOI examples.
  - Establish the actual date of the event as the disaster start date.
5. Provide Contracts with the listing of emergency procurements done by M&O.
6. Requests for non-essential purchases such as food and water are still required. Payment should be coded to overhead.
7. Contracts finalizes documents and awards for the emergency contracts.
8. Contracts notifies SW Contracts of what emergency contracts were awarded under the Emergency Procurement Determination.
9. If the time required for emergency repairs will exceed the first 180 days from the date of the event, a time extension request will be forwarded from the Commissioner to FHWA or from DMVA to FEMA. Extensions are reviewed and approved on a case-by-case basis. See **Appendix C.9** for a DMVA request for an extension of time. Once the time extension is approved, Project Control will need to establish new phase codes to identify the expenditures that will be incurred after the initial timeframe.

## 5.3 Twice-Damaged Assets

Twice-damaged assets are locations that have been damaged on multiple occasions over time, with some of the repairs requiring emergency funding. Maintenance and emergency repairs on these assets should be tracked by location so that all responses can be documented for the site.

## 5.4 Tracking Force Account Time

In order to effectively track employee eligibility and time, timesheets should capture time used and the appropriate FEMA work category. ALDER reports generated from IRIS serve as a backup for FEMA submittals on incurred costs.

For force account equipment, the employee labor hours should match or be greater than the equipment hours associated with that employee. Maintenance management records can be used as backup to tie the individual employees with the equipment for each workday. The cost of the force account equipment should match the approved FUR for the fiscal year in which the work was performed.



For more details on tracking contractor time and materials, refer to Section 109 of the Alaska DOT&PF Standard Specifications.



## 5.5 Contracting Work



M&O will sometimes start the contracting process, particularly with smaller procurement needs under \$200,000 for state-funded work and \$150,000 for federally funded work during emergency response. All contracting and administering of work must follow established contracting policies and procedures. These vary according to contract type (e.g., time and expense [T&E] versus time and materials [T&M]), services requested (e.g., professional services versus construction), and other factors. Contracts should pay prevailing wages and require insurance.

The *Alaska Construction Manual* and P&P standards meet all FEMA and FHWA contracting requirements for construction services and should be followed in case of emergency.

Decisions about how to structure the contracts include:

- Cost plus – time and materials – puts work on the Department to track equipment.
- Consider structuring the contract in wet rates to include insurance, taxes, worker’s comp, etc. This reduces the state’s tracking burden.



The Contracts Offices will determine if a Waiver Request for Alternate Procurement Methods should be used. Once a contract is developed and in construction, follow standard construction procedures. For professional service contracts, follow professional service agreement standards.

See **Appendix A.2** for a procurement tip sheet and **Appendix A.2.1** for FEMA construction contract requirements.

## 5.6 Project Closure

The closure of a project is an ongoing effort that should be considered at the onset of the project and continues through physical completion and well beyond project acceptance.

When federal funds are involved, projects should be closed out with FHWA within 90 days of the completion of the work. See **Section 3.1.7** and **Section 3.2.8** for details on extending closeout through time extension requests. See **Appendix C.9** for an example of a DMVA request for extension of time.

*Best practice: Separate timesheets and travel paperwork from engineering costs to expedite FHWA closure.*



For emergency management projects managed and completed by M&O (typically force account work), M&O may be able to utilize an abbreviated closeout process if such a process has already been agreed upon by the two agencies.



To close out an FHWA ER project, follow the typical closeout procedures for FHWA. Reference Chapter 16 of the *Alaska Construction Manual* for closeout details for FHWA projects.

For FEMA projects, projects should be closed out within 90 days of the end of the Period of Performance. The Period of Performance is the period of time during which the Grantee is expected to complete the grant activities and to incur and expend approved funds. FEMA projects typically take longer than FHWA projects to close. Time extensions can be granted past the Period of Performance to close out the project.

There are different closeout procedures for Small and Large Projects, with Large Projects requiring additional documentation on the final costs. Coordination with DMVA is key to ensuring that all program-specific closeout requirements are met.

*Best practice: To expedite FEMA closeout, ask DMVA for a closeout list that includes definitions and a sample closeout package.*

FEMA closeout documents and forms include:

- FEMA or DMVA material and sheets
- Project Completion and Certification Report Form

DMVA closeout documents and forms include:

- Project Final Narrative Report Form
- Statement of Documentation to Support Amount Claimed for Financial Disaster Assistance

## 6. Roles, Responsibilities, and Contacts

### 6.1 Lead Agencies

The Alaska DHS&EM DMVA serves as the lead agency for coordination between DOT&PF and FEMA. If the disaster is federally declared, all work may be split between the FHWA and FEMA, depending on location and type of work.

#### **FHWA**

- Oversees: Roads classified as major collectors or arterials
- Threshold: Must be a federally declared disaster costing at least \$700,000 with a minimum cost of \$5,000 per site; all sites must be within DOT&PF ROW

#### **DMVA**

- Oversees: All FEMA communications regarding debris cleanup and FEMA-eligible repairs
- Threshold: Must be a state-declared disaster and must be beyond the agency's capability to recover without state assistance

#### **FEMA**

- Oversees: Airports and minor federal roadways, so long as the emergency has been declared a federal disaster; all sites must be within DOT&PF ROW
- Threshold: Must be a federally declared disaster; \$5 million emergency assistance cap

### 6.2 DOT&PF Roles and Responsibilities

**Table 8** contains the DOT&PF roles, regional titles, and general responsibilities and tasks during and after an event.



Table 8. DOT&PF Staff With Emergency Funding Responsibilities

EMERGENCY ROLE	RESPONSIBILITIES/ TASKS	STAFFING
Interagency Coordination	<ul style="list-style-type: none"> <li>Coordinates between DOT&amp;PF, DMVA, FEMA, and FHWA</li> </ul>	<ul style="list-style-type: none"> <li>DMVA Liaison</li> </ul>
DOT&PF Internal Coordination	<ul style="list-style-type: none"> <li>Coordinates between the region's divisions, the Commissioner, and the Governor</li> </ul>	<ul style="list-style-type: none"> <li>Region Director or designee</li> </ul>
Response Manager	<ul style="list-style-type: none"> <li>Agency point of contact for the Department; passes information to the commissioner, governor, and Dept. of Emergency Mgt.; determines staff distribution (who goes where); signs emergency funding paperwork and coordinates funding</li> </ul>	<ul style="list-style-type: none"> <li>CR: M&amp;O Chief / Manager / Engineer / Specialist</li> <li>NR: M&amp;O Chief</li> <li>SR: M&amp;O Specialist</li> </ul>
	<p>Small emergencies – none</p> <ul style="list-style-type: none"> <li>Large emergencies – provides support, as directed by the M&amp;O Manager</li> </ul>	<ul style="list-style-type: none"> <li>CR: M&amp;O Engineer / Specialists – Highways &amp; Aviation</li> <li>NR: Maintenance Engineer</li> <li>SR: Maintenance Specialist</li> </ul>
Initial Emergency Response (Stabilization)	<ul style="list-style-type: none"> <li>Oversees field operations and engineering</li> </ul>	<ul style="list-style-type: none"> <li>CR: Chief / Manager / Engineer / Specialist</li> <li>NR: M&amp;O Chief</li> <li>SR: M&amp;O Specialist</li> </ul>
	<ul style="list-style-type: none"> <li>Oversees field operations and ensures that appropriate staff, material, and equipment assignments are available to complete emergency repairs within district</li> </ul>	<ul style="list-style-type: none"> <li>District Superintendent</li> <li>Foremen</li> </ul>
Temporary Repair Decisions	<ul style="list-style-type: none"> <li>Visits each emergency site to determine repairs and document damages, determines which repairs are temporary and which are permanent, fills out funding paperwork, and provides engineering input on the design of temporary repairs</li> </ul>	<ul style="list-style-type: none"> <li>CR: M&amp;O Contracts Engineer</li> <li>NR: M&amp;O Engineer and Construction Project Engineer or Manager</li> <li>SR: M&amp;O Specialist</li> </ul>
Project Control / Accounting / Administrative	<ul style="list-style-type: none"> <li>Establishes emergency funding codes and organizes emergency finances</li> </ul>	<ul style="list-style-type: none"> <li>CR: Project Control</li> <li>NR: Project Control Chief and Administrative Officer II</li> <li>SR: Admin Operations Manager</li> </ul>
	<ul style="list-style-type: none"> <li>Supports providing and tracking emergency funding</li> </ul>	<ul style="list-style-type: none"> <li>CR: Accountant and Project Control</li> <li>NR: Administrative Officer I and Project Control</li> <li>SR: Accountant and Project Control</li> </ul>
Environmental Oversight	<ul style="list-style-type: none"> <li>Either coordinates with M&amp;O Engineer, Superintendents, or construction staff or visits each emergency site (preferably with agencies) to determine exact locations, take photos, and document environmentally sensitive resources and environmental impacts of emergency work; works with Regional Environmental manager to obtain emergency authorizations and permits from agencies <u>in writing</u>; obtains approval from FHWA to do after-the fact documentation on work significant enough to require an environmental document</li> </ul>	<ul style="list-style-type: none"> <li>CR: M&amp;O Environmental Impact Analyst</li> <li>NR: M&amp;O Environmental Impact Analyst</li> <li>SR: Environmental Impact Analyst</li> </ul>

Note: CR = Central Region; NR = Northern Region; SR = Southcoast Region

## 6.3 Local Agencies and Sub-Entities

See **Appendix A.6** for a tip sheet to assist local agencies with federal reimbursement and closeout.

## 6.4 Contacts

### 6.4.1 DOT&PF Contacts

DOT&PF's Liaison to the Alaska DMVA and State Emergency Operations Center

- Transportation Management and Security, Statewide Safety, Security & Emergency Management Coordinator

#### Statewide:

- Contracts: <http://dot.alaska.gov/procurement/contacts/construction.shtml>
- Grants & Projects: <http://dot.alaska.gov/admsvc/finance.shtml>

#### Central Region:

- Front Desk, Construction, M&O, Media, and Public Information: <http://dot.alaska.gov/creg/contacts.shtml>
- Project Control: Jennifer Coisman: [jennifer.coisman@alaska.gov](mailto:jennifer.coisman@alaska.gov), (907) 269-0480
- Contracts: Sharon Smith: [sharon.smith@alaska.gov](mailto:sharon.smith@alaska.gov), (907) 269-0414

#### Northern Region:

- Front Desk, Construction, M&O, Media, and Public Information: <http://dot.alaska.gov/nreg/contacts.shtml>
- Project Control: Shelley Dykema: [shelley.dykema@alaska.gov](mailto:shelley.dykema@alaska.gov), (907) 451-5336
- Contracts: Barbie Tanner: [barbara.tanner@alaska.gov](mailto:barbara.tanner@alaska.gov), (907) 451-3057

#### Southcoast Region:

- Front Desk, Construction, M&O, Media, and Public Information: <http://dot.alaska.gov/sereg/contacts.shtml>
- Project Control: Amber Marshall: [amber.marshall@alaska.gov](mailto:amber.marshall@alaska.gov), (907) 465-4481
- Contracts: Jeff Jenkins: [jeff.jenkins@alaska.gov](mailto:jeff.jenkins@alaska.gov), (907) 465-4420

### 6.4.2 DMVA Contacts

Contact DMVA through DOT&PF's Liaison to the Alaska DMVA: <https://ready.alaska.gov/Contact>

### 6.4.3 FEMA Contacts

FEMA Region X Alaska Area Office:

(425) 487-4600

[FEMA-R10-Info@fema.dhs.gov](mailto:FEMA-R10-Info@fema.dhs.gov)

### 6.4.4 FHWA Contacts

FHWA Alaska Division

(Northern Region Area Engineer, Central Region Area Engineer, Southcoast Region Area Engineer):

<https://www.fhwa.dot.gov/akdiv/staff.cfm>

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## 7. Policies and Regulations

This section lists the regulatory considerations, including the applicable Alaska Statutes (AS), Alaska Administrative Codes, federal, state, and local permits, and DOT&PF directives, instructional letters, and manuals that must be followed during emergency response.

The HPCM and *Alaska Construction Manual* are consistent with FHWA-required processes and procedures, and they can serve DOT&PF as the first point of reference for both FEMA and FHWA requirements for emergency repair.

### 7.1 Alaska Statutes

- AS 19.05.040 – Powers of Department
- AS 19.10.100 – Closing Highways
- AS 26.23.020 – The Governor and Disaster Emergencies (authority for proclamation and declaration of a condition of disaster emergency)
- AS 35.30.010 to 030 – Consistency with Local Government Plans and Ordinances Waiver
- AS 36.05 – Wages and Hours of Labor
- AS 36.25.010 – Bonds of Contractors for Public Buildings or Works
- AS 36.30.005 – Centralization of procurement authority (DOT&PF Procurement Authority)
- AS 36.30.310 – Emergency Procurements
- AS 36.30.520 – Records of Single Source and Emergency Procurements
- AS 36.30.990(7) – Definition of Construction (Procurement)

### 7.2 Alaska Administrative Codes

- 2 AAC 12 Article 9 – Emergency Procurements (2 AAC 12.440–460)
- 2 AAC 12.810 – Bid, payment, and performance bonds for contracts

### 7.3 DOT&PF Policies and Procedures

All DOT&PF P&P apply to emergency situations unless otherwise noted in the P&P or superseded elsewhere.

- 01.01.020 Program Funding, Budget and Finance
- 01.01.050 Contracting Authority
- 10.01.040 Alternate Procurements

### 7.4 DOT&PF Directives, Instructional Letters, and Manuals

All DOT&PF manuals and directives are in effect. These include directives from the Chief Engineer and Chief Contracts Office and manuals, such as:

*Alaska Bridges and Structures Manual*

<http://www.dot.state.ak.us/stwddes/desbridge/bridgemanual.shtml>

*Alaska Construction Manual*

<https://dot.alaska.gov/stwddes/dcsconst/constructionmanual.shtml>

*Alaska Highway Drainage Manual*

<http://dot.alaska.gov/stwddes/desbridge/assets/pdf/hwydrnman/hwydrncover.pdf>

*Alaska Highway Preconstruction Manual*

[https://dot.alaska.gov/stwddes/dcsprecon/pop\\_aviation\\_preconstman.shtml](https://dot.alaska.gov/stwddes/dcsprecon/pop_aviation_preconstman.shtml)



Alaska Preconstruction Manual, Aviation

[https://dot.alaska.gov/stwddes/dcsprecon/pop\\_aviation\\_preconstman.shtml](https://dot.alaska.gov/stwddes/dcsprecon/pop_aviation_preconstman.shtml)

Alaska Standard Plans Manual

<https://dot.alaska.gov/stwddes/dcsprecon/stddwgeng.shtml>

Alaska Test Methods Manual

[http://dot.alaska.gov/stwddes/desmaterials/mat\\_resource.shtml](http://dot.alaska.gov/stwddes/desmaterials/mat_resource.shtml)

Alaska Utility Manual

[http://www.dot.state.ak.us/stwddes/dcsrow/assets/pdf/utility/utility\\_manual\\_all.pdf](http://www.dot.state.ak.us/stwddes/dcsrow/assets/pdf/utility/utility_manual_all.pdf)

DOT&PF Environmental Procedures Manual

<http://dot.alaska.gov/stwddes/desenviron/resources/enviromanual.shtml>

DOT&PF Procurement and Contracting

<http://www.dot.alaska.gov/procurement/>

DOT&PF Field Operations Guide (FOG) Manual

<https://web.dot.state.ak.us/stwdmno/safety/documents/FOG-Manual-2018.pdf>

DOT&PF Maintenance Handbook

[https://dot.alaska.gov/stwddes/research/assets/pdf/ak\\_maint-ops\\_hb.pdf](https://dot.alaska.gov/stwddes/research/assets/pdf/ak_maint-ops_hb.pdf)

DOT&PF Right-of-Way Process – Alaska Right-of-Way Manual and Forms

<http://www.dot.state.ak.us/stwddes/dcsrow/>

DOT&PF / FHWA Assumption Agreement - Stewardship and Oversight Agreement on Project Assumption and Program Oversight By and Between Federal Highway Administration, Alaska Division and the Alaska Department of Transportation and Public Facilities (2015)

[http://www.dot.state.ak.us/stwddes/dcsprecon/assets/pdf/preconhwy/stewardship\\_agreement.pdf#:~:text=This%20Stewardship%20and%20Oversight%20\(S&O\)%20Agreement%20sets%20forth,respect%20to%20Title%2023%20project%20approvals%20and%20related](http://www.dot.state.ak.us/stwddes/dcsprecon/assets/pdf/preconhwy/stewardship_agreement.pdf#:~:text=This%20Stewardship%20and%20Oversight%20(S&O)%20Agreement%20sets%20forth,respect%20to%20Title%2023%20project%20approvals%20and%20related)

## 7.5 Local, State, and Federal Permits and Authorizations

Consider permits, special use authorizations, approvals, and consultations for local, state, and federally managed concerns such as fish passage, noise, and flood hazards.

Environmental permits that may be required are listed in **Appendix A.5**.



## 8. Glossary

**Betterment/Resiliency** – Defined as any additional feature, upgrading, or change in capacity or character of the facility from its pre-disaster condition. Costs for a betterment/resiliency are generally not eligible for ER funding unless justified on the basis of economy, suitability, and engineering feasibility and reasonable assurance of preventing future similar damage. A betterment/resiliency improvement should be obviously and quickly justifiable without extensive public hearing, environmental, historical, ROW, or other encumbrances. The justification must weigh the costs of the betterment against the probability of future recurring eligible damage and repair costs.

Upgrades resulting from construction of replacement facilities to current standards, as defined above, is not considered a betterment relative to the need for further justification.

However, with respect to roadways, increases in capacity or a change in character of the facility would be considered a betterment, but are not justified for ER participation.

**Catastrophic Failure** – The sudden failure of a major element of the highway system due to an external cause. The failure must not be attributable primarily to gradual and progressive deterioration or lack of proper maintenance. Closing a facility because of danger of imminent collapse is not in and of itself a catastrophic failure.

**Disaster Event Date** – A specific date approved by FHWA as the event date of the disaster (e.g., earthquake). This date is generally the same as that declared by FEMA.

**Disaster Event Period** – The time span or duration between the beginning date and ending date approved by FHWA for certain disasters such as storms. These dates are generally the same as those declared by FEMA.

**Emergency Repairs/Emergency Opening** – Repairs, including temporary traffic operations, that are undertaken during or immediately following a disaster to (1) minimize the extent of damage, (2) protect remaining facilities, or (3) restore essential travel.

**Emergency Response** – The initial crisis phase of the disaster-management cycle occurring immediately after a disaster happens. Emergency Response is the first action that focuses on avoiding, deterring, and preventing disasters and preparing the organization to respond to a disaster. The goals are saving lives, providing safety, and conducting initial efforts to limit the impacts of asset damage.

**External Cause** – An outside force or phenomenon separate from the damaged element and not primarily the result of an existing condition.

**Force Account** – The performance of highway construction work by a state transportation agency, a local agency, a railroad, or a public utility company by use of labor, equipment, materials, and supplies furnished by them and used under their direct control.

**Functional Classification** – Streets and highways are grouped into classes or systems according to the character of service they are intended to provide. This process is called functional classification. Most travel involves movement through a network of roads, so it is necessary to determine how this travel can be channeled within the network in a logical and efficient manner. Functional classification defines the nature of this channeling process by defining the role that any particular road or street should play in serving the flow of trips through a highway network.

**Heavy Maintenance** – Work usually done by owner agencies to repair damage normally expected from seasonal and/or occasionally unusual natural conditions or events. It includes work at a site required as a direct result of a disaster that can be reasonably accommodated by an agency's road maintenance forces. Snow removal is considered heavy maintenance. Heavy maintenance is not eligible for ER assistance.



**Natural Disaster** – Sudden and unusual natural occurrences that cause serious damage, such as intense rainfall, floods, windstorms, landslides, tidal waves/tsunamis, or earthquakes.

**Permanent Restoration** – Repair and restoration of highway facilities to pre-disaster conditions, including restoration in kind or replacement facilities.

**Proclamation** – A declaration of emergency by the Governor or President.

**Project** – This guide uses the term “project” to refer to projects and to the assigned IRIS program number for clarity.

**Serious Damage** – Heavy, major, or unusual damage to a highway that severely impairs the safety or usefulness of the highway or results in road closure. Serious damage must be beyond the scope of heavy maintenance.

## 9. Acronyms

<b>AAC</b>	Alaska Administrative Code	<b>FUR</b>	Fixed Utilization Rates
<b>ALDER</b>	Alaska Data Enterprise Reporting	<b>HPCM</b>	Alaska Highway Preconstruction Manual
<b>AS</b>	Alaska Statute	<b>ICAP</b>	Indirect Cost Allocation Plan
<b>ATP</b>	Authorization to Proceed	<b>IRIS</b>	Integrated Resource Information System
<b>CDS</b>	Coordinated Data System	<b>LOA</b>	Letter of Acknowledgement
<b>CENG</b>	Construction Engineering	<b>LOI</b>	Letter of Intent
<b>CFR</b>	Code of Federal Regulations	<b>MMS</b>	Maintenance Management System
<b>CR</b>	Central Region	<b>M&amp;O</b>	Maintenance and Operations
<b>CTR</b>	Crew Time Reports	<b>MSAR</b>	Mobile Solution for Assessment and Reporting
<b>CRC</b>	Consolidated Resource Center (FEMA)	<b>NEPA</b>	National Environmental Policy Act
<b>DAC</b>	Direct Administrative Cost	<b>NR</b>	Northern Region
<b>DDD</b>	Damage Description and Dimensions	<b>OT</b>	Overtime
<b>DDIR</b>	Detailed Damage Inspection Report	<b>PA</b>	Public Assistance
<b>DHS&amp;EM</b>	Division of Homeland Security & Emergency Management	<b>PAPPG</b>	Public Assistance Program and Policy Guide
<b>DNR</b>	Department of Natural Resources	<b>PDA</b>	Project Development Authorization
<b>DMVA</b>	Department of Military and Veterans Affairs	<b>PDMG</b>	Program Delivery Manager
<b>DOT&amp;PF</b>	Alaska Department of Transportation and Public Facilities	<b>PIH</b>	Plans in Hand
<b>DRER</b>	Disaster Reimbursement Emergency Repair	<b>PM</b>	Preventative Maintenance
<b>DSR</b>	Design Study Report	<b>P&amp;P</b>	DOT&PF Policies and Procedures
<b>EEI</b>	Essential Elements Of Information	<b>PR</b>	Permanent Repair
<b>EHP</b>	Environmental Planning and Historic Preservation	<b>PS&amp;E</b>	Plans, Specifications, and Estimates
<b>ePID</b>	Electronic Project Information Document	<b>PW</b>	Project Worksheet
<b>ER</b>	Emergency Relief	<b>ROW</b>	Right-Of-Way
<b>FEMA</b>	Federal Emergency Management Agency	<b>RSA</b>	Reimbursable Services Agreement
<b>FFY</b>	Federal Fiscal Year	<b>SOW</b>	Scope of work
<b>FHWA</b>	Federal Highway Administration	<b>SR</b>	Southcoast Region
<b>FLATF</b>	Federal Lands Access Transportation Facility	<b>STIP</b>	Statewide Transportation Improvement Program
<b>FOG</b>	Field Operations Guide	<b>SW</b>	[DOT&PF] Statewide
<b>FMIS</b>	Financial Management Information System	<b>T&amp;E</b>	Time and Expense
<b>FTA</b>	Federal Transit Administration	<b>T&amp;M</b>	Time and Materials
		<b>TTF</b>	Tribal Transportation Facilities
		<b>USACE</b>	U.S. Army Corps of Engineers
		<b>USC</b>	United States Code
		<b>WO</b>	Work Order

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## **Appendix A. Tip Sheets**

### **A.1 Importance of Emergency Response Documentation**

The first priority in a disaster, regardless of incident type, is protecting the responder and public safety.

Once you begin the response, start off on the right foot to help the Department in the long run.

In order to qualify for federal reimbursement, Federal Emergency Management Agency and Federal Highway Administration federal emergency relief funding programs require strict documentation of site conditions and repair activities.

The key to maximizing reimbursement down the road is to immediately begin to document everything as best as you can.

It can take months and even years to get reimbursement for disaster repairs, so it is critical to document everything from day one, hour one to be able to tell that story for when people leave, retire, or move on to other things.

- Staff/Equipment time, by site/location (for emergency repairs) – Initially a log/diary is sufficient, but it is best to set up time sheet codes specific to sites
- Damage site locations (photos with GPS locations and damage descriptions at a minimum) – Get latitude and longitude information for each site



## A.2 Emergency Response Procurement 101

Disaster repairs are not easily defined or scoped. Account for additional costs associated with Preliminary Damage Assessments for Detailed Damage Inspection Reports when estimating funding. Setting up contracts to allow consultants to move funding between tasks or sites without a DOT&PF contracting action will add efficiency. Time and Expense (T&E) may be advantageous for staff augmentation and a fixed-price (FP) or cost-plus fixed fee (CPFF) contract structure may be better for more well-defined scope.

### ***Procurement – Federal Highway Administration (FHWA)***

FHWA procurement during a disaster generally follows standard FHWA processes, as outlined in the *Large and Small Procurement Manuals*, *Alaska Construction Manual*, and procurement standards.

### ***Procurement – Federal Emergency Management Agency (FEMA)***

In terms of eligibility for potential future FEMA funding, FEMA has very specific procurement rules that determine reimbursement for consultants and contractors. A federal declaration may or may not come, but it's good to have things documented correctly in case the funding does come through so dollars aren't at risk of being ineligible.

For FEMA, follow federal contracting requirements. Contracts must not be a cost-plus-percentage-of-cost contract type. Time and materials contracts must also have a ceiling price and additional justification for why another contracting type isn't suitable. FEMA prefers use of Lump Sum, Unit Price, and CPFF over Time and Materials (T&M). T&E and T&M contracts need close management.

There are exceptions to the rules for non-competitive procurement/single-source contracts when there are emergency or exigent circumstances. The key steps to take to single source a contract due to emergency circumstances (from FEMA directly) are as follows:

- Write a justification to describe the emergency or exigent circumstances.
- Provide a brief description of the goods or services needed.
- Estimate the expected dollar amount of the goods or services (cost analysis is required for contracts over \$250,000).
- Describe any known conflicts of interest and efforts made to identify possible conflicts of interest.
- Define and justify the period of emergency or exigency for the specific situation.
- Transition to a competitively bid contract as soon as the emergency or exigent period ends.

More detailed FEMA guidance is here: <https://www.fema.gov/grants/procurement/understand-exception>, including additional rules and regulations that must be included in the contract.

## A.2.1 FEMA Construction Contract Requirements

### REQUIRED CONTRACT PROVISIONS FOR FEMA CONSTRUCTION CONTRACTS (2 C.F.R. § 200.326 and 2 C.F.R. Part 200, Appendix II)

#### **Termination for Cause and Convenience**

- (1) See Standard Specification Sections 108-1.08 and 108-1.09 for contract language addressing termination for cause and for convenience to address the basis for settlement.

#### **Equal Employment Opportunity (EEO)**

- (1) See Form 25A-301 for Federal EEO requirements for this contract.

#### **Davis Bacon Act and Copeland Anti-Kickback Act**

- (1) All construction contracts in excess of \$2,000 shall comply with the Davis-Bacon Act (40 U.S.C. § 3141-3144 and 3146-3148) as supplemented by Department of Labor regulations at 29 C.F.R. Part 5 (Labor Standards Provision Applicable to Contracts Covering Federally Financed and Assisted Construction).
- (2) In accordance with the statute, the contractors shall pay wages to laborers and mechanics at a rate not less than the prevailing wages specified in a wage determination made by the Secretary of Labor. In addition, contractors shall pay wages not less than once a week.
- (3) Compliance with the Copeland “Anti-Kickback” Act.
  - a. Contractor. The contractor shall comply with 18 U.S.C. § 874, 40 U.S.C. § 3145, and the requirements of 29 C.F.R. pt. 3 as may be applicable, which are incorporated by reference into the contract.
  - b. Subcontracts. The contractor or subcontractors shall insert in any subcontracts the clause above and also a clause requiring the subcontractors to include these clauses in any lower tier subcontracts. The prime contractor shall be responsible for the compliance by any subcontractor or lower tier subcontractor with all of these contract clauses.
  - c. Breach. A breach of the contract clauses above may be grounds for termination of the contract, and for debarment as a contractor and subcontractor as provided in 29 C.F.R. § 5.12.

#### **Contract Work Hours and Safety Standards Act**

- (1) All construction contracts in excess of \$100,000 must comply with 40 U.S.C. § 3702 and 3704, as supplemented by Department of Labor regulations at 29 C.F.R. Part 5.
- (2) Compliance with the Contract Work Hours and Safety Standards Act.
  - a. Overtime Requirements. No contractor or subcontractor contracting for any part of the contract work which may require or involve the employment of laborers or mechanics shall require or permit any such laborer or mechanic in any workweek in which he or she is employed on such work to work in excess of forty hours in a such workweek unless such laborer or mechanic receives compensation at a rate not less than one and one-half times the basic rate of pay for all hours worked in excess of forty hours in such workweek.
  - b. Violation; liability for unpaid wages; liquidated damages. In the event of any violation of the clause set forth in paragraph (a.) of this section the contractor and any subcontractor responsible therefor shall be liable for the unpaid wages. In addition, such contractor and subcontractor shall be liable to the United States, for liquidated damages. Such liquidated damages shall be computed with respect to each individual laborer or mechanic, including watchmen and guards, employed in violation of the clause set forth in paragraph (a.) of this section, in the sum of \$10 for each calendar day on which such individual was required or permitted to work in excess of the standard workweek of forty hours without payment of the overtime wages required by the clause set forth in paragraph (a.) of this section.



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- c. Withholding for unpaid wages and liquidated damages. The Department shall upon its own action or upon written requests of an authorized representative of the Department of Labor withhold or cause to be withheld, from any moneys payable on account of work performed by the contractor or subcontractor under any such contract or any other Federal contract with the same prime contractor, or any other federally-assisted contract subject to the Contract Work Hours and Safety Standards Act, which is held by the same prime contractor, such sums as may be determined to be necessary to satisfy any liabilities of such contractor or subcontractor for unpaid wages and liquidated damages as provided in the clause set forth in paragraph (b.) of this section.
- d. Subcontracts. The contractor or subcontractor shall insert in any subcontracts the clauses set forth in paragraphs (a.) through (d.) of this section and also a clause requiring the subcontractors to include these clauses in any lower tier subcontracts. The prime contractor shall be responsible for compliance by any subcontractor or lower tier subcontractor with the clauses set forth in paragraphs (a.) through (d.) of this section.

## **Clean Air Act**

- (1) The contractor agrees to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act, as amended, 42 U.S.C. § 7401 et seq.
- (2) The contractor agrees to report each violation to the Department and understands and agrees that the Department will, in turn, report each violation as required to assure notification to the State of Alaska, Division of Homeland Security & Emergency Management (DHS&EM) Federal Emergency Management Agency, and the appropriate Environmental Protection Agency Regional Office.
- (3) The contractor agrees to include these requirements in each subcontract exceeding \$100,000 financed in whole or in part with Federal assistance provided by FEMA.

## **Debarment and Suspension**

- (1) This contract is a covered transaction for purposes of 2 C.F.R. pt. 180 and 2 C.F.R. pt. 3000. As such the contractor is required to verify that none of the contractor, its principals (defined at 2 C.F.R. § 180.995) or its affiliates (defined at 2 C.F.R. § 180.905) are executed (defined at 2 C.F.R. § 180.940) or disqualified (defined at 2 C.F.R. § 180.935).
- (2) The contractor must comply with 2 C.F.R. pt. 180, subpart C and 2 C.F.R. pt. 3000, subpart C and must include a requirement to comply with these regulations in any lower tier covered transaction it enters into.
- (3) If it is later determined that the contractor did not comply with 2 C.F.R. pt. 180, subpart C and 2 C.F.R. pt. 3000, subpart C, in addition to remedies available to the Department, the Federal Government may pursue available remedies, including but not limited to suspension and/or debarment.
- (4) The bidder shall comply with the requirements of 2 C.F.R. pt. 180, subpart C and 2 C.F.R. pt. 3000, subpart C while this offer is valid and throughout the period of any contract that may arise from this offer. The bidder further agrees to include a provision requiring such compliance in its lower tier covered transactions.

## **Procurement of Recovered Materials**

Comply with Section 6002 of the Solid Waste Disposal Act, Pub. L. No. 89-272 (1965)

- (1) In the performance of this contract, the Contractor shall make maximum use of products containing recovered materials that are EPA-designated items unless the product cannot be acquired—
  - a. Competitively within a timeframe providing for compliance with the contract performance schedule;
  - b. Meeting contract performance requirements; or
  - c. At a reasonable price.



## **Federal Water Pollution Control Act**

- (1) The contractor agrees to comply with all applicable standards, orders or regulations issued pursuant to the Federal Water Pollution Control Act, as amended, 33 U.S.C. 1251 et seq.
- (2) The contractor agrees to report each violation to the Department and understands and agrees that the Department will, in turn, report each violation as required to assure notification to the State of Alaska, Division of Homeland Security & Emergency Management (DHS&EM), Federal Emergency Management Agency, and the appropriate Environmental Protection Agency Regional Office.
- (3) The contractor agrees to include these requirements in each subcontract exceeding \$150,000 financed in whole or in part with Federal assistance provided by FEMA.

## **Access to Records: The following access to records requirements apply to this contract:**

- (1) The contractor agrees to provide the Department, State of Alaska Division of Homeland Security & Emergency Management (DHS&EM), the FEMA Administrator, the Comptroller General of the United States, or any of their authorized representatives access to any books, documents, papers, and records of the Contractor which are directly pertinent to this contract for the purposes of making audits, examinations, excerpts, and transcriptions.
- (2) The Contractor agrees to permit any of the foregoing parties to reproduce by any means whatsoever or to copy excerpts and transcriptions as reasonably needed.
- (3) The contractor agrees to provide the FEMA Administrator or his authorized representatives access to construction or other work sites pertaining to the work being completed under the contract.

## **DHS Seal, Logo, and Flags.**

The contractor shall not use the DHS seal(s), logos, crests, or reproductions of flags or likenesses of DHS agency officials without specific FEMA pre-approval.

## **Compliance with Federal Law, Regulations, and Executive Orders.**

This is an acknowledgement that FEMA financial assistance will be used to fund the contract only. The contractor will comply with all applicable federal law, regulations, executive orders, FEMA policies, procedures, and directives.

## **No Obligation by Federal Government**

The Federal Government is not a party to this contract and is not subject to any obligations or liabilities to the non-Federal entity, contractor, or any other party pertaining to any matter resulting from the contract.

## **Program Fraud and False or Fraudulent Statements or Related Acts.**

The contractor acknowledges that 31 U.S.C. Chap. 38 (Administrative Remedies for False Claims and Statements) applies to the contractor's actions pertaining to this contract.

## **Byrd Anti-Lobbying Amendment**

Contractors who apply or bid for an award of \$100,000 or more shall file the required certification. Each tier certifies to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant, or any other award covered by 31 U.S.C. § 1352. Each tier shall also disclose any lobbying with non-Federal funds that takes place in connection with obtaining any Federal award. Such disclosures are forwarded from tier to tier up to the recipient.

The under signed [Contractor] certifies, to the best of his or her knowledge, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation,



# Alaska Department of Transportation and Public Facilities

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- renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying", in accordance with its instructions.
  - (3) The undersigned shall require that the language of this certification be included in the award documents for all subcontracts at all tiers and that all subcontractors shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31, U.S.C. § 1352 (as amended by the Lobbying Disclosure Act of 1995). Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

The Contractor, \_\_\_\_\_, certifies or affirms the truthfulness and accuracy of each statement of its certification and disclosure, if any. In addition, the Contractor understands and agrees that the provisions of 31, U.S.C. § 3801 *et seq.*, apply to this certification and disclosure, if any.

\_\_\_\_\_  
Signature of Contractor's Authorized Official

\_\_\_\_\_  
Name and Title of Contractor's Authorized Official

\_\_\_\_\_  
Date

## A.3 FHWA Detailed Damage Inspection Report (DDIR) Process

This section provides an overview of how to complete the FHWA Detailed Damage Inspection Report (DDIR) through FHWA's Mobile Solution for Assessment and Reporting (MSAR) application to collect and report post-disaster transportation information.

### Roles

The following roles complete, submit, and approve the DDIRs:

- Record Owner – Person preparing the DDIR; may be DOT&PF staff or a consultant assigned to draft the DDIRs
- AK – Supervisor – Person with authority to submit draft DDIRs for state and FHWA approvals
- AK – State Coordinator – State delegate with signatory authority, typically the Maintenance and Operations (M&O) Manager
- FHWA Area Engineer – FHWA delegate with signatory authority and final approval

### Completing the DDIR

To create a new DDIR, click on the “New” button on the Design Study Report/DDIRs Tab in Salesforce.

The following sections list the fields included on the DDIR to be filled out by DOT&PF. Some fields, including the Declared Event Name, Disaster Name, and Disaster Number, will be populated by FHWA when the project is set up on Salesforce. These fields cannot be edited by DOT&PF.

#### 1. Reference Information and Event/Applicant Information

This section includes general reference information and information about the event and applicant. Fields to be populated include:

- Report Name: Report naming structure will be provided by FHWA depending on the event type and size. Each report name should end with the damage site number as the last three digits.
- Sub-applicant: Region
- Inspection Date: Select a date
- FLATF Eligible?: Federal Lands Access Transportation Facility; choose “None,” “Yes,” or “No”
- Environmental Assessment Recommendation: Checkboxes are available for “Categorical Exclusion” and “EA/EIS;” check as applicable
- County: List “Borough”
- Congressional District: Alaska
- Federal Aid Route Number: Self-explanatory
- FMIS Number: Financial Management Information System; enter if applicable
- Federal Project Number: Federal number assigned to the project
- Financial Number: Integrated Resource Information System (IRIS) numbers assigned to the project

#### 2. Damage Details

This section is intended to describe the damage to the facility and the scope of work (SOW) necessary to restore essential traffic, minimize the extent of damage, or protect the remaining facilities:

- Facility Name: Self-explanatory
- Facility Number: Self-explanatory
- Facility Type: Dropdown menu, with options of “Road,” “Trail,” and “Transit”



- Mile Post: Self-explanatory
- Latitude: Self-explanatory
- Longitude: Self-explanatory
- Maintenance Level: Self-explanatory
- Average Daily Traffic (ADT): Provide if readily available, or can leave blank
- Travel Way Surface Type: Self-explanatory
- Travel Way Thickness: Self-explanatory
- Travel Way Width: Self-explanatory
- Shoulder Surface Type: Self-explanatory
- Shoulder Thickness: Self-explanatory
- Shoulder Width: Self-explanatory
- Bridge Data:
  - » Bridge Type: List type or enter "N/A" if not applicable
  - » Bridge ID: National Bridge Inspection Standards # or enter "N/A" if not applicable
- Description and Cause of Damage: Describe when the event occurred (i.e., date), how the event caused the damage, what damage the event caused, and why the damage is eligible for Emergency Repair funding.
- Scope of Work: Describe the SOW to return the facility to pre-event conditions. If there will be both Emergency Repairs and Permanent Repairs on a facility, specify the SOW for each type of repair separately.
- Comments: List any other relevant comments on the event, the emergency repairs done to date, or leave blank.

### 3. Project Cost Summary

The Regions' M&O Section gathers cost information from all appropriate parties to create the cost estimate.

- Cost Estimate: If the site is determined to need funding beyond the M&O Program, the Region M&O Office will coordinate with the Region and Statewide offices to finalize the cost estimate.
- Project Control calculates and populates the indirect cost allocation percentage (ICAP). This indirect cost rate is entered into the estimate as a line item "ICAP" upon review and approval of the draft DDIR.

Project costs should be entered separately for Emergency Repairs and Permanent Repairs. The record owner should indicate whether the repairs are being performed by State/Local Forces or Contract by checking the respective boxes in this section. The Total Estimated Repair Costs are automatically calculated and populated in this section once the Cost Estimates are added by the Record Owner.

The following fields need to be completed in this section:

- Emergency Repairs
- Construction Engineering (CENG) Emergency Repair Amount
- Preliminary Engineering (PE) Emergency Repair Amount
- Permanent Repairs
- Preliminary Engineering Costs
- Construction Engineering Costs
- Right-of-Way Amount

Individual costs for Emergency Repairs and Permanent Repairs can be added by clicking the "New Emergency

Repairs” or “New Permanent Repairs” button at the top and bottom of the draft DDIR page. Each construction item must include the following information and be added separately to the cost estimate:

- Item Description
- Item Unit
- Item Price
- Quantity
- Item Percent Complete: If no work has been completed to date, enter 0; if work is completed, enter 100; if work is in progress, estimate percentage completion at time of DDIR submittal and approval.

Once all fields are entered, the following totals are automatically calculated and populated in this section:

- Emergency Repair Total
- Permanent Repair Total
- Total DDIR Estimated Amount

A breakdown of the cost estimate can be provided as a separate document attached to the DDIR. Documents can be uploaded under the “Notes & Attachments” section. FHWA may approve the initial DDIRs without a detailed cost estimate, but any revisions must include a cost estimate for the emergency and permanent work, as applicable, for FHWA approval.

Note: All emergency and permanent work completed within the first 180 days of the disaster declaration is eligible at 100 percent Federal Share. Work completed after the first 180 days will be reimbursed at the federal funds sliding scale ratio (93.40 percent for interstates, 90.97 percent for other routes).

## 4. Approval and Revisions

Once the DDIR has been completed and reviewed, it is time to submit. At the bottom of the draft DDIR page, click the button “Submit for Approval.” The AK – Supervisor will submit the DDIR for approval by the AK – State Coordinator. Once the DDIR has been reviewed and approved by the AK – State Coordinator, it is submitted to FHWA for approval. FHWA signature and recommendation as “Active Eligible” is required prior to permanent work. A history of the approvals, including dates, status, and approvers, is listed at the bottom of the DDIR page.

### DDIR Revisions

DDIR revisions will be completed if the following occur:

- Change in SOW
- Total cost of DDIR increases
- Post bid opening prices
- Changes in cost due to change orders

To revise a DDIR, select “unlock” at the top right corner of the DDIR. Once the status of the DDIR is changed from Active Eligible to “Pending Revision,” the DDIR will be available to revise. Once changed, the DDIR will be resubmitted following the same procedure as the draft DDIR submittal. Once approved by FHWA, the status will change to Active Eligible again.



## A.4 Permanent Repair Project Development Tips

Permanent Repair projects must follow the standard process in the *Alaska Highway Preconstruction Manual*. Once sites are identified and the event meets funding thresholds, sites are often grouped into repair projects by location, type of work, and other factors for efficiency. Here are some tips on how to keep the project development process moving as quickly as possible.

### **1. Prepare Project Development Authorizations (PDAs) in advance.**

To minimize the amount of time spent waiting for Authorization to Proceed (ATP), have the PDA drafted and ready to route for signatures as soon as the Class of Action, Environmental Document, and/or Certification are approved. Ideally, the PDA will be submitted on the same day that the electronic project information document (ePID) is signed by the Regional Environmental Manager (ATP through Preliminary Design and ATP through Final Design) and on the same day that the Preconstruction Engineer signs the Certification form (ATP through Construction & Utilities).

### **2. Provide supplemental information to Project Control with the PDA.**

Project Control needs a variety of specific information to correctly establish funding for any given location. The example PDA provided in the appendix gives information such as route number, National Bridge Inventory (NBI) number, damage site number or DDIR, milepoint range, federal match rate, and more. This information ensures that the PDA is processed quickly and that funding is set up correctly.

### **3. Combine the Plans-in-Hand (PIH) and Plans, Specifications, and Estimate (PS&E) review.**

The *Alaska Highway Preconstruction Manual* states in Section 450.15 that some smaller projects may have a combined PIH and PS&E review if approved by the regional preconstruction engineer. A short memo is typically drafted for signature by the preconstruction engineer; an example of one such memo is provided in **Appendix A.7**. Combining reviews can save at least 4 weeks in the project schedule, and often more.

### **4. Maximize flexibility and minimize re-work by setting up AASHTOWare Project (AWP) projects on a per-DDIR basis.**

AWP allows project managers to combine any number of projects into a single proposal for bidding purposes. By creating a standalone project for each DDIR (FHWA-funded projects only), DDIRs can then be added or removed from the proposal quickly and without the need to update a single Engineer's Estimate. Setting up individual DDIR projects allows for funding to be assigned by improvement type and reimbursement rate within the proposal. AWP guidance for how to do this can be found in **Appendix A.7**.

*Intentionally left blank*



**A.5 Environmental Permits, Authorizations, and Consultations**

<b>Federal</b>		
<b>Agency</b>	<b>Permits, Approvals, and Consultations</b>	<b>Activity</b>
National Marine Fisheries Service (NMFS)	Essential Fish Habitat (EFH) Assessment	Work may a
	Section 7 Consultation	Work that m whales and/ threatened c
U.S. Army Corps of Engineers (USACE)	Section 10 Permit	Work below mark of nav
	Section 404 Permits Individual Permits	Discharge o wetlands an
	1. Standard Permits	
	2. Letters of Permission	
General Permits	1. Regional Permits	
	2. Nationwide Permits	
	3. Programmatic Permits	
U.S. Coast Guard (USCG)	Navigability Determination Section 9 Bridge Permit	Construct o across a na
U.S. Forest Service (USFS)	Special-use Authorization	Work on US
U.S. Fish and Wildlife Service (USFWS)	Bald Eagle Non-purposeful Take Take of Eagle Nests	Project resu eagles, nest
	Section 7 Consultation	Work that m or Endanger critical habit
<b>State</b>		
<b>Agency</b>	<b>Permits, Approvals, and Consultations</b>	<b>Activity</b>
Alaska Department of Environmental Conservation (DEC)	Alaska Pollutant Discharge Elimination System Construction General Permit	Construction 1 acre of gro maintenanc
	Tier 3 Consultation	Work discha waterway w of a state or



## Emergency Funding and Documentation

Website	
adversely affect EFH	<a href="http://alaskafisheries.noaa.gov/habitat/efh.htm">http://alaskafisheries.noaa.gov/habitat/efh.htm</a>
may adversely affect beluga or other federally listed or endangered marine mammals	<a href="http://www.nmfs.noaa.gov/pr/consultation/">http://www.nmfs.noaa.gov/pr/consultation/</a>
the Ordinary High Water (OHW) navigable waters	
of dredged or fill material into Waters of the U.S.	<a href="http://www.poa.usace.army.mil/Missions/Regulatory.aspx">http://www.poa.usace.army.mil/Missions/Regulatory.aspx</a>
or modify a bridge or causeway navigable waterway of the U.S.	<a href="http://www.uscg.mil/hq/cg5/cg551/BPAG_Page.asp">http://www.uscg.mil/hq/cg5/cg551/BPAG_Page.asp</a>
FS land	<a href="http://www.fs.fed.us/specialuses/special_app_process.shtml#sp-app-d">http://www.fs.fed.us/specialuses/special_app_process.shtml#sp-app-d</a>
its in a take of or disturbs its, or eggs	<a href="http://www.fws.gov/migratorybirds/CurrentBirdIssues/Management/BaldEagle/ApplicationandReports.html">http://www.fws.gov/migratorybirds/CurrentBirdIssues/Management/BaldEagle/ApplicationandReports.html</a>
may impact federally Threatened red species or their designated at	<a href="http://www.fws.gov/endangered/permits/index.html">http://www.fws.gov/endangered/permits/index.html</a>
Website	
n projects disturbing more than ound, excluding routine e projects	<a href="http://www.dec.state.ak.us/water/wnpssc/stormwater/sw_construction.htm">http://www.dec.state.ak.us/water/wnpssc/stormwater/sw_construction.htm</a>
arging stormwater into a ithin or less than 1 mile upstream federal park or wildlife refuge	<a href="http://www.dec.alaska.gov/water/wqsar/Antidegradation/docs/P&amp;P-Interim_Antidegradation_Implementation_Methods.pdf">http://www.dec.alaska.gov/water/wqsar/Antidegradation/docs/P&amp;P-Interim_Antidegradation_Implementation_Methods.pdf</a>



State (continued)		
Alaska Department of Environmental Conservation (DEC)	DEC Plan Review and Letter of Non-objection	Projects v controls, t systems
	Wastewater General Permit - Excavation Dewatering	Discharge sites loca OR from a co from a co not eligibl Discharge
	Wastewater General Permit - Contained Water	Discharge water from other con meets wa waters of
	Section 401 Certification (done by USACE with Section 404 or Section 10 Permit)	Discharge
Alaska Department of Fish and Game (ADF&G)	Title 16 Fish Habitat Permit	Activities over anac
	Fish Resource Permit	Capturing seines, or
	Special Areas Permit	Work with critical ha
Alaska Department of Natural Resources Division of Mining Land and Water (DNR-DMLW)	Tidelands Lease/Permit	Includes v owned lan surface or excavatio
	Right-of-way Permit	
	Land Use Permit	
	Temporary Water Use Permit	
	Water Right Permit/Certificate	
	Material Site Permit	
Alaska Department of Natural Resources Division of Parks and Outdoor Recreation (DNR-DPOR)	Special Use Permit	Work with area/site
	Section 6(f) Conversion of Use	
Alaska Department of Natural Resources Division of Parks and Outdoor Recreation (DNR-DPOR)	Section 106 (federally funded) Consultation	All project
	Alaska Historic Preservation Act (state funded) Consultation	

## Emergency Funding and Documentation

with permanent stormwater treatment controls, or sewer	
of wastewater from excavations on sites located <1 mile from a contaminated site	
excavations on sites located >1 mile from a contaminated site when the project is not eligible for coverage under Alaska Pollutant Discharge Elimination System (APDES)	<a href="http://dec.alaska.gov/water/wnpssc/stormwater/index.htm">http://dec.alaska.gov/water/wnpssc/stormwater/index.htm</a>
of contained wastewater (e.g., in tanks, swimming pools, and containers holding wastewater that do not meet water quality standards) to lands and waters within the state	
into Waters of the U.S.	
that require work below OHW of or in riparian or stream waters or EFH	<a href="http://www.habitat.adfg.alaska.gov/generalpermits/fhpermitapp.pdf">http://www.habitat.adfg.alaska.gov/generalpermits/fhpermitapp.pdf</a>
for collecting fish using minnow traps, beach seines, or dip nets	
within or adjacent to a state refuge, national wildlife refuge, habitat area, or game sanctuary	<a href="http://www.habitat.adfg.alaska.gov/generalpermits/specareapermit.pdf">http://www.habitat.adfg.alaska.gov/generalpermits/specareapermit.pdf</a>
work within tidelands, work on state lands, use of fresh water from surface or subsurface sources, and work on a state-owned material site	<a href="http://dnr.alaska.gov/mlw/index.htm">http://dnr.alaska.gov/mlw/index.htm</a>
within a state park or recreation area	<a href="http://dnr.alaska.gov/parks/permits/supapp.pdf">http://dnr.alaska.gov/parks/permits/supapp.pdf</a>
for historic properties	<a href="http://www.dot.state.ak.us/stwddes/desenvironment/resources/historicproperties.shtml">http://www.dot.state.ak.us/stwddes/desenvironment/resources/historicproperties.shtml</a>



<b>State (Continued)</b>		
DOT&PF and/or FHWA or Federal Aviation Administration	Section 4(f) Determination of Use	Work with recreation refuges, c
<b>Borough/Municipality</b>		
Kenai Peninsula Borough (KPB)	KRC Multi-agency Permit Application (single application for certain federal, state, and KPB permits)	Project af within the (extends c anadromic
Municipality of Anchorage (MOA)	Noise Permit	Work that property c and on ni
32 Participating Communities and Boroughs	Flood Hazard Permit	Work with Managem

## Emergency Funding and Documentation

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within publicly owned parks,  
natural areas, wildlife and waterfowl  
or public and private historical sites

<http://environment.fhwa.dot.gov/4f/index.asp>

affects environmental resources or is  
within a 50-Foot Habitat Protection Area  
(outwards 50 feet from OHW of  
tributaries and streams)

<http://www.kenairivercenter.org/Permits/pdfs/multi-agencyappwritable.pdf>

noise will occur near a residential  
or other noise-sensitive receiver  
during construction hours, weekends, or holidays

<http://www.muni.org/departments/traffic/engineering/documents/hhs%20noise%20permit.pdf>

located within a Federal Emergency  
Disaster Act mapped floodway



## A.6 Local Agency and Sub-Entity Tip Sheet

Local agencies and sub-entities are responsible for meeting federal policies and regulations for reimbursement of federal emergency relief funding. The following table outlines the two main federal emergency relief funding programs through the Federal Highway Administration (FHWA) Emergency Relief Program and the Federal Emergency Management Agency (FEMA) Public Assistance Program. Eligibility for each program is typically first determined by road classification and minimum funding cost.

### FHWA and FEMA Overview

AGENCY	PROGRAM	ROAD CLASSIFICATION <sup>1</sup>	FEDERAL COST SHARE		MINIMUM FUNDING/COST <sup>2</sup>	
			EMERGENCY	PERMANENT	PER DISASTER	PER SITE
FHWA <sup>3</sup>	Emergency Relief Program	Interstate	100%	93.40%	\$700,000	\$5,000
		Non-Interstate: Arterial, Urban Collectors, Major Rural Collectors	100%	90.97%		
FEMA <sup>4</sup>	Public Assistance Grant Program	Minor Rural Collectors	75%	75%	N/A	\$3,320
		Local Roads				

<sup>1</sup> [Statewide Functional Classification GIS Map](http://www.dot.alaska.gov/stwdplng/fclass/fclassmaps.shtml) - <http://www.dot.alaska.gov/stwdplng/fclass/fclassmaps.shtml>

<sup>2</sup> *Minimum funding and cost includes administrative costs. Best practice is to establish individual funding codes rather than billing to a collective disaster code.*

<sup>3</sup> [FHWA Emergency Relief Manual, 2013](https://www.fhwa.dot.gov/reports/erm/er.pdf) - <https://www.fhwa.dot.gov/reports/erm/er.pdf>

<sup>4</sup> [FEMA Public Assistance Program and Policy Guide \(PAPPG\), V4 2020](https://www.fema.gov/sites/default/files/2020-06/fema_public-assistance-program-and-policy-guide_v4_6-1-2020.pdf) - [https://www.fema.gov/sites/default/files/2020-06/fema\\_public-assistance-program-and-policy-guide\\_v4\\_6-1-2020.pdf](https://www.fema.gov/sites/default/files/2020-06/fema_public-assistance-program-and-policy-guide_v4_6-1-2020.pdf)

Note: As soon as there is a Presidential Disaster Declaration, debris removal is eligible under FEMA, not FHWA, regardless of road classification.

For projects that are eligible through the FEMA Public Assistance Program, the local agency will work directly with the Alaska Division of Homeland Security and Emergency Management (DHS&EM) and Department of Military and Veteran Affairs (DMVA) for obligation and reimbursement of the funds. All projects (including emergency and permanent repairs) in which FHWA is the funding agent are required to be administered and executed through the state transportation authority (DOT&PF) to ensure compliance with federal regulations and in accordance with DOT&PF priorities. DOT&PF no longer acts as a pass-through for FHWA federally funded projects but instead executes the federal funds directly on behalf of the owner. This includes advertisement of the bid documents and construction administration during construction by DOT&PF. (This does not apply to immediate initial response/recovery actions by an agency in an emergency to protect health, safety, or property.)

In addition, match funds required to receive FHWA emergency repair funds are the responsibility of the facility's owner. If the local agency or sub-entity wants FHWA assistance in fixing their road, they would request a Memorandum of Agreement with DOT&PF. DOT&PF would submit a Detailed Damage Inspection Report (DDIR) for approval by FHWA, initiate a project, and perform any contracting action. The local agency or sub-entity would provide appropriate match funds for DOT&PF to then execute a project through to final construction completion.

The local agency is responsible for compiling documentation that meets the federal guidelines for FHWA and/or FEMA, as appropriate. Key federal documentation requirements include:

- Certified payroll for contractors
- Davis/Bacon wages
- Detailed documentation, including location, amount, type, and final disposal location and permits depending on the agency

*Best practices include: Utilize FEMA Category Z for reimbursement of administrative costs, track FHWA costs by DDIR, and reference Chapter 16 of the Alaska Construction Manual for project closeout requirements.*

## A.7 Using AASHTOWare for Multi-DDIR Projects

This memo demonstrates how multiple DDIRs can be bid together in one project in AASHTOWare without losing the ability to track costs for each DDIR as required by FHWA.

### MEMORANDUM



**Date:** Tuesday, April 20, 2021

**Project:** November 2018 Earthquake Response

**From:** Greg Hartman, HDR

**Subject:** Using AASHTOWare Project for multi-DDIR projects

AASHTOWare Project (AWP) is the Alaska Department of Transportation's current tool for advertising projects for construction. The portal can be accessed externally at: <https://awp.dot.alaska.gov>.

In AWP, the engineer's estimate is created/entered into a *project*. One or more projects are then fed into a single *proposal* for advertisement or *letting*. If multiple projects are combined into a proposal, duplicate pay items can be "rolled up" so that there is a single line item on the bid schedule with a total quantity listed in the proposal. For example, if two projects both contain the Borrow, Type A pay item, one 5 tons and the other 2 tons, these will combine into a single pay item with 7 tons on the proposal bid schedule.

For earthquake Programs that encompass multiple DDIRs, each DDIR will be broken out as an independent *project*. This will allow for each DDIR to have its own complete engineer's estimate for fund tracking purposes. A single *proposal* will be created for the Program and the component *projects* will collapse into a total estimate.

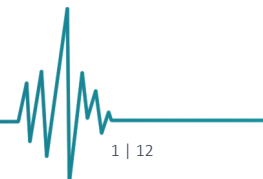
The following is a brief walkthrough of a representative Program. The Glenn Parks Interchange Repairs Program is comprised of 5 DDIRs. Each DDIR became a *project*.

- CFHWY00594-015 Glenn Parks Interchange
- CFHWY00594-048 Glenn Hwy MP 29.3
- CFHWY00594-067 Fireweed Dr East of Loberg Lake
- CFHWY00594-102 Woodworth Loop MP 0.1
- CFHWY00594-190 Old Glenn at Palmer Off Ramp MP 0.1

These *projects* each require an independent Engineer's Estimate in AWP. The *projects* are then combined into a single *proposal* called CFHWY00594 Glenn Parks Interchange Repairs – Nov 2018 EQ PR. Example reports for this Program are included in this guide as a reference.

Consultant Users will only have access to *projects* that have been assigned by the DOT&PF Project Manager and will be responsible for entering quantities and unit prices for each and every pay item on each and every *project*. The DOT&PF PM will create the Proposal and assign funding to each pay item. Consultants cannot view Proposals or funding information.

When adding a new item to the Engineer's Estimate, ensure that the "Combine" option is switched to "yes" for every pay item. This is what allows pay items to "roll up" on the bid schedule.





## MEMORANDUM



Project Item Worksheet

There are unsaved changes.

Project: CFHWY00594-015 - Glenn Parks Interchange

Save ?

Project Item Total

3,813,793.00

Q Type search criteria or press Enter

System Default

Showing 42 of 42

Cat ID	Line Num	Item	Description	Supp Desc Instructions	Bid Sched Supp Desc	Roll Up Supp Desc	Combine	Units	Quantity	Price	Ext Amt
018B - Basic Bid	10	202.0001.0000	Removal of Structures and Destructors				Yes	LS	1.000	10,000.00	10,000.00
018B - Basic Bid	20	202.0002.0000	Removal of Pavement				No	SY	15,000.000	5.00	75,000.00
018B - Basic Bid	30	202.0004.0000	Removal of Culvert Pipe				Yes	LF	50.000	70.00	3,500.00
018B - Basic Bid	40	203.0003.0000	Unclassified Excavation				Yes	CU	7,000.000	12.50	87,500.00
018B - Basic Bid	50	203.0006.000A	Borrow, Type A				Yes	TON	10,000.000	12.00	120,000.00

Combine	Units
Yes	L
No	S
Yes	L
Yes	C

Remind the PM to add a Construction Engineering (CENG) Percent/Amount to the Proposal. The Summary Engineer's Estimate requires that the CENG percentage be attributed to the Proposal itself. CENG from component projects will not carry through.

Other tips:

- Hit "Save" often. If your session times-out or you switch pages, your work will be lost.
- AWP will automatically log you out after 40 minutes of inactivity.  
 , your session has been inactive for 30 minutes. You have 10 minutes before the system will log you off.
- Find your project by searching in the Project Overview field:

Project Overview

Type search criteria or press Enter

Advanced





## MEMORANDUM



- Choose your project from the results:

▼ Project Overview

Q cfwy00594 Advanced Showing 6 of 6

Project	Type	Name
CFHWY00594		GLENN PARKS INTERCHANGE REPAIRS - NOV 2018 EQ PR
CFHWY00594-015	01 - Highways	Glenn Parks Interchange
CFHWY00594-048	01 - Highways	Glenn Hwy MP 29.3
CFHWY00594-067	01 - Highways	Fireweed Dr East of Loberg Lake
CFHWY00594-102	01 - Highways	Woodworth Loop MP 0.1
CFHWY00594-190	01 - Highways	Old Glenn at Palmer Off Ramp MP 0.1

- For ease of switching between projects, you can bookmark pages with the “My Pages” button:

Home ▼ Previous ▼ My Pages ▼

Overview Categories and Items

### Project Item Worksheet

▼ Project: CFHWY00594

**Project Item Total**  
214 115 50

My Pages

Remember this Page

Project Item Worksheet  
Project: CFHWY00594-067 - Fireweed Dr East of Lobe...

Project Item Worksheet  
Project: CFHWY00594-048 - Glenn Hwy MP 29.3

Project Item Worksheet  
Project: CFHWY00594-015 - Glenn Parks Interchange





## MEMORANDUM



Detailed proposal estimate

### plans in hand Proposal Engineer's Estimate

Proposal Description: Glenn Parks Interchange Repairs - Nov 2018 EQ PR

Proposal ID: CFHWY00594

Component project number

Project Description: Glenn Parks Interchange

Federal Project Number: State Project Number: CFHWY00594-015

First project

Project Line #	Proposal Line #	Item #	Description	Unit	Qty.	Price	Ext. Amount	Furnished Material
Category Basic Bid								
10	10	202.0001.0000	Removal of Structures and Obstructions	LS	All Required	10,000.00	10,000.00	
20	20	202.0002.0000	Removal of Pavement	SY	15,000.000	5.00	75,000.00	
30	30	202.0004.0000	Removal of Culvert Pipe	LF	50,000	70.00	3,500.00	
40	40	203.0003.0000	Unclassified Excavation	CY	7,000.000	12.50	87,500.00	
50	50	203.0006.000A	Borrow, Type A	TON	10,000.000	12.00	120,000.00	
60	60	203.0006.000C	Borrow, Type C	TON	5,000.000	6.25	31,250.00	
70	70	301.0001.00D1	Aggregate Base Course, Grading D-1	TON	1,000.000	35.50	35,500.00	
80	80	306.0001.0000	ATB	TON	15,000.000	109.08	1,636,200.00	
90	90	306.0002.5240	Asphalt Binder, Grade PG 52-40	TON	40,000	800.00	32,000.00	
100	100	401.0001.002A	HMA, Type II; Class A	TON	100,000	142.93	14,293.00	
110	110	401.0004.5240	Asphalt Binder, Grade PG 52-40	TON	1,000.000	800.00	800,000.00	
120	120	401.0008.002A	HMA Price Adjustment, Type II; Class A	CS	All Required	45,000.00	45,000.00	
130	130	401.0015.0000	Asphalt Material Price Adjustment	CS	All Required	0.00	0.00	
140	140	408.2001.00VH	HMA, Type VH	TON	1,000.000	163.14	163,140.00	
150	150	408.2004.5240	Asphalt Binder, Grade PG 52-40	TON	55,000	800.00	44,000.00	
160	160	606.0001.0000	W-Beam Guardrail	LF	500,000	30.00	15,000.00	
170	170	606.0006.0000	Removing and Disposing of Guardrail	LF	500,000	4.50	2,250.00	
180	180	606.0009.0000	Short Radius Guardrail	EACH	1,000	4,000.00	4,000.00	
190	190	606.0013.0000	Parallel Guardrail Terminal	EACH	1,000	4,000.00	4,000.00	
200	200	606.0016.0000	Transition Rail	EACH	4,000	5,000.00	20,000.00	
210	210	618.0002.0000	Seeding	LB	25,000	150.00	3,750.00	
220	220	618.0003.0000	Water for Seeding	MGAL	1,000.000	100.00	100,000.00	

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### plans in hand Proposal Engineer's Estimate

Proposal Description: Glenn Parks Interchange Repairs - Nov 2018 EQ PR

Proposal ID: CFHWY00594

Project Description: Glenn Parks Interchange

Federal Project Number: State Project Number: CFHWY00594-015

Project Line #	Proposal Line #	Item #	Description	Unit	Qty.	Price	Ext. Amount	Owner Furnished Material
230	230	620.0001.0000	Topsoil	SY	1,000.000	5.00	5,000.00	
240	240	630.0002.0001	Geotextile, Stabilization, Class 1	SY	2,700.000	50.00	135,000.00	
250	250	630.0003.0002	Geotextile, Reinforcement - Type 2	SY	10,000.000	3.00	30,000.00	
260	260	640.0001.0000	Mobilization and Demobilization	LS	All Required	40,000.00	40,000.00	
270	270	641.0001.0000	Erosion, Sediment and Pollution Control Administration	LS	All Required	3,000.00	3,000.00	
280	280	641.0005.0000	Temporary Erosion, Sediment and Pollution Control by Directive	CS	All Required	50,000.00	50,000.00	
290	290	641.0006.0000	Withholding	CS	All Required	0.00	0.00	
300	300	641.0007.0000	SWPPP Manager	LS	All Required	1,000.00	1,000.00	
310	310	642.0001.0000	Construction Surveying	LS	All Required	0.00	0.00	
320	320	642.0003.0000	Three Person Survey Party	HR	15,000	300.00	4,500.00	
330	330	642.0008.0000	Adjust Existing Monument	EACH	21,000	3,600.00	75,600.00	
340	340	642.0011.0000	Adjust Existing Monument Case	EACH	4,000	1,200.00	4,800.00	
350	350	643.0002.0000	Traffic Maintenance	LS	All Required	75,000.00	75,000.00	
360	360	643.0023.0000	Traffic Price Adjustment	CS	All Required	0.00	0.00	
370	370	643.0025.0000	Traffic Control	CS	All Required	50,000.00	50,000.00	
380	380	643.0032.0000	Flagging	CS	All Required	25,000.00	25,000.00	
390	390	647.2002.0000	Backhoe, 4WD, 1 CY Bucket, 75-HP Minimum, 15 ft Depth	CS	All Required	10,000.00	10,000.00	
400	400	670.0001.0000	Painted Traffic Markings	LS	All Required	36,000.00	36,000.00	
410	410	670.0010.0000	Methyl Methacrylate Pavement Markings	LS	All Required	10,000.00	10,000.00	
420	420	682.2000.0000	Vac-Truck Pothole	CS	All Required	12,500.00	12,500.00	

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## MEMORANDUM



### plans in hand Proposal Engineer's Estimate

<b>Proposal Description:</b> Glenn Parks Interchange Repairs - Nov 2018 EQ PR								
<b>Proposal ID:</b> CFHWY00594								
Project Description: Glenn Parks Interchange								
Federal Project Number:			State Project Number: CFHWY00594-015					
Project Line #	Proposal Line #	Item #	Description	Unit	Qty.	Price	Ext. Amount	Owner Furnished Material
<b>Category Basic Bid Total:</b>							<b>\$3,813,783.00</b>	
Minus Contractor Furnished CENG Items:							\$0.00	
Exc Subtotal:							\$3,813,783.00	
Construction Engineering Percent/Amount: 20%							\$762,756.60	
Minus Contractor Furnished CENG Items:							\$0.00	
<b>State Forces CENG Amount:</b>							<b>\$762,756.60</b>	
<b>Basic Bid Owner Furnished Material Total:</b>							<b>\$0.00</b>	
Category Subtotal (Pay Items + SF CENG + Furn Materials):							\$4,576,539.60	
<b>Indirect Cost Allocation Plan (ICAP) Percent/Amount: 0.00%</b>							<b>\$0.00</b>	
<b>Category Basic Bid Estimate Total:</b>							<b>\$4,576,539.60</b>	
Project Pay Item Total: CFHWY00594-015							\$3,813,783.00	
SF CENG Amount:							\$762,756.60	
Owner Furnished Materials (Not part of the Contract):							\$0.00	
ICAP Amount:							\$0.00	
<b>Project CFHWY00594-015 Total:</b>							<b>\$4,576,539.60</b>	

Total for first project

### plans in hand Proposal Engineer's Estimate

<b>Proposal Description:</b> Glenn Parks Interchange Repairs - Nov 2018 EQ PR								
<b>Proposal ID:</b> CFHWY00594								
Project Description: Glenn Hwy MP 29.3								
Federal Project Number:			State Project Number: <span style="border: 2px solid red; border-radius: 50%; padding: 2px;">CFHWY00594-048</span>					
Project Line #	Proposal Line #	Item #	Description	Unit	Qty.	Price	Ext. Amount	Owner Furnished Material
Category Basic Bid								
10	20	202.0002.0000	Removal of Pavement	SY	400.000	5.00	2,000.00	
20	40	203.0003.0000	Unclassified Excavation	CY	500.000	12.50	6,250.00	
30	50	203.0006.000A	Borrow, Type A	TON	200.000	12.00	2,400.00	
40	60	203.0006.000C	Borrow, Type C	TON	150.000	6.25	937.50	
50	70	301.0001.00D1	Aggregate Base Course, Grading D-1	TON	50.000	35.50	1,775.00	
60	80	306.0001.0000	ATB	TON	45.000	109.08	4,908.60	
70	90	306.0002.5240	Asphalt Binder, Grade PG 52-40	TON	2.500	800.00	2,000.00	
80	140	408.2001.00VH	HMA, Type VH	TON	50.000	163.14	8,157.00	
90	150	408.2004.5240	Asphalt Binder, Grade PG 52-40	TON	2.500	800.00	2,000.00	
100	210	618.0002.0000	Seeding	LB	5.000	150.00	750.00	
110	220	618.0003.0000	Water for Seeding	MGAL	50.000	100.00	5,000.00	
120	230	620.0001.0000	Topsoil	SY	500.000	5.00	2,500.00	
130	240	630.0002.0001	Geotextile, Stabilization, Class 1	SY	200.000	50.00	10,000.00	
140	250	630.0003.0002	Geotextile, Reinforcement - Type 2	SY	50.000	3.00	150.00	
150	260	640.0001.0000	Mobilization and Demobilization	LS	All Required	40,000.00	40,000.00	
160	270	641.0001.0000	Erosion, Sediment and Pollution Control Administration	LS	All Required	3,000.00	3,000.00	
170	280	641.0005.0000	Temporary Erosion, Sediment and Pollution Control by Directive	CS	All Required	5,000.00	5,000.00	
180	290	641.0006.0000	Withholding	CS	All Required	0.00	0.00	
190	300	641.0007.0000	SWPPP Manager	LS	All Required	1,000.00	1,000.00	
200	320	642.0003.0000	Three Person Survey Party	HR	12.000	300.00	3,600.00	
210	350	643.0002.0000	Traffic Maintenance	LS	All Required	10,000.00	10,000.00	
220	360	643.0023.0000	Traffic Price Adjustment	CS	All Required	0.00	0.00	

Second project





## MEMORANDUM



### plans in hand Proposal Engineer's Estimate

Proposal Description: Glenn Parks Interchange Repairs - Nov 2018 EQ PR

Proposal ID: CFHWY00594

Project Description: Glenn Hwy MP 29.3

Federal Project Number: State Project Number: CFHWY00594-048

Project Line #	Proposal Line #	Item #	Description	Unit	Qty.	Price	Ext. Amount	Owner Furnished Material
230	370	643.0025.0000	Traffic Control	CS	All Required	10,000.00	10,000.00	
240	380	643.0032.0000	Flagging	CS	All Required	5,000.00	5,000.00	
250	390	647.2002.0000	Backhoe, 4WD, 1 CY Bucket, 75-HP Minimum, 15 ft Depth	CS	All Required	5,000.00	5,000.00	
260	410	670.0010.0000	Methyl Methacrylate Pavement Markings	LS	All Required	25,000.00	25,000.00	
270	420	682.2000.0000	Vac-Truck Pothole	CS	All Required	3,600.00	3,600.00	
<b>Category Basic Bid Total:</b>							<b>\$160,028.10</b>	
Minus Contractor Furnished CENG Items:							\$0.00	
Exc Subtotal:							\$160,028.10	
Construction Engineering Percent/Amount: 20%							\$32,005.62	
Minus Contractor Furnished CENG Items:							\$0.00	
<b>State Forces CENG Amount:</b>							<b>\$32,005.62</b>	
<b>Basic Bid Owner Furnished Material Total:</b>							<b>\$0.00</b>	
Category Subtotal (Pay Items + SF CENG + Furn Materials):							\$192,033.72	
<b>Indirect Cost Allocation Plan (ICAP) Percent/Amount: 0.00%</b>							<b>\$0.00</b>	
<b>Category Basic Bid Estimate Total:</b>							<b>\$192,033.72</b>	
Project Pay Item Total: CFHWY00594-048							\$160,028.10	
SF CENG Amount:							\$32,005.62	
Owner Furnished Materials (Not part of the Contract):							\$0.00	
ICAP Amount:							\$0.00	
<b>Total for second project</b>							<b>\$192,033.72</b>	
<b>Project CFHWY00594-048 Total:</b>							<b>\$192,033.72</b>	

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### plans in hand Proposal Engineer's Estimate

Proposal Description: Glenn Parks Interchange Repairs - Nov 2018 EQ PR

Proposal ID: CFHWY00594

Project Description: Fireweed Dr East of Loberg Lake

Federal Project Number: State Project Number: CFHWY00594-067

**Third project**

Project Line #	Proposal Line #	Item #	Description	Unit	Qty.	Price	Ext. Amount	Owner Furnished Material
Category Basic Bid								
10	20	202.0002.0000	Removal of Pavement	SY	200.000	5.00	1,000.00	
20	40	203.0003.0000	Unclassified Excavation	CY	150.000	12.50	1,875.00	
30	50	203.0006.000A	Borrow, Type A	TON	100.000	12.00	1,200.00	
40	60	203.0006.000C	Borrow, Type C	TON	50.000	6.25	312.50	
50	70	301.0001.00D1	Aggregate Base Course, Grading D-1	TON	25.000	35.50	887.50	
60	80	306.0001.0000	ATB	TON	50.000	109.08	5,454.00	
70	90	306.0002.5240	Asphalt Binder, Grade PG 52-40	TON	5.000	800.00	4,000.00	
80	100	401.0001.002A	HMA, Type II, Class A	TON	50.000	142.93	7,146.50	
90	110	401.0004.5240	Asphalt Binder, Grade PG 52-40	TON	5.000	800.00	4,000.00	
100	130	401.0015.0000	Asphalt Material Price Adjustment	CS	All Required	0.00	0.00	
110	210	618.0002.0000	Seeding	LB	5.000	150.00	750.00	
120	220	618.0003.0000	Water for Seeding	MGAL	10.000	100.00	1,000.00	
130	230	620.0001.0000	Topsoil	SY	50.000	5.00	250.00	
140	240	630.0002.0001	Geotextile, Stabilization, Class 1	SY	25.000	50.00	1,250.00	
150	250	630.0003.0002	Geotextile, Reinforcement - Type 2	SY	30.000	3.00	90.00	
160	260	640.0001.0000	Mobilization and Demobilization	LS	All Required	50,000.00	50,000.00	
170	270	641.0001.0000	Erosion, Sediment and Pollution Control Administration	LS	All Required	2,500.00	2,500.00	
180	280	641.0005.0000	Temporary Erosion, Sediment and Pollution Control by Directive	CS	All Required	10,000.00	10,000.00	
190	290	641.0006.0000	Withholding	CS	All Required	0.00	0.00	
200	300	641.0007.0000	SWPPP Manager	LS	All Required	2,500.00	2,500.00	
210	320	642.0003.0000	Three Person Survey Party	HR	8.000	300.00	2,400.00	
220	350	643.0002.0000	Traffic Maintenance	LS	All Required	20,000.00	20,000.00	

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**plans in hand Proposal Engineer's Estimate**

**Proposal Description:** Glenn Parks Interchange Repairs - Nov 2018 EQ PR

**Proposal ID:** CFHWY00594

**Project Description:** Fireweed Dr East of Loberg Lake

**Federal Project Number:**                      **State Project Number:** CFHWY00594-067

Project Line #	Proposal Line #	Item #	Description	Unit	Qty.	Price	Est. Amount	Owner Furnished Material
230	360	643.0023.0000	Traffic Price Adjustment	CS	All Required	0.00	0.00	
240	370	643.0025.0000	Traffic Control	CS	All Required	20,000.00	20,000.00	
250	380	643.0032.0000	Flagging	CS	All Required	10,000.00	10,000.00	
260	390	647.2002.0000	Backhoe, 4WD, 1 CY Bucket, 75-HP Minimum, 15 ft Depth	CS	All Required	5,000.00	5,000.00	
270	400	670.0001.0000	Painted Traffic Markings	LS	All Required	50,000.00	50,000.00	
280	420	682.2000.0000	Vac-Truck Pothole	CS	All Required	12,500.00	12,500.00	

<b>Category Basic Bid Total:</b>	<b>\$214,115.50</b>
Minus Contractor Furnished CENG Items:	\$0.00
Exc Subtotal:	\$214,115.50
Construction Engineering Percent/Amount: 20%	\$42,823.10
Minus Contractor Furnished CENG Items:	\$0.00
<b>State Forces CENG Amount:</b>	<b>\$42,823.10</b>
<b>Basic Bid Owner Furnished Material Total:</b>	<b>\$0.00</b>
Category Subtotal (Pay Items + SF CENG + Furn Materials):	\$256,938.60
<b>Indirect Cost Allocation Plan (ICAP) Percent/Amount: 0.00%</b>	<b>\$0.00</b>
<b>Category Basic Bid Estimate Total:</b>	<b>\$256,938.60</b>

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**plans in hand Proposal Engineer's Estimate**

**Proposal Description:** Glenn Parks Interchange Repairs - Nov 2018 EQ PR

**Proposal ID:** CFHWY00594

**Project Description:** Fireweed Dr East of Loberg Lake

**Federal Project Number:**                      **State Project Number:** CFHWY00594-067

Project Line #	Proposal Line #	Item #	Description	Unit	Qty.	Price	Est. Amount	Owner Furnished Material
Project Pay Item Total: CFHWY00594-067							\$214,115.50	
SF CENG Amount:							\$42,823.10	
Owner Furnished Materials (Not part of the Contract):							\$0.00	
ICAP Amount:							\$0.00	
<b>Project CFHWY00594-067 Total:</b>							<b>\$256,938.60</b>	

Total for third project

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### plans in hand Proposal Engineer's Estimate

Proposal Description: Glenn Parks Interchange Repairs - Nov 2018 EQ PR

Proposal ID: CFHWY00594

Project Description: Woodworth Loop MP 0.1

Federal Project Number: State Project Number: CFHWY00594-102

**Fourth project**

Project Line #	Proposal Line #	Item #	Description	Unit	Qty.	Price	Ext. Amount	Owner Furnished Material
Category Basic Bid								
10	20	202.0002.0000	Removal of Pavement	SY	100.000	5.00	500.00	
20	40	203.0003.0000	Unclassified Excavation	CY	50.000	12.50	625.00	
30	50	203.0006.000A	Borrow, Type A	TON	19.000	12.00	228.00	
40	60	203.0006.000C	Borrow, Type C	TON	6.000	6.25	37.50	
50	70	301.0001.00D1	Aggregate Base Course, Grading D-1	TON	20.000	35.50	710.00	
60	80	306.0001.0000	ATB	TON	12.000	109.00	1,308.00	
70	90	306.0002.5240	Asphalt Binder, Grade PG 52-40	TON	1.000	800.00	800.00	
80	100	401.0001.002A	HMA, Type II; Class A	TON	15.000	143.00	2,145.00	
90	110	401.0004.5240	Asphalt Binder, Grade PG 52-40	TON	1.000	800.00	800.00	
100	120	401.0008.002A	HMA Price Adjustment, Type II; Class A	CS	All Required	10,000.00	10,000.00	
110	130	401.0015.0000	Asphalt Material Price Adjustment	CS	All Required	0.00	0.00	
120	210	618.0002.0000	Seeding	LB	1.000	150.00	150.00	
130	220	618.0003.0000	Water for Seeding	MGAL	5.000	100.00	500.00	
140	230	620.0001.0000	Topsoil	SY	10.000	5.00	50.00	
150	240	630.0002.0001	Geotextile, Stabilization, Class 1	SY	25.000	50.00	1,250.00	
160	260	640.0001.0000	Mobilization and Demobilization	LS	All Required	21,000.00	21,000.00	
170	270	641.0001.0000	Erosion, Sediment and Pollution Control Administration	LS	All Required	3,000.00	3,000.00	
180	280	641.0005.0000	Temporary Erosion, Sediment and Pollution Control by Directive	CS	All Required	5,000.00	5,000.00	
190	290	641.0006.0000	Withholding	CS	All Required	0.00	0.00	
200	300	641.0007.0000	SWPPP Manager	LS	All Required	2,500.00	2,500.00	
210	320	642.0003.0000	Three Person Survey Party	HR	8.000	300.00	2,400.00	
220	350	643.0002.0000	Traffic Maintenance	LS	All Required	15,000.00	15,000.00	

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### plans in hand Proposal Engineer's Estimate

Proposal Description: Glenn Parks Interchange Repairs - Nov 2018 EQ PR

Proposal ID: CFHWY00594

Project Description: Woodworth Loop MP 0.1

Federal Project Number: State Project Number: CFHWY00594-102

Project Line #	Proposal Line #	Item #	Description	Unit	Qty.	Price	Ext. Amount	Owner Furnished Material
230	360	643.0023.0000	Traffic Price Adjustment	CS	All Required	0.00	0.00	
240	370	643.0025.0000	Traffic Control	CS	All Required	5,000.00	5,000.00	
250	380	643.0032.0000	Flagging	CS	All Required	10,000.00	10,000.00	
260	390	647.2002.0000	Backhoe, 4WD, 1 CY Bucket, 75-HP Minimum, 15 ft Depth	CS	All Required	6,500.00	6,500.00	
270	400	670.0001.0000	Painted Traffic Markings	LS	All Required	5,000.00	5,000.00	
280	420	682.2000.0000	Vac-Truck Pothole	CS	All Required	5,000.00	5,000.00	

<b>Category Basic Bid Total:</b>	<b>\$99,503.50</b>
Minus Contractor Furnished CENG Items:	\$0.00
Exc Subtotal:	\$99,503.50
Construction Engineering Percent/Amount: 20%	\$19,900.70
Minus Contractor Furnished CENG Items:	\$0.00
<b>State Forces CENG Amount:</b>	<b>\$19,900.70</b>
<b>Basic Bid Owner Furnished Material Total:</b>	<b>\$0.00</b>
Category Subtotal (Pay Items + SF CENG + Furn Materials):	\$119,404.20
<b>Indirect Cost Allocation Plan (ICAP) Percent/Amount: 0.00%</b>	<b>\$0.00</b>
<b>Category Basic Bid Estimate Total:</b>	<b>\$119,404.20</b>

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**plans in hand Proposal Engineer's Estimate**

**Proposal Description:** Glenn Parks Interchange Repairs - Nov 2018 EQ PR

**Proposal ID:** CFHWY00594

**Project Description:** Woodworth Loop MP 0.1

**Federal Project Number:** State Project Number: CFHWY00594-102

Project Line #	Proposal Line #	Item #	Description	Unit	Qty.	Price	Ext. Amount	Owner Furnished Material
Project Pay Item Total: CFHWY00594-102							\$99,503.50	
SF CENG Amount:							\$19,900.70	
Owner Furnished Materials (Not part of the Contract):							\$0.00	
ICAP Amount:							\$0.00	
<b>Project CFHWY00594-102 Total:</b>							<b>\$119,404.20</b>	

Total for fourth project

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**plans in hand Proposal Engineer's Estimate**

**Proposal Description:** Glenn Parks Interchange Repairs - Nov 2018 EQ PR

**Proposal ID:** CFHWY00594

**Project Description:** Old Glenn at Palmer Off Ramp MP 0.1

**Federal Project Number:** State Project Number: CFHWY00594-190

Fifth project

Project Line #	Proposal Line #	Item #	Description	Unit	Qty.	Price	Ext. Amount	Owner Furnished Material
Category Basic Bid								
10	20	202.0002.0000	Removal of Pavement	SY	20.000	5.00	100.00	
20	40	203.0003.0000	Unclassified Excavation	CY	10.000	12.50	125.00	
30	50	203.0006.000A	Borrow, Type A	TON	5.000	12.00	60.00	
40	70	301.0001.00D1	Aggregate Base Course, Grading D-1	TON	6.000	35.50	213.00	
50	80	306.0001.0000	ATB	TON	10.000	109.00	1,090.00	
60	90	306.0002.5240	Asphalt Binder, Grade PG 52-40	TON	1.000	800.00	800.00	
70	140	408.2001.00VH	HMA, Type VH	TON	10.000	163.00	1,630.00	
80	150	408.2004.5240	Asphalt Binder, Grade PG 52-40	TON	1.000	800.00	800.00	
90	240	630.0002.0001	Geotextile, Stabilization, Class 1	SY	20.000	50.00	1,000.00	
100	260	640.0001.0000	Mobilization and Demobilization	LS	All Required	35,000.00	35,000.00	
110	270	641.0001.0000	Erosion, Sediment and Pollution Control Administration	LS	All Required	5,000.00	5,000.00	
120	280	641.0005.0000	Temporary Erosion, Sediment and Pollution Control by Directive	CS	All Required	5,500.00	5,500.00	
130	290	641.0006.0000	Withholding	CS	All Required	0.00	0.00	
140	300	641.0007.0000	SWPPP Manager	LS	All Required	5,000.00	5,000.00	
150	320	642.0003.0000	Three Person Survey Party	HR	8.000	300.00	2,400.00	
160	350	643.0002.0000	Traffic Maintenance	LS	All Required	25,000.00	25,000.00	
170	360	643.0023.0000	Traffic Price Adjustment	CS	All Required	0.00	0.00	
180	370	643.0025.0000	Traffic Control	CS	All Required	6,500.00	6,500.00	
190	380	643.0032.0000	Flagging	CS	All Required	5,000.00	5,000.00	
200	390	647.2002.0000	Backhoe, 4WD, 1 CY Bucket, 75-HP Minimum, 15 ft Depth	CS	All Required	6,660.00	6,660.00	
210	410	670.0010.0000	Methyl Methacrylate Pavement Markings	LS	All Required	20,000.00	20,000.00	
220	420	682.2000.0000	Vac-Truck Pothole	CS	All Required	5,250.00	5,250.00	

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## MEMORANDUM



### plans in hand Proposal Engineer's Estimate

Proposal Description: Glenn Parks Interchange Repairs - Nov 2018 EQ PR

Proposal ID: CFHWY00594

Project Description: Old Glenn at Palmer Off Ramp MP 0.1

Federal Project Number: State Project Number: CFHWY00594-190

Project Line #	Proposal Line #	Item #	Description	Unit	Qty.	Price	Est. Amount	Owner Furnished Material
<b>Category Basic Bid Total:</b>							<b>\$127,128.00</b>	
Minus Contractor Furnished CENG Items:							\$0.00	
Exc Subtotal:							\$127,128.00	
Construction Engineering Percent/Amount: 20%							\$25,425.60	
Minus Contractor Furnished CENG Items:							\$0.00	
<b>State Forces CENG Amount:</b>							<b>\$25,425.60</b>	
<b>Basic Bid Owner Furnished Material Total:</b>							<b>\$0.00</b>	
Category Subtotal (Pay Items + SF CENG + Furn Materials):							\$152,553.60	
<b>Indirect Cost Allocation Plan (ICAP) Percent/Amount: 0.00%</b>							<b>\$0.00</b>	
<b>Category Basic Bid Estimate Total:</b>							<b>\$152,553.60</b>	
Project Pay Item Total: CFHWY00594-190							\$127,128.00	
SF CENG Amount:							\$25,425.60	
Owner Furnished Materials (Not part of the Contract):							\$0.00	
ICAP Amount:							\$0.00	
<b>Project CFHWY00594-190 Total:</b>							<b>\$152,553.60</b>	

Total for fifth project

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Proposal Pay Item Total:	\$4,414,558.10	147 Items
Proposal SF CENG Amount:	\$882,911.62	
Proposal Owner Furnished Materials:	\$0.00	
Proposal ICAP Amount:	\$0.00	
<b>Proposal Estimate Total:</b>	<b>\$5,297,469.72</b>	

Total Proposal Estimate

Prepared By: \_\_\_\_\_

Checked By: \_\_\_\_\_

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## MEMORANDUM



### Plans In Hand Proposal Engineer's Estimate

**Proposal Description:** Glenn Parks Interchange Repairs - Nov 2018 EQ PR

**Proposal ID:** CFHWY00594

Proposal Line #	Item #	Description	Unit	Qty.	Price	Ext. Amount
Section		Not Assigned to a Section				
10	202.0001.0000	Removal of Structures and Obstructions	LS	All Required	\$10,000.00	\$10,000.00
20	202.0002.0000	Removal of Pavement	SY	15,720.000	\$5.00	\$78,600.00
30	202.0004.0000	Removal of Culvert Pipe	LF	50.000	\$70.00	\$3,500.00
40	203.0003.0000	Unclassified Excavation	CY	7,710.000	\$12.50	\$96,375.00
50	203.0006.000A	Borrow, Type A	TON	10,324.000	\$12.00	\$123,888.00
60	203.0006.000C	Borrow, Type C	TON	5,206.000	\$6.25	\$32,537.50
70	301.0001.000D1	Aggregate Base Course, Grading D-1	TON	1,101.000	\$35.50	\$39,085.50
80	306.0001.0000	ATB	TON	15,117.000	\$109.08	\$1,648,960.60
90	306.0002.5240	Asphalt Binder, Grade PG 52-40	TON	49.500	\$800.00	\$39,600.00
100	401.0001.002A	HMA, Type II; Class A	TON	165.000	\$142.94	\$23,584.50
110	401.0004.5240	Asphalt Binder, Grade PG 52-40	TON	1,006.000	\$800.00	\$804,800.00
120	401.0008.002A	HMA Price Adjustment, Type II; Class A	CS	All Required	\$55,000.00	\$55,000.00
130	401.0015.0000	Asphalt Material Price Adjustment	CS	All Required	\$0.00	\$0.00
140	408.2001.00VH	HMA, Type VH	TON	1,060.000	\$163.14	\$172,927.00
150	408.2004.5240	Asphalt Binder, Grade PG 52-40	TON	58.500	\$800.00	\$46,800.00
160	606.0001.0000	W-Beam Guardrail	LF	500.000	\$30.00	\$15,000.00
170	606.0006.0000	Removing and Disposing of Guardrail	LF	500.000	\$4.50	\$2,250.00
180	606.0009.0000	Short Radius Guardrail	EACH	1.000	\$4,000.00	\$4,000.00
190	606.0013.0000	Parallel Guardrail Terminal	EACH	1.000	\$4,000.00	\$4,000.00
200	606.0016.0000	Transition Rail	EACH	4.000	\$5,000.00	\$20,000.00

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### Plans In Hand Proposal Engineer's Estimate

**Proposal Description:** Glenn Parks Interchange Repairs - Nov 2018 EQ PR

**Proposal ID:** CFHWY00594

Proposal Line #	Item #	Description	Unit	Qty.	Price	Ext. Amount
Section		Not Assigned to a Section				
210	618.0002.0000	Seeding	LB	36.000	\$150.00	\$5,400.00
220	618.0003.0000	Water for Seeding	M GAL	1,065.000	\$100.00	\$106,500.00
230	620.0001.0000	Topsoil	SY	1,560.000	\$5.00	\$7,800.00
240	630.0002.0001	Geotextile, Stabilization, Class 1	SY	2,970.000	\$50.00	\$148,500.00
250	630.0003.0002	Geotextile, Reinforcement - Type 2	SY	10,080.000	\$3.00	\$30,240.00
260	640.0001.0000	Mobilization and Demobilization	LS	All Required	\$186,000.00	\$186,000.00
270	641.0001.0000	Erosion, Sediment and Pollution Control Administration	LS	All Required	\$16,500.00	\$16,500.00
280	641.0005.0000	Temporary Erosion, Sediment and Pollution Control by Directive	CS	All Required	\$75,500.00	\$75,500.00
290	641.0006.0000	Withholding	CS	All Required	\$0.01	\$0.00
300	641.0007.0000	SWPPP Manager	LS	All Required	\$12,000.00	\$12,000.00
310	642.0001.0000	Construction Surveying	LS	All Required	\$0.00	\$0.00
320	642.0003.0000	Three Person Survey Party	HR	51.000	\$300.00	\$15,300.00
330	642.0008.0000	Adjust Existing Monument	EACH	21.000	\$3,600.00	\$75,600.00
340	642.0011.0000	Adjust Existing Monument Case	EACH	4.000	\$1,200.00	\$4,800.00
350	643.0002.0000	Traffic Maintenance	LS	All Required	\$145,000.00	\$145,000.00
360	643.0023.0000	Traffic Price Adjustment	CS	All Required	\$0.01	\$0.00
370	643.0025.0000	Traffic Control	CS	All Required	\$91,500.00	\$91,500.00
380	643.0032.0000	Flagger	CS	All Required	\$55,000.00	\$55,000.00
390	647.2002.0000	Backhoe, 4WD, 1 CY Bucket, 75-HP Minimum, 15 ft Depth	CS	All Required	\$33,160.00	\$33,160.00
400	670.0001.0000	Painted Traffic Markings	LS	All Required	\$91,000.00	\$91,000.00

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“Rolled Up” estimate





## MEMORANDUM



### Plans In Hand Proposal Engineer's Estimate

Proposal Description: Glenn Parks Interchange Repairs - Nov 2018 EQ PR

Proposal ID: CFHWY00594

Proposal Line #	Item #	Description	Unit	Qty.	Price	Ext. Amount
	Section	Not Assigned to a Section				
410	670.0010.0000	Methyl Methacrylate Pavement Markings	LS	All Required	\$55,000.00	\$55,000.00
420	682.2000.0000	Vac-Truck Pothole	CS	All Required	\$38,850.00	\$38,850.00
Not Assigned to a Section Pay Item Total:						\$4,414,558.10
<b>Proposal Pay Item Total:</b>						<b>\$4,414,558.10</b>
Minus Contractor Furnished CENG Items:						\$0.00
Exc Subtotal:						\$4,414,558.10
Construction Engineering Percent/Amount: 0%						\$0.00
Minus Contractor Furnished CENG Items:						\$0.00
<b>Proposal SF CENG Amount:</b>						<b>\$0.00</b>
<b>Proposal Owner Furnished Materials:</b>						<b>\$0.00</b>
Section Subtotal (Pay Items + SF CENG + Furn Materials):						\$4,414,558.10
Proposal ICAP Amount: 0.00%						\$0.00
<b>Proposal Estimate Total:</b>						<b>\$4,414,558.10</b>

PM did not include CENG on Proposal, resulting in \$0

Total Proposal Estimate

Prepared By: \_\_\_\_\_

Checked By: \_\_\_\_\_

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## Appendix B. Checklists

### B.1 Maintenance and Operations (M&O) Emergency Funding Checklist

As a disaster occurs, the primary objective is to respond to the event and stabilize and/or protect the damaged sites and public safety. However, it is important to document the damage and emergency repairs from the first day of the event to meet federal guidelines and help with future reimbursement.

#### *Response Documentation*

- Take “before” and “after” photos of damage sites with the device’s location turned on for GPS location.
- Document locations, damage descriptions, and repair scope and costs.
- Log force account labor hours, equipment hours, materials, and contractor by site.
- For debris removal, follow Federal Emergency Management Agency (FEMA) Category A requirements, including documenting location of debris pickup and disposal, before/after photos, debris type, and approximate debris quantity.

#### *Internal Coordination*

- Project Control – Set up Disaster Reimbursement Emergency Repair Project(s) by site, area, etc.; set up one FEMA and one Federal Highway Administration code per disaster event to capture all costs.
- Procurement and Contracts – Emergency procurement
- Region Environmental – Follow environmental procedures for emergency work.
- Construction – Leverage available staff to help with documentation, site tracking, etc.



## B.2 Federal Emergency Management Agency (FEMA) Emergency Work (Category A – Debris Removal)

Includes on-system and off-system road debris along with all other debris. Note: As soon as there is a Presidential Disaster Declaration, debris removal is eligible under FEMA, not FHWA.

### **Force Account Labor:**

- Regular/Overtime (OT) hours of employees
  - » Timesheets with hours worked by site
  - » Name and position/title
- Equipment hours
  - » Vehicles/Heavy equipment–make/model/year/equipment number
  - » Equipment Fixed Utilization Rates for current Fiscal Year
  - » Maintenance Management System (MMS) Report
  - » Hours used and purpose of the work
- Materials

### **Contract:**

- How did applicant monitor contracted debris activity?
  - » For Central Region Earthquake Response Program, we answered “Project engineer and inspector on-site documenting work” and that was acceptable. Just make sure someone is out watching the contractor do the work.

### **Debris Removed:**

- Load date and time
- Load location (GPS or latitude/longitude is preferred; can also use physical street address)
- Load monitor/inspector name
- Classification of debris (likely “Sand/Soil/Mud” or “Vegetative”)
- Total estimated volume (in cubic yards)
- Truck information (to tie a specific truck to a specific site, including the size of the truck)
- How the debris quantity was determined
- Was the debris removed from the:
  - » Right-of-way?
  - » Waterway?
  - » Other?
- Disposal location (again, GPS or latitude/longitude preferred, but can use an address)
  - » Was the debris removed to:
    - Landfill?
    - Temporary debris staging and reduction site? (If this is the case, additional documentation is required to also show final disposal.)
    - Other?
  - » Describe the sites used
  - » Number of sites
  - » Locations of sites
- Did the applicant obtain the necessary permits to utilize the sites? If not, why?

## Photos:

- Take photos frequently – BEFORE – DURING – AFTER
- Organize in electronic files daily
- Use a Date/Time stamp if possible
- Use GPS location if possible
- Photos will support daily reports

## Other documentation that may be required by FEMA could include:

- Inspector's Daily Reports (IDRs)
  - » Document work
    - Summary of day's work
    - Start/Stop times
    - Location (and road type if known; i.e., National Highway System [NHS] or Non-NHS and arterial, urban collector, rural collector, etc.)
    - Type
    - Reasoning
  - » Materials incorporated into the work
    - Type
    - Quantity
    - Placement details
  - » Weather
    - Temperature
    - Observations
    - Rainfall (approximate, if raining)

It is possible to use an app, such as ArcGIS Survey123, to collect the debris data and generate the load tickets for the owner/debris monitors and for the contracted truck drivers. An app can also put all of the load information into a GIS-based database to easily pull reports for FEMA as backup.

## Resources:

- FEMA Public Assistance Program and Policy Guide, Version 4 (June 1, 2020), pg 99-100 – [https://www.fema.gov/sites/default/files/2020-07/fema\\_pappg\\_v4.pdf](https://www.fema.gov/sites/default/files/2020-07/fema_pappg_v4.pdf)



## B.3 Federal Emergency Management Agency (FEMA) Emergency Work (Category B – Emergency Protective Measures)

These include measures taken before, during, and after a disaster to eliminate/reduce an immediate threat to life, public health, or safety, or to eliminate/reduce an immediate threat of significant damage to improved public and private property through cost-effective measures.

Below are some questions that FEMA asks for the Category B – Emergency Protective Measures projects.

### ***Force Account Labor:***

- Regular/OT hours of employees
- Equipment hours
- Materials

### ***Contract:***

- How was the contract procured?
- What kind of contracts were used?
- Rented/leased/purchased equipment?

### ***Work Performed Was:***

- Emergency access?
  - » Describe the work performed to reduce the threat.
  - » Describe how the incident damaged and/or impaired all access routes to essential community service or to a community with survivors.
- Security?
- Placing barricades for safety?
- Sand bagging?
- Flood fighting?
- Emergency pumping?
- Search and rescue?
- Fire fighting?
- Temporary slope stabilization?
  - » Describe the work performed to reduce the threat.
  - » Was a landslide or other slope instability triggered by the incident?
  - » How was the landslide or other slope instability triggered by the incident?
  - » Did the landslide or other slope instability pose an immediate threat to life, public health and safety, or improved public or private property?
  - » Describe the immediate threat.
- Buttressing, shoring, or bracing facilities?
- Emergency medical care and support?
- Emergency Operations Center?
- Mold remediation?
- Safety inspections?
  - » Describe the activities performed.
  - » Location of safety inspections
  - » Total number of facilities with safety inspections performed
  - » Safety inspection operation (start and end times/dates)

- » Was the specific purpose of the safety inspections to determine whether the facility(ies) was safe for entry, occupancy, and lawful use?
  - » Clearly substantiate how the purpose of the inspection was for safety and not to assess damage.
- Provision of supplies and commodities?
  - Sheltering?
  - Evacuations?
  - Snow assistance?
  - Temporary facilities?
  - Donated resources?
  - Other?

### ***Resources:***

- FEMA Public Assistance Program and Policy Guide, Version 4 (June 1, 2020) - [https://www.fema.gov/sites/default/files/2020-07/fema\\_pappg\\_v4.pdf](https://www.fema.gov/sites/default/files/2020-07/fema_pappg_v4.pdf)



## B.4 Federal Emergency Management Agency (FEMA) Permanent Work (Categories C – G)

Permanent Work (Categories C – G) is work required to restore a facility to its pre-disaster design (size and capacity) and function in accordance with applicable codes and standards.

### Category C – Roads and Bridges

Permanent work to restore roads and bridges is eligible unless restoration is under the specific authority of another federal agency, such as FHWA. See **Section 3.1.4** for FHWA Emergency Relief eligibility and considerations. Private roads, including homeowners’ association roads, are not eligible. However, roads owned by a Tribal Government may be eligible even if they are not open to the general public.

Work to repair scour or erosion damage to a channel or stream bank is eligible if the repair is necessary to restore the structural integrity of an eligible road, culvert, or bridge. Earthwork in a channel or stream embankment that is not related to restoration of the structural integrity of an eligible facility is not eligible.

Road components include, but may not be limited to the following:

- Surface courses (gravel and pavement)
- Base courses (embankment and subbase)
- Shoulders
- Ditches
- Drainage structures
- Low water crossings
- Associated facilities, such as lighting, sidewalks, guardrails, and signs

Bridge components include, but may not be limited to the following:

- Decking
- Guardrail and bridge rail
- Girders
- Pavement
- Abutments
- Piers
- Slope protection
- Approaches
- Associated facilities such as lighting, sidewalks, and signs

### Category D – Water Control

Water control facilities are those facilities built for the following purposes:

- Channel alignment
- Recreation
- Navigation
- Land reclamation
- Irrigation
- Maintenance of fish and wildlife habitat
- Interior drainage
- Erosion prevention
- Flood control
- Storm water management

They include the following:

- Dams and reservoirs
- Levees and floodwalls
- Lined and unlined engineered drainage channels
- Canals
- Aqueducts
- Sediment and debris basins
- Storm water retention and detention basins
- Irrigation facilities
- Pumping facilities
- Navigational waterways and shipping channels
- Coastal shoreline protective devices

Actions to restore the capacity of channels, basins, and reservoirs include:

- Restoration of the pre-disaster carrying or storage capacity of engineered channels, debris and sediment basins, storm water detention and retention basins, and reservoirs may be eligible, but only if the Applicant provides documentation to establish the pre-disaster capacity of the facility and documents that the Applicant maintains the facility on a regular schedule.

A project in which the non-incident-related material is removed along with that deposited as a result of the incident to restore the pre-disaster function of the facility would be considered an Improved Project.



## Flood Control Works:

- Flood control works are those structures such as levees, flood walls, flood control channels, and water control structures designed and constructed to have appreciable effects in preventing damage by irregular and unusual rises in water levels.
- Generally, flood control works are under the authority of the US Army Corps of Engineers or Natural Resources Conservation Service, and restoration of damaged flood control works under the authority of another federal agency is not eligible.

## **Category E – Buildings and Equipment**

### Buildings include:

- All structural and non-structural components, including mechanical, electrical, and plumbing systems
- Contents and equipment within the building
- Furnishings

For buildings and building systems, distinguishing between damage caused by the incident and pre-existing damage may be difficult. Before making an eligibility determination, FEMA considers each of the following:

- The age of the building and building systems
- Evidence of regular maintenance or pre-existing issues, such as water damage from a leaky roof
- The severity and impacts of the incident

Mold remediation and removal of mud, silt, or other accumulated debris is eligible as Permanent Work when conducted in conjunction with restoration of the facility.

### Equipment includes:

- Vehicles
- Construction equipment

Repairing damaged—or replacing destroyed—equipment and supplies with the same number of equivalent items is eligible. Equivalent items are similar in age, condition, and capacity. DOT&PF may replace equipment or supplies with different items used for the same general purpose. However, FEMA caps the eligible cost at the estimated amount for items equivalent to those damaged.

When equipment is not repairable, FEMA uses “Blue Book” values or similar price guides to estimate the eligible cost. When a used item is not reasonably available (within a reasonable cost, time, or distance) or does not meet applicable national consensus standards, the purchase of a new item with similar capacity is eligible. If the cost to replace the item is less than the cost to repair it, FEMA limits public assistance (PA) funding to the replacement cost. Repair or replacement of buildings and equipment is eligible.

## **Category F – Utilities**

- Eligible Facilities: Drinking water, power, natural gas, sewage, and communications distribution system and facilities.

## **Category G – Park, Recreational, and Other Facilities**

- Eligible Facilities: Railways, beaches, parks, playground equipment, piers, boat docks, ports and harbors, recreational facility grass and sod, and some plantings.
- Not Eligible: Unimproved natural features, long-term monitoring of vegetative growth, and some plantings.



## *Sites with Emergency and Permanent Repairs*

- Depending on the damage, you could have a site that has both Category B emergency work and Category C permanent work. This happens especially in cases of paving in cold weather, limited available materials, and similar situations. Experience has found that permanent Category C roadway construction usually comes years after the event. So if something is damaged now, get it fixed now well enough to potentially last through another winter season before it can be permanently fixed.

## *Resources:*

- FEMA Public Assistance Program and Policy Guide, Version 4 (June 1, 2020), pg 99–100 - [https://www.fema.gov/sites/default/files/2020-07/fema\\_pappg\\_v4.pdf](https://www.fema.gov/sites/default/files/2020-07/fema_pappg_v4.pdf)

## B.5 Federal Emergency Management Agency (FEMA) (Category Z – Grant Management Costs)

FEMA provides contributions for management costs that a Recipient or Subrecipient incurs in administering and managing public assistance awards. For Subrecipients (such as DOT&PF), FEMA provides PA funding for management costs based on actual costs incurred up to **5 percent** of the Subrecipient's total award amount.

For ease of cost tracking, only one FEMA Admin project should be set up to collect these costs.

Activities eligible as Category Z management costs include those related to developing eligible PA projects and receiving reimbursement. These activities may include, but are not limited to:

- Preliminary Damage Assessments
- Meetings regarding the PA Program or overall PA damage claim
- Organizing PA damage sites into logical groups
- Preparing correspondence
- Site inspections
- Travel expenses
- Developing the detailed site-specific damage description
- Evaluating Section 406 hazard mitigation measures
- Preparing Small and Large Projects
- Reviewing Project Worksheets
- Collecting, copying, filing, or submitting documents to support a claim
- Requesting disbursement of PA funds
- Training

The activities that would typically be charged to Phase 2 or Phase 4 on a regular capital improvement project should be charged to the individual project, not Category Z.

### **Resources:**

- FEMA Public Assistance Program and Policy Guide, Version 4 (June 1, 2020), pg 99–100 - [https://www.fema.gov/sites/default/files/2020-07/fema\\_pappg\\_v4.pdf](https://www.fema.gov/sites/default/files/2020-07/fema_pappg_v4.pdf)
- FEMA interim policy, FEMA Recovery Policy FP 104-11-2, Public Assistance Management Costs (November, 15, 2018) - [https://www.fema.gov/sites/default/files/2020-05/PA\\_Management\\_Costs\\_Interim\\_Policy\\_11-15-201830.pdf](https://www.fema.gov/sites/default/files/2020-05/PA_Management_Costs_Interim_Policy_11-15-201830.pdf)
- FEMA Public Assistance Management Costs Standard Operating Procedures - <https://www.fema.gov/assistance/public/policy-guidance-fact-sheets/sops-operations-manuals>

FEMA provides contributions for management costs that a Recipient or Subrecipient incurs in administering and managing PA awards. For Recipients, FEMA provides PA funding for management costs based on actual costs incurred up to 7 percent of the total award amount. For Subrecipients, FEMA provides PA funding for management costs based on actual costs incurred up to 5 percent of the Subrecipient's total award amount. Additional information is available in FEMA's interim policy, FEMA Recovery Policy FP 104-11-2, Public Assistance Management Costs (Interim) and FEMA's Public Assistance Management Costs Standard Operating Procedures.

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## Appendix C. Examples and Forms

### C.1 Governor's Disaster Proclamation

STATE CAPITOL  
P.O. Box 110001  
Juneau, AK 99811-0001  
907-465-3500  
fax: 907-465-3532



Governor Bill Walker  
STATE OF ALASKA

550 West Seventh Avenue, Suite 1700  
Anchorage, AK 99501  
907-269-7450  
fax 907-269-7461  
www.Gov.Alaska.Gov  
Governor@Alaska.Gov

December 2, 2018

The Honorable Pete Kelly  
Senate President  
Alaska State Legislature  
State Capitol, Room 111  
Juneau, AK 99801

The Honorable Bryce Edgmon  
Speaker of the House  
Alaska State Legislature  
State Capitol, Room 208  
Juneau, AK 99801

Dear President Kelly and Speaker Edgmon:

On November 30, 2018, I declared a disaster authorizing public assistance, individual assistance, temporary housing, and necessary administrative and disaster management expenses for the Municipality of Anchorage, Matanuska Susitna Borough, and Kenai Peninsula Borough following a 7.0 magnitude earthquake.

The Municipality of Anchorage, Matanuska Susitna Borough, and Kenai Peninsula Borough each confirm their earthquake-related emergency response and recovery efforts exceed local capability. The earthquake produced strong seismic shaking that caused widespread and severe damage to major highways and important community roads, bridges, and other transportation infrastructure; undermining of road embankments and railroad tracks; widespread power, water, and communication disruption; structural collapse and resulting fires to several community buildings, and severe damage to private homes and personal property. Each jurisdiction is currently tracking emergency and damage related costs to provide an estimate to the Alaska Division of Homeland Security and Emergency Management (DHS&EM), when available.

I requested and received an Emergency Declaration for direct federal assistance from President Trump. Governor Dunleavy will likely pursue a federal major disaster declaration for public and individual assistance, and temporary housing if the related costs for response and recovery exceed the state threshold for this assistance under the Stafford Act. If this federal declaration is made, eligible costs would be reimbursed by the federal government at 75 percent, with the remaining 25 percent covered by the State.



# Alaska Department of Transportation and Public Facilities

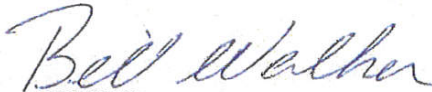
---

The Honorable Pete Kell  
The Honorable Bryce Edgerton  
December 2, 2018  
Page 2 of 2

It is likely that expenditures from the Disaster Relief Fund will exceed \$1,000,000. Pursuant to A.S. 26.23.020(i) and (k)(2)(B), and A.S. 26.23.025(a), I respectfully request that the presiding officers of both the House of Representatives and the Senate concur that a special session should not be convened. The current balance of the Disaster Relief Fund is \$8,155,656.91. This letter serves as the initial finance plan and I will limit expenditures for this disaster to the available balance of the Fund. At this time a supplemental appropriation is not required.

Once the extent of damages has been determined, and a determination is made by the President on additional federal assistance for the affected jurisdictions, I will provide a revised finance plan.

Sincerely,

  
Bill Walker  
Governor

Enclosure: Disaster Declaration

cc: The Honorable Lyman Hoffman, Finance Committee Chair, Alaska State Senate  
The Honorable Anna MacKinnon, Finance Committee Chair, Alaska State Senate  
The Honorable Neal Foster, Finance Committee Chair, Alaska State House of Representatives  
The Honorable Paul Seaton, Finance Committee Chair, Alaska State House of Representatives

## STATE OF ALASKA DECLARATION OF DISASTER EMERGENCY

WHEREAS, on November 30, 2018, a major earthquake, measured at magnitude 7.0, produced strong seismic shaking that caused widespread and severe damage, primarily within the Municipality of Anchorage, Matanuska-Susitna Borough, and Kenai Peninsula Borough; and,

WHEREAS, the Municipality of Anchorage, Matanuska-Susitna Borough, and Kenai Peninsula Borough are political subdivisions of the State of Alaska; and,

WHEREAS, the Municipality of Anchorage and Matanuska-Susitna Borough have each issued local declarations of disaster emergency in response to this event; and,

WHEREAS, the following conditions exist as a result of this disaster: widespread and severe damage to major highways and important community roads, bridges, and other transportation infrastructure; undermining of road embankments and railroad tracks; widespread power, water, and communication disruption; structural collapse and resulting fires to several community buildings; and, severe damage to private homes and personal property, and,

WHEREAS, these conditions required local emergency protective measures to protect life and property, including activation and staffing of emergency operations centers; emergency debris clearance of roads and railroad tracks to protect critical infrastructure and maintain access; placement of road barricades to protect roads and bridges; operation of mass shelters for affected residents; school, business, and government office closures; and,

WHEREAS, the severity and magnitude of the emergency is beyond the timely and effective response and recovery capability of local resources, and repairs and emergency assistance are required; and,

WHEREAS, there are insufficient regularly appropriated funds in the communities impacted by this event to cover these requirements; and,

WHEREAS, normal environmental permitting processes would likely impede or substantially delay the urgent repairs to damaged transportation infrastructure and suspension of State environmental permitting requirements to allow emergency work is a reasonable and appropriate measure.

THEREFORE, on this 2nd day of December 2018, under authority granted by Alaska Statute 26.23.020(c), I hereby declare that a condition of disaster emergency exists in the Municipality of Anchorage, Matanuska-Susitna Borough, and Kenai Peninsula Borough and this condition is of sufficient severity and magnitude to warrant a disaster declaration in order to provide assistance. I am suspending the normal environmental permitting processes that would likely impede or substantially delay urgently required emergency actions and suspending the State environmental permitting requirements in order to enhance public safety and the protection of the public interests and infrastructure.



# Alaska Department of Transportation and Public Facilities

State of Alaska Cook Inlet  Lake Disaster Declaration  
Page 2 of 2

FURTHER, the Commissioner of the Department of Military and Veterans Affairs (DMVA) is hereby authorized to utilize funds made available for these purposes, which are considered necessary for disaster assistance to include disaster public assistance, individual assistance, temporary housing, and necessary administrative and disaster management expenses. State funds are proposed to be spent under AS 26.23.020(i) and (k) and AS 26.23.050. The Commissioner of DMVA or her designee is the designated State Coordinator; and is further authorized to task, as necessary, the state departments and agencies in accordance with the State Emergency Operations Plan and is further authorized to exercise, as necessary, the provisions provided under Alaska Statutes, Section 26.23.020(g), (1), (2), (3), (4), (5), (6), (7), (9) and (10).

FURTHER, I specifically order the suspension of those provisions of Alaska Statutes and regulations relating to any requirement for the Department of Transportation and Public Facilities to (a) obtain a lease from another state agency prior to entry upon the land; (b) obtain a permit, including land use permits and right-of-way permits, from another state agency prior to entry upon land; (c) obtain water use permits or rights, including temporary rights, from another state agency prior to utilizing such resources; (d) obtain fish habitat permits or special area permits from another state agency; (e) obtain wastewater disposal permits from another state agency; (f) obtain Section 106 Reviews pursuant to the National Historic Preservation Act of 1966 from another state agency; provided that the foregoing suspensions do not apply to any specific provision the suspension of which would create a violation of federal law or a violation of a requirement for the provision of federal emergency funding, and the foregoing suspensions may be supplemented by my further order to the Commissioner of DMVA and the Commissioner of the Department of Transportation and Public Facilities.

By: Bill Walker  
Bill Walker  
Governor



C.2 Emergency Authorization Request

MEMORANDUM

State of Alaska

Department of Transportation & Public Facilities

TO: John MacKinnon  
Commissioner

DATE: February 7, 2019

FILE NO: CDRER00500

TELEPHONE NO: 269-0770

FROM: Dave Kemp, P.E. *DK*  
Regional Director  
Central Region

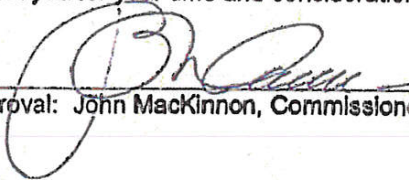
SUBJECT: Anchorage Earthquake  
November 2018  
Emergency Authorization  
Request

We would like to request an additional \$10,000,000 in federal emergency authorization for continued response and repairs due to the Anchorage earthquake. This additional allocation will increase our total emergency authorization to \$20,000,000.

DOT&PF state forces continue working and assessing the damage in Anchorage and the surrounding areas due to extensive damage from the earthquake that occurred on November 30. Work continues in many areas including the Glenn Highway, Parks/Glenn Interchange, Parks Highway, Kenai Spur Highway, and Seward Highway.

This authorization will provide additional funding for continued emergency expenses and contractual agreements.

Thank you for your time and consideration.

  
Approval: John MacKinnon, Commissioner

2.13.19  
Date

GW

cc: Shelley Dykema, Chief, Project Control, Northern Region  
Paul Wehe, Program Development, Statewide  
Greg Williams, Chief, Project Control, Central Region

2518EMERG



## C.3 Letters of Intent

### C.3.1 Kenai Flood 2018



THE STATE  
of **ALASKA**  
GOVERNOR BILL WALKER

## Department of Transportation and Public Facilities

OFFICE OF THE COMMISSIONER  
Marc Luiken, Commissioner

3132 Channel Drive  
P.O. Box 112500  
Juneau, Alaska 99811-2500  
Main: 907.465.3900  
dot.state.ak.us

November 8, 2018

Ms. Sandra Garcia-Aline  
Alaska Division Administrator  
Federal Highway Administration  
P.O. Box 21648  
Juneau, AK 99802

Dear Ms. Garcia-Aline:

Under the provisions of Title 23, U.S.C., Section 125, this is notice of intent by the State of Alaska Department of Transportation and Public Facilities to request emergency relief funds to assist in the cost of repairing damages on the Federal-aid highways in Alaska caused by the extreme runoff and flooding following the heavy and persistent rainfall events beginning October 12, 2018.

Attached is a copy of the Declaration by Governor Walker of a State of Disaster in Alaska on October 16, 2018.

Preliminary estimates of the damages sustained to the Federal-aid highways will be forwarded within a few days when assembled.

We are proceeding expeditiously to repair the affected sections of highway sufficiently to protect facilities from further damage.

Sincerely,

Marc Luiken  
Commissioner

Enclosure: Declaration of Emergency

## C.3.2 Earthquake 2018



THE STATE  
of **ALASKA**

GOVERNOR BILL WALKER

### Department of Transportation and Public Facilities

OFFICE OF THE COMMISSIONER  
Marc Luiken, Commissioner

3132 Channel Drive  
P.O. Box 112500  
Juneau, Alaska 99811-2500  
Main: 907.465.3900  
dot.state.ak.us

December 2, 2018

Sandra Garcia-Aline  
Alaska Division Administrator  
Federal Highway Administration  
P.O. Box 21648  
Juneau, Alaska 99802-1648

Dear Ms. Garcia-Aline:

Under the provisions of Title 23, U.S.C., Section 125, this is notice of intent by the Alaska Department of Transportation and Public Facilities to request emergency relief funds to assist in the cost of repairing damages to transportation infrastructure throughout southcentral Alaska. The damage to federal-aid highway and bridge infrastructure is due to the magnitude 7.2 earthquake that took place 25 miles south west of Palmer, Alaska on 30 November 2018.

Sections of the Glenn Highway, the Parks/Glenn Interchange, the Parks Highway, the Kenai Spur Highway, and the Seward Highway have all experienced major damage. The Minnesota/International Airport road had experienced damage to two exit ramps. Many of these facilities are closed or have single lane traffic as a result of damage. These are just the major federal-aid facilities that have experienced damage. We will provide a detailed list of all federal-aid facilities damaged by the earthquake in future correspondence.

Attached is a copy of the Declaration by Governor Walker declaring a State of Disaster on December 2, 2018.

We are currently working with our contractors to restore two way traffic on closed facilities. We are inspecting bridges to ensure their integrity and safety of the traveling public. Aftershocks continue to impact damage as well as recovery efforts.

Sincerely,

Handwritten signature of Marc Luiken in black ink.

Marc Luiken  
Commissioner

Enclosure(s)

*"Keep Alaska Moving through service and infrastructure."*



## C.4 FHWA Acknowledgement Letter - 2018 Flooding



U.S. Department  
of Transportation  
**Federal Highway  
Administration**

**Alaska Division**  
December 13, 2018

P.O. Box 21648  
Juneau, AK 99802-1648  
(907) 586-7418  
(907) 586-7420  
[www.fhwa.dot.gov/akdiv](http://www.fhwa.dot.gov/akdiv)

In Reply Refer To:  
AK2019 1

Mr. John MacKinnon  
Commissioner  
Alaska Department of Transportation and Public Facilities  
P.O. Box 112500  
Juneau, AK 99811

Dear Mr. MacKinnon:

This is to acknowledge receipt of the letter of intent, dated November 8, 2018, to request Emergency Relief (ER) Funds, authorized under Section 125 of Title 23, U.S.C., for the repair of damage to Federal-aid highways in Alaska caused by the extreme runoff and flooding following heavy and persistent rainfall events beginning October 12, 2018.

Please proceed with performance of emergency operations, including emergency repairs, on the Federal-aid highways necessary to restore essential traffic, to protect the remaining facilities, and to reduce the extent of damage. Also, you may proceed with preliminary engineering to include surveys, design, and preparation of construction plans, to perform the permanent restoration work required as an associated part of the emergency operations, and to use State forces and/or negotiated equipment rental contracts as necessary to perform the work.

The eligibility of such work for ER funds will be contingent upon a favorable finding by the Federal Highway Administration (FHWA) Division Administrator, on the eligibility of the disaster, and subsequent approval of the work by FHWA.

The basis for the Division Administrator's decision will be the Damage Survey Summary Report (DSSR), which must be submitted to this office. The DSSR, among other requirements, must include estimates of cost to repair and reconstruct the damaged Federal-aid highways.

FHWA Alaska Division staff has met with members of your staff to review the disaster damage and assist in preparing the DSSR and site damage reports. The DSSR is to be submitted within 8 weeks. If additional time is required, please advise, including the reason why the extra time is necessary.

If FHWA concurs in the disaster, all emergency work must be included in a program of emergency repair projects. The program, when submitted for approval, shall include a detailed outline of the necessary emergency operations performed and a description of the permanent restoration work proposed. Permanent restoration work, other than that performed as an associated part of the emergency operations, shall not be performed prior to program approval and authorization by this office.

Sufficient record keeping must be done to permit audit of costs on a site-by-site basis.

Sincerely,

Sandra A. Garcia-Aline  
Division Administrator

CC:

Dave Kemp, P.E., Regional Director, Central Region

## C.5 Damage Site Inspection Report Form

This Site Inspection report form provides staff a quick checklist of the bare minimum information to collect on site that will feed into the tracking spreadsheet and any FHWA/FEMA forms later. Dimensions of the damage are forgotten quite often – at least capture L x W x D on roadway and embankment damage areas.

DAMAGE SITE INSPECTION FORM							
<b>Inspection Team:</b>							
<b>Inspection Date:</b>							
<b>Road:</b>							
<b>Mile Point:</b>							
<b>Location Description:</b>							
<b>District/M&amp;O Station:</b>							
<b>Facility Type</b> <i>(circle)</i>	Roadway	Bridge	Embankment	Culvert	Other		
<b>Latitude / Longitude:</b>							
<b>Functional Road Classification</b> <i>(circle)</i>	<b>FHWA</b>				<b>FEMA</b>		TBD
	Interstate	Arterial	Urban Collector	Major Rural Collector	Minor Rural Collector	Local	
<b>FEMA Category</b> <i>(circle all that apply)</i>	<b>A</b> Debris Removal	<b>B</b> Emer. Measures	<b>C</b> Roads & Bridges	<b>D</b> Water Ctrl. Facilities	<b>E</b> Bldg. & Equip.	<b>F</b> Utilities	<b>G</b> Parks & Rec
<b>Observed Damage Description and Cause:</b>							
<b>Sketch of Damage and Dimensions (L x W x D, culvert size, etc):</b>							
<b>Work Goal/Temporary Repair Needed:</b>							



## C.6 Site Tracking Spreadsheet (see Field Operations Guide for other samples)

Site Status	Active Site Status	Site Number	FEMA/FHWA	Road Name	Mile Point	Location Description	Structure Number	Facility Type	Latitude	Longitude	Damage Description	Notes	DOT&PF POC	NHS	Functional Class
Active	In Construction	001	FHWA	EXAMPLE - Seward Hwy	EXAMPLE - NB 124.45 / SB 0.890	EXAMPLE - Tudor to 36th	N/A	Roadway	61.18076083	-149.86051512	Rippled Asphalt	Emergency repair performed; Will still need a permanent repair	Jason Lamoreaux	YES	Interstate

Section 1

Section 2

Section 3

### Section 1

Site Status	Active Site Status	Site Number	FEMA/FHWA	Road Name	Mile Point	Location Description
Active	In Construction	001	FHWA	EXAMPLE - Seward Hwy	EXAMPLE - NB 124.45 / SB 0.890	EXAMPLE - Tudor to 36th

### Section 3

Notes	DOT&PF POC	NHS	Functional Class	District
Emergency repair performed; Will still need a permanent repair	Jason Lamoreaux	YES	Interstate	ANCHORAGE

### Section 5

Emergency Contract Name	Emergency Contract Number	Emergency Program Code	Emergency Phase Code
Seward Hwy 36th to Tudor	EMR25192-005	CDRER00500	T04006

# Emergency Funding and Documentation

District	Location	Fed Route ID	Repair Action Group	Priority	Work Goal	Emergency Contract Name	Emergency Contract Number	Emergency Program Code	Emergency Phase Code	FHWA DDIR Number	FEMA Project Worksheet Number	State House District	State Senate District	Assembly District	Assembly Section	Assembly Seat 1	Assembly Seat 2
ANCHORAGE	ANCH	1020000X000	D/C	Needs Priority	Draft DDIR generated with permanent repairs.	Seward Hwy 36th to Tudor	EMR25192-005	CDRER00500	T04006	AK 2019 02 001	N/A	17	I	3	4	F	G

Section 4

Section 5

Section 6

## Section 2

Structure Number	Facility Type	Latitude	Longitude	Damage Description
N/A	Roadway	61.18076083	-149.86051512	Rippled Asphalt

## Section 4

District	Location	Fed Route ID	Repair Action Group	Priority	Work Goal
ANCHORAGE	ANCH	1020000X000	D/C	Needs Priority	Draft DDIR generated with permanent repairs.

## Section 6

FHWA DDIR Number	FEMA Project Worksheet Number	State House District	State Senate District	Assembly District	Assembly Section	Assembly Seat 1	Assembly Seat 2
AK 2019 02 001	N/A	17	I	3	4	F	G

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# Emergency Funding and Documentation

## C.7 PDA Requests

### C.7.1 Glenn Parks Interchange Repairs - Nov 2018 EQ Permanent Repair

#### CENTRAL REGION PDA REVISION REQUEST

<b>TO:</b>	Jennifer Coisman	Project Control Chief	<b>DATE:</b>	12/9/2020
<b>THRU:</b>	James E. Amundsen, P.E.	Highway Design Group Chief	<b>PROJECT NUMBER:</b>	CFHWY00594 0091011
<b>FROM:</b>	Steven J. Rzepka, P.E.	Project Manager	<b>PROJECT NAME:</b>	Glenn Parks Interchange Repairs - Nov 2018 EQ Permanent Repair

PHASE	Current Funding PDA#	1	Funding Change	Revised Amount
<b>PARTICIPATING (Federal + State Match)</b>				
Phase 2 - Design	\$	974,935.20	\$0.00	\$974,935.20
Phase 3 - Right of Way		\$0.00	\$0.00	\$0.00
Phase 4 - Construction		\$0.00	\$ 4,012,034.47	\$4,012,034.47
Phase 7 - Utilities		\$0.00	\$0.00	\$0.00
Phase 9 - Other		\$0.00	\$0.00	\$0.00
<b>Total Participating</b>		\$974,935.20	\$4,012,034.47	\$4,986,969.67
<b>NON-PARTICIPATING</b>				
Phase 2 - Design		\$0.00	\$0.00	\$0.00
Phase 3 - Right of Way		\$0.00	\$0.00	\$0.00
Phase 4 - Construction		\$0.00	\$0.00	\$0.00
Phase 7 - Utilities		\$0.00	\$0.00	\$0.00
Phase 9 - Other		\$0.00	\$0.00	\$0.00
<b>Total Non-Participating</b>		\$0.00	\$0.00	\$0.00
<b>SUBTOTAL:</b>		\$974,935.20	\$4,012,034.47	\$4,986,969.67
<b>UNALLOCATED</b>				
Phase 1 State		\$0.00	\$0.00	\$0.00
Phase 1 Federal		\$0.00	\$0.00	\$0.00
<b>TOTAL:</b>		\$974,935.20	\$4,012,034.47	\$4,986,969.67

**ACTION REQUESTED:**  
 FHWA: ATP thru:

**Action Requested Narrative:**  
 Please revise funding as shown and provide authorization to proceed through Construction

Do you want to include this language? \*Request approval to use preliminary engineering funding for acquiring temporary property interests, if needed, in accordance with Section 2.2 of the ADOT&PF ROW manual."  YES  NO

**SCOPE: (only required on original or if revised)**  
**Scope Narrative for Non FHWA:**

<b>PROJECT CONTROL USE ONLY</b>		<b>FHWA Need ID:</b> _____			<b>Ratio:</b> _____	<b>Capitalized (C) or Expensed (E)</b> _____
<b>Legislative Auth:</b>		<b>STIP / TIP</b>	Phase	Phase	Phase	
Appn #	Appn #	Available				Construction Budget Form <input type="checkbox"/>
Appn #	Appn #	Requested				FHWA Offset Form <input type="checkbox"/>
RP in Process <input type="checkbox"/>	Contingency Memo <input type="checkbox"/>	Offset if Neg				Executed AIP Grant <input type="checkbox"/>
Local Match <input type="checkbox"/>		Remarks:				



# Alaska Department of Transportation and Public Facilities

Glenn Parks Interchange Repairs - Nov 2018 E									
#	Route #	Route Name	UrbanID	Functional Classification	NBI #	BEG Milepoint	END Milepoint	NHS Y/N	
1	1060000I000	NB Glenn Hwy	99999-Rural	Interstate	--	33.000	34.300	Y	A
2	1060000I000	NB Glenn Hwy	99999-Rural	Interstate	2121	33.506	33.557	Y	A
3	1140000F013	SB Parks off ramp to SB Glenn	99999-Rural	Interstate	--	0.000	0.813	N	A
4	1060000F160	NB Glenn Hwy off ramp to NB Parks Hwy	99999-Rural	Interstate	--	0.000	0.487	N	A
5	1060000I000	NB Glenn Hwy/Glenn Hwy undivided	99999-Rural	Interstate	--	34.300	34.800	Y	A
6	1140000F013	SB Parks off ramp to SB Glenn	47132-Lakes--Knik-Fairview--Wasilla,AK	Interstate	2115	0.006	0.145	N	A
7	1060000F160	NB Glenn Hwy off ramp to NB Parks Hwy	47132-Lakes--Knik-Fairview--Wasilla,AK	Interstate	2116	0.807	0.962	N	A
8	1060000D000	SB Glenn Hwy	47132-Lakes--Knik-Fairview--Wasilla,AK	Interstate	--	0.000	0.800	Y	A
9	1060000D000	SB Glenn Hwy	99999-Rural	Interstate	--	6.000	7.000	Y	A
10	1060000F140	NB Glenn Hwy off ramp to Old Glenn	99999-Rural	Interstate	--	0.000	0.421	N	A
11	Construction Engineering for Interstate routes (Match Ratio 93.40%)								
12	Training for Interstate routes (Match Ratio 93.40%)								
#	Route #	Route Name	UrbanID	Functional Classification	NBI #	BEG Milepoint	END Milepoint	NHS Y/N	
13	2381091X000	Fireweed Rd	47132-Lakes--Knik-Fairview--Wasilla,AK	Non-Interstate	--	0.500	1.500	N	A
14	2361034X000	Woodworth Loop Rd	47132-Lakes--Knik-Fairview--Wasilla,AK	Major Collector	--	0.000	0.600	N	A
15	Construction Engineering for non-interstate routes (Match Ratio 90.97%)								
16	Training for non-interstate routes (Match Ratio 90.97%)								

# Emergency Funding and Documentation

EQ Permanent Repair, CFHWY00594/0091011								
DDIR No.	Improvement Type	Phase	Phase Code	Ratio	Previous amount	Current Amount	New Amount	Site (for reference only)
AK 2019 02 015	15	2	TA2007	90.97%	\$ -	\$ -	\$ -	015
				93.40%	\$ 268,699.68	\$ -	\$ 268,699.68	
	06	4	064007	93.40%	\$ -	\$ 2,055,304.99	\$ 2,055,304.99	
AK 2019 02 015	15	2	TA2007	90.97%	\$ -	\$ -	\$ -	015
				93.40%	\$ 4,153.77	\$ -	\$ 4,153.77	
	06	4	064007	93.40%	\$ -	\$ -	\$ -	
AK 2019 02 015	15	2	TA2007	90.97%	\$ -	\$ -	\$ -	015
				93.40%	\$ 66,259.88	\$ -	\$ 66,259.88	
	06	4	064007	93.40%	\$ -	\$ -	\$ -	
AK 2019 02 015	15	2	TA2007	90.97%	\$ -	\$ -	\$ -	015
				93.40%	\$ 39,688.12	\$ -	\$ 39,688.12	
	06	4	064007	93.40%	\$ -	\$ -	\$ -	
AK 2019 02 015	15	2	TA2070	90.97%	\$ 34,875.36	\$ -	\$ 34,875.36	172
				93.40%	\$ -	\$ -	\$ -	
	06	4	Not Needed	93.40%	\$ -	\$ -	\$ -	
AK 2019 02 015	15	2	TA2007	90.97%	\$ -	\$ -	\$ -	015
				93.40%	\$ 11,323.10	\$ -	\$ 11,323.10	
	47	4	474007	93.40%	\$ -	\$ 272,350.00	\$ 272,350.00	
AK 2019 02 015	15	2	TA2007	90.97%	\$ -	\$ -	\$ -	015
				93.40%	\$ 12,627.13	\$ -	\$ 12,627.13	
	47	4	474007	93.40%	\$ -	\$ 272,350.00	\$ 272,350.00	
AK 2019 02 015	15	2	TA2007	90.97%	\$ 34,875.36	\$ -	\$ 34,875.36	015
				93.40%	\$ -	\$ -	\$ -	
	06	4	064007	93.40%	\$ -	\$ -	\$ -	
AK 2019 02 048	15	2	TA2020	90.97%	\$ -	\$ -	\$ -	048
				93.40%	\$ 159,653.60	\$ -	\$ 159,653.60	
	06	4	064020	93.40%	\$ -	\$ 398,343.30	\$ 398,343.30	
AK 2019 02 190	15	2	TA2076	90.97%	\$ 113,125.60	\$ -	\$ 113,125.60	190
				93.40%	\$ -	\$ -	\$ -	
	06	4	064076	93.40%	\$ -	\$ 227,358.83	\$ 227,358.83	
	17	4	174INT	93.40%	\$ -	\$ 784,860.85	\$ 784,860.85	--
	42	4	424INT	93.40%	\$ -	\$ 1,466.50	\$ 1,466.50	--
DDIR No.	Improvement Type	Phase	Phase Code	Ratio	Previous amount	Current Amount	New Amount	Site (for reference only)
AK 2019 02 067	15	2	TA2030	90.97%	\$ 159,653.60	\$ -	\$ 159,653.60	067
				--	\$ -	\$ -	\$ -	
	06	4	Not Needed	90.97%	\$ -	\$ -	\$ -	
AK 2019 02 102	15	2	TA2048	90.97%	\$ 70,000.00	\$ -	\$ 70,000.00	102
				--	\$ -	\$ -	\$ -	
	06	4	Not Needed	90.97%	\$ -	\$ -	\$ -	
	17	4	Not Needed	90.97%	\$ -	\$ -	\$ -	--
	42	4	Not Needed	90.97%	\$ -	\$ -	\$ -	--
<b>Total All Locations:</b>					<b>\$ 974,935.20</b>	<b>\$ 4,012,034.47</b>	<b>\$ 4,986,969.67</b>	



# Alaska Department of Transportation and Public Facilities

Glenn Parks Interchange Repairs - Nov 2018 EQ Permanent Repair, 0091011/CFHW						
DDIR	Bridge No.	Basic Bid	Basic Bid - Training	Construction Engineering	ICAP	Training
--	--	\$ -	\$ -	\$ -	\$ -	\$ -
<b>Totals for 90.97% Ratio:</b>		<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
AK 2019 02 015		\$ 1,963,155.00	\$ 1,962,105.00	\$ 367,431.00	\$ 110,702.84	\$ 1,050,000.00
	2115 & 2116	\$ 520,000.00	\$ 520,000.00	\$ 104,000.00	\$ 29,640.00	\$ -
AK 2019 02 048		\$ 380,455.00	\$ 380,280.00	\$ 179,727.50	\$ 26,608.67	\$ 175,000.00
AK 2019 12 090		\$ 217,224.00	\$ 217,049.00	\$ 98,112.00	\$ 14,978.46	\$ 175,000.00
<b>Totals for 93.40% Ratio:</b>		<b>\$3,080,834.00</b>	<b>\$3,079,434.00</b>	<b>\$ 749,270.50</b>	<b>\$ 181,929.97</b>	<b>\$ 1,400,000.00</b>
<b>Project Total:</b>		<b>\$3,080,834.00</b>	<b>\$3,079,434.00</b>	<b>\$ 749,270.50</b>	<b>\$ 181,929.97</b>	<b>\$ 1,400,000.00</b>

Construction Engineering Phase Codes			
Phase Code	Ratio	Value	Percentage of Base Bid
174OFF	90.97%	\$ -	
174INT	93.40%	\$ 784,860.85	25.48%

## Emergency Funding and Documentation

VY00594			ICAP Split				
	Total:	Ratio	Construction ICAP	Training ICAP	CENG ICAP	Total ICAP check	% of 174OFF / 174INT
-	\$ -	90.97%	\$ -	\$ -	\$ -	\$ -	
-	\$ -		\$ -	\$ -	\$ -	\$ -	
0.00	\$ 2,441,288.84	93.40%	\$ 93,199.99	\$ 49.88	\$ 17,452.97	\$ 110,702.84	49.04%
-	\$ 653,640.00	93.40%	\$ 24,700.00	\$ -	\$ 4,940.00	\$ 29,640.00	13.88%
5.00	\$ 586,791.17	93.40%	\$ 18,063.30	\$ 8.31	\$ 8,537.06	\$ 26,608.67	23.99%
5.00	\$ 330,314.46	93.40%	\$ 10,309.83	\$ 8.31	\$ 4,660.32	\$ 14,978.46	13.09%
<b>0.00</b>	<b>\$ 4,012,034.47</b>		<b>\$ 146,273.12</b>	<b>\$ 66.50</b>	<b>\$ 35,590.35</b>	<b>\$ 181,929.97</b>	<b>100.00%</b>
<b>0.00</b>	<b>\$ 4,012,034.47</b>		<b>\$ 146,273.12</b>	<b>\$ 66.50</b>	<b>\$ 35,590.35</b>	<b>\$ 181,929.97</b>	



# Alaska Department of Transportation and Public Facilities

## Cert Project Engineer's Estimate

State Project Number: CFHWY00594-015

Federal Project Number:

Project Description: Glenn Parks Interchange

Project Line #	Proposal Line #	Item #	Description	Unit	Qty.	Price	Ext. Amount	Owner Furnished Material
Category: Basic Bid								
10	10	201.0003.0000	Clearing and Grubbing	ACRE	2.90	8,900.00	25,810.00	
20	20	202.0002.0000	Removal of Pavement	SY	6,650.00	3.00	19,950.00	
30	30	203.0003.0000	Unclassified Excavation	CY	17,400.00	14.00	243,600.00	
40	40	203.0006.000A	Borrow, Type A	TON	26,300.00	13.00	341,900.00	
50	60	301.0001.00D1	Aggregate Base Course, Grading D-1	TON	3,550.00	40.00	142,000.00	
60	130	406.0007.0000	Rumble Strips, Shoulders	LF	3,400.00	1.00	3,400.00	
70	140	408.2001.00VH	HMA, Type VH	TON	1,150.00	100.00	115,000.00	
80	150	408.2004.5240	Asphalt Binder, Grade PG 52-40 V	TON	61.00	700.00	42,700.00	
90	160	511.2004.0001	Mechanically Stabilized Earth Wall - Face Panel Replacement	LS	All Required	300,000.00	300,000.00	
100	170	511.2004.0002	Mechanically Stabilized Earth Wall - Face Panel Removal and Reinstallation	LS	All Required	200,000.00	200,000.00	
110	180	511.2005.0001	Mechanically Stabilized Earth Wall - Replacement Panels	CS	All Required	20,000.00	20,000.00	
120	190	606.0001.0000	W-Beam Guardrail	LF	2,287.50	30.00	68,625.00	
130	200	606.0006.0000	Removing and Disposing of Guardrail	LF	2,398.00	10.00	23,980.00	
140	220	606.0013.0000	Parallel Guardrail Terminal	EACH	2.00	4,500.00	9,000.00	
150	230	615.0001.0000	Standard Sign	SF	72.00	120.00	8,640.00	
160	240	618.0002.0000	Seeding	LB	253.00	250.00	63,250.00	
170	250	618.0003.0000	Water for Seeding	MGAL	168.00	200.00	33,600.00	
180	260	619.2002.0000	Turf Reinforcement Mat	SY	15,300.00	10.00	153,000.00	
190	270	620.0001.0000	Topsoil	SY	18,700.00	5.00	93,500.00	
200	300	634.0001.0001	Geogrid, Stabilization, Class 1	SY	5,350.00	5.00	26,750.00	
210	310	634.0001.0003	Geogrid, Stabilization, Class 3	SY	17,200.00	7.00	120,400.00	
220	320	640.0001.0000	Mobilization and Demobilization	LS	All Required	148,000.00	148,000.00	
230	330	641.0001.0000	Erosion, Sediment and Pollution Control Administration	LS	All Required	5,000.00	5,000.00	
240	340	641.0005.0000	Temporary Erosion, Sediment and Pollution Control by Directive	CS	All Required	20,000.00	20,000.00	
250	350	641.0006.0000	Withholding	CS	All Required	0.00	0.00	
260	360	641.0007.0000	SWPPP Manager	LS	All Required	5,000.00	5,000.00	
270	370	642.0001.0000	Construction Surveying	LS	All Required	20,000.00	20,000.00	
280	380	642.0003.0000	Three Person Survey Party	HR	80.00	300.00	24,000.00	
290	390	643.0002.0000	Traffic Maintenance	LS	All Required	30,000.00	30,000.00	
300	400	643.0003.0000	Permanent Construction Signs	LS	All Required	8,000.00	8,000.00	
310	410	643.0023.0000	Traffic Price Adjustment	CS	All Required	0.00	0.00	
320	420	643.0025.0000	Traffic Control	CS	All Required	80,000.00	80,000.00	
330	430	643.0032.0000	Flagging	CS	All Required	15,000.00	15,000.00	
340	440	644.0001.0000	Field Office	LS	All Required	8,000.00	8,000.00	
350	450	644.2004.0000	Engineering Communications	CS	All Required	8,000.00	8,000.00	
360	460	644.2007.0000	Vehicle (LT/SUV)	EACH	1.00	5,000.00	5,000.00	
370	470	645.0001.0000	Training Program, 1 Trainee / Apprentice	LH	30.00	35.00	1,050.00	
380	480	646.0001.0000	CPM Scheduling	LS	All Required	8,000.00	8,000.00	
390	490	647.2002.0000	Backhoe, 4WD, 1 CY Bucket, 75-HP Minimum, 15 ft Depth	CS	All Required	15,000.00	15,000.00	
400	520	670.0010.0000	Methyl Methacrylate Pavement Markings	LS	All Required	20,000.00	20,000.00	
410	530	682.2000.0000	Vac-Truck Pothole	CS	All Required	8,000.00	8,000.00	

**Category Basic Bid Total: \$2,483,155.00**

Minus Contractor Furnished CENG Items: \$21,000.00

Exc Subtotal: \$2,462,155.00

Construction Engineering Percent/Amount: 20% \$492,431.00

Minus Contractor Furnished CENG Items: \$21,000.00

**State Forces CENG Amount: \$471,431.00**

**Basic Bid Owner Furnished Material Total: \$0.00**

# Emergency Funding and Documentation

**State Project Number: CFHWY00594-015**

**Federal Project Number:**

**Project Description: Glenn Parks Interchange**

Project Line #	Proposal Line #	Item #	Description	Unit	Qty.	Price	Ext. Amount	Owner Furnished Material
Category Subtotal (Pay Items + SF CENG + Furn Materials):							\$2,954,586.00	
<b>Indirect Cost Allocation Plan (ICAP) Percent/Amount: 4.75%</b>							<b>\$140,342.84</b>	
<b>Category Basic Bid Estimate Total:</b>							<b>\$3,094,928.84</b>	
Pay Item Total: CFHWY00594-015							\$2,483,155.00	41 Items
SF CENG Amount:							\$471,431.00	
Owner Furnished Materials (Not part of the Contract):							\$0.00	
ICAP Amount:							\$140,342.84	
<b>Project Estimate Total:</b>							<b>\$3,094,928.84</b>	
Estimate Bid Contingency Percent/Amount: %							\$0.00	
<b>Project Estimate Total + Estimate Bid Contingency:</b>							<b>\$3,094,928.84</b>	



# Alaska Department of Transportation and Public Facilities

## Cert Project Engineer's Estimate

State Project Number: CFHWY00594-048

Federal Project Number:

Project Description: Glenn Hwy MP 29.3

Project Line #	Proposal Line #	Item #	Description	Unit	Qty.	Price	Ext. Amount	Owner Furnished Material
Category: Basic Bid								
10	10	201.0003.0000	Clearing and Grubbing	ACRE	0.20	8,900.00	1,780.00	
20	20	202.0002.0000	Removal of Pavement	SY	1,300.00	3.00	3,900.00	
30	30	203.0003.0000	Unclassified Excavation	CY	6,550.00	14.00	91,700.00	
40	40	203.0006.000A	Borrow, Type A	TON	2,950.00	13.00	38,350.00	
50	60	301.0001.00D1	Aggregate Base Course, Grading D-1	TON	560.00	40.00	22,400.00	
60	130	406.0007.0000	Rumble Strips, Shoulders	LF	600.00	1.00	600.00	
70	140	408.2001.00VH	HMA, Type VH	TON	287.00	100.00	28,700.00	
80	150	408.2004.5240	Asphalt Binder, Grade PG 52-40 V	TON	16.00	700.00	11,200.00	
90	240	618.0002.0000	Seeding	LB	19.00	250.00	4,750.00	
100	250	618.0003.0000	Water for Seeding	MGAL	12.00	200.00	2,400.00	
110	270	620.0001.0000	Topsoil	SY	1,350.00	10.00	13,500.00	
120	300	634.0001.0001	Geogrid, Stabilization, Class 1	SY	3,800.00	5.00	19,000.00	
130	320	640.0001.0000	Mobilization and Demobilization	LS	All Required	75,000.00	75,000.00	
140	330	641.0001.0000	Erosion, Sediment and Pollution Control Administration	LS	All Required	2,500.00	2,500.00	
150	340	641.0005.0000	Temporary Erosion, Sediment and Pollution Control by Directive	CS	All Required	5,000.00	5,000.00	
160	350	641.0006.0000	Withholding	CS	All Required	0.00	0.00	
170	360	641.0007.0000	SWPPP Manager	LS	All Required	2,500.00	2,500.00	
180	370	642.0001.0000	Construction Surveying	LS	All Required	5,000.00	5,000.00	
190	380	642.0003.0000	Three Person Survey Party	HR	20.00	300.00	6,000.00	
200	390	643.0002.0000	Traffic Maintenance	LS	All Required	10,000.00	10,000.00	
210	400	643.0003.0000	Permanent Construction Signs	LS	All Required	1,000.00	1,000.00	
220	410	643.0023.0000	Traffic Price Adjustment	CS	All Required	0.00	0.00	
230	420	643.0025.0000	Traffic Control	CS	All Required	10,000.00	10,000.00	
240	430	643.0032.0000	Flagging	CS	All Required	2,500.00	2,500.00	
250	440	644.0001.0000	Field Office	LS	All Required	1,000.00	1,000.00	
260	450	644.2004.0000	Engineering Communications	CS	All Required	1,000.00	1,000.00	
270	460	644.2007.0000	Vehicle (LT/SUV)	EACH	1.00	5,000.00	5,000.00	
280	470	645.0001.0000	Training Program, 1 Trainee / Apprentice	LH	5.00	35.00	175.00	
290	480	646.0001.0000	CPM Scheduling	LS	All Required	1,000.00	1,000.00	
300	490	647.2002.0000	Backhoe, 4WD, 1 CY Bucket, 75-HP Minimum, 15 ft Depth	CS	All Required	5,000.00	5,000.00	
310	520	670.0010.0000	Methyl Methacrylate Pavement Markings	LS	All Required	7,500.00	7,500.00	
320	530	682.2000.0000	Vac-Truck Pothole	CS	All Required	2,000.00	2,000.00	

**Category Basic Bid Total: \$380,455.00**

Minus Contractor Furnished CENG Items: \$7,000.00

Exc Subtotal: \$373,455.00

Construction Engineering Percent/Amount: 50% \$186,727.50

Minus Contractor Furnished CENG Items: \$7,000.00

**State Forces CENG Amount: \$179,727.50**

**Basic Bid Owner Furnished Material Total: \$0.00**

Category Subtotal (Pay Items + SF CENG + Furn Materials): \$560,182.50

**Indirect Cost Allocation Plan (ICAP) Percent/Amount: 4.75% \$26,608.67**

**Category Basic Bid Estimate Total: \$586,791.17**



# Emergency Funding and Documentation

## Cert Project Engineer's Estimate

State Project Number: CFHWY00594-048

Federal Project Number:

Project Description: Glenn Hwy MP 29.3

Project Line #	Proposal Line #	Item #	Description	Unit	Qty.	Price	Ext. Amount	Owner Furnished Material
Pay Item Total: CFHWY00594-048							\$380,455.00	32 Items
SF CENG Amount:							\$179,727.50	
Owner Furnished Materials (Not part of the Contract):							\$0.00	
ICAP Amount:							\$26,608.67	
<b>Project Estimate Total:</b>							<b>\$586,791.17</b>	
Estimate Bid Contingency Percent/Amount: %							\$0.00	
<b>Project Estimate Total + Estimate Bid Contingency:</b>							<b>\$586,791.17</b>	



# Alaska Department of Transportation and Public Facilities

## Cert Project Engineer's Estimate

State Project Number: CFHWY00594-190

Federal Project Number:

Project Description: Old Glenn at Palmer Off Ramp MP 0.1

Project Line #	Proposal Line #	Item #	Description	Unit	Qty.	Price	Ext. Amount	Owner Furnished Material
Category: Basic Bid								
10	20	202.0002.0000	Removal of Pavement	SY	239.00	3.00	717.00	
20	30	203.0003.0000	Unclassified Excavation	CY	233.00	14.00	3,262.00	
30	40	203.0006.000A	Borrow, Type A	TON	520.00	13.00	6,760.00	
40	60	301.0001.00D1	Aggregate Base Course, Grading D-1	TON	117.00	40.00	4,680.00	
50	140	408.2001.00VH	HMA, Type VH	TON	41.00	100.00	4,100.00	
60	150	408.2004.5240	Asphalt Binder, Grade PG 52-40 V	TON	3.00	700.00	2,100.00	
70	240	618.0002.0000	Seeding	LB	3.00	250.00	750.00	
80	250	618.0003.0000	Water for Seeding	MGAL	2.00	200.00	400.00	
90	270	620.0001.0000	Topsoil	SY	209.00	10.00	2,090.00	
100	300	634.0001.0001	Geogrid, Stabilization, Class 1	SY	438.00	5.00	2,190.00	
110	320	640.0001.0000	Mobilization and Demobilization	LS	All Required	75,000.00	75,000.00	
120	330	641.0001.0000	Erosion, Sediment and Pollution Control Administration	LS	All Required	2,500.00	2,500.00	
130	340	641.0005.0000	Temporary Erosion, Sediment and Pollution Control by Directive	CS	All Required	5,000.00	5,000.00	
140	350	641.0006.0000	Withholding	CS	All Required	0.00	0.00	
150	360	641.0007.0000	SWPPP Manager	LS	All Required	2,500.00	2,500.00	
160	380	642.0003.0000	Three Person Survey Party	HR	20.00	300.00	6,000.00	
170	390	643.0002.0000	Traffic Maintenance	LS	All Required	10,000.00	10,000.00	
180	400	643.0003.0000	Permanent Construction Signs	LS	All Required	1,000.00	1,000.00	
190	410	643.0023.0000	Traffic Price Adjustment	CS	All Required	0.00	0.00	
200	420	643.0025.0000	Traffic Control	CS	All Required	10,000.00	10,000.00	
210	430	643.0032.0000	Flagging	CS	All Required	2,500.00	2,500.00	
220	440	644.0001.0000	Field Office	LS	All Required	1,000.00	1,000.00	
230	450	644.2004.0000	Engineering Communications	CS	All Required	1,000.00	1,000.00	
240	460	644.2007.0000	Vehicle (LT/SUV)	EACH	1.00	5,000.00	5,000.00	
250	470	645.0001.0000	Training Program, 1 Trainee / Apprentice	LH	5.00	35.00	175.00	
260	480	646.0001.0000	CPM Scheduling	LS	All Required	1,000.00	1,000.00	
270	490	647.2002.0000	Backhoe, 4WD, 1 CY Bucket, 75-HP Minimum, 15 ft Depth	CS	All Required	5,000.00	5,000.00	
280	500	668.2001.0000	High Tower Electrolier - Repairs	LS	All Required	50,000.00	50,000.00	
290	520	670.0010.0000	Methyl Methacrylate Pavement Markings	LS	All Required	7,500.00	7,500.00	
300	530	682.2000.0000	Vac-Truck Pothole	CS	All Required	5,000.00	5,000.00	

<b>Category Basic Bid Total:</b>	<b>\$217,224.00</b>
Minus Contractor Furnished CENG Items:	\$7,000.00
Exc Subtotal:	\$210,224.00
Construction Engineering Percent/Amount: 50%	\$105,112.00
Minus Contractor Furnished CENG Items:	\$7,000.00
<b>State Forces CENG Amount:</b>	<b>\$98,112.00</b>
<b>Basic Bid Owner Furnished Material Total:</b>	<b>\$0.00</b>
Category Subtotal (Pay Items + SF CENG + Furn Materials):	\$315,336.00
<b>Indirect Cost Allocation Plan (ICAP) Percent/Amount: 4.75%</b>	<b>\$14,978.46</b>
<b>Category Basic Bid Estimate Total:</b>	<b>\$330,314.46</b>

# Emergency Funding and Documentation

## Cert Project Engineer's Estimate

State Project Number: CFHWY00594-190

Federal Project Number:

Project Description: Old Glenn at Palmer Off Ramp MP 0.1

Project Line #	Proposal Line #	Item #	Description	Unit	Qty.	Price	Ext. Amount	Owner Furnished Material
Pay Item Total: CFHWY00594-190							\$217,224.00	30 Items
SF CENG Amount:							\$98,112.00	
Owner Furnished Materials (Not part of the Contract):							\$0.00	
ICAP Amount:							\$14,978.46	
<b>Project Estimate Total:</b>							<b>\$330,314.46</b>	
Estimate Bid Contingency Percent/Amount: %							\$0.00	
<b>Project Estimate Total + Estimate Bid Contingency:</b>							<b>\$330,314.46</b>	



# Alaska Department of Transportation and Public Facilities

## C.7.2 Kenai Area Repairs - Nov 2018 EQ Permanent Repair

### CENTRAL REGION PDA REVISION REQUEST

**TO:** Jennifer Coisman Project Control Chief **DATE:** 10/23/2020  
**THRU:** James E. Amundsen, P.E. Highway Design Group Chief **PROJECT NUMBER:** CFHWY00644 0092007  
**FROM:** Steven J. Rzepka, P.E. Project Manager **PROJECT NAME:** Kenai Area Repairs - Nov 2018 EQ Permanent Repair  
 IRIS Federal

PHASE	Current Funding PDA#	0	Funding Change	Revised Amount
<b>PARTICIPATING (Federal + State Match)</b>				
Phase 2 - Design	\$243,266.40		\$0.00	\$243,266.40
Phase 3 - Right of Way	\$0.00		\$0.00	\$0.00
Phase 4 - Construction	\$0.00		\$0.00	\$0.00
Phase 7 - Utilities	\$0.00		\$0.00	\$0.00
Phase 9 - Other	\$0.00		\$0.00	\$0.00
<b>Total Participating</b>	<b>\$243,266.40</b>		<b>\$0.00</b>	<b>\$243,266.40</b>
<b>NON-PARTICIPATING</b>				
Phase 2 - Design	\$0.00		\$0.00	\$0.00
Phase 3 - Right of Way	\$0.00		\$0.00	\$0.00
Phase 4 - Construction	\$0.00		\$0.00	\$0.00
Phase 7 - Utilities	\$0.00		\$0.00	\$0.00
Phase 9 - Other	\$0.00		\$0.00	\$0.00
<b>Total Non-Participating</b>	<b>\$0.00</b>		<b>\$0.00</b>	<b>\$0.00</b>
<b>SUBTOTAL: \$243,266.40 \$0.00 \$243,266.40</b>				
<b>UNALLOCATED</b>				
Phase 1 State	\$0.00		\$0.00	\$0.00
Phase 1 Federal	\$0.00		\$0.00	\$0.00
<b>TOTAL:</b>	<b>\$243,266.40</b>		<b>\$0.00</b>	<b>\$243,266.40</b>

**ACTION REQUESTED:**  
 FHWA: ATP thru: Final PS&E  
**Action Requested Narrative:**  
 Please revise funding as shown and provide authorization to proceed through Final PS&E  
 Please remove the specified funds from phase codes TB2017, TB2018, TB2077, TB2078, TB2091, and TB2139 and place those funds into phase code TB2080.  
 Do you want to include this language? \*Request approval to use preliminary engineering funding for acquiring temporary property interests, if needed, in accordance with Section 2.2 of the ADOT&PF ROW manual.\*  
 YES  NO

**SCOPE: (only required on original or if revised)**  
**Scope Narrative for Non FHWA:**

**PROJECT CONTROL USE ONLY** **FHWA Need ID:** \_\_\_\_\_ **Ratio:** \_\_\_\_\_ **Capitalized (C) or Expensed (E)** \_\_\_\_\_

Legislative Auth:	STIP / TIP	Phase	Phase	Phase
Appn #	Available			
Appn #	Requested			
RP in Process <input type="checkbox"/>	Offset if Neg			
Local Match <input type="checkbox"/>	Contingency Memo <input type="checkbox"/>	Remarks: _____		

Construction Budget Form   
 FHWA Offset Form   
 Executed AIP Grant

#	Route #	Route Name	UrbanID	Functional Classification	NBI #	BEG Milepoint	END Milepoint	NHS Y/N	DDIR No.	Improvement Type	Phase	Phase Code	Ratio	Previous amount	Current Amount	New Amount	Site (for reference only)
1	1020000X000	Seward Hwy	Rural	Interstate	--	48.986	49.986	Y	AK 2019 02 212	15	2	TB2091	93.40%	\$ 27,986.40	\$ -	\$ 27,986.40	212
													93.40%	\$ -	\$ (13,863.60)	\$ (13,863.60)	
2	1020000X000	Seward Hwy	Rural	Interstate	--	49.986	50.971	Y	AK 2019 02 214	15	2	TB2139	93.40%	\$ 27,986.40	\$ -	\$ 27,986.40	214
													93.40%	\$ -	\$ (13,124.46)	\$ (13,124.46)	
3	2141077X000	Kenai Spur Hwy	Rural	Principal Arterial - Other		18.019	20.918	Y	AK 2019 02 045	15	2	TB2017	90.97%	\$ 51,667.20	\$ -	\$ 51,667.20	45, 186
													90.97%	\$ -	\$ (35,312.64)	\$ (35,312.64)	
4	2141077X000	Kenai Spur Hwy	Rural	Major Collector		33.976	35.438	Y	AK 2019 02 046	15	2	TB2018	90.97%	\$ 27,986.40	\$ -	\$ 27,986.40	46, 47
													90.97%	\$ -	\$ (13,648.71)	\$ (13,648.71)	
5	2141077X000	Kenai Spur Hwy	Rural	Major Collector		29.676	31.588	Y	AK 2019 02 193	15	2	TB2077	90.97%	\$ 27,986.40	\$ -	\$ 27,986.40	193
													90.97%	\$ -	\$ (13,355.54)	\$ (13,355.54)	
6	1000000X000	Sterling Hwy	Rural	Principal Arterial - Other		76.107	80.176	Y	AK 2019 02 195	15	2	TB2078	90.97%	\$ 27,986.40	\$ -	\$ 27,986.40	195, 196
													90.97%	\$ -	\$ (13,350.05)	\$ (13,350.05)	
7	1000000X000	Sterling Hwy	Rural	Principal Arterial - Other		80.176	115.724	Y	AK 2019 02 197	15	2	TB2080	90.97%	\$ 51,667.20	\$ -	\$ 51,667.20	197-206
													90.97%	\$ -	\$ 102,655.00	\$ 102,655.00	
<b>Total All Locations:</b>														<b>\$ 243,266.40</b>	<b>\$ -</b>	<b>\$ 243,266.40</b>	

# Emergency Funding and Documentation

## CENTRAL REGION PDA REVISION REQUEST

Expenditures for Kenai Area Repairs - Nov 2018 EQ Permanent Repair						
DDIR	Removed? (Y/N)	Phase Code	Budget	Expenditures (as of 10/14/2020)	Buffer for expenses still processing	Cash-out and redistribute
AK 2019 02 212	Y	TB2091	\$27,986.40	\$4,122.80	\$10,000.00	-\$13,863.60
AK 2019 02 214	Y	TB2139	\$27,986.40	\$3,915.13	\$10,946.81	-\$13,124.46
AK 2019 02 045	Y	TB2017	\$51,667.20	\$6,354.56	\$10,000.00	-\$35,312.64
AK 2019 02 046	Y	TB2018	\$27,986.40	\$4,337.69	\$10,000.00	-\$13,648.71
AK 2019 02 193	Y	TB2077	\$27,986.40	\$4,630.86	\$10,000.00	-\$13,355.54
AK 2019 02 195	Y	TB2078	\$27,986.40	\$4,636.35	\$10,000.00	-\$13,350.05
AK 2019 02 197	N	TB2080	\$51,667.20	\$10,052.04		
			<b>\$243,266.40</b>	<b>\$38,049.43</b>	<b>\$60,946.81</b>	<b>-\$102,655.00</b>



# Alaska Department of Transportation and Public Facilities

## CENTRAL REGION PDA REVISION REQUEST

Program Name: Kenai Area Repairs - Nov 2018 EQ Permanent Repair  
 DDIR: AK 2019 02 045

Activity	Existing Budget	Requested Change	New Total Budget
<b>Surveying</b>	Pre Env.	0	+0
	Post Env.	0	+0
<b>Environmental</b>	Pre Env.	2,000	+0
	Post Env.	0	+0
<b>Traffic</b>	Pre Env.	0	+0
	Post Env.	0	+0
<b>Materials</b>	Pre Env.	0	+0
	Post Env.	0	+0
<b>Foundations</b>	Pre Env.	0	+0
	Post Env.	0	+0
<b>Bridge Design</b>	Pre Env.	0	+0
	Post Env.	0	+0
<b>Design</b>	Pre Env.	40,000	+0
	Post Env.	0	+0
<b>Review/Contracts</b>	Pre Env.	2,000	+0
	Post Env.	0	+0
<b>ROW Titles &amp; Plans</b>	Pre Env.	2,000	+0
	Post Env.	0	+0
<b>Utilities</b>	Pre Env.	2,000	+0
	Post Env.	0	+0
<b>ICAP</b>	+3,667.20	+0.00	+3,667.20
Subtotal Non-Par	+51,667.20	(35,312.64)	+16,354.56
<b>GRAND TOTAL</b>	<b>+51,667.20</b>	<b>(35,312.64)</b>	<b>+16,354.56</b>

Bridge (\$)	Bridge (%)	Roadway (\$)	Roadway (%)
		\$2,000	100%
		\$40,000	100%
		\$2,000	100%
		\$2,000	100%
\$0		\$48,000	
\$0		\$48,000	

**Justification:**  
 DDIR AK 2019 02 045 removed from project during preliminary design. Partially cash-out funds and reallocate to DDIR AK 2019 02 197.

# Emergency Funding and Documentation

## CENTRAL REGION PDA REVISION REQUEST

Program Name: Kenai Area Repairs - Nov 2018 EQ Permanent Repair  
 DDIR: AK 2019 02 046

Activity	Existing Budget	Requested Change	New Total Budget
<b>Surveying</b>	Pre Env.	0	+0
	Post Env.	0	+0
<b>Environmental</b>	Pre Env.	2,000	+0      2,000
	Post Env.	0	+0
<b>Traffic</b>	Pre Env.	0	+0
	Post Env.	0	+0
<b>Materials</b>	Pre Env.	0	+0
	Post Env.	0	+0
<b>Foundations</b>	Pre Env.	0	+0
	Post Env.	0	+0
<b>Bridge Design</b>	Pre Env.	0	+0
	Post Env.	0	+0
<b>Design</b>	Pre Env.	18,000	+0      18,000
	Post Env.	0	+0
<b>Review/Contracts</b>	Pre Env.	2,000	+0      2,000
	Post Env.	0	+0
<b>ROW Titles &amp; Plans</b>	Pre Env.	2,000	+0      2,000
	Post Env.	0	+0
<b>Utilities</b>	Pre Env.	2,000	+0      2,000
	Post Env.	0	+0
<b>ICAP</b>	+1,986.40	+0.00	+1,986.40
Subtotal Non-Par	+27,986.40	(13,648.71)	+14,337.69
<b>GRAND TOTAL</b>	<b>+27,986.40</b>	<b>(13,648.71)</b>	<b>+14,337.69</b>

Bridge (\$)	Bridge (%)	Roadway (\$)	Roadway (%)
		\$2,000	100%
		\$18,000	100%
		\$2,000	100%
		\$2,000	100%
\$0		\$26,000	
\$0		\$26,000	

**Justification:**  
 DDIR AK 2019 02 046 removed from project during preliminary design. Partially cash-out funds and reallocate to DDIR AK 2019 02 197.



# Alaska Department of Transportation and Public Facilities

## CENTRAL REGION PDA REVISION REQUEST

Program Name: Kenai Area Repairs - Nov 2018 EQ Permanent Repair  
 DDIR: AK 2019 02 193

Activity		Existing Budget	Requested Change	New Total Budget
<b>Surveying</b>	Pre Env.	0	+0	
	Post Env.	0	+0	
<b>Environmental</b>	Pre Env.	2,000	+0	2,000
	Post Env.	0	+0	
<b>Traffic</b>	Pre Env.	0	+0	
	Post Env.	0	+0	
<b>Materials</b>	Pre Env.	0	+0	
	Post Env.	0	+0	
<b>Foundations</b>	Pre Env.	0	+0	
	Post Env.	0	+0	
<b>Bridge Design</b>	Pre Env.	0	+0	
	Post Env.	0	+0	
<b>Design</b>	Pre Env.	18,000	+0	18,000
	Post Env.	0	+0	
<b>Review/Contracts</b>	Pre Env.	2,000	+0	2,000
	Post Env.	0	+0	
<b>ROW Titles &amp; Plans</b>	Pre Env.	2,000	+0	2,000
	Post Env.	0	+0	
<b>Utilities</b>	Pre Env.	2,000	+0	2,000
	Post Env.	0	+0	
<b>ICAP</b>		+1,986.40	+0.00	+1,986.40
Subtotal		+27,986.40	(13,355.54)	+14,630.86
Non-Par				
<b>GRAND TOTAL</b>		<b>+27,986.40</b>	<b>(13,355.54)</b>	<b>+14,630.86</b>

Bridge (\$)	Bridge (%)	Roadway (\$)	Roadway (%)
		\$2,000	100%
		\$18,000	100%
		\$2,000	100%
		\$2,000	100%
		\$2,000	100%
\$0		\$26,000	
\$0		\$26,000	

**Justification:**  
 DDIR AK 2019 02 193 removed from project during preliminary design. Partially cash-out funds and reallocate to DDIR AK 2019 02 197.



# Emergency Funding and Documentation

## CENTRAL REGION PDA REVISION REQUEST

Program Name: Kenai Area Repairs - Nov 2018 EQ Permanent Repair  
 DDIR: AK 2019 02 195

Activity	Existing Budget	Requested Change	New Total Budget	Bridge (\$)	Bridge (%)	Roadway (\$)	Roadway (%)
<b>Surveying</b>	Pre Env.	0	+0				
	Post Env.	0	+0				
<b>Environmental</b>	Pre Env.	2,000	+0			\$2,000	100%
	Post Env.	0	+0				
<b>Traffic</b>	Pre Env.	0	+0				
	Post Env.	0	+0				
<b>Materials</b>	Pre Env.	0	+0				
	Post Env.	0	+0				
<b>Foundations</b>	Pre Env.	0	+0				
	Post Env.	0	+0				
<b>Bridge Design</b>	Pre Env.	0	+0				
	Post Env.	0	+0				
<b>Design</b>	Pre Env.	18,000	+0			\$18,000	100%
	Post Env.	0	+0				
<b>Review/Contracts</b>	Pre Env.	2,000	+0			\$2,000	100%
	Post Env.	0	+0				
<b>ROW Titles &amp; Plans</b>	Pre Env.	2,000	+0			\$2,000	100%
	Post Env.	0	+0				
<b>Utilities</b>	Pre Env.	2,000	+0			\$2,000	100%
	Post Env.	0	+0				
<b>ICAP</b>		+1,986.40	+0.00				
Subtotal		+27,986.40	(13,350.05)			\$26,000	
Non-Par							
<b>GRAND TOTAL</b>		<b>+27,986.40</b>	<b>(13,350.05)</b>			<b>\$26,000</b>	

**Justification:**

DDIR AK 2019 02 195 removed from project during preliminary design. Partially cash-out funds and reallocate to DDIR AK 2019 02 197.



# Alaska Department of Transportation and Public Facilities

## CENTRAL REGION PDA REVISION REQUEST

Program Name: **Kenai Area Repairs - Nov 2018 EQ Permanent Repair**  
 DDIR: **AK 2019 02 197**

Activity		Existing Budget	Requested Change	New Total Budget
<b>Surveying</b>	Pre Env.	0	+0	
	Post Env.	0	+0	
<b>Environmental</b>	Pre Env.	2,000	+0	2,000
	Post Env.	0	+10,000	10,000
<b>Traffic</b>	Pre Env.	0	+0	
	Post Env.	0	+0	
<b>Materials</b>	Pre Env.	0	+0	
	Post Env.	0	+5,000	5,000
<b>Foundations</b>	Pre Env.	0	+0	
	Post Env.	0	+0	
<b>Bridge Design</b>	Pre Env.	0	+0	
	Post Env.	0	+0	
<b>Design</b>	Pre Env.	40,000	+0	40,000
	Post Env.	0	+53,000	53,000
<b>Review/Contracts</b>	Pre Env.	2,000	+0	2,000
	Post Env.	0	+10,000	10,000
<b>ROW Titles &amp; Plans</b>	Pre Env.	2,000	+0	2,000
	Post Env.	0	+10,000	10,000
<b>Utilities</b>	Pre Env.	2,000	+0	2,000
	Post Env.	0	+10,000	10,000
<b>ICAP</b>		+3,667.20	+4,655.00	+8,322.20
Subtotal		+51,667.20	+102,655.00	+154,322.20
Non-Par				
<b>GRAND TOTAL</b>		<b>+51,667.20</b>	<b>+102,655.00</b>	<b>+154,322.20</b>

Bridge (\$)	Bridge (%)	Roadway (\$)	Roadway (%)
		\$2,000	100%
		\$10,000	100%
		\$5,000	100%
		\$40,000	100%
		\$53,000	100%
		\$2,000	100%
		\$10,000	100%
		\$2,000	100%
		\$10,000	100%
		\$2,000	100%
		\$10,000	100%
\$0		\$146,000	
\$0		\$146,000	

Justification:

# Emergency Funding and Documentation

## CENTRAL REGION PDA REVISION REQUEST

Program Name: **Kenai Area Repairs - Nov 2018 EQ Permanent Repair**  
 DDIR: **AK 2019 02 212**

Activity		Existing Budget	Requested Change	New Total Budget
<b>Surveying</b>	Pre Env.	0	+0	
	Post Env.	0	+0	
<b>Environmental</b>	Pre Env.	2,000	+0	2,000
	Post Env.	0	+0	
<b>Traffic</b>	Pre Env.	0	+0	
	Post Env.	0	+0	
<b>Materials</b>	Pre Env.	0	+0	
	Post Env.	0	+0	
<b>Foundations</b>	Pre Env.	0	+0	
	Post Env.	0	+0	
<b>Bridge Design</b>	Pre Env.	0	+0	
	Post Env.	0	+0	
<b>Design</b>	Pre Env.	18,000	+0	18,000
	Post Env.	0	+0	
<b>Review/Contracts</b>	Pre Env.	2,000	+0	2,000
	Post Env.	0	+0	
<b>ROW Titles &amp; Plans</b>	Pre Env.	2,000	+0	2,000
	Post Env.	0	+0	
<b>Utilities</b>	Pre Env.	2,000	+0	2,000
	Post Env.	0	+0	
<b>ICAP</b>		+1,986.40	+0.00	+1,986.40
Subtotal		+27,986.40	(13,863.60)	+14,122.80
Non-Par				
<b>GRAND TOTAL</b>		<b>+27,986.40</b>	<b>(13,863.60)</b>	<b>+14,122.80</b>

Bridge (\$)	Bridge (%)	Roadway (\$)	Roadway (%)
		\$2,000	100%
		\$18,000	100%
		\$2,000	100%
		\$2,000	100%
		\$2,000	100%
\$0		\$26,000	
\$0		\$26,000	

**Justification:**

DDIR AK 2019 02 212 removed from project during preliminary design. Partially cash-out funds and reallocate to DDIR AK 2019 02 197.



# Alaska Department of Transportation and Public Facilities

## CENTRAL REGION PDA REVISION REQUEST

Program Name: **Kenai Area Repairs - Nov 2018 EQ Permanent Repair**  
 DDIR: **AK 2019 02 214**

Activity		Existing Budget	Requested Change	New Total Budget
<b>Surveying</b>	Pre Env.	0	+0	
	Post Env.	0	+0	
<b>Environmental</b>	Pre Env.	2,000	+0	2,000
	Post Env.	0	+0	
<b>Traffic</b>	Pre Env.	0	+0	
	Post Env.	0	+0	
<b>Materials</b>	Pre Env.	0	+0	
	Post Env.	0	+0	
<b>Foundations</b>	Pre Env.	0	+0	
	Post Env.	0	+0	
<b>Bridge Design</b>	Pre Env.	0	+0	
	Post Env.	0	+0	
<b>Design</b>	Pre Env.	18,000	+0	18,000
	Post Env.	0	+0	
<b>Review/Contracts</b>	Pre Env.	2,000	+0	2,000
	Post Env.	0	+0	
<b>ROW Titles &amp; Plans</b>	Pre Env.	2,000	+0	2,000
	Post Env.	0	+0	
<b>Utilities</b>	Pre Env.	2,000	+0	2,000
	Post Env.	0	+0	
<b>ICAP</b>		+1,986.40	+0.00	+1,986.40
Subtotal		+27,986.40	(13,124.46)	+27,986.40
Non-Par				
<b>GRAND TOTAL</b>		<b>+27,986.40</b>	<b>(13,124.46)</b>	<b>+27,986.40</b>

Bridge (\$)	Bridge (%)	Roadway (\$)	Roadway (%)
		\$2,000	100%
		\$18,000	100%
		\$2,000	100%
		\$2,000	100%
		\$2,000	100%
\$0		\$26,000	
\$0		\$26,000	

**Justification:**  
 DDIR AK 2019 02 214 removed from project during preliminary design. Partially cash-out funds and reallocate to DDIR AK 2019 02 197.

# Emergency Funding and Documentation

## C.8 ePID - ATP thru Final

v. 11152013

### PROJECT INFORMATION DOCUMENT *(for use on federally funded projects)*

EDMS #: 2337 - 1  
PID Revision # 1

**PROJECT NAME:** KENAI AREA REPAIRS - NOV 2018 EARTHQUAKE PERMANENT REPAIRS

**IRIS #:** CFHWY00644    **Federal Project #:** 0092007    **Federal Route #:** \_\_\_\_\_

**STIP Need ID #:** \_\_\_\_\_    **Emergency PJ #:** AK2019-02    AMATS     FMATS     **TIP Need ID:** \_\_\_\_\_

**ICAP RATE:** 4.75% *If project designed under a separate number, note number here:* \_\_\_\_\_

**COUNTY ID #:** 122    **IMPROVE TYPE:** 06    **CFDA #:** 20.205

**SAFETY RELATED (HSIP):** NO **HSIP Nom. #:** \_\_\_\_\_ *If safety related provide infrastructure and ownership info below*  
 Infrastructure  Non-Infrastructure     **Ownership:** State  Local  Other

ROUTE ID #	NBI #	Begin Milepoint	End Milepoint	Urban Area	NHS Y or N	ROUTE ID #	NBI #	Begin Milepoint	End Milepoint	Urban Area	NHS Y or N
2141077X000		18.019	20.918	99999-Rural	Y	1000000X000		80.176	115.724	99999-Rural	Y
2141077X000		33.976	35.438	99999-Rural	Y	1020000X000		48.986	49.986	99999-Rural	Y
1000000X000		76.107	80.176	99999-Rural	Y	1020000X000		49.986	50.971	99999-Rural	Y

	NHS Y or N	Cong. Dist.	County ID	Urban ID	Urban/Rural	Func. Sys.	Sys. Code	Gen. Own	NBI #
	<b>Stwd Project</b>								

**REASON FOR PID:**    New ATP     Scope and/or Termini Change     Scope and/or Termini Clarification   
 Est. ATP End Date\*     Change ATP End Date\*     Change Funding w/in existing ATP\*   
 Final Voucher

*\*Note: Page 2 Not Required*

**ATP LEVEL:**    Recon     Env Doc     Final PS&E     Other/Misc.   
                     ROW                       Utility                       Construction                       HP&R Planning

**ATP END DATE:** 12/31/24 (mm/dd/yy)

**FEDERAL FUNDING SOURCE:**    FHWA     FTA     STATE     Other (specify): \_\_\_\_\_

**SCOPE:**  
 This project will design and construct repairs for the November 30, 2018 earthquake in the Central Region of Alaska for the following DDIRs: AK 2019 02 045, AK 2019 02 046, AK 2019 02 193, AK 2019 02 195, AK 2019 02 197, AK 2019 02 212, and AK 2019 02 214. Repairs may include, but are not limited to, asphalt, embankment, bridge, roadside hardware, retaining walls, utilities, and drainage.

**PROJECT TERMINI OR LOCATION & LENGTH:**  
 Kenai Peninsula Maintenance District; Seward Highway, Sterling Highway, and Kenai Spur Highway.

DOT&PF Authorized Signature to be applied \_\_\_\_\_

Date \_\_\_\_\_



# Alaska Department of Transportation and Public Facilities

v. 11152013

## PROJECT INFORMATION DOCUMENT (for use on federally funded projects)

EDMS #: 2337 - 1

**PROJECT NAME:** KENAI AREA REPAIRS - NOV 2018 EARTHQUAKE PERMANENT REPAIRS

**IRIS #:** CFHWY00644 **Federal Project #:** 0092007

### STATUS OF ENVIRONMENTAL PROCESSING

Planning and Environmental Linkage (PEL) Study, no Class of Action required under 23 C.F.R. 450.340 Appendix A.

#### Anticipated Class of Action

##### Unknown Class of Action

\_\_\_\_\_ 1. The amount of information is insufficient at this time to determine the level of environmental document. (Initial ATP can only be authorized for PE through Environmental Document.)

The class-of-action determination is expected within:

0-3 months                       3-6 months                       more than 6 months

##### Class of Action

Assignable under 23 USC 327       Non-assignable under 23 USC 327

X 2. The project qualifies as a categorical exclusion per 23 CFR 771.117(c) and an Expedited CE Documentation Form is required.

\_\_\_\_\_ 3. The project qualifies as a categorical exclusion per 23 CFR 771.117(c) or (d); and a CE Documentation Form **is** required.

\_\_\_\_\_ 4. The project qualifies as either an environmental assessment (EA)  per 23 CFR 771.119, or as an environmental impact statement (EIS)  per 23 CFR 771.123

#### Approved Document

\_\_\_\_\_ 5. The project's environmental document was approved as a CE , FONSI , or ROD  on \_\_\_\_\_ (mm/dd/yy). If the environmental document was approved as a Programmatic CE, which of the following agreements was used:

Chief Engineers Directive of 11/13/2017 approval #1

Chief Engineers Directive of 11/13/2017 approval #2

#### Re-evaluation

\_\_\_\_\_ 6. The project's environmental document ( CE , FONSI , ROD  ) was approved on \_\_\_\_\_ (mm/dd/yy) and:

An Expedited Re-evaluation Approval Form was approved on \_\_\_\_\_ (mm/dd/yy) per 23 CFR 771.129(c)

A Environmental Re-evaluation Form was approved on \_\_\_\_\_ (mm/dd/yy) per 23 CFR 771.129.

DOT&PF certifies that it has fully carried out all responsibilities assumed pursuant to 23 U.S.C. 327, and the Memorandum of Understanding dated November 3, 2017, and all applicable Federal laws, regulations, Executive Orders, and policies.

\_\_\_\_\_  
DOT&PF Regional Environmental Manager

\_\_\_\_\_  
Date

**ATP End Date Worksheet**

*Project Name:* KENAI AREA REPAIRS - NOV 2018 EARTHQUAKE PERMANENT REPAIRS

*IRIS #:* CFHWY00644 *Federal Project #:* 0092007

*Final Deliverable Date:* 06/30/24

*ATP End Date\*:* 12/31/24

*\*If an ATP End Date extension is being requested, provide an explanation below:*



## C.9 DMVA Request for Time Extension



THE STATE  
of **ALASKA**  
GOVERNOR MIKE DUNLEAVY

### Department of Transportation and Public Facilities

CENTRAL REGION  
Maintenance & Operations Offices

4111 Aviation Avenue.  
P.O. Box 196900.  
Anchorage, Alaska 99519-6900  
Main: (907)269-0760  
Fax number: (907)248-1573  
Website: dot.alaska.gov

July 10, 2019

Jenny Belanger  
State Public Assistance Officer  
Department of Military and Veterans Affairs  
Division of Homeland Security and Emergency Management  
Disaster Assistance  
PO Box 5750  
JBER, AK 99505-5750

RE: DR-4413, 2018 November Cook Inlet Earthquake  
Time Extension Request for Emergency Protective Measures, Project 91466

Ms. Belanger:

The Department of Transportation requests a time extension for Emergency Protective Measures, Project 91466 beyond July 31, 2019 in accordance with 44 CFR 206.204(c)(1).

We have experienced various delays on this project that were beyond our control, including the short construction window for all asphalt paving activities due to environmental limitations unique to Alaska. Construction of the emergency repairs will be completed prior to the July 31, 2019 deadline, but the contractor invoicing and final contractor payment will be delayed beyond that deadline. Additional time is needed to complete the documentation and provide to FEMA.

We estimate that all documentation to support the project can be provided to FEMA by November 30, 2019. Based on the information provided, we request support of the time extension to this date.

*"Keep Alaska Moving through service and infrastructure."*



## C.10 FEMA Alternate Project Proposal



THE STATE  
of **ALASKA**  
GOVERNOR MIKE DUNLEAVY

### Department of Transportation and Public Facilities

CENTRAL REGION  
Maintenance & Operations Offices

4111 Aviation Avenue.  
P.O. Box 196900.  
Anchorage, Alaska 99519-6900  
Main: (907)269-0760  
Fax number: (907)248-1573  
Website: dot.alaska.gov

August 17, 2020

Jenny Belanger  
State Public Assistance Officer  
Department of Military and Veterans Affairs  
Division of Homeland Security and Emergency Management  
Disaster Assistance  
PO Box 5750  
JBER, AK 99505-5750

RE: DR-4413, 2018 November Cook Inlet Earthquake  
Eagle View Drive and VFW Road Alternate Project

Ms. Belanger:

The Department of Transportation & Public Facilities (DOT&PF) requests an alternate project for two FEMA Category C Projects - Eagle View Drive (PW 00034) and VFW Road, Eagle River (PW 00065). Under the provisions of 44 CFR 206.203 (d) (2), we request alternate use of the authorized repair funds. Additionally, DOT&PF requests combining the two projects into one alternate project to utilize the funds together . to purchase capital equipment. Our proposal has a useful life of at least 1 year and is equal to or greater than \$5,000 per unit which is an acceptable use of Alternate Project funds per Chapter 7:VII.G.3(b) Use of Alternate Project Funds of the Public Assistance Program and Policy Guide ( PAPPG), Version 3.1.

The public is not best served by restoring the function of the damaged facilities at Eagle View Drive and VFW Road. The damage site on Eagle View Drive has been subsumed by a previously planned construction project, rendering permanent repairs unnecessary. After site monitoring of the slope, geotechnical investigations, and minor protective measures to VFW Road (which the DOT&PF is not seeking reimbursement for)– the DOT&PF determined that additional repairs and slope stability measures are not essential to VFW Road.

The CRC Gross Cost estimate for repair of Eagle View Drive is \$53,795.73 and VFW Road is \$41,361.99. The total cost for both projects is \$93,137.22. At 90% cost share, a total of **\$82,923.50** would be available for an alternate project.



# Alaska Department of Transportation and Public Facilities

The DOT&PF proposes purchasing a brine system to use to de-ice the State maintained roads north of Anchorage including roads in Eagle River, AK. The equipment will be installed in Birchwood, AK on State of Alaska property. The equipment would not be replacing any existing equipment but would add a location for M&O staff to refill their brine truck north of Anchorage. Currently the closest brine system to Eagle River is in Anchorage. This will benefit the general public while serving the same general area that was being served by the Eagle View Drive and VFW Road in Eagle River.

The benefits of this equipment, including the application of brine, includes:

- Creates efficiency for M&O, allowing M&O staff who are performing brine applications on State roads north of Anchorage, including Eagle River, to refill their brine truck in Birchwood instead of having to drive all the way back to Anchorage. Crews will not have to make a 50 mile roundtrip drive to refill, thus saving personnel time, wear on equipment, and improving road safety for the traveling public
- Reduced ice on the roads equals safer roads for driving
- Better for the environment compared to other anti-icing chemicals
- Better retention of sand on the roadway when applied in conjunction with the salt brine
- Less overall use of highway sand, less sweeping of sand in the spring, and better air quality

DOT&PF proposes utilizing M&O force account labor to install the new equipment. M&O is investing in the improvement and will pay for labor though their budget. No federal funds will be used for the labor or equipment to install the brine system equipment.

M&O received a quote for a brine system from Varitech Industries. The procurement timeframe for this equipment is 90- to 180 days. The following is a summary of the product costs for the system, as well as a total project cost.

Product/Description	Qty	Unit	Total Alternate Project Cost
Brine Boss Tank Setup (IFM, SB600, Auto, Single Phase)	1	EA	\$65,400.00
Blend Boss Gen 5 120 GPM, 230 V 1-Phase	1	EA	\$29,500.00
160 GPM Transfer Station Wired for 230V 1-Phase, including:	1	EA	\$3,757.35
<ul style="list-style-type: none"> <li>• Galvanized frame</li> <li>• Stainless steel pump head</li> <li>• 15-ft of 2" suction hose</li> <li>• 20-ft of 1-1/2" recirculation line</li> <li>• 25-ft of 1-1/2" discharge line</li> </ul>			
<b>Cost for Alternate Project</b>			<b>\$98,657.35</b>

Note: Price does not include freight

Since the cost of the brine equipment is greater than the allowed alternate project amount (\$82,923.50), State funds will be used to supplement the purchase of the equipment.

Based on the information provided, we request support of the proposed alternate project to purchase the equipment for the brine system. If you have any questions, please contact me at (907) 269-0757 or by email at [burrell.nickeson@alaska.gov](mailto:burrell.nickeson@alaska.gov).

Sincerely,

Burrell Nickeson  
Central Region Maintenance & Operations

## C.11 Ineligible Site Documentation

### C.11.1 Mat-Su Culvert Inspection

## MEMORANDUM

## State of Alaska

Department of Transportation & Public Facilities  
Design and Engineering Services – Central Region  
Preliminary Design & Environmental

TO: Burrell Nickeson  
M&O Specialist  
Maintenance & Operations

DATE: July 3, 2019

TELEPHONE NO: 375-6467

PROJECT NUMBER: CDRER00512

PROJECT NAME: 2018 Earthquake Mat-Su District  
Initial Damage Assessments

FROM: Jake Ciufu, P.E.  
Assistant Hydrologist

SUBJECT: Culvert Inspection Results

A second inspection was performed on the following culverts on June 5, 2019. Results from the first inspections were inconclusive. Those in attendance were:

- Jake Ciufu, P.E., Assistant Hydrologist, PD&E
- Paul Janke, Ph.D., P.E., Regional Hydrologist, PD&E

### Parks Hwy MP 88.2

#### Observations

1. A 48" diameter corrugated steel culvert (CSP) conveys Sheep Creek overflow channel.
2. The culvert is in good condition. It is still in its original shape, straight, with very minimal corrosion.
3. Embankment height is approximately 10'.
4. No headwalls observed.
5. No earthquake related damage to the culvert or to the surrounding embankment was seen.

#### Recommendations

1. None.

### Parks Hwy MP 85.1, Caswell Creek

#### Observations and other information

1. A 144" diameter structural steel plate pipe conveys Caswell Creek underneath Parks Hwy. Beveled ends with type I headwalls. Pipe was extended in 2012 approximately 35' on both ends.
2. The extension joints consist of geotextile and culvert bands. The bands are bolted to both the older pipe and the extensions.
3. The inlet extension joint is separated, which has exposed the geotextile. Embankment material did not appear to be leaking into the culvert. The joint could not be inspected closely due to water depth. Therefore, the cause of the joint separation is unknown.
4. Minimal erosion protection at inlet and outlet consisting of rounded boulders.

*"Keep Alaska Moving through service and infrastructure."*



5. 36" diameter CSP overflow pipe in good condition.
6. No earthquake related damage to the surrounding embankment was seen.

## Recommendations

1. The joint separation near the culvert inlet should be evaluated by a structural and/or geotechnical engineer to determine if the joint separation was caused by the earthquake and if corrective action is necessary.



Figure 1: Caswell Creek joint separation, looking downstream

## Willow Fishhook Road MP 39.6

### Observations

1. A 48" diameter CSP.
2. Embankment height is approximately 35'.
3. Culvert structural condition is fair (minor sags). No signs of deformation.
4. Minor joint separation near the inlet. Did not appear to be caused by the Nov. 30, 2018 earthquake.
5. Minor erosion at the culvert inlet. Not effecting stability of the road embankment and culvert.
6. No earthquake related damage to the surrounding embankment was seen.
7. No headwalls observed.

*"Keep Alaska moving through service and infrastructure."*

## Recommendations

1. None.

### **Parks Hwy MP 60.1, south of Gold Miners Lodge**

#### Observations

1. 36" diameter CSP. No signs of deformation. Minimal corrosion.
2. Embankment height is approximately 30'.
3. Joint separation at first joint from the inlet. Does not appear to be earthquake related.
4. No earthquake related damage to the surrounding embankment was seen.
5. No headwalls observed.

#### Recommendations

1. None.

### **Parks Hwy MP 35.2, Spring Creek**

#### Observations

1. 120" diameter CSP. No signs of deformation. Minimal corrosion.
2. Culvert structural condition is fair (minor sags). No signs of deformation (culvert is still in its original shape).
3. Culvert is embedded.
4. At the water line, steel has a rough texture due to corrosion.
5. Minor joint separations at first three joints from inlet, likely not earthquake related.
6. Embankment height is approximately 50'.
7. Type II headwall with wing walls at inlet. No damage seen.
8. Road embankment slope above inlet is steeper than 2:1. No signs of instability.

#### Recommendations

1. None.

### **Glenn Hwy MP 33.75, Rabbit Slough**

#### Observations

1. 78" diameter CSP. Minimal corrosion. No signs of deformation.
2. Culvert inlet is slightly lifted.
3. Inlet is beveled. Unknown if headwalls are present.
4. Minor joint separation near inlet, likely not earthquake related.
5. Embankment height is approximately 10'.

#### Recommendations

1. None.

### **Glenn Hwy MP 27.3**

#### Observations and other information

1. 84" diameter structural steel plate pipe with a flap gate on the outlet end (Knik Arm side).



2018 Earthquake Mat-Su District Initial Damage Assessments; CDRER00512  
Culvert Inspection Results

4

2. The culvert could not be inspected because the flap gate was closed, and the water surface was about 3” below the top of the culvert inlet.
3. The culvert and flap gate were installed in 1976.
4. No earthquake related damage to the surrounding embankment was seen.

## Recommendations

1. None.

cc: Sean Baski, P.E., Project Manager, Highway Design  
Jacob Gondek, P.E., Project Manager, Construction  
Paul Janke, Ph.D., P.E., Regional Hydrologist, PD&E  
Kristen Keifer, P.E., HDR, Inc.  
Ericka Moore, P.E., Project Manager, Construction  
Andrew Niemiec, P.E., Stantec  
Greg Patz, Manager, Maintenance and Operations  
Steven Rzepka, P.E., Project Manager, Highway Design  
Rori Van Nortwick, P.E., Project Engineer, Highway Design  
Paul Witt, P.E., HDR, Inc.

## C.11.2 Old Glenn Highway Wall



July 5, 2019

Mr. Andrew Niemiec  
Stantec  
725 East Fireweed Lane, Suite 200  
Anchorage, Alaska 99503

RE: OLD GLENN HIGHWAY AT BUSINESS PARK BOULEVARD WALL #22, SITE 182

Dear Mr. Niemiec:

An engineer from Shannon & Wilson observed the retaining wall (Wall #22) below and along the west side of the Old Glenn Highway at Business Boulevard in Eagle River, Alaska on May 31, 2019. The purpose of the site visit was to observe the wall for signs of earthquake related distress, and to evaluate if additional monitoring or repairs to the wall due to the earthquake are required.

### OLD GLENN HIGHWAY #22

Based on information from the Alaska Department of Transportation (ADOT&PF) Geotechnical Asset Management (GAM) database, Wall #22 is a bin wall composed of one tier with a maximum height of approximately 9 feet. The bin wall face consists of horizontally corrugated steel and is battered at an approximately 1 horizontal to 6 vertical (1H:6V). The wall was documented in fair condition in 2016, with mention of panel damage, torn panels, and minor rust. Based on photographs in the GAM database the rust condition has not progressed appreciably.

### OBSERVATIONS

The retaining wall and the soil above and below the retaining wall were observed by an experienced engineer from our firm on May 31, 2019. The soil above the wall were vegetated with moss and sparse grass and dandelions, leaving the soil predominantly visible for observation. The soil below the wall was vegetated with landscaped grass. Where the ground surface was observable no ground fissures or signs of vertical or horizontal soil displacement were observed. The bin wall face where measured was 80.5



Mr. Andrew Niemiec  
Stantec  
July 5, 2019  
Page 2 of 3



degrees, which is consistent with measurements in the GAM database. One section of the wall bows slightly, approximately 1-2 inches at the center point of the panel. This panel is missing the panel connector bolts that fasten the adjacent panels together. The bolts were missing in photos take in 2016. Photos from 2016 are not at an angle where you can interpret the degree of bowing, but it is most likely that the panels have been bowing since prior to the earthquake.

## CONCLUSIONS

Wall #22 appears to be in fair condition, with several signs of ageing. However, the wall does not show signs of recent damage attributable to the November 30, 2018 earthquake. The observations of the wall were limited to the ground above and below the wall, and the corrugated steel bin wall face. The wall is a bin wall and derives its support from the interaction between the soil fill behind the wall and wing walls or anchors that extend into the slope. The resisting system of the wall is not fully visible and therefore there is no way to know definitively that no damage was done to the wall. However, based on our observations the condition of the wall appears unchanged from pre-earthquake condition and we recommend removing the site from the Earthquake Response Program.

## CONCLUSIONS

This report was prepared for the exclusive use of our client and their representatives in the study of this issue. The findings presented within this report are based on the limited observations at the site and data available on the ADOT&PF Geotechnical Asset Management Database. The observations, and conclusions described herein are intended to provide you with our professional judgment as to the change in condition of the subject wall based on our knowledge of the area and surface observations. The information in this report in no way guarantees that an agency or its staff will reach the same conclusions as Shannon & Wilson, Inc. The information in this letter should also not be construed as a guarantee of conditions or safety of the subject wall. The original wall design and its appropriateness for this site were not evaluated.

Shannon & Wilson has prepared the information in the attached *Important Information About Your Geotechnical/Environmental Report* to assist you and others in understanding the use and



Mr. Andrew Niemiec  
Stantec  
July 5, 2019  
Page 3 of 3



limitations of our report. If you have any questions or comments, please contact the undersigned.

Sincerely,

SHANNON & WILSON



Thomas Keatts, PE  
Senior Engineer

Enc. Site Photos  
Important Information about your Geotechnical Report



## C.12 EQ\_FEMA Clark Huntley Rd Reversioning Memo

### MEMORANDUM



**Date:** Monday, September 14, 2020

**Project:** DR-4413 - November 2018 Earthquake Response  
PW 00046 - Clark-Wolverine Road and Huntley Road

**To:** Jenny Belanger, Department of Military and Veterans' Affairs (DMVA)

**From:** Burrell Nickeson, DOT&PF

**Subject:** Preconstruction Professional and Special Services and Construction Scope Items, Mitigation, and Construction Administration Reversioning Request

### Objective

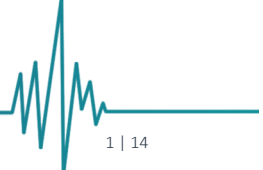
This memorandum contains information on the scope and estimated cost of preconstruction engineering (PE) services, construction items, mitigation, and construction administration (CA) services related to PW 00046 - Clark-Wolverine Road and Huntley Road as part of the Alaska Department of Transportation and Public Facilities' (Department or DOT&PF) November 2018 earthquake response under the Federal Emergency Management Agency (FEMA) Public Assistance Program eligible permanent repair project.

The Department sent a memo to Jenny Belanger at the Alaska Department of Military and Veterans Affairs (DMVA) titled *DR-4413 FEMA Preconstruction Engineering Scoping Justification* on December 30, 2019, regarding the preconstruction engineering costs. The current Project Worksheet (PW), Version 0, does not include costs for special services or the Department's project management costs during design. Version 0, does not include costs for standard construction items used in the majority of DOT&PF roadway projects or for mitigation and does not include adequate costs for construction administration services. This memorandum compares the original FEMA Consolidated Resource Center (CRC) estimate and pay items to construct Clark-Wolverine Road Milepost (MP) 0.2 to 0.6 with the current engineer's estimate developed as part of the 95% design level Plans, Specifications, and Estimate (PS&E) submittal. The memorandum also outlines the design standards and specifications used and highlights key design decisions and methodology to justify the costs. These plans have been reviewed and comments have been adjudicated to capture consensus in standard of practice for DOT&PF jobs. The plans and estimate have been included as attachments for reference as appropriate.

The Department requests that the PW be reversioned to include the eligible costs for the basic services, special services, and project management (PM) costs during the preconstruction engineering and design phase. These costs are necessary and are considered routine and customary in the Department's standard processes for facility design.

### Version 0 Overview and Damage

The Department, DMVA, and FEMA conducted a site visit on June 26, 2019, resulting in the detailed damage and dimensions report used by FEMA's Consolidated Resource Center (CRC) to developed Version 0 of the PW. Based on the preliminary scoping, this project was determined to be a large project (more than \$125,500 for 2018). Large project funding is based on documented actual costs. Due to the complexity and nature of most large projects, they are initially approved based on estimated costs, and the PWs are reversioned as actual costs become available.



## MEMORANDUM



### Damage Sites Overview

Damage to the roadway occurred on Clark-Wolverine Road MP 0.2 to 0.6 and Huntley Road MP 0.1 in Palmer, Alaska, approximately 47 miles north of Anchorage, Alaska. There are two FEMA-eligible damage sites in this area:

- Damage #285952 – Huntley Road
- Damage #286217 – Clark-Wolverine Road

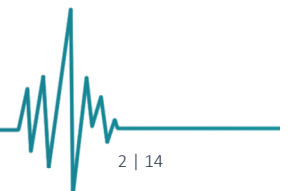
Clark-Wolverine Road is a two-lane asphalt paved road consisting of two 12-foot lanes and 2-foot unpaved shoulders. The embankment at Clark-Wolverine Road MP 0.2 to 0.6 (Damage #286217) sustained damage consisting of dips and heaves in the pavement surface following the earthquake. Significant transverse and longitudinal cracking was observed during the site evaluation, with a horizontal separation of up to 2 inches. The damage at the Clark-Wolverine Road site is approximately 1,600 feet long and no emergency repair work was performed. An example of the damage is shown in Figure 1.

The Damage Description and Dimensions (DDD) report and CRC estimate assumed that the following quantities were needed to replace the damaged roadway in-kind:

- Asphalt - 1,571 feet (FT) long x 24 FT wide x 2 inches (IN) deep = 232.7407 cubic yards (CY)
- Base - 1,571 FT long x 28 FT wide x 4 IN deep = 543.0617 CY
- Sub Base - 1,571 FT long x 28 FT wide x 3 FT deep = 4,887.5556 CY
- Striping - 1,571 linear feet (LF) of roadway = 1 lump sum



Figure 1: Transverse cracking along Clark-Wolverine Road





## MEMORANDUM



### FEMA's Cost Estimating Format Summary – Preconstruction Engineering Costs

Preconstruction engineering (PE) and design services for projects of average complexity (e.g., roads, streets, bridges) are calculated in the FEMA Cost Estimating Format (CEF) using Curve B from the FEMA 322 Public Assistance Guide (pg. 60). Table 1 is a summary of the project costs and percentages from the CEF spreadsheet. These percentages reflect the basic engineering services but do not include some required special services. The CRC calculated only basic services as part of the PE cost.

**Table 1: FEMA Category C Project CEF Summary – PE Costs**

PW	FEMA Category C Project Name	CEF Net Cost	CEF PE A/E Assumption	H.1 CEF PM (Design) %	H.2 CEF PE %
00046	Clark-Wolverine Road and Huntley Road	\$500,153.65	Basic CI	0.0%	0.0%

Source: CEF spreadsheet in Grants Portal Documents for PW 00046 Clark-Wolverine Road and Huntley Road

The Clark-Wolverine Road and Huntley Road PW was incorrectly calculated as a Basic Construction Inspection Services (Basic CI) instead of an average complexity (Curve B) project. This project currently includes only construction project management and construction inspection (Basic CI) costs with no design costs included in the CEF estimate.

### Estimated Preconstruction and Special Services Costs

This project is expected to have routine PM costs, basic services, and special services, as necessary. Table 2 includes PE costs (including the total, basic, and special services) and the applicant PM costs. These costs are significantly higher than the PE and applicant PM costs in Version 0 PWs.

**Table 2: FEMA Category C Estimated PE Costs**

PW	Project Name	PE Costs			PM Costs	Total
		PE Total	Basic Services	Special Services	Applicant PM (Design)	PE & PM Costs
00046	Clark-Wolverine Road and Huntley Road	\$141,686	\$95,000	\$46,686	\$58,314	\$200,000

Source: DOT&PF Contracts with Consultants – Current amount

### Applicant Project Management Costs

The Department has a process for project development that must be adhered to in order to comply with Department policies and procedures and Alaska Statutes related to the DOT&PF. The Department and its consultant team will continue to strive to keep costs down while following that process, however, many of the processes are mandated.

### Consultant Basic Services

Resources in the Department are already stretched thin due to the essential need to deliver the current transportation program and were impacted by the additional strain from the disaster event. The Department has retained a consultant (HDR Engineering) for the preconstruction engineering and design of this project. The contract includes the development of the Plans, Specifications, and Estimate (PS&E) submittal from preliminary scoping to advertisement and support throughout construction.



## MEMORANDUM



### Special Services Costs

The current PW does not include special services, which define requirements for the site and adhere to the standards, guidelines, and standards of care that apply to the Clark-Wolverine Road and Huntley Road 00046 – Nov 2018 EQ PR project. It is assumed that the special services are accepted by FEMA as eligible reimbursable costs and will be reimbursed based on their actual costs.

Special services for preconstruction design and engineering for this project include:

- **Geotechnical services**, including research and development of a geotechnical recommendation report.
- **Survey and mapping services**, including research, topographic and planimetric survey, basemapping, and horizontal and vertical control.
- **Right-of-Way (ROW) services**, including ROW mapping and surveying, and ROW engineering closeout.
- **Traffic control**, including the development of traffic control plans.
- **Erosion and sediment control services**, including the development of erosion and sediment control plans that outline applicable local, State, and federal requirements, including the Alaska Pollutant Discharge Elimination System Construction General Permit.

These costs are considered routine and customary in the Department's normal processes for design development. In the *DR-4413 FEMA Preconstruction Engineering Scoping Justification* memo, we provided an example of our team's experience on similar FEMA Public Assistance-funded Category C projects for roads and bridges. For the DR-4145 event along the Front Range of Colorado, local and State agencies had challenges similar to those presented in this Alaska event. There was widespread damage over a large geographical area. Resources on both the public and private sides were stretched thin due to the demands from the disaster event. PE services costs were also increased due to the remote location of the damage sites and the challenges presented in mobilizing to those sites for special services, including geotechnical, subsurface utility, and survey services.

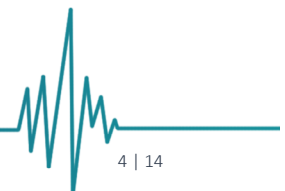
After inspection and review, the geotechnical recommendations prepared for the project noted that the existing pavement on Huntley Road is in relatively good condition with minor cracking, and the recommended repair was crack sealing, which can be accomplished without robust design or construction efforts. Therefore, the site was removed from the project, and repairs to Huntley Road were performed by DOT&PF Maintenance and Operations crews.

### Design Standards and Specifications

Design standards and guidelines that apply to the Clark-Wolverine Road and Huntley Road 00046 – Nov 2018 EQ PR project are contained in the following publications:

#### Standards:

- *A Policy on Geometric Design of Highways and Streets* (PGDHS), 6<sup>th</sup> Edition, American Association of State Highway and Transportation Officials (AASHTO), 2011.
- *Roadside Design Guide* (RDG), 4<sup>th</sup> Edition, AASHTO, 2011.
- *Alaska Highway Preconstruction Manual* (HPCM), DOT&PF, 2005 as amended.
- *Alaska Highway Drainage Manual* (AHDM), DOT&PF, 2006.
- The *Alaska Traffic Manual* (ATM), consisting of the *Manual on Uniform Traffic Control Devices* (MUTCD), 2009 as amended, U.S. Department of Transportation (DOT), Federal Highway Administration [FHWA] and the *Alaska Traffic Manual Supplement* (ATMS), DOT&PF, 2016.





## MEMORANDUM



- *ADA Standards for Transportation Facilities*, U.S. DOT, 2006.
- *ADA Standards for Accessible Design*, U.S. Department of Justice, 2010.
- *Guide for the Development of Bicycle Facilities*, 4<sup>th</sup> Edition, AASHTO, 2012.
- *Recommended Practice for Roadway Lighting (RP-8-14)*, American National Standards Institute/Illuminating Engineering Society, 2014.
- *Highway Capacity Manual (HCM)*, 5<sup>th</sup> Edition, Transportation Research Board, 2010.
- *Guidelines for Geometric Design of Very Low-Volume Local Roads (ADT ≤ 400)*, AASHTO, 2001.

### Guidelines:

- *Proposed Accessibility Standards for Pedestrian Facilities in the Public Right-of-Way (PROWAG)*, U.S. Access Board, 2011.
- *Guide for the Planning, Design, and Operation of Pedestrian Facilities*, 1<sup>st</sup> Edition, AASHTO, 2004.

DOT&PF published the 2020 *Standard Specifications for Highway Construction (SSH)*, which is a compilation of approved standard specifications for use in the Department's highway construction contracts. These standard specifications have been prepared and adopted under the authority of Alaska Statute 19.10.160 and conform as closely as practicable to the *Guide Specifications for Highway Construction* published by AASHTO. The following subsections describe the relevant SSH sections, required design standards, and work items required for this project.

## Construction Items and Costs

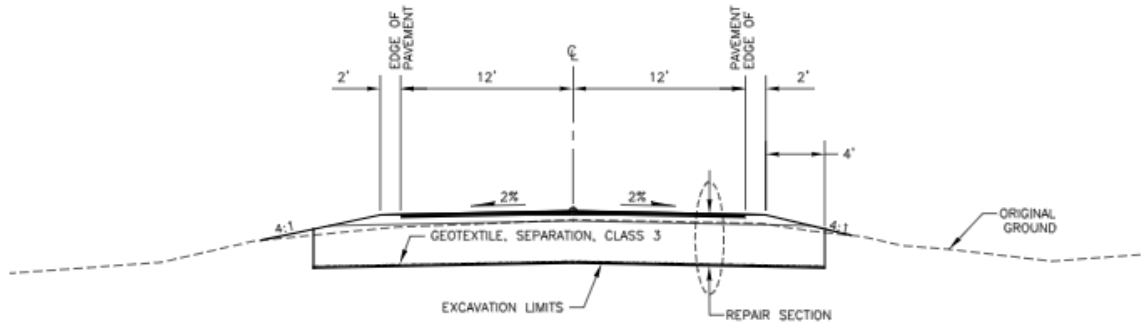
### Earthwork – Constructability and Practice

The roadway structural section was damaged during the earthquake. To repair the damage, the structural section of the roadway will need to be removed and replaced with new materials. Removal items cover removal and disposal or salvage of all materials and are outlined in Sections 201, 202, and 203 of the SSH. Clearing and grubbing removes organics within the project limits. Borrow is used to build up to the structural part of the roadway. Aggregate base course is used to provide a level surface on which to pave. This material has smaller rock sizes than borrow. To provide a smooth, paved driving surface, a layer of Hot Mix Asphalt (HMA) that has been mixed with an asphalt binder is placed above the aggregate base course. This is the roadway surface on which vehicles will drive and matches the sections of roadway adjacent to the damage.

Figure 2 and Figure 3 show the typical roadway section and repair section for Clark-Wolverine Road.



## MEMORANDUM



### CLARK WOLVERINE ROAD MP 0.2-0.6

STA 24+75 TO STA 41+00

Figure 2: Typical Roadway Section

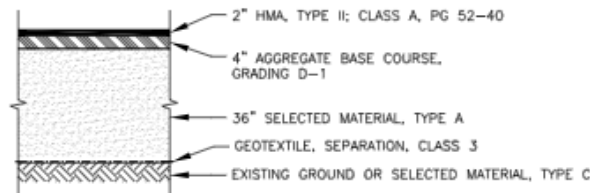
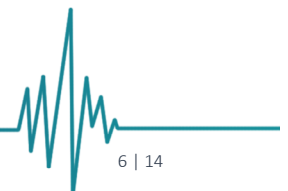


Figure 3: Repair Section

There are large differences in the earthwork material quantities between the CRC estimate and the engineer's estimate. The CRC estimate includes borrow material but does not account for constructability and the geometry of the roadway section. The CRC estimate assumes a width of 28 feet, which is the width of the road from hinge point to hinge point. However, the road structural section extends beyond the hinge point. The structural section should extend, at a minimum, so that the bottom of the structural section will intersect with an imaginary line at a 1:1 horizontal to vertical (H:V) slope from the hinge point. The 1H:1V slope approximates the spread of pressures through the soil column. The extended structural section is necessary to ensure a stable road and shoulder across the entire width.

Construction of embankment and roadway cuts must follow Occupational Safety and Health Administration (OSHA) regulations for sloping and benching to protect employees from cave-ins. For average soil types, a slope of 1H:1V ratio is used as the maximum allowable slope during construction based on the Type B soil type (OSHA 1926 Subpart P App B, Table B-1). The final finished grade of standard embankments is sloped at a minimum of 4H:1V.





## MEMORANDUM



The CRC estimate also presented an abrupt transition at the beginning and end of the reconstruction. A 10H:1V transition at both ends of the excavation is standard practice and helps to ensure that differential settlement and transverse cracks do not develop at joints. The full depth digout will cover the damaged area. This digout transition is included in Figure 4. This transition contributed to some of the differences in quantities. The CRC estimate assumed 1,571 LF of embankment reconstruction, while the engineer's estimate encompasses 1,625 LF.

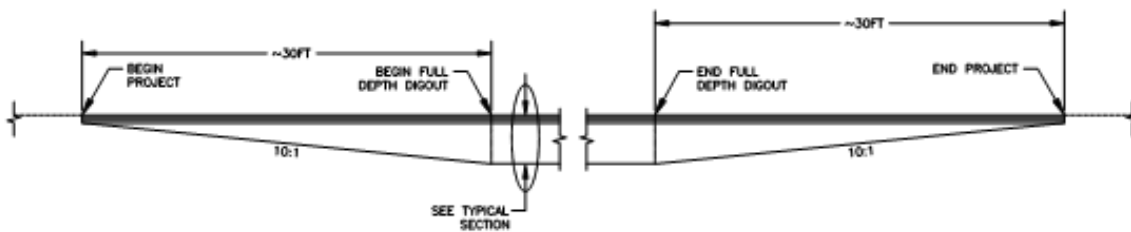


Figure 4: Digout Transition Detail

### Roadway – Borrow, Base Course, and Asphalt

As part of repairing the roadway, borrow, to build up to the structural part of the roadway, Aggregate Base Course, to provide a level surface on which to pave, and HMA, to provide a driving surface, are all required. SSHC Sections 203, 301, and 401 outlines the work items.

Asphalt material price adjustment is included to account for Contractor compensation adjustments related to the fluctuating prices of oil and asphalt. Alaska uses a statewide asphalt material price index that is updated bi-monthly and based on the average rack price of PG 52-28 asphalt from three sources. This adjustment applies to both FHWA and State-funded DOT&PF projects, including the FEMA projects that have a State-funded match. The price adjustment is included in projects with more than 500 tons of asphalt material and is included if more than a 7.5 percent increase or decrease in the index from the date of bid opening to the date the material is incorporated into the project.

The proposed roadway work includes complete replacement of two lanes of Clark-Wolverine Road, including:

- Roadway (two lanes) – 1,625 LF x 24 FT
  - Asphalt (2 IN) = 530 tons (252 CY)
  - Aggregate base course (4 IN) = 1,280 tons (641 CY)
  - Sub Base Borrow (36 IN) = 14,200 tons (7,254 CY)
  - Striping – 1,625 LF of roadway = 1 lump sum
- Shoulder – 1,625 FT x 4.0 FT
  - Aggregate base course (2 IN) = 80 tons (40 CY)
- Embankment
  - Topsoil (4 IN) = 4,300 square yards (SYD; 478 CY)
  - Grass Seed = 63 LB (38,700 SF)
  - Geotextile = 7,200 SYD





## MEMORANDUM



### Approach and Drainage

During a field investigation, an existing culvert was noted on a side street. This drainage feature was not damaged by the earthquake but will be compromised by the construction to repair the roadway. Large equipment is required to remove the damaged roadway materials and to place and compact the new materials. Compaction is required based on the published Alaska SSHC. The approach item in Section 639 covers tying into the side streets within the project limits. Due to the thinness of material covering the culvert, the large equipment will impact the existing culvert during construction, potentially crushing it. The culvert will need to be removed and replaced to maintain the existing drainage patterns and prevent saturation of the embankment, which would result in future damage. Work associated with the replacement of the culvert is found in SSHC Section 603.

### Erosion, Sediment, and Pollution Control and Site Stability

During construction of this project, loose dirt and other materials will be susceptible to wind and water erosion which could damage the surrounding environment. All projects require the control of erosion, sedimentation, and discharge of pollutants, according to the Alaska SSHC and applicable local, State, and federal requirements, including the Alaska Pollutant Discharge Elimination System (APDES) Construction General Permit (CGP). The APDES program is administered by the Alaska Department of Environmental Conservation (ADEC). Section 301(a) of the Clean Water Act and 18 Alaska Administrative Code 83.015 provide that the discharge of pollutants to waters of the U.S. is unlawful except as allowed by the CGP.

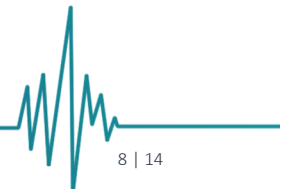
The Contractor is required to provide a Storm Water Pollution Prevention Plan (SWPPP) for approval before beginning construction activities. The SWPPP is a site-specific document that identifies potential sources of storm water pollution and describes the measures to reduce and/or treat the pollutants. The erosion, sediment, and pollution control-related items are standard contract pay items that compensate the Contractor for maintaining the SWPPP and for implementing Best Management Practices throughout construction that will ensure compliance with the CGP and ADEC guidelines and applicable local, State, and federal requirements.

Topsoil, seeding, and water for seeding will provide permanent stabilization. The entire footprint of work will need to be stabilized. The seeding will need to be watered to activate and grow a permanent vegetative mat. These items in SSHC Sections 618, 619, 620, and 641 are standard contract items found in most DOT&PF construction contracts.

### Pavement Markings and Traffic Control Devices

As part of repairing the roadway, traffic controls such as signing and striping will be removed and replaced and must be updated to meet current standards. The ATM is the standard for traffic control devices on public roads in Alaska. It consists of the MUTCD and the ATMS. The MUTCD is published by the FHWA under 23 Code of Federal Regulations (CFR), Part 655, Subpart F, and defines the standards used nationwide to install and maintain traffic control devices on all public streets, highways, bikeways, and private roads open to public travel. SSHC Sections 615 and 670 outline the work items for signing and striping that comply with the ATM, the MUTCD, and the ATMS.

The road will be open to vehicles during construction, so the Contractor will need to regulate vehicles traveling on the roadway. Items in SSHC Section 643 provide a payment method for the Contractor to protect and control traffic during construction activities. The Contractor will furnish, erect, maintain, replace, clean, move, and remove the traffic control devices required to ensure the traveling public's safety and will perform all administrative responsibilities necessary to implement this work.





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### Construction Engineering Items Produced by the Contractor

SSHC Section 640 provides a means of payment for the Contractor to perform work and operations necessary to move personnel, equipment, supplies, and incidentals to the project site and establish a project office. It also provides means to complete similar demobilization activities and complete required submittals such as as-builts, certificates, payrolls, civil rights reports, and equipment warranties. The Contractor is required to comply with the Alaska Department of Labor and Workforce Development (DOLWD) requirements for Worker Meals and Lodging, or Per Diem, as described in memo WHPL #197 and the State Laborer's and Mechanic's Minimum Rates of Pay (current issue). Subcontractors must also comply with the federal and State DOLWD requirements. The Critical Path Method (CPM) schedule allows for coordination and monitoring of all work under the contract, including the activity of subcontractors, manufacturers, suppliers, and utility companies, as well as reviews by the Department.

SSHC Section 642 covers the surveying and staking essential for the completion of the project, as well as the calculations required to accomplish the work in conformance with the plans and specifications and standard engineering and survey practice. This is necessary to make sure the improvements are located according to the plans and are within the DOT&PF's right-of-way.

### Utility Relocations

There are existing utilities along the corridor. Existing utilities include:

- Matanuska Electric Association, Inc., overhead 1-phase distribution with 2-25 pair MTA cables underbuilt
- General Communication, Inc. (GCI), underground 72-count fiber optic cable along the north right-of-way (currently not shown on the plans)
- ENSTAR Natural Gas Company 4-inch plastic main along North right-of-way (partially shown on the plans)

No utility adjustments, relocations, or other impacts are anticipated with this project.

## Mitigation

### Geotextile

The proposed mitigation for this project utilizes Geotextile Separation, Class 3, to provide additional structural support to the roadway. Geotextile is a synthetic woven fabric described in SSHC Section 630 that will be placed at the bottom of the structural section where the existing ground meets the new embankment material. The fabric serves primarily to keep the materials above and below it separate; in this case, keeping the very fine particles within the existing soils from migrating up into the structural section and making it more frost-susceptible.

The geotextile serves a secondary function by providing a bridging effect. This benefit is a result of soil pressures being distributed across the plane of the fabric through tension in the fabric threads which results in a minor increase in the strength of the structural section. The inclusion of Geotextile Separation was recommended by the geotechnical engineer and is a typical feature in similar design situations. The cost of the proposed mitigation is only 3 percent of the total construction cost and will help mitigate future earthquake events by creating a stronger roadway section.

## Construction Administration Services

Construction Administration (CA) services include personnel responsible for observation and documentation of construction activities, inspection services, and contract administration to ensure that the Contractor meets



## MEMORANDUM



statewide construction standards. The Department staff and its Contractors follow the current policies, procedures, and instructions in the latest version of the *Alaska Construction Manual* (DOT&PF, 2019). The following sections describe the construction administration costs in the project worksheets, as well as example construction administration costs on similarly sized projects in Alaska.

### FEMA CEF Summary – Construction Administration Costs

As the construction cost estimates were developed by FEMA, they were entered into a CEF spreadsheet. This spreadsheet is a template used on all permanent repair projects and includes standard sections. Section H, row H.3, of the spreadsheet includes the applicant project management costs for the construction phase.

The FEMA 322 Public Assistance Guide assumes that projects requiring basic construction management, such as repairing local roads back to the pre-disaster condition using local construction standards with no design, should have a construction management budget of 3.0 percent. For projects with design and engineering, the CEF uses a standard 6.0 percent for construction administration.

Table 3 provides a summary of the PW 00046 - Clark-Wolverine Road and Huntley Road project, including CEF net cost, project management costs percentage for the construction phase (CEF Part H.3), and basic construction inspection services percentage, as applicable.

**Table 3: FEMA Category C Project CEF Summary – CA Costs**

PW	Project Name	CEF Net Cost	H.3 CEF PM (Construction) %	CEF CI %
00046	Clark-Wolverine Road and Huntley Road	\$500,153.65	6.0%	3.0%

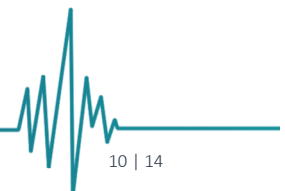
Source: CEF spreadsheets in Grants Portal Documents for Clark-Wolverine and Huntley Road

The CRC calculated Project Management – Construction Phase as a standard 6.0 percent for the project. The CRC incorrectly included only construction project management and construction inspection costs, with no design costs included in the estimate.

### Historical CA Costs on Similar Projects in Alaska

Generally, the Department's CA budgets on large projects (multi-million-dollar construction budgets) are estimated by the Department to be 15 to 25 percent of the overall construction budget. When compared with larger projects, smaller projects have a higher percentage of the construction engineering cost relative to the construction cost. The Department reviewed projects under \$1 million with a complexity similar to that of the Category C FEMA projects to determine the average construction administration costs for a project located within Alaska's Central Region.

Table 4 contains historical construction administration costs from projects under \$1 million managed by the Department. The table includes the bid amount, actual final contract amount, total construction administration costs, and ratio of CA to final contract costs.





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Table 4: Example Construction Administration Services Costs for Local Anchorage Projects

CA FOR TIMEFRAME: FFY 2016–2018 (3rd Quarter) (projects under \$1 million)					
Project Number	Project Name	Bid Amount	Final Contract Amount	Total CA Costs	Total CA / Final Contract
52336	Lake Hood Strip RPZ Land Acquisition	\$ 442,368.44	\$ 384,181.88	\$ 135,548.35	35.3%
55103	HSIP: Glenn Highway Speed Limit Evaluation, Palmer To Glennallen	\$ 688,095.00	\$ 433,968.60	\$ 279,951.60	64.5%
55627	Birch Road: Whispering Spruce Intersection Improvements	\$ 734,399.81	\$ 757,999.13	\$ 133,940.20	17.7%
54972	Adak Runway Safety Improvements	\$ 294,475.00	\$ 245,183.10	\$ 46,071.11	18.8%
58332	ANC Security Fence Improvements	\$ 343,095.50	\$ 344,287.57	\$258,346.57	75.0%
52791	Cr Public Safety And Reduced Maintenance Its, Mat-Su	\$ 773,998.88	\$ 812,851.04	\$ 254,259.21	31.3%
Z582110000	Point MacKenzie Road Improvement: MP 21.8 To 23	\$ 419,951.10	\$ 408,002.05	\$ 144,157.45	35.3%
Z580990000	HSIP: Eklutna Overpass Bridge Warning 2015	\$ 412,688.00	\$ 369,115.61	\$ 84,079.07	22.8%
Z583410000	ANC Paving And Drainage Improvements 2016	\$ 341,075.48	\$ 304,248.63	\$ 102,138.46	33.6%
CFHWY00125	AMATS: Pedestrian Plan Implementation Boniface Pkwy: Debarr Rd To Carrs & AMATS: Pedestrian Plan Implementation Patterson St: Debarr Rd To Chester Ct	\$ 684,191.00	\$ 495,488.13	\$ 372,708.03	75.2%
CFHWY00168	Bogard Rd Resurfacing: N Lazy Eight Ct To E Stoney Hollow Dr	\$ 473,904.00	\$ 539,673.77	\$ 168,421.10	31.2%
Z579080000	North Fork Road Bridge Erosion Repair	\$ 1,126,214.70	\$ 981,011.28	\$ 377,483.29	38.5%
				<b>Average</b>	<b>40%</b>

Note: HSIP: Highway Safety Improvement Program; ANC: Ted Stevens Anchorage International Airport; AMATS: Anchorage Metropolitan Area Transportation Solutions;

The percentage for CA services averaged 40 percent for these projects, with some being higher than 75 percent of the construction budget. This percentage is much higher than the standard 6.0 percent used in the CEF cost estimates for the projects but is a more realistic reflection of the costs expected for the construction administration of these projects.

Reversioning Request

The Department seeks reversioning of the project by FEMA to include PE costs, costs associated with the design phase, construction, mitigation, and construction administration of PW 00046 - Clark-Wolverine Road and Huntley Road, and concurrence that the project will be reimbursed based on the documented actual costs as outlined in this memorandum.

Table 5 compares the obligated (Version 0) costs with the updated costs (Version 1) for the project. This includes the costs for both of the damage inventory sites and the mitigation on Clark-Wolverine Road. The obligated costs (v0) include the Applicant's Project Management and Design Cost built into the total costs from the CEF.



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**Table 5: Project Worksheet Version 0 (V0) and Version 1 (V1) Comparison**

<b>PW 0046</b>	<b>Obligated (V0)</b>	<b>Construction Cost Estimate (V1)</b>	<b>Design &amp; Engineering Cost Estimate (V1)</b>	<b>PW V1Total</b>
DI 285952 Huntley Road	\$50,355.15	\$0.00	\$0.00	\$0.00
DI 286217 Clark Wolverine	\$430,126.00	\$869,662.00	\$200,000.00	\$1,069,662.00
Mitigation for DI 286217	\$19,673.50	\$26,000.00	\$0.00	\$ 26,000.00
<b>Total</b>	<b>\$500,154.65</b>	<b>\$895,662.00</b>	<b>\$200,000.00</b>	<b>\$1,095,662.00</b>

Table 6 is a summary of the FEMA CRC quantities, unit prices, and costs compared to the engineer's estimate for Clark-Wolverine Road. The table also includes costs for design services. The table does not include the CRC costs for Huntley Road (\$50,355.15), as that has been removed from the project. The plans and engineer's estimate are also included as part of this reversioning memo request, for reference.

The actual costs for the eligible engineering, design services, and construction will be claimed in final inspection and reconciliation. The DOT&PF is not seeking reimbursement for that effort and requests that this damage site is removed from the project during the reversioning. At this time, the Department requests that Version 1 capture these estimated costs, with the understanding that after completion of the project, final funding adjustments will be made accordingly. The Department plans to reversion the PW (Version 2) after construction is completed based on actual PE and design, construction, mitigation, and construction administration, and construction costs.





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Table 6: FEMA CRC Estimate and Engineer's Estimate Comparison

Line Number	Item Number	Pay Item	Pay Unit	FEMA CRC Cost Estimate			Engineer's Estimate		
				Quantity	Unit Price (\$)	Total (\$)	Plan Quantity	Unit Price (\$)	Total (\$)
Basic Bid									
10	201.0003.0000	Clearing and Grubbing	ACRE				0.90	8,900.00	8,010.00
20	202.0002.0000	Removal of Pavement	SY	4,189.33	3.25	13,615.32	4,800.00	4.00	19,200.00
30	202.0004.0000	Removal of Culvert Pipe	LF				81.00	18.00	1,458.00
40	203.0003.0000	Unclassified Excavation	CY				5,500.00	14.00	77,000.00
50	203.0006.000A	Borrow, Type A	TON	9,897.309	20.50	202,894.83	14,200.00	10.00	142,000.00
60	301.0001.00D1	Aggregate Base Course, Grading D-1	TON	1,099.6965	25.50	28,042.26	1,360.00	40.00	54,400.00
70	401.0001.002A	HMA, Type II; Class A	TON	471.2985	145.00	68,338.28	530.00	75.00	39,750.00
80	401.0004.5240	Asphalt Binder, Grade PG 52-40 V	TON				28.10	700.00	19,670.00
90	401.0015.0000	Asphalt Material Price Adjustment	CS				All Required	0.00	0.00
100	603.0017.0024	Pipe 24 Inch	LF				81.00	120.00	9,720.00
110	603.0020.0024	End Section for Pipe 24 Inch	EACH				4.00	670.00	2,680.00
120	615.0001.0000	Standard Sign	SF				21.00	150.00	3,150.00
130	618.0002.0000	Seeding	LB				63.00	170.00	10,710.00
140	618.0003.0000	Water for Seeding	MGAL				42.00	55.00	2,310.00
150	620.0001.0000	Topsoil	SY				4,300.00	4.50	19,350.00
170	639.2000.0000	Approach	EACH				3.00	1,500.00	4,500.00
180	640.0001.0000	Mobilization and Demobilization	LS				All Required	55,000.00	55,000.00
190	641.0001.0000	Erosion, Sediment, and Pollution Control Administration	LS				All Required	5,000.00	5,000.00
200	641.0005.0000	Temporary Erosion, Sediment and Pollution Control by Directive	CS				All Required	10,000.00	10,000.00
210	641.0006.0000	Withholding	CS				All Required	0.00	0.00
220	641.0007.0000	SWPPP Manager	LS				All Required	5,000.00	5,000.00
230	642.0001.0000	Construction Surveying	LS				All Required	15,000.00	15,000.00
240	642.0003.0000	Three Person Survey Party	HR				24.00	300.00	7,200.00
250	643.0002.0000	Traffic Maintenance	LS				All Required	20,000.00	20,000.00



# Emergency Funding and Documentation

## MEMORANDUM



Line Number	Item Number	Pay Item	Pay Unit	FEMA CRC Cost Estimate			Engineer's Estimate		
				Quantity	Unit Price (\$)	Total (\$)	Plan Quantity	Unit Price (\$)	Total (\$)
260	643.0003.0000	Permanent Construction Signs	LS				All Required	5,000.00	5,000.00
270	643.0023.0000	Traffic Price Adjustment	CS				All Required	0.00	0.00
280	643.0025.0000	Traffic Control	CS				All Required	20,000.00	20,000.00
290	643.0032.0000	Flagging	CS				All Required	5,000.00	5,000.00
300	670.0001.0000	Painted Traffic Markings	LS	All Required	3,534.75	3,534.75	All Required	10,000.00	10,000.00
<b>Mitigation for DI 286217</b>									
Line Number	Item Number	Pay Item	Pay Unit	FEMA CRC Cost Estimate			Engineer's Estimate		
				Quantity	Unit Price (\$)	Total (\$)	Plan Quantity	Unit Price (\$)	Total (\$)
160	630.0001.0003	Geotextile Separation, Class 3	SY	5,621	3.50	19,673.50	6,500.00	4.00	26,000.00
Category Basic Bid Total:				336,098.95			597,108.00		
General Requirements and General Conditions (CEF) / Construction Engineering Percent/Amount:				30,851.00			298,554.00		
Category Basic Bid Estimate Total:				366,949.95			895,662.00		
Indirect Cost Allocation Plan (ICAP) Amount:				0.00			0.00		
General Contractor's Overhead and Profit (CEF):				47,334.00			* 0.00		
Project Construction Estimate Total:				414,283.95			895,662.00		
Applicant's Project Management and Design Cost (CEF):				35,515.00			58,314.00		
Basic Services (PE Costs):							95,000.00		
Special Services (PE Costs):							46,686.00		
<b>Project Construction Estimate + Project Management and Design Cost:</b>				<b>** 449,798.95</b>			<b>1,095,662.00</b>		

\* General Contractor's Overhead and Profit (CEF) is built into the unit prices in the Engineer's Estimate.

\*\* Small difference (+/- \$0.55) due to rounding





## C.13 FUR Rate Justification Memo

July 25, 2019

Jenny Belanger, State Public Assistance Officer  
Department of Military and Veterans Affairs  
Division of Homeland Security and Emergency Management  
Disaster Assistance  
PO Box 5750  
JBER, AK 99505-5750

RE: DR-4413, 2018 November Cook Inlet Earthquake  
State Equipment Rates, Projects 90688 and 91466

Ms. Belanger:

Our requests for reimbursement include the use of state-owned equipment for the Category A debris removal and Category B emergency repair projects. The values presented in the documentation for the reimbursement is based on the State of Alaska's internal equipment rates. We request the use of State rates and present herein the applicability of these rates.

### FEMA Guidance

The Public Assistance Program and Policy Guide (V3.1), Chapter 2, Section V.B states: "FEMA only provides PA funding for a rate above \$75 per hour if the Applicant demonstrates that each of the components of the rate is comparable to current market prices" (p. 27). This is supported by 44 CFR 206.228(a)(1)(i), which similarly reads:

Rates established under state guidelines. In those cases where an applicant uses reasonable rates which have been established or approved under State guidelines, in its normal daily operations, reimbursement for applicant-owned equipment which has an hourly rate of \$75 or less shall be based on such rates. Reimbursement for equipment which has an hourly rate in excess of \$75 shall be determined on a case by case basis by FEMA.

### Justification

DOT&PF rates are calculated annually for each class of equipment and district within DOT&PF. These consist of the Federal Fixed Fee plus all operating costs, divided by the annual usage of an asset. This rate is calculated for DOT&PF assets so they can be charged on a mile or hour basis. DOT&PF refers to these rates as "FUR" rates, an acronym for Fixed Utilization Rate.

FEMA rates do not include a location adjustment factor. The local cost of operating equipment in Anchorage, Alaska includes a variety of factors that are unique to this regional operation. The cost of delivering equipment to the State, winterization and storage, availability and cost of operators and mechanics, and degradation of parts due to seasonal fluctuations are all considerations that increase cost.

The equipment rates developed by the State of Alaska reflect actual cost of operating the equipment in the local area.



Your response is requested in advance of our submittal of documentation. We anticipate submitting the complete documentation for reimbursement by July 31, 2019. If you have any questions, please contact myself, Burrell Nickeson at (907) 269-0536 or [Burrell.nickeson@alaska.gov](mailto:Burrell.nickeson@alaska.gov), or the Central Region M&O Manager Greg Patz at (907) 269-0763 or [greg.patz@alaska.gov](mailto:greg.patz@alaska.gov).

Sincerely,

Burrell Nickeson  
Central Region Maintenance & Operations



**C.14 Narrative Cost Allocation Technology - Emergency Response to Earthquake**

STATE OF ALASKA  
DEPARTMENT OF TRANSPORTATION AND  
PUBLIC FACILITIES

NARRATIVE COST ALLOCATION  
METHODOLOGY (NCAM)

**Purpose:** To request federal reimbursement for indirect costs related to the extraordinary event of the November 30, 2018 earthquake. This NCAM is in addition to the Department of Transportation & Public Facilities' (DOT&PF) current Indirect Cost Rate Proposal (ICRP) methodology. Direct and indirect expenditures related to the earthquake emergency repairs have been accounted for distinctly from other direct & indirect costs incurred within the department. The indirect costs related to the emergency repair projects are identified by program code CDRER00512. The direct costs related to the earthquake are identified by the subsection name "NCAM" of the existing cost group for Disaster Relief/Emergency Repair (DRER) program.

Costs were initially incurred in FY2021. The costs have been included and identified in the department's FY2021 ICRP. As of today, no indirect costs have been claimed or reimbursed, as no indirect rate is charged to DRER projects.

This document:

- describes the eligibility of the indirect costs related to the emergency repair response to the earthquake,
- describes the methodology the department proposes to seek reimbursement for the identified indirect costs, and
- requests FHWA approval of the methodology and reimbursement of those indirect costs.

**Precipitating Event:** On November 30, 2018, a magnitude 7.1 earthquake took place 25 miles southwest of the city of Palmer, damaging facilities and infrastructure throughout southcentral Alaska. President Trump issued an emergency declaration and Governor Bill Walker officially declared the event a disaster. On December 2, 2018, DOT&PF Commissioner John MacKinnon sent a letter to FHWA declaring the department's intent to request Emergency Relief (ER) funding for the repair of damage to highways and bridges in Alaska caused by the earthquake, authorized under Section 125 of Title 23, U.S.C. On December 17, 2018, Sandra Garcia-Aline, Division Administrator, FHWA, responded in writing, acknowledging receipt of the letter of intent and requesting that the department proceed with performance of emergency operations and repairs, as well as with "preliminary engineering, to include surveys, design, and preparation of construction plans, to perform the permanent restoration work required as an associated part of the emergency operations." The letter went on to state that, "If FHWA concurs in the disaster, all emergency work must be included in a program of emergency repair projects."

The department proceeded with work to identify and plan emergency repair requirements, to administer emergency repair projects, and to identify permanent restoration work needs. The work and costs involved with this effort comprise indirect costs associated with the earthquake emergency. These indirect costs are accounted for in program code CDRER00512. Indirect costs in this program do not include DOT&PF personal services costs that are allocated through the approved FY2021 ICRP. DOT&PF has elected not to seek reimbursement for the DOT&PF personal services indirect costs allocated to the ER projects.



**Indirect Costs Eligibility:** Indirect costs incurred include design consultant contract work, environmental work, damage assessments, CCTV inspection of storm drains/culverts, public response (such as 511 updates completed by consultant), training/setup of Survey 123 application, general emergency response coordination, etc. The FHWA Emergency Relief Manual (Chapter II, Eligibility of Damage Repair Work, Section B, Item 2, Indirect Costs) states that costs that are not allocable to a specific project may be eligible for emergency relief funding in accordance with Section 125 of 23 U.S.C., subject to the provisions of 2 CFR 200.

There are six eligible actions classified as indirect:

- **Damage Assessment** – investigation of a reported site after the initial event, and up to two years later as sites are reported. Can include geotechnical explorations, traffic control to facilitate investigations, constructability guidance, and other evaluations.
- **Administration** – all tasks associated with setting up a project once a site is identified, until it is established as a permanent repair project with a program code.
- **Overhead** – travel, lodging, rental, and other incidentals needed to reach a reported site, assess its condition, and advance a site from identification to project.
- **General supervision** – coordinating and arranging for personnel to conduct site assessments and prepare documents and other activities to advance from site assessment to a site-specific project with a program code.
- **Non-construction contract administration** – preparing site nomination documentation, reporting to the DOT&PF, preparing contracting documentation and other typical administrative duties.
- **Project planning and scheduling** – determining project priority and resource logistics for a site until a project is issued a program code.

Table 1 contains a list of each of the six qualifying actions that were charged under program code CDRER00512 and a breakdown of the six qualifying actions by activity code in the State of Alaska accounting system, Integrated Resource Information System (IRIS). Detailed documentation is available upon request.

# Emergency Funding and Documentation

Table 1: CDRER00512 Activity Codes and Indirect Cost Categories

IRIS Code	Activity Name	Damage Assess.	Administration	Overhead	General Supervision	Contract Administration	Project Planning and Scheduling
001	Location	X					
002	Pre-Envir Doc Ad&Eng	X	X	X	X	X	X
006	Pre-Envir Doc Bridge	X					X
008	Pre-Envir Doc Envirn				X		X
009	Pre-Envr D. Stwd Mat	X					
010	Design						X
011	Post E D Admin/Engin	X	X	X	X	X	X
012	Drafting						X
014	Design Consult Paymt	X	X	X	X	X	X
028	Post Environ Doc ROW		X		X		X
030	Post Ed Traffic	X	X		X		
036	Post Ed Stwd Material	X			X		
038	Bridge Design	X					X
039	Foundation/Geo Explo	X			X		
040	Foundation/Geo Engr	X			X		
043	Post Ed Environmental	X					X
045	Environmental Permit	X					X
053	Post Ed Reg Material	X			X		
062	Review/Contracts				X	X	
066	Post Ed Contracts				X	X	
070	Advertise And Award				X	X	
072	Ca Util St Forces Pe	X			X		X
084	Const Supp Dur Design				X		X



# Alaska Department of Transportation and Public Facilities

Financial reporting that accompanies this NCAM shows the summary of indirect expenses incurred, as well as a detailed audit trail of all transactions. Additional documentation is available for all transactions upon request.

Total eligible indirect costs recorded through 02/28/2021 are \$4,846,459.30. Indirect costs will continue to be incurred until the ER projects are financially closed.

**Proposed Methodology for Indirect Cost Recovery:** In keeping with requirements of FHWA’s letter of December 17, 2018 to include all emergency costs, including indirect, in the program of emergency repair projects, the department proposes to allocate indirect costs to emergency repair projects based on actual direct costs recorded as of 2/28/2021. The department will charge each emergency repair project its relative portion of the total indirect pool of costs. Following are direct emergency repair costs, relative percentages and the distribution of indirect costs incurred through 2/28/2021.

Emergency Repair Project	Total Expenses as of 2/28/2021	Percent of Total	Allocated Indirect Cost
CDRER00500 - EQ-Seward Hwy	2,085,319.89	16.34%	791,990.66
CDRER00506 - OLD MATANUSKA	208,717.51	1.64%	79,269.53
CDRER00507 - EQ Nov18 Glenn	3,573,451.30	28.00%	1,357,173.10
CDRER00508 - EQ-Parks Hwy	272,502.03	2.14%	103,494.46
CDRER00509 - EQ-Anchorage	1,491,986.69	11.69%	566,646.65
CDRER00510 - EQ-MatSu Boroug	1,470,305.80	11.52%	558,412.39
CDRER00511 - EQ-Kenai Spur	341,892.71	2.68%	129,848.58
CDRER00522 - ANC Earthquake	(0.00)	0.00%	0.00
CDRER00527 - RDWAY CRACK SEA	1,526,670.16	11.96%	579,819.20
CDRER00530 - POSTMARK DR & B	808,802.92	6.34%	307,177.98
CDRER00531 - POSTMARK DR AT	0.00	0.00%	0.00
CDRER00532 - TAXIWAY V	50,818.23	0.40%	19,300.43
CDRER00535 - OLD INT ARPT RD	(0.00)	0.00%	0.00
CDRER00692 - Seward Hwy Rock	930,311.96	7.29%	353,326.31
<b>Grand Total</b>	<b>12,760,779.20</b>	100.00%	<b>4,846,459.29</b>

The department proposes to use the above-established percentages as fixed percentages for indirect cost purposes, irrespective of any future direct costs that may be recorded to emergency repair projects as part of the final audit and project closure process. This is for three reasons:

1. Such additional direct costs are very unlikely to appreciably change relative percentages of direct emergency repair costs between projects,
2. Fixing the percentage at a specific rate allows for administrative streamlining and financial predictability, and
3. As each project is closed, the department will absorb that project’s portion of indirect costs allocated to it after the project is submitted for closure.

**Technical Process Information:** Indirect costs in the above amounts will be charged to the above projects upon approval of this NCAM. Costs will be recorded using the IRIS object code 3076, the standard object code designating indirect cost.

Indirect costs will continue to be incurred in closing emergency repair projects. Indirect costs recorded after 2/28/2021 will also be charged to the above emergency repair projects at the above rate on a monthly basis until the project is submitted for closure.

The department intends to proceed with the bulk of closure preparation work for all emergency repair projects. Final closure work will be prepared for each project individually, and final indirect costs will be assessed for that project. The project will be submitted for closure. After a project has been submitted for closure, that projects assigned proportionate share of any future indirect costs will be absorbed by the department.



## C.15 Documentation of Determination of Need for Emergency Repair

### MEMORANDUM

### State of Alaska

Department of Transportation & Public Facilities  
Division of Highways and Aviation

**To:** John Linnell, P.E.  
CR Preconstruction Engineer

**Date:** January 27, 2020

Joel St. Aubin, P.E.  
CR Construction Chief

**Telephone No:** 907-269-0760

**From:** Charles Wagner, P.E. *cmw*  
Central Region M&O Chief

**Subject:** Earthquake 2018 – Determination of  
Emergency Roadway Repairs -  
Unstable Rock Slopes at Seward  
Highway Milepost 109.5 (Site 148)

I request you engage your staff to expeditiously design and construct an emergency solution to stabilize the rock slopes at Milepost 109.5 of the Seward Highway. In the months following the November 2018 earthquake, the frequency and severity of rockfall events at this location have markedly increased, resulting in disruption of essential traffic and heightened safety concerns to the traveling public and those working in the area.

Ongoing monitoring by local Maintenance and Operation (M&O) crews as well as site investigation by Central Region Materials indicate slope stability is worsening. A rockfall event at this location in late November 2019 resulted in a vehicle accident and raised the issue for prompt resolution. Immediate action at this location is necessary in order to protect the health and safety of the traveling public, protect the existing highway facilities and minimize future disruption to essential traffic.

Based on discussions with M&O crews, the Materials Section team and members of the earthquake response team, I have determined this location warrants emergency action be taken immediately. As such I request your assistance in accomplishing a resolution as quickly as possible.

**Cc:** Wolfgang Junge, Central Region Director  
Diana Rotkis, Central Region Deputy Director  
John MacKinnon, Commissioner



# Emergency Funding and Documentation

## C.16 Reimbursable Service Agreement – DOT&PF M&O and DNR

<b>State of Alaska</b>		<b>Reimbursable Services Agreement</b>		ORIGINAL <input checked="" type="checkbox"/>	AMENDMENT # <input type="checkbox"/>						
<b>Payment Process</b> <input checked="" type="checkbox"/> Internal Exchange Trans (IET) <input type="checkbox"/> Internal Trans Agreement (ITA) <input type="checkbox"/> Other											
Requesting Agency (Buyer)	Results Delivery Unit (RDU)	Component	ADN #								
Natural Resources	Fire Land and Water Resources	Fire Suppression Activity	1013063								
Servicing Agency (Seller)	Results Delivery Unit (RDU)	Component	ADN #								
Transportation & Public Facilities	Highways, Aviation and Facilities	Central Region Highways and Aviation	2511038								
<b>I. Project or program title:</b> CR DOT M&O Fire Support to Forestry FY21											
<b>II. The servicing agency agrees to provide the requesting agency with the following service(s):</b>											
DOT will provide equipment and personnel support for DOF Fire Suppression when requested by Coastal Region DOF, via a resource order. Payment will be made upon receipt of billing with source documents including copies of timesheets, OF-288's, payroll reports, travel authorizations, Emergency Equipment use invoices, shift tickets, miscellaneous support receipts and the resource order.											
Buyer Program Contact/Phone: Christy Rambo 451-2662		Seller Program Contact/Phone: Natalya Fomixa 269-0758									
<b>III. Terms and mechanics of reimbursement:</b>											
<input type="checkbox"/> Payment upon approval <input checked="" type="checkbox"/> Payment upon receipt of inter-agency billing <input type="checkbox"/> Payment upon completion of service(s) <input checked="" type="checkbox"/> Other (Specify) Receipt of documents		Buyer Vendor/Customer #: 10DNRRINT Department of Natural Resources Support Services-Financial Services 400 Willoughby Avenue, 5th Floor Juneau, Alaska 99801									
Commencement date	Completion date	Billing Email Address:	Phone #								
7/1/2020	6/30/2021	10RSADesk@alaska.gov	907-465-2436								
<b>IV. Servicing Agency cost based on:</b>											
<input type="checkbox"/> Itemized costs of service(s) provided <input type="checkbox"/> Cost allocation schedule (description of allocation methodology must be attached)											
<b>V. Schedule of maximum costs to be incurred by the Servicing Agency:</b>											
	Original Agreement	Previous Amendment(s)	This Amendment	Total							
Personal Services	\$ 20,000.00	\$	\$	\$ 20,000.00							
Travel	\$	\$	\$	\$ 0.00							
Services	\$	\$	\$	\$ 0.00							
Commodities	\$	\$	\$	\$ 0.00							
Capital Outlay	\$	\$	\$	\$ 0.00							
Grants and Benefits	\$	\$	\$	\$ 0.00							
Oth: 10% Indirect	2,000.00			2,000.00							
<b>Total</b>	<b>\$ 22,000.00</b>	<b>\$ 0.00</b>	<b>\$ 0.00</b>	<b>\$ 22,000.00</b>							
<input type="checkbox"/> Servicing Agency may not change line items without approval of Buyer Agency											
<b>VI. Budgeting and Accounting Information :</b>											
Requesting Agency Authorization		<input type="checkbox"/> Capital <input checked="" type="checkbox"/> Operating									
Financial coding to be charged											
Buyer Dept	10 AR	103101004	Fund	1004	Org Unit	4360	Program	Task	F001		
Template	NTF001	Activity	Location	Function	Exp Obj	3080					
(Open Item # or Doc ID # (RS, EN, or AJE) <b>RSA 1013563 IPO 210000563</b> (Format: Sec Ch SLA Pg Ln OR RPL# XX-X-XXXX)											
Federal funds		<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes, Amount									
Federal Pass Through:		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No									
Federal Agency/Program/CFDA/Grant/Contract No.		Date funds lapse 6/30/2021									
<b>Servicing Agency Authorization</b>											
Is this agreement using budgeted authorization?		<input type="checkbox"/> No <input checked="" type="checkbox"/> Yes									
AR	25RS01307	Fund	1004	Org	4033	RR	5301	Program	25RS201307	Seller Dept	25DOTINT
AR	25RS01307	Fund		Org		RR	5007	Program	25RS01038	Other	Template MIPGM-TRSCHA
Other Template <b>FP: 211038</b> Other Template <b>FP: T01038</b>											
<b>VII: Approvals &amp; Certification:</b> The buyer agency and seller agency agree to the terms and conditions above. In addition, the buyer agency certifies that sufficient funds are encumbered to pay this obligation or that there is sufficient unencumbered balance in the appropriation cited to cover this obligation. I am aware that to knowingly make or allow false entries or alterations on a public record, or knowingly destroy, mutilate, suppress, conceal, remove or otherwise impair the verity, legibility or availability of a public record constitutes tampering with public records punishable under AS 11.56.815-820. Other disciplinary action may be taken up to and including dismissal.											
<b>Requesting Agency Authorized Signature</b>		<b>Printed Name</b>		<b>Date</b>							
Joel R. Del Rosario		Joel Del Rosario, Admin Operations Mngr		08/25/2020							
<b>Servicing Agency Authorized Signature</b>		<b>Printed Name</b>		<b>Date</b>							
Charles M. Wagner											
<b>Requesting ASD Authorized Signature</b>		<b>Printed Name</b>		<b>Date</b>							

02-098 (OMB Rev. Sep 2019)

SRK1 - 210000490 BUR71 - 210001025  
 BUP74 - 21000724 BUE70 - 210001778  
 CAS - 21000451



# Alaska Department of Transportation and Public Facilities

Funding Source Control: Level 3

Page 1 of 1

Funding Source Control: Level 3

[Menu Back](#)

	BFY	FUND	DEPT	APGRP	APTYP	CMNRT	RTYP	Current Budget	Total Revenue	Unrecognized
✓	2021	1004	25	T008	T08F	5000	5002	\$3,943,700.00	\$5,849,481.62	\$2,037,918.38
	2021	1004	25	T008	T08F	5000	5005	\$607,100.00	\$1,060,741.68	\$153,458.32
	2021	1004	25	T008	T08F	5000	5007	\$404,100.00	\$454,917.82	\$353,282.18
	2021	1004	25	T008	T08F	5000	5061	\$448,300.00	\$448,300.00	\$448,300.00
	2021	1004	25	T008	T08F	5000	5108	\$138,100.00	\$138,100.00	\$138,100.00
	2021	1004	25	T008	T08F	5000	5214	\$55,000.00	\$55,000.00	\$55,000.00
	2021	1004	25	T008	T08F	5000	5244	\$821,100.00	\$827,375.24	\$814,824.76
	2021	1004	25	T008	T08F	6000	6004	\$19,575,000.00	\$828.03	\$19,574,171.97

First Prev Next Last

Search

▼ Budget Actuals

<b>Billed Earned Revenue :</b> \$620,979.36		<b>Billed Unearned/Deferred Revenue :</b> \$0.00	
<b>Unbilled Earned Revenue :</b> \$0.00		<b>Collected Unearned/Deferred Revenue :</b> \$0.00	
<b>Collected Earned Revenue :</b> \$1,905,781.62		<b>Total Revenue :</b> \$5,849,481.62	
<b>Tolerance Adjustment :</b> \$3,943,700.00		<b>Unrecognized :</b> \$2,037,918.38	

► Budget Amounts

► General Information

[Top](#)

[Modified Budget Line Controls](#)   [Previous Level](#)   [Next](#)

0 \* \*

4 0 4 , 1 0 0 . +

2 2 , 0 0 0 . +

4 2 6 , 1 0 0 . \* +



**LAWS OF ALASKA**

**2020**

**Source**  
CCS HB 205

**Chapter No.**  
\_\_\_\_\_

**AN ACT**

Making appropriations for the operating and loan program expenses of state government and for certain programs; capitalizing funds; making capital appropriations, supplemental appropriations, and reappropriations; making appropriations for the operating and capital expenses of the state's integrated comprehensive mental health program; making appropriations under art. IX, sec. 17(c), Constitution of the State of Alaska, from the constitutional budget reserve fund; and providing for an effective date.

\_\_\_\_\_  
**BE IT ENACTED BY THE LEGISLATURE OF THE STATE OF ALASKA:**

THE ACT FOLLOWS ON PAGE 1

Enrolled HB 205



# Alaska Department of Transportation and Public Facilities

	Appropriation	General	Other
	Allocations	Funds	Funds
1			
2			
3	State Active Duty	325,000	
4	Alaska Wing Civil Air	<del>250,000</del>	
5	Patrol		
6	<b>Alaska Aerospace Corporation</b>	<b>10,792,400</b>	<b>10,792,400</b>
7	The amount appropriated by this appropriation includes the unexpended and unobligated		
8	balance on June 30, 2020, of the federal and corporate receipts of the Department of Military		
9	and Veterans Affairs, Alaska Aerospace Corporation.		
10	Alaska Aerospace	4,228,100	
11	Corporation		
12	Alaska Aerospace	6,564,300	
13	Corporation Facilities		
14	Maintenance		
15	* * * * *	* * * * *	
16	* * * * * <b>Department of Natural Resources</b> * * * * *		
17	* * * * *	* * * * *	
18	<b>Administration &amp; Support Services</b>	<b>24,096,100</b>	<b>16,221,400</b>
19	Commissioner's Office	1,523,900	
20	Office of Project	6,671,700	
21	Management & Permitting		
22	Administrative Services	3,694,500	
23	The amount allocated for Administrative Services includes the unexpended and unobligated		
24	balance on June 30, 2020, of receipts from all prior fiscal years collected under the		
25	Department of Natural Resource's federal indirect cost plan for expenditures incurred by the		
26	Department of Natural Resources.		
27	Information Resource	3,703,000	
28	Management		
29	Interdepartmental	1,331,800	
30	Chargebacks		
31	Facilities	2,592,900	
32	Recorder's Office/Uniform	3,646,500	
33	Commercial Code		

# Emergency Funding and Documentation

1		<b>Appropriation</b>	<b>General</b>	<b>Other</b>
2		<b>Allocations</b>	<b>Items</b>	<b>Funds</b>
3	EVOS Trustee Council	163,500		
4	Projects			
5	Public Information Center	768,300		
6	<b>Oil &amp; Gas</b>	<b>20,744,800</b>	<b>9,046,500</b>	<b>11,698,300</b>
7	Oil & Gas	20,744,800		
8	<b>Fire Suppression, Land &amp; Water</b>	<b>83,423,800</b>	<b>62,724,800</b>	<b>20,699,000</b>
9	<b>Resources</b>			
10	Mining, Land & Water	28,000,900		
11	The amount allocated for Mining, Land and Water includes the unexpended and unobligated			
12	balance on June 30, 2020, not to exceed \$3,000,000, of the receipts collected under AS			
13	38.05.035(a)(5).			
14	Forest Management &	7,974,500		
15	Development			
16	The amount allocated for Forest Management and Development includes the unexpended and			
17	unobligated balance on June 30, 2020, of the timber receipts account (AS 38.05.110).			
18	Geological & Geophysical	9,125,800		
19	Surveys			
20	The amount allocated for Geological & Geophysical Surveys includes the unexpended and			
21	unobligated balance on June 30, 2020, of the receipts collected under 41.08.045.			
22	Fire Suppression	19,721,200		
23	Preparedness			
24	Fire Suppression Activity	18,601,400		
25	<b>Parks &amp; Outdoor Recreation</b>	<b>16,223,400</b>	<b>9,811,000</b>	<b>6,412,400</b>
26	Parks Management & Access	13,667,400		
27	The amount allocated for Parks Management and Access includes the unexpended and			
28	unobligated balance on June 30, 2020, of the receipts collected under AS 41.21.026.			
29	Office of History and	2,556,000		
30	Archaeology			
31	The amount allocated for the Office of History and Archaeology includes up to \$15,700			
32	general fund program receipt authorization from the unexpended and unobligated balance on			
33	June 30, 2020, of the receipts collected under AS 41.35.380.			



## **For the occurrence of annual Fire RSA's**

Payments (IET's) to inter-agencies will be made upon receipt of source documents including copies of original timesheets, certified timesheets, OF-288's, CTRs, detailed payroll reports, resource orders, shift tickets, and miscellaneous supporting receipts. Resource Orders are provided by Forestry prior to assignment; CTRs and shift tickets are filled out by the employee and signed by the incident supervisor; OF-288's are generated by the incident upon release from the incident.

For additional details the following link to the Alaska Incident Business Management Handbook (AIBMH) can be found in chapter 2 at <http://forestry.alaska.gov/fire/aibmh.htm>.

## **Incident Payroll policy and procedures.**

For regular State employees, a signed Form OF-288 is the mandatory backup for all assignments and must be turned in with the regular State timesheet. This is required to meet State and Federal guidelines.

In the event an OF-288 is not generated by the Requesting Agency, CTRs signed by the Assignment supervisor are acceptable. For in-Area assignments, CTRs are the mandatory backup for any time worked on fires, including those working in support capacities, and must be turned in with the regular State timesheet.

**All time must match between the regular State timesheet and OF-288s or CTRs.** This is how Division of Forestry can determine what fire to bill the appropriate charges to. These documents are audited each year for accuracy.

## **Equipment policy and procedures.**

Equipment used on an incident must be resource ordered. It may be ordered as a piece of equipment (E#) with the operator(s) listed, or it may be documented on a personnel resource order (O#) if needed by the position they are filling.

The mandatory backup for an E# is a shift ticket signed by the equipment operator and the incident supervisor. The operator name should be legibly written on the shift ticket to match what is billed. Please make sure that the following is included to facilitate a timely approval of payment:

- **Copy of resource order**
- **Completed and signed employee timesheet**
- **Certified timesheet**
- **Completed and signed OF-288 and/or CTRs**
- **A detailed payroll billing report to include the name of the employee, hours worked, and coding of billed hours.**
- **Completed and signed shift tickets**
- **In addition, all CH5's and CH8 documents must have the above back-up attached.**

Examples of required fire-related documents (resource order, OF-288, CTR, shift ticket) are attached for informational purposes. Please make sure to communicate what the requirements are to all supporting staff.

# Emergency Funding and Documentation

## Example of Shift Ticket

<b>EMERGENCY EQUIPMENT SHIFT TICKET</b> <small>NOTE: The responsible Government Officer will update this form each day or shift and make initial and final equipment inspections.</small>					
1. AGREEMENT NUMBER			2. CONTRACTOR (name)		
3. INCIDENT OR PROJECT NAME		4. INCIDENT NUMBER		5. OPERATOR (name)	
6. EQUIPMENT MAKE		7. EQUIPMENT MODEL		8. OPERATOR FURNISHED BY <input type="checkbox"/> CONTRACTOR <input type="checkbox"/> GOVERNMENT	
9. SERIAL NUMBER		10. LICENSE NUMBER		11. OPERATING SUPPLIES FURNISHED BY <input type="checkbox"/> CONTRACTOR (wet) <input type="checkbox"/> GOVERNMENT (dry)	
12. DATE MO/DAY/YR	13. EQUIPMENT USE		14. REMARKS (released, down time and causes, problems, etc.)		
	START	STOP			
			WORK                      SPECIAL		15. EQUIPMENT STATUS <input type="checkbox"/> a. Inspected and under agreement <input type="checkbox"/> b. Released by Government <input type="checkbox"/> c. Withdrawn by Contractor
17. CONTRACTOR'S OR AUTHORIZED AGENT'S SIGNATURE			18. GOVERNMENT OFFICER'S SIGNATURE		19. DATE SIGNED

ORDERING OFFICE FILE COPY (RETAIN IN BOOK)

NSN 7540-01-119-5628  
50297-102

OPTIONAL FORM 297 (Rev. 7-90)  
USDA/USDI



# Alaska Department of Transportation and Public Facilities

## EXAMPLE -Resource Order

Page: 1 of 1  
Run Date: 7/15/2019 19:50 CDT  
Server: rossreport@dnw.gov

<b>RESOURCE ORDER</b>		<b>Initial Date/Time</b>		<b>2. Incident / Project Name</b>		<b>3. Incident / Project Order Number</b>		<b>Financial Codes</b>									
		06/20/19 1500		<b>2019 UAF Mob Center Fire Support</b>		<b>AK-DFS-000006</b>		NTF12A [P] 719041 73936023 EFF 933 039 PNJBY									
<b>OVERHEAD</b>								<b>9. Jurisdiction / Agency</b> Alaska Division of Forestry Central Office									
<b>5. Descriptive Location</b> University of Alaska Fairbanks/Moore-Skarland Hall				<b>6. TWN</b>		<b>8. Incident Base / Phone Number</b>		<b>10. Ordering Office</b> State of Alaska Logistics Center									
				SEC		AK-LCSC (Dispatch) STATE LOGISTICS CENTER - 907-451-2680											
				RNG		RJ Johnson 907-450-8740											
				Base MDM													
				LAT: 64.48 00 N													
				LONG: 147.51 00 W													
<b>11. Aircraft Information</b>																	
<b>Bearing</b>	<b>Distance</b>	<b>VOR</b>	<b>Contact Name</b>	<b>Frequency Type</b>	<b>Assigned Frequency</b>	<b>Reload Base</b>	<b>Other Aircraft / Hazards</b>										
63	4	FAI		Air to Air	132.45	FAI											
42	34	ENN				FBK											
282	73	BIG				PAQ											
<b>12. Request Number</b>	<b>Ordered Date/Time</b>	<b>From</b>	<b>To</b>	<b>Qty</b>	<b>Resource Requested</b>	<b>Needed Date/Time</b>	<b>Deliver To</b>	<b>From Unit</b>	<b>To Unit</b>	<b>Assigned Date/Time</b>	<b>Resource Assigned Unit ID</b>	<b>Resource Assigned</b>	<b>M/D Ind</b>	<b>Estimated Time Of Departure</b>	<b>Estimated Time Of Arrival</b>	<b>Released Date</b>	<b>Released To</b>
O-39	07/15/19 11:26 AST	AK-LCSC (Dispatch) STATE LOGISTICS CENTER - 907-451-2680	AK-LCSC	1	STATUS CHECK-IN RECORDER (SCKN) (Greenwood, David L (AK-ACC))	07/14/19 1600 AST	University of Alaska Fairbanks/Moore-Skarland Hall	AK-ACC	AK-LCSC	07/15/19 1135 AST	ID-SJS	Greenwood, David L (ID-CDC)	M	07/15/19 1135 AST	07/15/19 1145 AST		
<b>Travel Mode</b> AOV					<b>Financial Code</b> NTF12A		<b>Special Needs</b> Reassigned from 2019 NW Compact O-2										
<b>13. User Documentation</b>																	
<b>Req. No.</b>	<b>Entered By</b>																
O-39	Request O-39 - STATUS CHECK-IN RECORDER (SCKN) - [AK-DFS-000006] 2019 UAF Mob Center Fire Support has been filled with Greenwood, David L (ID-CDC) by Katie Rubin@AK-ACC ROSS. 07/15/2019 11:35 AST																

Run Date: 7/15/2019  
19:50 CDT

2019 UAF Mob Center Fire Support	AK-DFS-000006
----------------------------------	---------------







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## **Alaska Department of Transportation and Public Facilities**

**Anchorage Planning Field Office  
4111 Aviation Avenue  
P.O. Box 196900  
Anchorage, Alaska 99519-6900**

**Phone: 907-269-0520**

**Fax: 907-269-0521**

**Web: [dot.alaska.gov/creg/planning/index.shtml](http://dot.alaska.gov/creg/planning/index.shtml)**