
Scoring Criteria 2: Samples (3) of Policies, Procedures and Practices Prepared for a Client Providing Guidance Regarding the Strategic Planning, Funds Management, Acquisition and Administration of Federal Transportation Grant Funding

Packet Appendix attachment Policies/Procedures/Practices developed by Leslie Rifkin, Spectrum Design:

A2: Capital Program Guideline – Programming Vessel Preservation & Improvement “Bucket Projects” in the Regional Transportation Improvement Program (TIP) (2021) Washington State Ferries

**Capital Program Guideline – Programming Vessel Preservation & Improvement “Bucket Projects” in
the Regional Transportation Improvement Program (TIP)
Rev 2. 11/18/21**

Purpose:

To define procedural steps and policy regarding programming of Vessel Preservation & Improvement Bucket projects in the regional TIP. !

Background:

WSF has used a “bucket” project approach to programming funding for Vessel Preservation & Improvement projects in the regional TIP. All Vessel “bucket” projects are incorporated into the regional TIP administered by the Puget Sound Regional Council*. Previously through WSF-102 and WSF-114 these bucket projects have reflected three years of project funding. Going forward, WSF-117 Vessel PI 2021-22 and WSF-NEW Vessel PI 2023-24 reflect only 2 years of funding, corresponding with the WSF biennium. WSF-117 Vessel PI 2021-22 corresponds with funding programmed in the 21-23 biennium, WSF-118 Vessel PI 2023-24 will correspond with the 23-25 biennium and so forth. Funding included in the TIP bucket reflects the rollup of funding for PE and CN phases for those vessel preservation and improvement pins that are programmed in TEIS to utilize State and Federal NHPP, STP, FBP & Ded Fed Trans funding(see Attachment A – Examples of Vessel PI Projects in Past & Current TIP) !

A new Vessel P&I project is created in the TIP every 2 years corresponding with the PSRC 2-year project selection process. The most recently created new Vessel P&I project in the TIP is WSF-118 Vessel PI (2023-24) and incorporates funding programmed for Vessel PI from 19WSFLFC for the 23-25 biennium. !

Rules: !

1) The individual vessel project pins used to create and then to update a Vessel P&I project in the TIP ! should be drawn from a query using the Version WSFLFC (Detailed PIN List) for the most recent legislatively approved biennium and should meet the following criteria: !

Vessel Preservation and Improvement Projects with State funded PE/CN

Vessel Preservation and Improvement Projects with Fed NHPP, FBP, STP, Ded Fed Trans

2) The Vessel P&I projects/funding pins that should not be included in the TIP as Vessel P&I are:

CMAQ-funded projects (covered under different tip#) !

IT Modernization (covered under different tip#) !

New Vessel CN (covered under different tip#) !

Visual Paging (covered under different tip#) !

Project Support PIN !

Admin Support PIN !

JMII Electrification (covered under a different tip#) !

Maintenance Management System PIN !

FEMA Security Grant-funded projects (not included in tip) !

**For background on policy and timelines for programming of WSF projects in regional Transportation Improvement Programs please see Capital Program Guideline 061 – Annual Development of Regional Transportation Improvement Programs (TIP)*

And Obligation Reporting

Procedure to Create New Vessel P&I Project for TIP:

1. ! In TEIS Capital Projects select Version 1 of the most recently adopted WSFLFC.
2. ! Filter by Program: W and Subprogram: W2 Vessel CN
3. ! Create a listing report for W2.
4. ! Create Columns to Highlight funding sources by phase/funding.
5. ! Select biennium to be utilized to create or update TIP P&I project.
6. ! Manually input funding from selected project/biennium to Funding Source Columns (green). (see Figure 1.)
7. ! Double check projects/funding columns to ensure that projects that should not be included in Vessel P&I TIP project totals per rule 2 above are excluded from green funding columns.
8. ! Use sums by funding phase/source to incorporate into TIP Application Financial Section for New or Modifications to Vessel P&I TIP project. (see Figure 2.)
9. %Sums for each fund source for biennium are estimates and may be included as a single year in the TIP application or divided equally to correspond with each year of the biennium. (See Appendix A, WSF-117 as example). *The only exception to this is for FTA Section 5307 and 5337 earned share funding: 1) These amounts are projected by the PSRC, adjusted annually by the PSRC and must be incorporated into the TIP based on those PSRC-approved adjustments and estimates – not TEIS estimates and, 2) A portion of FTA formula funds may be allocated to WSF Operating Program which would not be reflected in TEIS pins which are for the Capital Program..*
10. Track the TIP project funding application and amendment using Excel TIP Analysis Tracking Sheet for each TIP project. (see Figure 3.)
11. Vessel P&I projects once incorporated to the TIP are modified through a TIP Amendment annually to reflect “actual” FTA earned shares as determined by PSRC/FTA caucus and from time to time to add or subtract funding changes made by the State Legislature using the same procedure as above.

Figure 1. Listing Reports for Vessel Preservation & Improvement 20WSFLFC for 19-21 Biennium w/Source Columns

TEIS Capital Projects
Project List
2020 Capital Budget - Ferries Detail - Pin Level
Report Filter: Program W / SubPgm W2

PIN	Project Title	SR	SubPj	Total	Prior	17-19	19-21	State funds		Fed Funds PE			Fed Funds CN					
								PE	CN	NHPP	FBP	NHPP	Ded Fed Trq	STP	FBP			
981010G	MV Spokane Preservation (19-21)	000	W2	8,650,000	0	0	8,650,000											
	Preliminary Engineering			302,000	0	0	302,000											
	State - PSCC			302,000	0	0	302,000	302,000										
	Construction			8,348,000	0	0	8,348,000											
	Ded Fed Tran - PSCC			6,688,000	0	0	6,688,000								6,688,000			
	Federal NHPP - PSCC			869,000	0	0	869,000							869,000				
	State - PSCC			791,000	0	0	791,000		791,000									
981010X	MV Spokane Pres Future Placeholder	000	W2	35,604,000	0	0	0											
	Preliminary Engineering			2,851,000	0	0	0											
	State - PSCC			2,851,000	0	0	0											
	Construction			32,753,000	0	0	0											
	Ded Fed FBP - PSCC			14,912,000	0	0	0											
	Ded Fed Tran - PSCC			12,227,000	0	0	0											
	State - PSCC			5,614,000	0	0	0											
981011F	MV Spokane Improvement (17-19)	000	W2	168,000	0	168,000	0											
	Construction			168,000	0	168,000	0											
	Ded Fed FBP - PSCC			162,000	0	162,000	0											
	State - PSCC			6,000	0	6,000	0											
981011G	Additional Lifesaving Capacity for MV Spokane	000	W2	159,000	0	159,000	0											
	Construction			159,000	0	159,000	0											
	State - PSCC			159,000	0	159,000	0											

TEIS Capital Projects
Project List
2020 Capital Budget - Ferries Detail - Pin Level
Report Filter: Program W / SubPgm W2

PIN	Project Title	SR	SubPj	Total	Prior	17-19	19-21	State funds		Fed Funds PE			Fed Funds CN					
								PE	CN	NHPP	FBP	NHPP	Ded Fed Trq	STP	FBP			
981011H	MV Spokane Improvement (19-21)	000	W2	388,000	0	0	388,000											
	Preliminary Engineering			6,000	0	0	6,000											
	State - PSCC			6,000	0	0	6,000	6,000										
	Construction			382,000	0	0	382,000											
	State - PSCC			382,000	0	0	382,000		382,000									
981011I	MV Spokane Information Technology Infrastructure Modernization	000	W2	69,000	0	2,000	67,000											
	Construction			69,000	0	2,000	67,000											
	Ded Fed FBP - PSCC			56,000	0	0	56,000											
	State - PSCC			13,000	0	2,000	11,000											
981011X	MV Spokane Impr Future Placeholder	000	W2	1,523,000	0	0	0											
	Preliminary Engineering			153,000	0	0	0											
	State - PSCC			153,000	0	0	0											
	Construction			1,370,000	0	0	0											
	Federal NHPP - PSCC			890,000	0	0	0											
	State - PSCC			480,000	0	0	0											
981020F	MV Walla Walla Commercial Drydock	000	W2	2,458,000	0	2,458,000	0											
	Preliminary Engineering			136,000	0	136,000	0											
	State - PSCC			136,000	0	136,000	0											
	Construction			2,322,000	0	2,322,000	0											
	Ded Fed Tran - PSCC			2,036,000	0	2,036,000	0											
	State - PSCC			286,000	0	286,000	0											

Figure 2. Total Funding by Source - Listing Reports for Vessel Preservation & Improvement 20WSFLFC for 19-21 Biennium

TEIS Capital Projects
Project List
2020 Capital Budget - Ferries Detail - Pin Level
Report Filter: Program W / SubPgm W2

PIN	Project Title	SR	SubPj	Total	Prior	17-19	19-21	State funds		Fed Funds PE			Fed Funds CN					
								PE	CN	NHPP	FBP	NHPP	Ded Fed Trq	STP	FBP			
998951O	Vessel Technical Support Activities		W2	3,239,000	0	3,239,000	0											
	Preliminary Engineering			3,239,000	0	3,239,000	0											
	State - PSCC			3,239,000	0	3,239,000	0											
998951P	Install new equipment and associated administrative fees from CMAQ	000	W2	2,843,000	0	0	2,843,000											
	Construction			2,843,000	0	0	2,843,000											
	Ded Fed CMAQ - PSCC			2,800,000	0	0	2,800,000											
	Ded Fed FBP - PSCC			43,000	0	0	43,000											
998951Q	Jumbo Mark II Electrification Studies and RFP Development	000	W2	601,000	0	373,000	228,000											
	Preliminary Engineering			601,000	0	373,000	228,000											
	State - PSCC			601,000	0	373,000	228,000											
List Total				1,993,574,728	523,256,728	138,899,000	231,219,000											
Vessel PI Total							79,274,000	2,320,000	20,307,000	1,357,000	1,146,000	15,571,000	12,534,000	480,000	25,559,000			

Figure 3. WSF-114 & WSF-117 TIP Analysis Tracking Report

TIP Mod WSF-114 Vessel Preservation and Improvement (2018-2020) TEIS All PINs													Diff	
Phase	FFY of Funds	State	Program Year	Funding	Federal	State	8/17/17	Current TIP	6-6 update	6-6 change	%	5/28/19	5/15/20	Diff
PE	2018	17-19	2018	State		4,543,000	4,543,000	4,343,076	4,343,076			\$4,343,076	\$4,343,076	\$0
CN	2018	17-19	2018	5307(Urban)	0									\$0
CN	2018	17-19	2018	5307(Urban)	807,266		807,266	807,266	\$ 798,702	(8,564)		\$798,702	Actual Preservation set-aside	\$798,702
CN	2018	17-19	2018	5307(Urban)	0				\$ 352,911	352,911		\$352,911	Additional 5307 Earned Share	\$352,911
CN	2018	17-19	2018	5337 HIFG	6,398,478		6,398,478	6,398,478	\$8,511,538	2,113,060		\$8,511,538	Additional 5337 Earned Share	\$8,511,538
CN	2018	17-19	2018	NHPP	6,338,000		6,338,000	6,338,000	6,338,000	-		\$6,338,000	Includes 5480K deobligated in 2018	\$6,338,000
CN	2018	17-19	2018	STP	2,181,000		2,181,000	2,181,000	2,181,000	-		\$2,181,000		\$2,181,000
CN	2018	17-19	2018	FBP	15,923,500		15,923,500	16,295,854	16,295,854			\$16,295,854		\$16,295,854
PE	2019	17-19	2019	State		4,543,000	4,543,000	4,343,076	4,343,076			\$4,343,076	\$4,343,076	\$0
CN	2019	17-19	2019	5307(Urban)	0							\$418,700	Actual 5307 Earned Share	\$418,700
CN	2019	17-19	2019	5307(Urban)	807,266		807,266	807,266	807,266			\$786,121	Actual 5307 Pres Share	\$786,121
CN	2019	17-19	2019	5337 HIFG	6,398,478		6,398,478	6,398,478	6,398,478			\$8,201,841	Actual 5337 Earned Share	\$8,201,841
CN	2019	17-19	2019	FBP	15,923,500		15,923,500	16,295,854	16,295,854			\$16,295,854		\$16,295,854
PE	2020	19-21	2020	State		4,536,000	4,536,000	5,874,833	5,874,833			\$5,874,833	\$5,874,833	\$0
CN	2020	19-21	2020	5307(Urban)	0									\$0
CN	2020	19-21	2020	5307(Urban)	807,266		807,266	807,266	807,266			\$807,266	Actual 5307 Pres Share	\$1,265,435
CN	2020	19-21	2020	NHPP	8,139,000		8,139,000	8,139,000	8,139,000			\$8,139,000		\$8,139,000
CN	2020	19-21	2020	NHPP									New	\$8,139,000
CN	2020	19-21	2020	5337 HIFG	6,398,478		6,398,478	6,398,478	6,398,478			\$6,398,478	Actual 5337 Earned Share	\$7,556,420
CN	2020	19-21	2020	FBP	15,031,000		15,031,000	16,295,854	16,295,854			\$16,295,854		\$11,157,942
					\$ 85,153,232	\$ 13,622,000	\$ 98,775,232	\$ 101,723,779	\$ 104,181,186	\$ 2,457,407	2.4%	\$106,382,103	\$116,137,204	\$9,755,101

PE	
State	\$14,560,985
CN	
5307	\$3,163,699
5337	\$23,111,857
NHPP	\$14,477,000
FBP	\$48,887,562
STP	\$2,181,000
Total	\$106,382,103

PE	
State	\$14,560,985
CN	
5307	\$3,621,858
5337	\$24,269,799
NHPP	\$22,616,000
FBP	\$48,887,562
STP	\$2,181,000
Total	\$116,137,204

TIP Mod WSF-New Vessel Preservation and Improvement (2021-2022) TEIS 18WSFLFC All PINs							
Phase	FFY of funds	State	Program Year	Funding	Federal	State	Total
PE	2021	21-23	2021	State		3,446,000	3,446,000
CN	2021	21-23	2021	State		12,305,500	12,305,500
CN	2021	21-23	2021	5307(Urban)	893,507	-	893,507
CN	2021	21-23	2021	5337 HIFG	7,252,982	-	7,252,982
CN	2021	21-23	2021	NHPP	5,549,000		5,549,000
CN	2021	21-23	2021	FBP	12,572,000		12,572,000
CN	2021	21-23	2021	STP	116,000		116,000
PE	2022	21-23	2022	State		3,446,000	3,446,000
CN	2022	21-23	2022	State		12,305,500	12,305,500
CN	2022	21-23	2022	5307(Urban)	893,507	-	893,507
CN	2022	21-23	2022	5337 HIFG	7,252,982	-	7,252,982
CN	2022	21-23	2022	NHPP	5,549,000		5,549,000
CN	2022	21-23	2022	FBP	12,572,000		12,572,000
					52,650,978	31,503,000	84,153,978

18WSFLFC
PSRC Estimate w/PT swap

PE		
State		6,892,000
CN		
State		24,611,000
5307	1,787,014	
5337	14,505,964	
NHPP	11,098,000	
FBP	25,144,000	
STP	116,000	

Project Number: WSF-118 **Title:** Vessel Preservation and Improvement (2023- 2024)

Phase	Programmed Year	Obligation Date	Funding Source	Federal Funds	State Funds	Local Funds	Phase Total
P/E-Design	2023	7/1/2023	State	\$0	\$11,116,500	\$0	\$11,116,500
P/E-Design	2024	7/1/2024	State	\$0	\$11,116,500	\$0	\$11,116,500
Construction	2023	7/1/2023	State	\$0	\$35,783,000	\$0	\$35,783,000
Construction	2023	9/30/2023	NHPP	\$1,457,500	\$0	\$0	\$1,457,500
Construction	2023	9/30/2023	FBP	\$16,298,000	\$0	\$0	\$16,298,000
Construction	2023	9/30/2023	5337 HIFG	\$7,636,112	\$0	\$0	\$7,636,112
Construction	2023	9/30/2023	STP(W)	\$552,000	\$0	\$0	\$552,000
Construction	2023	9/30/2023	5307(Urban)	\$1,844,233	\$0	\$0	\$1,844,233
Construction	2024	7/1/2024	State	\$0	\$35,783,000	\$0	\$35,783,000
Construction	2024	9/30/2024	NHPP	\$1,457,500	\$0	\$0	\$1,457,500
Construction	2024	9/30/2024	FBP	\$16,298,000	\$0	\$0	\$16,298,000
Construction	2024	9/30/2024	5337 HIFG	\$7,636,112	\$0	\$0	\$7,636,112
Construction	2024	9/30/2024	5307(Urban)	\$5,334,869	\$0	\$0	\$5,334,869

WSDOT PIN: multiple **Totals:** \$58,514,326 \$93,799,000 \$0 \$152,313,326

Federal Aid/FTA Grant Number(s):

Functional Class: Not applicable (transit, enhancements, Etc.)

Improvement Type: Vessel Preservation/Rehabilitation

Location: Seattle

From: N/A

To: N/A

MTP Status: Exempt

MTP Reference(s): n/a

Description:

Total Cost: \$152,313,326

Regionally Significant: No

Environmental Status: CE

This is a TIP bucket project that contains Washington State Ferries' FTA, FBP, NHPP, and STP funding for preventative maintenance, preservation and improvement of ferry vessels to ensure the vessels remain in safe, efficient and effective operating condition. The project contains all biennial funding (both state and federal) for work on 23 vessels in the WSF fleet over the span of the 23-25 biennium. The primary use of the funds is for renovation, replacement and/or upgrade of vessel systems; including, steel structures, structural preservation systems, interior spaces, piping systems, propulsion systems, major mechanical /electrical, communication / navigation / lifesaving, and security equipment on vessels. Funding may also be used to address emergency repairs, regulatory compliance, maintenance and preservation, and enhancements as required. The federal amount represents approximately 38% percent of the biennial budget for this activity.