

General

When an emergency/disaster occurs, a method for capturing expenditures is needed for the work both within the region as well as for federal emergency relief (ER) work. The work order is the method used to capture these expenditures. A separate work order is normally set up for each individual disaster site and has a unique identifying number.

The following work order types (prefixes) may be established to record costs associated with the immediate response to an emergency/disaster and/or to record costs for more permanent design or repair:

- **DM (Disaster Maintenance)** – Used to track costs associated with work performed by Maintenance which is generally emergency repairs but may include additional work as required
- **Kx (Third Party Damages)** – Used to track costs associated with work performed by Maintenance when the damage was caused by a third party. The Enterprise Risk Management Office (ERMO) is responsible for facilitating collection of funds from the third party, insurance companies, etc. Refer to Chapter 8 of the [Risk Management Manual](#) M 72-01 for more information.
- **XL (Preliminary Engineering)** – Used to track costs associated with preliminary engineering or design activities that may be associated with a more permanent fix to the damage site. These costs are generally funded in the Highway Construction Program.
- **00 (Construction Contract)** – Used to track costs associated with contractor payments and related WSDOT engineering activities. These costs are generally funded in the Highway Construction Program, but could also remain in the Maintenance Program. Refer to the Funding and Project Decision Protocols Section of this manual for information on required conversations about which program(s) will be responsible for funding the event. Refer to the [Construction Manual](#) M 41-01 for requirements for construction contracts.
- **MS (Miscellaneous)** – Used when Program Management takes over a site from maintenance prior to the permanent repair.

This section focuses primarily on DM work orders.

Disaster maintenance (DM) work orders are initially set up with state funds since early on it is not known whether they will be eligible for federal participation or not. In many cases part or all of the emergency work may be done prior to knowing if the project will receive federal participation. Once the magnitude of the disaster and the funding requirements are known and before Headquarters Accounting and Financial Services (AFS) can bill FHWA for reimbursement, it may be necessary for Headquarters Maintenance to obtain a federal appropriation from the Office of Financial Management (OFM).

As a general rule (except for specific nonparticipating items) emergency work within 180 days of the disaster is eligible for 100 percent federal participation. Permanent, incidental permanent work, and emergency work after 180 days is eligible for federal participation at a federal pro rata share for the route the work is on, in most cases 86.5 percent. Permanent and incidental permanent work within the first 180 days is only eligible for the pro rata share of 86.5 percent.

FHWA cannot extend the 180-day period, cannot shift the start of the 180-day period, and cannot suspend and restart the 180-day period. The 180-day period begins on the date noted in the disaster declaration and ends 180 days later.

When requesting information from Headquarters on the status of a work order authorization (WOA), reference the work order number and the federal aid number if known.

In setting up DM work orders, region management and field personnel will also consider:

1. The need to prepare a detailed damage inspection report (DDIR) for FHWA review/approval that clearly defines scope of work, type of work, location, and estimated costs of the emergency and/or permanent work. **Note:** A signed DDIR (FHWA signature) is required prior to requesting obligation/authorization of federal ER funding.
2. The need to manage the DM setups and to be accountable for the costs incurred under the DM setup.
3. That the region be able to ascertain, through inspection, that the work performed was accomplished in accordance with the scope and/or approved change orders to the DDIR.
4. The estimated cost associated with a work order setup. Because of the complexity of some emergency work it may be necessary to have some work orders for an estimated amount greater than the \$60,000/\$100,000 limit.

DM Work Order Responsibilities

Responsible Office	Action
Region Maintenance Analyst or Designee	<ul style="list-style-type: none"> Assign DM work order number and log required data. Prepare work order authorization, get required signatures, and FAX to Headquarters AFS, PS&R Section, prior to noon of the first working day after the number is assigned.
Headquarters AFS, PS&R Section	<ul style="list-style-type: none"> Set up the work order in TRAINS based on the information from the work order authorization.
Region Maintenance / Financial Services	<ul style="list-style-type: none"> Ensure that charges are made to the appropriate group depending on the eligibility of the charges and the time frame in which they were incurred.
Headquarters AFS, PS&R Section.	<ul style="list-style-type: none"> Upon notification that federal funds have been approved, set up the federal funds on federal eligible groups per the federal agreement. Transfer the eligible expenditures which have accumulated from the state appropriation to the federal appropriation and federal project to facilitate federal reimbursement.
Region Maintenance	<ul style="list-style-type: none"> Upon completion of work: <ul style="list-style-type: none"> Notify region financial services to initiate closure of the DM work order Complete DOT Form 422-100A EF – Inspection of federal aid projects in Maintenance (or coordinate with FHWA for completion if required)
Region Financial Services	<ul style="list-style-type: none"> Complete work order closure form and sent to Headquarters AFS, PS&R Section.
Headquarters AFS, PS&R Section	<ul style="list-style-type: none"> Close work order in TRAINS. Prepare closure of federal project (once all associated work orders/groups are closed and required final inspection reports have been received)

Assignment of DM Work Order Numbers

Approval of the disaster maintenance (DM) work order and assigning the “DM number” has been delegated to the regions. Each region will assign their own DM work order numbers. The first two characters of the work order number will be DM to indicate the type of work order. The third character of the work order will be used to define the region (DMAxxx for the Northwest Region, DMBxxx for the North Central Region, DMCxxx for the Olympic Region, DMDxxx for the Southwest Region, DMExxx for the South Central Region, DMGxxx for the Eastern Region). The next three characters are numeric and will be assigned sequentially by the region. The block of DM numbers will not be further subdivided.

In order to expedite work order setup, minimize confusion, and ensure that regions and Headquarters Maintenance, Program Management, and Accounting and Financial Services each has the information they need, the following rules will be observed.

1. Responsibility for assigning DM numbers will be assigned to an individual.
2. The individual (or designee) responsible for assigning DM numbers will be available to assign numbers whenever they are needed.
3. The individual responsible for assigning DM numbers will prepare the work order authorizations for the DM work orders, acquire required signatures, and fax (or email) them to Headquarters AFS, PS&R Section, prior to noon on the first working day following the assignment of the number.
4. DM numbers will not be reserved for potential work but only set up for actual projects.
5. Each region will maintain a log of DM numbers which carries the data elements that they require plus any other elements which may have been requested by Headquarters Maintenance, Program Management, and Accounting and Financial Services.

Work Order Authorization Form

A work order authorization (WOA) form is required in order to set up a DM work order in TRAINS. The WOA identifies the estimate of costs and the groups required to capture the costs within categories (time period and/or type of work). The WOA is also used for budgeting purposes and in filling out the DDIR which is required prior to obligating federal funds. Thus it is important that the WO is as current as possible and accurately reflects current and future expenditure needs.

A sample work order authorization (WOA) form, [DOT Form 120-021 EF](#), is included in [Appendix 2](#). This form is available in electronic format. For consistency and to speed processing of work orders within Headquarters, all regions will submit work order authorizations on the current version of the form. It is not required that each region use the electronic format, only that the work order have the same information in the same format as the sample provided.

When preparing a WOA request whether it is for a new setup or an adjustment to an existing setup work order, complete and accurate information must be provided. The WOA must clearly identify the group category of the work (contract, state force work, etc.) and the type of work and timeframe (emergency work within 180 days, emergency work after 180 days, incidental permanent work, permanent work, etc.). This separation of charges is key to the department being able to obtain federal reimbursement.

Groups will need to be set up for the following as needed within each group category:

- Emergency work within 180 days
- Emergency work after 180 days
- Incidental permanent work
- Permanent work
- Nonparticipating work

It is essential that the group title be used with each group so that the appropriate expenditures can be moved if federal participation is received.

At the time of the initial DM setup, the AFS, PS&R Section, will set up only the groups which have been requested by the region. Generally, Group Category 01 is set up for state force work and Group Category 04 for emergency work within 180 days.

The groups on DM work orders are not limited to Group Category 04. As long as all other requirements have been met, other group categories may be used. For example, it is permissible to set up groups which are in Group Category 01 (work done agreement) or Group Category 02 (work done agreement). Other groups can be added later (by email) as long as the authorized dollars are not being increased. An example is Group Category 99 which is vendor supplied services and materials. It is possible to use Group Category 99 following Purchase Authority G3 Guidelines. Appendix 17, Road Repair Service, could also be used in some cases.

Review by Region Prior to Submitting WOA

To aid processing within Headquarters to reduce processing time and to minimize the number of errors, the regions must completely and accurately fill in the WOA.

Prior to submitting an increase for a work order authorization to Headquarters, an effort should be made to check TRAINS to ensure that all group categories will have sufficient authorization after the WOA is processed.

If a group is going to be set up on the work order which references a payable agreement, the agreement needs to be completed through the Headquarters review process and ready for set up in TRAINS prior to submittal of the work order authorization to Headquarters Accounting and Financial Services. If the agreement is not completed prior to the WOA being submitted for approval, the group setup will be delayed until the reviewed agreement is received in Headquarters Accounting and Financial Services.

Work order authorizations for the construction phase of a federal aid emergency relief (ER) project containing permanent work must have:

- FHWA signed DDIR showing permanent repairs have been approved.
- Complete environmental documentation
- Certified right of way and the design completed prior to receiving federal approval (this includes state force construction).

When submitting a WOA for construction include along with the request:

- Copy of the estimate
- Design approval date (if applicable).
- Right of way certification and the NEPA dates indicating the environmental classification of the project (NEPA, CE, EA, EIS, etc.).

Failure to have any of these items complete prior to submitting the funding request to FHWA will result in delays of the funding approval and may delay the start of the project. **Note:** The region must have a signed DDIR (FHWA signature) for the permanent work prior to initiating a work order for construction.

Posting Charges to DM Work Orders

The region offices are responsible for ensuring that all charges posted to DM work orders are recorded in the proper groups. For example, if group 01 is set up for state force work within 180 days of the event, then only charges that were incurred during the 180 days can be charged to Group 01. Additional charges for emergency work done after 180 days must be charged to the group for emergency work after 180 days. The key is when the work is done or goods received, not when the bill was paid. (If work was actually done within the 180 days it remains in Group 01 even though the bills may be paid AFTER the 180 day limit.) The 180 days is measured from the declared first day of the emergency which may be prior to the date that the damage occurred.

DM work orders are initially set up using state appropriation authority. If federal funds are approved for the work order, AFS, PS&R Section, will attach the federal project to the work order and transfer the eligible charges at the appropriate federal pro rata from state appropriation to federal appropriation and bill for reimbursement under the federal project. In order for this to occur, the region must have posted charges correctly in the groups on the DM work order since the federal pro rata varies depending on the time period and category of work being done.

It is critical that the region Maintenance Office works with Headquarters Capital Program Development and Management Office (CPDM) to ensure that all DDIRs have been completed and federal aid projects established as soon as possible to ensure that expenditures can be transferred from state appropriation authority to federal funds. If this does not occur prior to the end of the biennium, some federal reimbursement may be lost.

DM Work Order Management

The region is responsible for monitoring that all charges are properly reported in the groups on the DM work order (charges within 180 days, charges after 180 days, etc.). Since federal funds are reimbursable at different percentages depending on the type of work and timeframe from the date of the incident, it is VERY important that the region monitors the work order closely.

At the end of the 180-day time limit, if additional charges will be necessary, the region needs to stop charging to the group(s) set up for work within the 180 days and start charging to the group(s) set up for work after the 180 days. If no groups were set up on the original WOA, the region needs to contact HQ AFS, PS&R to have the additional groups established. When a new group is requested for work after 180-day time limit region should also notify HQ CPDM office so the federal aid agreement can be revised.

The region must also ensure that incidental permanent work, permanent work and nonparticipating work are properly recorded in the appropriate groups.

Work order manager should periodically check the status of the work order and the approved DDIR. If TRAINS shows a work order is overrun or it will soon overrun and work is ongoing, a revised DDIR should be submitted to FHWA for approval and a work order increase should be prepared and submitted to Headquarters. The increase should provide adequate funds to cover the overrun and estimated future expenditures. The estimate should be reasonable and should be based on the best information available at the time. Significant increases/decreases to existing work orders need to be submitted prior to overrunning the work order whenever possible.

When reducing existing work orders prior to closure, consideration must be given to estimating expenditures that will occur prior to the work order actually closing. When the groups are still open, submitting a request to reduce a work order to actual expenditures will almost always result in the work order overrunning or the actual expenditures changing prior to the work order being processed through Headquarters.

Closure of DM Work Order

Once work is complete on the DM work order, the close out process needs to occur in a timely manner. The region Maintenance Office is responsible for taking the following actions:

- Notify the region Financial Services Office to proceed with requesting closure of the work order in TRAINS.
- Complete the [DOT Form 422-100A EF](#), *Inspection of Federal-Aid Projects in Maintenance*, (or coordinate with FHWA for completion if required) and send to AFS, PS&R Section.
- Follow additional requirements identified in the Project Closure Section of this manual as they apply to the specific DM work order.

Headquarters AFS, PS&R Section, will close the work order in TRAINS. Once all work orders and or work order groups on associated work orders are also closed and any required final inspection reports are received, PS&R will process the closure of the federal project with the FHWA.

Examples of Emergency Maintenance Work Orders

Parameters for this type of work activity are flexible to the extent that they are required to meet only one criteria, i.e., the cost of the activity described under the DM work order setup must be at least \$5,000 to meet FHWA eligibility requirements, given the total of all DM work orders statewide meet the federal minimum for the event of \$700,000.

Parameters for a DM work order may be identified by maintenance section, sign route (in its entirety), or specific locations so long as the type of activity being performed is functionally related or continuous in nature. Given these parameters, the following examples can be used by field personnel in reviewing and setting up emergency maintenance DM work orders:

Example 1 – High winds caused extensive damage to trees and signs along an entire maintenance area/sign route. In this case one DM work order may be used for the entire section. A similar example would be damage to signals in several locations where the work would be accomplished by the region-wide signal crew.

Example 2 – Bridge scouring and related erosion occurred at MP 79 Mill Creek Bridge, MP 89 Twin Canyon Bridge, MP 108 Rainey Creek Bridge, MP 116 Silver Creek Bridge, and MP 123 Cora Bridge. In this example there are three options.

1. Bridge scouring and related erosion may be considered one project since the work is similar in nature and repairs will be accomplished by one organization—the regions' bridge crew—and can all be placed on one WO.
2. The second option is for the region to establish an individual WO for each location. This is desirable if there is a need to track the individual bridge repair costs.
3. Or third, separate groups can be set up for each bridge on one WO.

In instances where repair activities on a single sign route are diverse in nature and/or widely separated in terms of miles of roadway field personnel may set up individual work orders (or they could be set up on one WO with a separate group for each type of work) for example:

Example 3 – SR 12, MP 71 to 75: slide clean up, ditch cleaning, culvert cleaning, and traffic control might be one WO.

Example 4 – SR 12, MP 143 to 148: roadway settlements in several locations may be a separate WO for the emergency/incidental permanent work performed by maintenance state forces.

Example 5 – SR 12, MP 154.5: loss of roadway. A DM WO would be set up to cover only the traffic control and emergency incidental/permanent work with any permanent work to be handled either through the emergency bidding authority or as an unprogrammed project under the Preservation Program under a separate WO.

Example 6 – SR 12, MP 143 to 148: has emergency/incidental permanent work. Within that section at MP 145 to 146 there is a section of lost roadway that will require permanent work by contract using the unprogrammed project process. When setting up work orders, one WO is set up for the emergency/incidental work for the whole section while another would be set up to capture the permanent work for that part of the section.