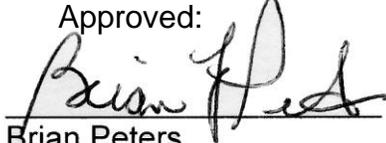


Approved:


Brian Peters
Assistant Secretary

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DEVELOPING THE PROGRAM AND RESOURCE PLAN

PURPOSE:

To establish policy guidelines and program priorities based on the Florida Transportation Plan and the Strategic Intermodal System Plan to guide program and funding decisions. This procedure also establishes the process for developing the Department of Transportation's (Department) Program and Resource Plan so that it may be used to develop the Department's Tentative Work Program and Legislative Budget Request.

This procedure:

- (1) identifies the documents and resources used in the Program and Resource Plan process;
- (2) Identifies and defines the organizational entities charged with responsibility for preparing the Program and Resource Plan; and
- (3) Provides procedures for development of program policy, program alternatives and the Program and Resource Plan.

AUTHORITY:

Sections 20.23(4)(a) and 334.048(3), Florida Statutes (F.S.)

SCOPE:

This procedure is used by employees of the Office of Work Program & Budget (OWPB). It also provides information for others interested in how the Program and Resource Plan is developed each year.

REFERENCES:

Sections 334.046(3), 339.135, and 339.155(3), F.S.

DEFINITIONS:

Adopted Work Program: The 5-Year Work Program adopted by the Department as provided in ***Subsection (5) of Section 339.135, F.S.***

Comptroller's Monthly Cash Forecast: A detailed cash flow forecast, maintained and updated at least monthly by the Department's Comptroller, to monitor and forecast revenues and expenditures needed to maintain the minimum cash balance as required by law. It provides for application of expected revenues by appropriate program category and reflects the resulting anticipated cash balance for each month of the current plus nine fiscal years.

Finance Plan: A plan prepared by the OWPB that depicts application of financial resources anticipated to be available to the Department for the current plus nine fiscal years. It provides for application of expected revenues by appropriate program category and reflects the resulting anticipated cash balance for each year of the plan. It is based on the Program and Resource Plan and thus is used to maintain financial balance of the Program and Resource Plan, and correspondingly the whole program of the Department.

Florida Transportation Plan (FTP): A concise planning document that defines the state's long-range transportation goals, documents the Department's objectives and strategies to further such goals, and provides examples of projects or programs contained in the Department's Work Program that achieve the objectives and strategies. The ***FTP*** must tie program funding levels as shown in the Department's Program and Resource Plan with the appropriate objectives and strategies.

Forecast of Federal Aid: A report prepared by OWPB that displays federal aid highway funds forecast to be apportioned or allocated to the State of Florida for the current plus nine fiscal years, subdivided by major program categories.

General Appropriations Act (GAA): Appropriations bill which authorizes the expenditure of money by an agency.

Legislative Budget Request (LBR): A document submitted to the Governor and Legislature requesting Department spending authority, as required by ***Chapters 216 and 339, F.S.*** The document is based on the Department's independent assessment of program and institutional needs and is balanced to available transportation revenues. The Legislative Budget Request conforms to the Department's Program and Resource Plan and is consistent with the Florida Transportation Plan.

Program Alternatives: Working documents presented to workshop sessions of the Executive Team that represent and evaluate alternative program funding levels. The resulting effects of alternative funding levels, program emphasis and strategies on the transportation systems are shown.

Program and Resource Plan: A summary document which contains the approved program alternatives and funding levels by fiscal year to accomplish program goals and objectives within expected revenue. The plan forms the basis for the Department's Finance Plan, Tentative Five-Year Work Program and Legislative Budget Request and is published by the OWPB.

Program Area: A commitment level of funds and resources in a Department defined area to provide a product in accordance with objectives proposed by the Department and approved by the Legislature.

Program Objectives and Accomplishments (PO&A) Report: An annual report showing accomplishments during the preceding fiscal year in each program area. It compares and measures actual achievements against the standards established in the Program and Resource Plan as implemented in the preceding year's **Adopted Work Program**, and reports on the condition of the transportation system compared to objectives established by the Legislature and the guidelines of the Program and Resource Plan.

Strategic Intermodal System (SIS) Plan: A document providing policy direction for implementing the Strategic Intermodal System (SIS) and serves as the foundation for planning and managing Florida's transportation system.

Tentative Work Program: A document prepared pursuant to **Chapter 339, F.S.**, displaying project detail in each program area for the next 5-year period after the current fiscal year. It is balanced to program allocations established by the Program and Resource Plan. It is submitted to the Legislature and forms the basis for the amended **LBR**. Because it conforms to targets and allocations set by the Program and Resource Plan, it is financially balanced and consistent with the **FTP**.

BACKGROUND:

The Program and Resource Plan is the element of the **FTP**, which identifies the policy guidelines and program priorities used to guide development of the **Tentative Work Program** and **LBR**. It is integral in the planning, programming, and budget cycle which includes in sequence the annual updates to the **FTP, Tentative Work Program, LBR, General Appropriations Act, Adopted Work Program**, and the **PO&A Report**. The document forms the interface between programs, finance and budget. The document, and the process used to develop the document, is central to the effective and efficient management of the Department.

The following is a summary of organizational units and their responsibilities relative to

development and management of the Program and Resource Plan:

(A) Members of the Executive Team – The Executive Team (and their staff) provide support to the Secretary in the development of the Program and Resource Plan. Members also provide information and assistance to the OWPB staff.

(B) Office of Work Program & Budget (OWPB) - Program and Resource Allocation Office – OWPB coordinates activities of program managers, recommends appointment of additional support for program managers, assures timely performance, documents results, and manages progress. OWPB is also responsible for appropriate coordination with members of the Executive Team.

OWPB manages and provides staff support for the process, including the following:

- (1) Developing the Program and Resource Plan format;
- (2) Establishing a schedule for participation of the Executive Team and approval by the Secretary;
- (3) Organizing presentations to the Executive Team;
- (4) Discussing alternatives;
- (5) Summarizing results;
- (6) Recording minutes of the Executive Team Workshops; and
- (7) Consolidating the alternatives and decisions into more general statements to become the Department's Program and Resource Plan.

(C) Program Managers - Program Managers from each of the program areas of the Department are appointed by the Secretary or appointed designee. Program Managers may be supported by one or more technically competent employees. Program Managers represent all district interests in the assigned program area.

Program Managers develop detailed alternatives consistent with the *FTP* for program areas as requested by the Executive Team. After selection of the alternative, the Program Manager assists the Program and Resource Allocation Manager and staff in developing the Program and Resource Plan.

Specifically the Program Manager will support the staff of OWPB as follows:

- (1) Contribute to reports of system condition and the ***PO&A Report***,
- (2) Assemble and assess program plan needs as identified in the ***FTP***;
- (3) Develop alternative Program and Resource Plans based on needs assessments;
- (4) Present Program and Resource Plan alternatives for review, selection, and modification by the Executive Team;
- (5) Identify and quantify measures of performance for the Program and Resource Plan and report on program needs and performance; and
- (6) Develop and update the Department's Program and Resource Plan.

1. REVIEW OF EXISTING DOCUMENTS

The program development update process begins following completion of the ***Tentative Work Program*** with the review of the following documents for current policy and program guidance in developing the Program and Resource Plan:

- (A) The ***FTP***;
- (B) The existing Program and Resource Plan;
- (C) The existing Department of Transportation Finance Plan and Comptroller's Monthly Cash Forecast;
- (D) The existing ***PO&A Report***, and
- (E) Other relevant information as needed, such as recent legislation.

2. PROGRAM ALTERNATIVES - BALANCING TO RESOURCES

2.1 Consistent with the ***FTP*** and in consideration of the Department of Transportation's Finance Plan, ***PO&A*** analysis, and any new developments since the last cycle, OWPB coordinates the development of the Department's Program Alternatives. This is accomplished through full discussion of alternatives to find the best solutions to transportation issues. Throughout the development of Program Alternatives, Program Managers should coordinate as necessary with other central office and district managers to ensure that these executives have an opportunity to respond to the development of Program Alternatives.

2.2 The Executive Team reviews Program Alternatives during the annual Program Planning Workshops. The Program and Resource Allocation Manager prepares a summary of the recommended program in a format most useful for review by the Executive Team.

2.3 Information will be made available to districts one week prior to formal presentation to the Executive Team so that district staff can review the material and advise their District Secretary prior to the presentation. The Executive Team selects or develops recommended Program Alternatives with final approval by the Secretary.

2.4 This process should be completed as soon as practicable to allow time for the decisions of the Program and Resource Plan to be reflected in the updated **FTP**, the **Tentative Work Program**, and the **LBR** subsequently prepared by the Department. Decisions of the Secretary are obtained through a series of workshop sessions with the Executive Team. Scheduling of this process each year is at the pleasure of the Secretary.

3. PROGRAM AND RESOURCE PLAN DOCUMENT

The final Program and Resource Plan is balanced to the Comptroller's Monthly Cash Forecast and the Department of Transportation's Finance Plan and contains:

- (A) A statement of the Department's policies and objectives to be accomplished;
- (B) A description of the program in each program area;
- (C) An explanation of the actual and planned accomplishments of each program area;
- (D) Actual and planned program funding levels; and
- (E) A mechanism for monitoring program accomplishment.

The document is distributed to the Governor, Legislature, and support staff of the Department's Executive Team. Additional copies are available from OWPB.

4. USES OF THE PROGRAM AND RESOURCE PLAN

- (A) Identifies the policy guidelines and program priorities to guide program and funding decisions.
- (B) Provides the interface between the **FTP**, the **Tentative Work Program**, the Department of Transportation's Finance Plan, and the Comptroller's Monthly Cash Forecast to ensure that Department programs are balanced to available transportation revenues and are consistent with the **FTP**.

- (C) Provides a summary of total Department programs in a format that is understandable to a broad base of users.
- (D) Provides a comparison between program objectives and program performance resulting from Program Plan balancing actions.
- (E) Provides the interface between the **FTP** and the detailed instructions necessary to implement the **FTP**.
- (F) Provides the program funding levels for development of the **Tentative Work Program** and its instructions.
- (G) Provides direction and funding levels for development of the **LBR**.

5. UPDATE SCHEDULE

The Program and Resource Plan changes several times during each annual cycle to reflect Department program levels as they mature. The following schedule summarizes contents of the Plan at various times during the cycle:

5.1 July - September - The Program and Resource Plan:

- (A) Documents the decisions of the Executive Team and drives the Program Development and Budget processes. Current year contains actual budget allocations for non-product categories and Work Program levels for product programs, unless the Executive Team decides to restrict or reprogram the current year.
- (B) Is based on a complete, balanced financial plan consistent with the Department of Transportation Finance Plan and the Comptroller's Monthly Cash Forecast.

5.2 December - January - The Program and Resource Plan:

- (A) Updates product categories to reflect the actual program levels contained in the **Tentative Work Program**. Non-product categories reflect current budget amendments.
- (B) Is based on a complete, balanced financial plan with the Department of Transportation Finance Plan and the Comptroller's Monthly Cash Forecast.

5.3 July - The Program and Resource Plan:

- (A) Reflects the actual Product Program levels contained in the **Adopted**

Work Program (including roll forward from the previous year and current year appropriations).

- (B) Reflects actual appropriations in non-product programs.
- (C) Is based on a complete, balanced financial plan with the Department of Transportation Finance Plan and the Comptroller's Monthly Cash Forecast.

6. TRAINING

None

7. FORMS

None