Overall Work Program Annual Training and Roundtable Discussion

Chris Clark and Randolph Sykes

September 27, 2016
What’s an MPO?

• Originated in 1973
• Required by federal law in urbanized areas >50k population to receive federal gas tax revenue
• Recognition that urban areas have specific transportation needs
• Forum for citizen input and local officials to select projects paid for with federal funds
• Set policy & guide transportation planning process

Trying to avoid this…

Cypress Freeway eradicates neighborhoods (Oakland, CA)
OahuMPO: Background

- Existed since 1973 in various forms
- Re-established on July 1, 2015
- Planning area: island of Oahu
- Implementation partners
  - City/County of Honolulu Department of Transportation Services
  - Hawaii State Department of Transportation
  - Honolulu Authority for Rapid Transportation
OahuMPO: Operating Budget

• Funding sources
  – 80% Federal
    • USDOT Federal Highway Administration [FHWA] and Federal Transit Administration [FTA]
  – 20% local
    • ~ 7% from State (HDOT)
    • ~ 7% from City & County (through DTS)
    • ~ 7% from HART

• Operating budget
  – ~$2,000,000 per year for agency operations, staff, and transportation planning projects

• Programming
  – Program $139 million in federal formula transportation funds annually
OahuMPO: Governance

- Governed by the Policy Board
  - THE MPO and decision-making body
- State and local officials making cooperative decisions about use of federal funds

Non-voting members:
FHWA, State DOH, State OP
Policy Board Duties

• Examine, consider, and approve regionally significant transportation plans and programs developed by OahuMPO and planning partners

• Consider recommendations of advisory committees

• Adopt Overall Work Program annually
OahuMPO: Advisory Committees

• Technical Advisory Committee
  – Advisory to Policy Board and Executive Director
  – Provides technical input
  – 10 voting, 6 non-voting members, representing
    • Transportation
    • Planning/land use
    • Economic development
    • Public works
    • Freight/shipping

• Citizen Advisory Committee
  – Advisory to Policy Board and Executive Director
  – Integral to public participation process
  – Currently 43 member organizations
    • Include private, non-profit, and/or non-governmental organizations
OahuMPO: Federal Certification Review

- The FHWA and FTA jointly certify* the MPO planning process at least every four years
- Certification process identifies
  - Corrective action
  - Recommendation
  - Commendation

*Certify = review whether an MPO is meeting federal planning requirements
Certification Review 9/26/14

• Tier 1 – Corrective Actions within 10 months (July ‘15)
  – New State law, Redesignation of the MPO, Comprehensive Agreements, and Bylaws

• Tier 2 – Corrective Actions within a year (Sept ‘15)
  – Adopt Policies and Procedures and update Congestion Management Plan

• Tier 3 – Corrective Actions by April ‘16
  – If ORTP had not been compliant, federal funding would have been withheld
  – Implement improved Policies and Procedures in next TIP, CMP, etc.
FY 2017 Overall Work Program

- OahuMPO’s annual budget
- Funds planning studies to support ORTP and TIP

- Sample of studies funded in the current OWP:
  - Central Oahu Transportation Study
  - Farrington Highway Realignment Study
  - Oahu Bike Plan Update
  - ITS Architecture Update
  - Oahu Coastal Communities Evacuation Planning Project, Phase 2 (Urban Oahu)
Overall Work Program Status

We have some housekeeping to do…

• Need to Close – 11

• Underway (Lapse) – 3
  – Traffic Signal Prioritization Methodology, Roadway Surface Conditions, Separate Left-Turn Phase Alternatives Study

• Underway - 6
  – OahuMPO Participation Plan Evaluation, T6/EJ, Central Oahu, Kapalama Multimodal Circulation, Transit Fares Scenario, Ewa Impact Fees

• Pending Contract - 3
  – CMP, Revenue, Farrington Hwy

• Not Started – 6
  – Data management, ITS Architecture, Oahu Bike Plan, PM Tow Away Zones, Mass Transit Joint Feasibility, Planned ROW, Evacuation – Phase 2
In summary: OahuMPO has a lot of planning money available – what visionary study do you want to do?
FYs 2018 OWP Early Input

• Schedule
  – Aug. – Sept.
    • Solicit early input from CAC
    • Solicit lists of planning studies from other agencies for planning coordination
    • Provide CAC candidate work elements (WE) to Policy Board members and participating agencies
    • Issue call for projects from Policy Board members and participating agencies
FYs 2018 OWP Early Input

• Schedule (cont.)
  – Nov. – Dec.
   • Estimate staff time and budget constraints
   • Prioritize all candidate WEs and write first draft list of WEs proposed for programming
   • Present first draft list of WEs to CAC, TAC, and Policy Board for feedback
  – Jan. – March
   • Consider feedback and develop Public Review Draft (2nd draft) of OWP
   • Present Public Review Draft to TAC and CAC for feedback
Fy's 2018 OWP Early Input

- **Schedule (cont.)**
  - **March – May**
    - Release Public Review Draft for 60 days of general public and intergovernmental review
    - Receive comments and evaluate
  - **May**
    - Considering comments, develop Final Draft OWP
  - **June**
    - Present Final Draft OWP to CAC, TAC and Policy Board for approval
FYs 2018 OWP Early Input

• Prioritization
  – Priority 1
    • WEs that fulfill Federal regulations (23 CFR Subpart C)
  – Priority 2
    • WEs that are necessary to support the transportation planning process or fulfill other Federal, State, or City regulations
  – Priority 3
    • WEs that support projects in the ORTP
FYs 2018 OWP Early Input

• Prioritization
  – Priority 4
    • WE's that support planning efforts consistent with the direction set forth in other adopted planning documents
  – Priority 5
    • WE's that support other needs
Project Proposals

Title

<table>
<thead>
<tr>
<th>WE Number</th>
<th>Leave blank</th>
<th>Time Period</th>
</tr>
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<tbody>
<tr>
<td>Agency</td>
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<tr>
<td>Coordinator</td>
<td>Fax Number</td>
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<tr>
<td>Position</td>
<td>Email Address</td>
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Objectives:
Prepare study to:
- What do you hope to get from the study? What goal(s) or objective(s) will be met?

Project Description:
- Conceptual, descriptive, but not too detailed (what, not how)
- Refine the existing system used to prioritize the installation of traffic signals and pedestrian signal upgrades
- Generate a prioritized list of traffic and pedestrian signals which are currently waiting funding/design using above system
- A report on the methodology used, guidelines and/or references utilized in the development of said system
- An executive summary of above report
- Create a standardized form approved by DTS that may be populated on PCs and used for each location to be analyzed. Upon entering the data for this form it should automatically fill in the current priority waiting list
- A running prioritization list of locations waiting for funding or installation on PC.

Project Tasks:
- Descriptive, conceptual; not too detailed (what, not how)
- Conduct a survey of other prioritization system used
- Develop a point prioritization system and other related forms/lists to be utilized in the prioritization process
- Methodology report, executive summary, and current prioritization list
Project Proposals

Project Description:
- Conceptual, descriptive, but not too detailed (what, not how)
- **Refine the existing system** used to prioritize the installation of traffic signals and pedestrian signal upgrades
- Generate a **prioritized list** of traffic and pedestrian signals which are currently waiting funding/design using above system
- **A report** on the methodology used, guidelines and/or references utilized in the development of said system
- **An executive summary** of above report
- Create a **standardized form** approved by DTS that may be populated on PCs and used for each location to be analyzed. Upon entering the data for this form it should automatically fill in the current priority waiting list
- **A running prioritization list** of locations waiting for funding or installation on PC.

Project Tasks:
- Descriptive, conceptual; not too detailed (what, not how)
- Conduct a survey of other prioritization system used
- Develop a point prioritization system and other related forms/lists to be utilized in the prioritization process
- Methodology report, executive summary, and current prioritization list

Project Justification:
- **Speak to the five prioritization criteria as appropriate**

Previous or Ongoing Work Related to Proposed Planning Study or Project:
-
### Staff Labor Commitment to the Work Element

**Staff Labor Will Be Used As Match**

<table>
<thead>
<tr>
<th>Task #</th>
<th>Position/Agency</th>
<th>Staff Labor Commitment</th>
<th>Federal (80% if Reimbursed)</th>
<th>Federal (100% if Used as Match)</th>
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<tbody>
<tr>
<td>1</td>
<td>Project Mgr(SR26) / DTS</td>
<td>250 $35 $21.41 $2,821</td>
<td>$11,282</td>
<td>$14,103</td>
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<tr>
<td>2</td>
<td>Sr. Project Manager</td>
<td>100 $50 $30.50 $1,610</td>
<td>$6,550</td>
<td>$8,050</td>
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**STAFF LABOR SUB-TOTAL EXPENDITURES**

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### Work Element Tasks & Budget (Should be consistent with Project Tasks above)

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<thead>
<tr>
<th>Task #</th>
<th>Staff Labor Commitment</th>
<th>FUNDING SOURCES</th>
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<tr>
<td></td>
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<td>Non-Federal</td>
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<td>Federal</td>
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<td>Total</td>
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<tr>
<td>1</td>
<td>Survey of systems in use in other states</td>
<td>$1,063</td>
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<td>2</td>
<td>Develop point prioritization system</td>
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<td>3</td>
<td>Report, executive summary and current listing</td>
<td>$523</td>
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**STAFF LABOR SUB-TOTAL EXPENDITURES**

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### Consultant Services

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<th>FUNDING SOURCES</th>
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<td>Federal</td>
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<td>Total</td>
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<td>1</td>
<td>Survey of systems in use in other states</td>
<td>$8,000</td>
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<td>2</td>
<td>Develop point prioritization system</td>
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<tr>
<td>3</td>
<td>Report, executive summary and current listing</td>
<td>$4,000</td>
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**CONTRACT SERVICE SUB-TOTAL EXPENDITURES**

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**OTHER COSTS SUB-TOTAL EXPENDITURES**

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**TOTAL WORK ELEMENT COST**

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$38,431 ($=20\% \text{ of Total}) $153,722 ($=80\% \text{ of Total}) $192,153
Agency Responsibilities

Randolph Sykes
Subrecipient Monitoring and Support

OahuMPO can be a pass-through entity for its Federal planning grant by providing a portion of the grant to a subrecipient for purposes of completing eligible transportation planning activities. With this ability comes the responsibility of monitoring each subrecipient and overseeing the award-supported activities.

Objectives

- To monitor subrecipients of OahuMPO Federal planning grant funds;
- To provide guidance and support to subrecipients to help ensure compliance with applicable Federal requirements; and
- To ensure OahuMPO meets its Federal requirements as a pass-through entity.

OahuMPO Subrecipient Forms

- Project checklist (coming soon)
- OahuMPO Invoice Proforma
- OahuMPO Subaward Terms
- OWP Progress Report
- Request for Staff Time Reimbursement

HDOT Local Public Agency (LPA) Forms

- Request for Right-of-Way Certification
- Request for Project Authorization Agreement, and/or Modification
- Plan, Specification, & Estimate (PS&E) Checklist
- Documentation for Categorical Exclusions

Background Information

- OahuMPO Overall Work Program Policies & Procedures
- HDOT – City DTS Memo of Agreement
- FWA – HDOT Stewardship Agreement
- FHWA Guide to Federal Aid Projects
- HDOT LPA Manual

Staff Contact

Randolph Sykes, Planning Program Coordinator  
Phone: (808) 587-2015  
Email: randolph.sykes@oahumpo.org

http://www.oahumpo.org/resources/subrecipient-monitoring-and-support/
After OWP Approval

• We cannot obligate the federal funds without documented availability of local match
  – Federal funds must be obligated during the federal fiscal year in which they are approved
  – State funds must be encumbered during the state year in which they are approved
• Out of state travel must be pre-approved
After OWP Approval

• Per State regulations, all contracting for professional services must follow the requirements set forth in HRS §103D as well as conform to all relevant SPO circulars
• Persons responsible for contracting and managing projects must be authorized and have taken requisite SPO training classes
• All awards must be posted to the SPO website within seven days of award
• For details, please visit http://www4.hawaii.gov/spoh/tng/trainingrequirements.htm
After OWP Approval

• Goal is to ensure consistency of OWP and contracts
• Provide copies of DRAFT contract scopes of work to OahuMPO
  – We will respond with a “Yes, it is consistent with the OWP” or with a “No, it is not consistent, and here’s why” statement.
• Prior approval for changes (i.e., public input + Policy Committee vote) is necessary IF
  – You want to increase the Federal funds for a project
  – You want to transfer funds between projects
    • $100K or more; 10% of total budget or more
  – Change the scope, objectives, or activities
OahuMPO Subrecipient Forms

• OahuMPO Subaward Terms
• OWP Progress Report
• OahuMPO Invoice Proforma
• Request for Staff Time Reimbursement
OahuMPO Subaward Terms

- Intent
- 15 required data elements (2 CFR 200.210)
- General terms and conditions
- Scope of work
- Programmatic requirements
- Documentation of pre-award understandings
- Pre-award actions
- End of award activities
- Attachments
Semi-Annual Reports

• Single format (Annual and Semi-Annual)

• Work in progress
  – Describe the tasks and any other related work currently in progress

• Work completed
  – List all tasks identified in the contract and the related work completed for each task
  – If the tasks have not been completed as scheduled, explain the reason(s) for delay and action(s) taken to get the tasks back on schedule

• Show task budget and amount spent to date

• Send quarterly reports electronically
OWP Semi-Annual Progress Report

- Fiscal year and reporting period
- Identification of project
- Work in progress
- Work completed
- Work not completed (with discussion)
- Problems/issues encountered/corrective actions
- Efforts by staff in terms of accomplishments
- Progress in contracting consultant services
- Expenditures summary
- DBE participation level
- Best practices, lessons learned, and recommendations
Invoicing for Reimbursement

• Required documents:
  – Invoice from Fiscal Office
    • Certification of contract execution and expiration dates
  – Invoice from consultant
    • DBE participation report
    • DBE prompt payment certification
  – Consultant’s progress report
  – Detailed cost of hours charged by each staff member, including fringe benefits and expenses
  – Document validating salary amount per hour
Retainage - HRS § 103-32.1

- Five percent (5%) of the total amount of each invoice, exclusive of Hawaii General Excise Tax and Oahu Surcharge, shall be deducted as retainage.
- Upon completion of the Contract and receipt of the requisite tax clearances as specified in the General Conditions, the Subawardee may invoice the OahuMPO for the amount of retainage.
OahuMPO Invoice Proforma

- Certification of accuracy of invoice
- Detail concerning the contractor
- Sequence of the invoice
- Summary of amount of expenses to date
  - Federal
  - Local
- UDBE Participation & Prompt Payment Certification
- Monthly status report
Request for Staff Time Reimbursement

- Staff time activity log
- Work element identification
- Reporting period / period of performance
- Fringe and indirect cost percentages
- Date, detailed description of activities, time, and labor cost
Work Products Reviews & Submittals

• Public participation is a Federal requirement
• Copies of all work products shall be submitted to OahuMPO, FHWA, and FTA
  – A report that documents the results of activities performed must be submitted for approval by the FHWA Division Administrator prior to publication
• OahuMPO requires two (2) hard copies of each final report and one (1) copy in electronic format
• Work products and publications must contain requisite Federal participation acknowledgement
23 CFR 420.117(e)

• Including the following disclaimer statement on all the cover and title pages of all products and deliverables:
  – “This report was funded in part through grants from the Federal Highway Administration and Federal Transit Administration, U.S. Department of Transportation. The views and opinions of the agency expressed herein do not necessarily state or reflect those of the U.S. Department of Transportation.”

• In addition, providing the following statement on the covers and title pages of all products and deliverables:
  – “Prepared by [Subawardee Name] in Cooperation with the Oahu Metropolitan Planning Organization and the United States Department of Transportation.”
• Policy Board approval of transportation planning studies:
  – “Approval as evidence that the work was carried out and direct staff to use the study recommendations in the OahuMPO’s planning processes.”
<table>
<thead>
<tr>
<th>WE#</th>
<th>Title</th>
<th>Status</th>
<th>CAC Date</th>
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<tr>
<td>203.05-14</td>
<td>Complete Streets Implementation Plan</td>
<td>Need to CLOSE</td>
<td>9/21/2016</td>
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<tr>
<td>203.79-10/13</td>
<td>Honolulu Urban Core Parking Master Plan</td>
<td>Need to CLOSE</td>
<td>9/21/2016</td>
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<td>203.80-10</td>
<td>Makakilo Traffic Study</td>
<td>Need to CLOSE</td>
<td>11/16/2016</td>
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<td>203.81-10</td>
<td>West Waikiki Traffic Study</td>
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<td>Village Park-Kupuna Loop Sub-Area Corridor Study</td>
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<td>Contra-Flow Update Study</td>
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<td>Traffic Signal Prioritization Methodology</td>
<td>UNDERWAY (LAPSE)</td>
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<td>202.01-13</td>
<td>Roadway Surface Conditions Assessment &amp; Repair Plan</td>
<td>UNDERWAY (LAPSE)</td>
<td>3/15/2017</td>
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<td>203.82-11</td>
<td>Separate Left-Turn Phase Alternatives Study</td>
<td>UNDERWAY (LAPSE)</td>
<td>3/15/2017</td>
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Closing Out Work Elements

• Per State regulations, after a contract expires, we can pay for work done during the contract term, but we are NOT to pay a consultant for work done before or after a contract expires.

• Required documentation for final payment and close out:
  – Cover letter from agency requesting close out of work element
  – Invoice from Fiscal Office with:
    • Final consultant invoice
      – Closing progress report
      – DBE participation report
      – DBE prompt payment certification
      – Tax clearances
      – DLIR certification
      – DCCA certification
    • Detailed cost of hours charged by each staff member, including fringe benefits and expenses
    • Updated [final] Progress Report
HDOT Local Public Agency (LPA) Forms

- Request for Right-of-Way Certification
- Request for Project Authorization, Agreement, and/or Modification
- Plan, Specification, & Estimate (PS&E) Checklist
- Documentation for Categorical Exclusions
Background Information

- OahuMPO Overall Work Program Policies & Procedures
- State – County Memo of Agreement
- FHWA – HDOT Stewardship Agreement
- FHWA Guide to Federal Aid Projects
- HDOT LPA Manual
Questions and Answers
Over-the-Shoulder Review

Randolph Sykes