



# 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...*

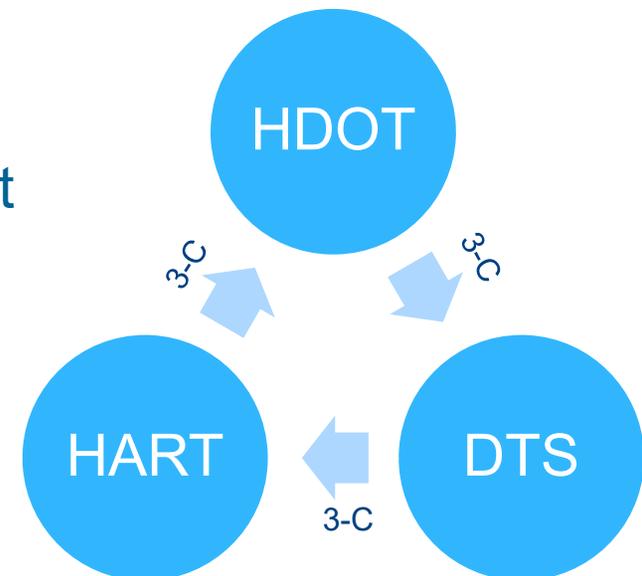


*Cypress Freeway eradicates neighborhoods (Oakland, CA)*



## 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



**Honolulu**  
City Council



CITY AND COUNTY OF HONOLULU  
Department of Planning and Permitting (DPP)



*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**
  - Tantalus, Waikiki Transit Circulator, Complete Streets, Short Range Transit, Honolulu Urban Core Parking, Makakilo Traffic, West Waikiki Traffic, Village Park-Kupuna Loop, Contra-Flow Update, MPO Planning Process Review, and Emergency Evacuation Plan
- **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



## Final Draft FY 2017 Overall Work Program

	FHWA- PL	FTA- 5303	Pooled Local Match	City- Held Local Match	HDOT Held Local Match	HART Held Local Match	Total
Expected Revenue	\$1,512,427	\$263,242	\$286,850	\$353,000	\$10,000	\$0	\$2,425,519
Est. Unoblig. Balance	\$3,600,000	\$0	\$0	\$0	\$0	\$0	\$3,600,000
Total Revenue Available	\$5,112,427	\$263,242	\$286,850	\$353,000	\$10,000	\$0	\$6,025,519
Program	\$2,320,158	\$263,242	\$286,850	\$353,000	\$10,000	\$0	\$3,233,250
Difference	\$2,792,269	\$0	\$0	\$0	\$0	\$0	\$2,792,269

*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

- Sept. – Oct.

- 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 (2<sup>nd</sup> draft) of OWP
    - Present Public Review Draft to TAC and CAC for feedback



# FYs 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**

- WEs that support planning efforts consistent with the direction set forth in other adopted planning documents

- **Priority 5**

- WEs that support other needs



# Project Proposals

## Title

WE Number	<i>Leave blank</i>	Time Period	
Agency		Phone Number	
Coordinator		Fax Number	
Position		Email Address	

## 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
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## Project Tasks:

- *Descriptive, conceptual; not too detailed (what, not how)*
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## Project Justification:

- *Speak to the five prioritization criteria as appropriate*

## Previous or Ongoing Work Related to Proposed Planning Study or Project:

-



# Project Proposals

Staff Labor Commitment to the Work Element

Staff Labor Will Be Used As Match

Staff Labor Will Be Reimbursed

Task #	Position/Agency	STAFF LABOR			FUNDING SOURCES		Total
		Hrs	\$/Hr	Additive 61.16%	Non-Federal <i>(100% if Used as Match)</i>	Federal <i>(80% if Reimbursed)</i> FHWA	
1	Project Mgr(SR26J)/DTS	250	\$35	\$21.41	\$2,821	\$11,282	\$14,103
2	Sr. Project Manager	100	\$50	\$30.50	\$1,610	\$6,550	\$8,050
<b>STAFF LABOR SUB-TOTAL EXPENDITURES</b>					<b>\$4,431</b>	<b>\$17,722</b>	<b>\$22,153</b>

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

Task #	Staff Labor Commitment	FUNDING SOURCES		Total
		Non-Federal	Federal FHWA	
1	Survey of systems in use in other states	\$1,063	\$4,253	\$5,316
2	Develop point prioritization system	\$2,845	\$11,378	\$14,223
3	Report, executive summary and current listing	\$523	\$2,091	\$2,614
<b>STAFF LABOR SUB-TOTAL EXPENDITURES (= Labor Expenditures from Above)</b>		<b>\$4,431</b>	<b>\$17,722</b>	<b>\$22,153</b>
Task #	Consultant Services			
1	Survey of systems in use in other states	\$8,000	\$32,000	\$40,000
2	Develop point prioritization system	\$22,000	\$88,000	\$110,000
3	Report, executive summary and current listing	\$4,000	\$16,000	\$20,000
<b>CONTRACT SERVICE SUB-TOTAL EXPENDITURES</b>		<b>\$34,000</b>	<b>\$136,000</b>	<b>\$170,000</b>
Other Costs (e.g., software, travel, equipment, etc.)				
<b>OTHER COSTS SUB-TOTAL EXPENDITURES</b>		<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>TOTAL WORK ELEMENT COST</b>		<b>\$38,431 (=20% of Total)</b>	<b>\$153,722 (=80% of Total)</b>	<b>\$192,153</b>



# Agency Responsibilities

Randolph Sykes



**In This Section**

- [Subrecipient Monitoring and Support](#)
- [Publications and Reports](#)
- [Presentations](#)
- [Tools and Services](#)
- [Transportation Acronyms](#)
- [FAQ](#)

**Archives**

- [News & Announcements 2015](#)
- [News & Announcements 2014](#)
- [News & Announcements 2013](#)

GET INVOLVED

Month:   
Year:

September 2016						
S	M	T	W	T	F	S
28	29	30	31	1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	1

CAC     PB  
 General     TAC

**Poll**

What brings you to the OahuMPO website?

- Researching the OahuMPO
- Interested in a specific project
- Linked from another website
- Looking for ways to become involved
- None of the above

[Home](#) > [Resources](#) > Subrecipient Monitoring and Support

## 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.

[Contents](#)

### 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](#)
- [FHWA – 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](mailto: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.”

WE#	Title	Status		CAC Date
203.05-14	Complete Streets Implementation Plan	Need to CLOSE	DTS	9/21/2016
203.79-10/13	Honolulu Urban Core Parking Master Plan	Need to CLOSE	DTS	9/21/2016
203.80-10	Makakilo Traffic Study	Need to CLOSE	DTS	11/16/2016
203.81-10	West Waikiki Traffic Study	Need to CLOSE	DTS	11/16/2016
203.83-11	Village Park-Kupuna Loop Sub-Area Corridor Study	Need to CLOSE	DTS	1/18/2017
203.84-13	Contra-Flow Update Study	Need to CLOSE	DTS	1/18/2017
201.01-12	Traffic Signal Prioritization Methodology	UNDERWAY (LAPSE)	DTS	3/15/2017
202.01-13	Roadway Surface Conditions Assessment & Repair Plan	UNDERWAY (LAPSE)	DFM	3/15/2017
203.82-11	Separate Left-Turn Phase Alternatives Study	UNDERWAY (LAPSE)	DTS	3/15/2017



# 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

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Oahu MPO

# Questions and Answers



# Over-the-Shoulder Review

Randolph Sykes