



The Florida Metropolitan Planning Organization Advisory Council

*Commissioner Nick Maddox
Chair*

MPOAC Staff Directors' Advisory Committee

Date: Thursday, October 29, 2020

Time: Noon – 2:30 p.m.

Location: Orlando Airport Marriott Lakeside
7499 Augusta National Drive, Orlando, FL 32822

Teams Meeting Link: [Join Microsoft Teams Meeting](#)

Phone: 850-739-5589, ID number: 994 946 090#

Lois Bollenback, Presiding

- 1. Call to Order & Pledge of Allegiance**
- 2. Approval of Minutes: September 16, 2020 Meeting**
- 3. Public Comments (non-agenda items)**
- 4. Executive Director's Report**
 - A. UPWP Report**
 - B. MPOAC Staff Directors Leadership meeting**
- 5. Agency Reports**
 - A. Florida Department of Transportation**
 - B. Federal Highway Administration**
- 6. Business Items & Presentations**
 - A. Approval of the 2021 Legislative Policy Positions**
 - B. Federal Fund Exchange Presentation**
 - C. Mobility Week Presentation**
- 7. Member Comments**
- 8. Adjournment**

Any person who desires or decides to appeal any decision made by this Council with respect to any matter considered at this meeting will need a record of the proceedings. For such purposes, such person may need to ensure that a verbatim record of the proceedings is made which record includes testimony and evidence upon which appeal is to be based.

The needs of hearing or visually impaired persons shall be met by contacting the Council sponsoring such meeting at least 48 hours prior to the meeting. Please contact John Waldron at (850) 414-4037 or by email to John.Waldron@mpoac.org.

Item Number 1

Call to Order & Pledge of Allegiance

DISCUSSION:

The Chair will open the meeting and a quorum will be determined. All are asked to rise for the Pledge of Allegiance.

REQUESTED ACTION:

None requested.

ATTACHMENT:

None.

Item Number 2

Approval of Minutes: September 16, 2020

DISCUSSION:

Review and comments from members.

REQUESTED ACTION:

Approval of Meeting Minutes from the September 16, 2020 meeting of the MPOAC Staff Directors' Advisory Committee Meeting.

ATTACHMENT:

September 16, 2020 MPOAC Staff Directors' Advisory Committee Meeting Minutes.

**Florida MPO Advisory Council
Meeting of the Staff Directors
September 16, 2020
Orlando, Florida
Draft Meeting Minutes**

Staff Directors in Attendance:

IN-PERSON (STAFF DIRECTORS – A TOTAL OF 13 WITH 9 MAKING AN IN-PERSON QUORUM)

Lois Bollenback, Chair, River to Sea TPO
Donald Scott, Vice Chair, Lee County MPO
Greg Stuart, Broward MPO
Gary Harrell, Charlotte County-Punta Gorda MPO
Chelsea Favero, Forward Pinellas
Mike Escalante, Gainesville MTPO
Beth Alden, Hillsborough MPO
Gary Huttman, MetroPlan Orlando
Jeff Sheffield, North Florida TPO
Rob Balmes, Ocala/Marion County MPO
Georganna Gillette, Space Coast TPO
Chandra Fredrick, Polk TPO
Peter Buchwald, St. Lucie TPO

IN-PERSON (OTHERS)

Carl Mikyska, MPOAC
Jeff Kramer, CUTR
Alison Stettner, Florida DOT OPP
Paul Calvaresi, Broward MPO

VIRTUAL (STAFF DIRECTORS – A TOTAL OF 8 THAT CANNOT CONTRIBUTE TO A QUORUM)

Scott Koons, Gainesville MTPO
Dave Hutchinson, Sarasota/Manatee MPO
Mike Woods, Lake-Sumter MPO
Marybeth Soderstrom, Heartland Regional TPO
Whit Blanton, Forward Pinellas
Lisa Colmenares, Miami-Dade TPO
Steve Diez, Hernando/Citrus MPO
Nick Uhren, Palm Beach TPA

VIRTUAL (OTHERS)

Leigh Holt, Sarasota/Manatee MPO

Laura Carter, Space Coast TPO
Virginia Whittington, MetroPlan Orlando
Mark Reichert, Florida DOT
Scott Phillips, Florida DOT
Johnathan Waldron, MPOAC
Christen Miller, CUTR
Chris Vela, Hillsborough County Citizen

• **CALL TO ORDER**

Lois Bollenback, Chair, River to Sea TPO, called the meeting to order at 1:00 pm. All in attendance introduced themselves. Those attending online were then given an opportunity to introduce themselves.

A moment of silence was held to remember those lost and infected during the pandemic.

• **APPROVAL OF MINUTES: JANUARY 30, 2020 MEETING**

A motion to approve the minutes of the January 30, 2020 meeting of the MPOAC Staff Directors’ Advisory Committee was made by Gary Huttman, MetroPlan Orlando, and seconded by Gary Harrell, Charlotte County-Punta Gorda MPO. The motion was approved unanimously.

• **PUBLIC COMMENTS**

Chris Vela, a citizen of Hillsborough County, Florida, spoke during public comments. His comments related to the need to spend available funds for Interstate projects where they were needed in the state and in opposition to spending such funds on managed lanes projects on the Interstate system in the urban core of Tampa. He expressed support for transit and encouraged MPOs in Florida to advocate for federal funding to be allocated directly to MPOs (and directed away from the Strategic Intermodal Systems (SIS)) so the funding can be focused on locally significant road and transit projects.

• **AGENCY REPORTS**

A. FLORIDA DEPARTMENT OF TRANSPORTATION

Ms. Alison Stettner, Director of the Office of Policy Planning and Mark Reichert, Administrator for Metropolitan Planning, updated the members on the activities of the Florida Department of Transportation (FDOT).

- The Department is working on a Unified Planning Work Program (UPWP) template that can be used by all 27 Florida MPOs during the next UPWP update. The UPWP template will be a topic of conversation at the next Florida Metropolitan Planning Partnership (FMPP) meeting, typically held in December. FDOT will be sending a survey to MPOs before the meeting to gather input and ideas on the UPWP template.
- Ms. Stettner asked MPOs to complete the survey that Florida DOT sent relating to the Consolidated Planning Grant (CPG) proposal. FDOT is rebooting that effort, looking at the experiences of other states and the costs and potential pitfalls associated with implementing a CPG approach in Florida.
 - Peter Buchwald, St. Lucie TPO, asked about the focus of the current work as the MPOAC had already expressed support for the concept. Ms. Stettner replied that they were most interested in documenting in detail the potential benefits and costs of a CPG program, focusing on potential time and costs savings.
 - Dave Hutchinson, Sarasota/Manatee MPO, complimented FDOT on their effort to move forward with a CPG.

B. FLORIDA DIVISION OF FEDERAL HIGHWAY ADMINISTRATION

FHWA representatives were unable to attend the meeting and no comments were provided.

• BUSINESS ITEMS & PRESENTATIONS

A. APPROVAL OF MPOAC'S FINAL UPWP FOR FISCAL YEARS 2021 & 2022

Carl Mikyska, MPOAC Executive Director, presented the contents of the draft final MPOAC Unified Planning Work Program (UPWP) to the membership. The UPWP is the funding application to the federal government for the use of federal transportation planning funds (PL and FTA 5303). He mentioned that a draft UPWP had been presented to the MPOAC Governing Board and the MPOAC Staff Directors' Advisory Committee at their January 30, 2020 meeting. He also stated that the draft UPWP had been available for several weeks on the MPOAC website for public review and comment. The Florida Department of Transportation (FDOT) and the Federal Highway Administration (FHWA) Florida Division Office had both provided comments. Mr. Mikyska noted that the draft final UPWP under discussion today reflects all comments provided to the MPOAC.

Mr. Mikyska described how the document had not been adopted by the MPOAC Governing Board following the comment period due to the inability of the MPOAC to meet since the January 2020 meeting due to the COVID-19 pandemic. Instead, the MPOAC is currently receiving funding by having been included in the (FDOT) State Planning and Research (SPR)

document. Mr. Mikyska noted, as part of the SPR document, that the MPOAC was currently unable to make changes to the budget or the activities of the organization.

Mr. Mikyska concluded his remarks by suggesting that the MPOAC Staff Directors' Advisory Committee recommend adoption of the UPWP by the MPOAC Governing Board at the next available opportunity.

Discussion followed, including:

- Peter Buchwald, St. Lucie TPO, asked how much was programmed for consultant services and if the amount had changed since the previous UPWP. Mr. Mikyska described where in the UPWP funding for consulting services was included and that the amount had not changed since the previous UPWP. Mr. Buchwald also asked about dues for the National Association of Regional Councils (NARC) and the Association of MPOs (AMPO) and whether the membership felt it was necessary to belong to both organizations. Mr. Mikyska described where in the UPWP funding for both associations could be found and the benefits of membership to both organizations for the MPOAC and the states 27 MPOs. The consensus of the body was that membership in both organizations was beneficial.
- Gary Huttman, MetroPlan Orlando, asked how roll-forward funds from the previous UPWP worked. Mr. Mikyska described how those funds are made available for use by the Florida MPOs in the next fiscal year. Peter Buchwald, St. Lucie TPO, followed up by asking about the CHECKPL spreadsheet that FDOT had used in the past to track federal planning fund (PL) expenditures across the state. Ms. Stettner, FDOT, described how FDOT had created a new spreadsheet to replace the old CHECKPL that was more efficient and effective at tracking PL expenditures. Mr. Huttman then asked whether the new UPWP took into account a strategy once under consideration to accelerate payments of national dues to NARC and AMPO to better align with the calendar year. Mr. Mikyska indicated that the draft final UPWP did not take that strategy into account due to the precarious and disjointed nature of funding during the pandemic. He indicated that a UPWP amendment could be processed at a future meeting of the MPOAC to implement the strategy should the membership desire.
- Greg Stuart, Broward MPO, sought clarification for why there was a separate UPWP Task to engage in activities related to the Multi-use Corridors of Regional Economic Significance (M-CORES) program. Mr. Mikyska indicated that the significant nature of this activity warranted a new task to highlight the significance of the MPOAC being engaged in such a high-profile policy discussion. Ms. Stettner indicated that the task was an appropriate mechanism to provide the level of detail FHWA was expecting in the document and to ensure transparency in agency activities.

- Mike Escalante, Gainesville MTPO, asked a question about the MPOAC Institute, leading to a description of plans to provide an online orientation for MPO Board members.

A motion to recommend approval of the draft final UPWP by the MPOAC Governing Board was made by Greg Stuart, Broward MPO, and a second was made by Mike Escalante, Gainesville MTPO. The motion was approved unanimously.

B. APPROVAL OF AMENDMENTS TO MPOAC BYLAWS

Carl Mikyska, MPOAC Executive Director, led a discussion of proposed MPOAC bylaw amendments and provided background for the suggested amendments. Currently, the MPOAC bylaws do not allow for the Chair of the Governing Board to make decisions or approvals for the continued operation of the MPOAC during an emergency event (such as the current pandemic) or other occasions where the MPOAC Governing Board is unable to meet. The suggested amendments to the MPOAC Bylaws will allow the Chair of the MPOAC Governing Board to act on behalf of the MPOAC when the organization is unable to meet. Additional suggested amendments were also proposed to both cleanup and clarify existing clauses, including typos, in the bylaws.

A discussion ensued about the suggested amendments to the MPOAC bylaws as follows:

- Peter Buchwald, St. Lucie TPO, asked for clarification on the inclusion of federal citations. Mr. Mikyska indicated that Paul Gougelman, MPOAC General Counsel, felt that including the citations in the document provided grounding for the bylaws in federal law. Mr. Buchwald also asked about the powers being delegated to the Executive Committee as part of the proposed amendments. Mr. Mikyska explained what the intentions of the new authority included during times of disruption.
- Jeff Sheffield, North Florida TPO, asked that the amendment include a clause that all decisions made during the period of disruption be brought before the MPOAC Governing Board for reconciliation at the first meeting following the disruption. The membership in attendance indicated agreement for that addition.
- Greg Stuart, Broward MPO, asked about the amendment related to officer elections and indicated that he did not see a need for that change. He also stated that, in his opinion, it would be appropriate for officers to stay in place if a vote of the membership were delayed during a disruptive period. Discussion ensued and the membership indicated support for these positions.
- Mike Escalante, Gainesville MTPO, stated that he preferred the term “disruption of normal operations” instead of “emergency” to broaden the application of the proposed amendments.

- Lois Bollenback, River to Sea TPO, sought to confirm the adjustments the membership wanted to make to the proposed MPOAC bylaws amendments. These included making no changes to the bylaws related to MPOAC officers other than confirming that officers would stay in place until such time as an election can be held and that the MPOAC Governing Board would retroactively approve or adjust all decisions made during a disruptive period.

A motion to approve the proposed changes to the suggested amendments, as described above, was made by Greg Stuart, Broward MPO, and seconded by Jeff Sheffield, North Florida TPO. The motion was approved unanimously.

An additional motion was made by Peter Buchwald, St. Lucie TPO, to direct that the typographical errors identified by Carl Mikyska be corrected. A second was made by Greg Stuart, Broward MPO. The motion was approved unanimously.

A final motion to recommend approval by the MPOAC Governing Board of the modified suggested amendments to the MPOAC bylaws was made by Peter Buchwald, St. Lucie TPO. A second was made Beth Alden, Hillsborough MPO. The motion was approved unanimously.

C. LEGISLATIVE POLICY POSITIONS

Carl Mikyska, MPOAC Executive Director, led a discussion on the proposed MPOAC Legislative Priorities and Policy Positions for the 2021 Florida legislative session. The 2021 legislative session will begin with committee meetings in January. The full legislative session will begin in March. Mr. Mikyska noted that the MPOAC develops a set of policy positions each year to guide MPAOC staff as they engage in the legislative process on behalf of the interests of MPOs across the state.

Mr. Mikyska pulled up the proposed 2021 Legislative Policy Positions in a Word document to simultaneously discuss and amend them one proposed policy at a time. Ms. Bollenback, River to Sea TPO, confirmed that while the membership would consider and edit each policy position at a time, the whole package could be considered at the end of the discussion under a single motion.

Policy Position 1 and 2 (relating to transportation revenue and funding): These positions were considered together as the MPOAC staff recommendation was to create an additional bullet point as part of Position 1 that reflects the spirit of Position 2 and to delete Position 2 as a stand-alone position. Mr. Mikyska provided background on the Transportation Regional Incentive Program (TRIP), the traditional second MPOAC policy position, as part of the discussion. Further discussion touched on a variety of subjects including considering

allocating TRIP funds along with Federal Surface Transportation Block Grant Program – Urban Allocation (SU) funds, elevating the TRIP in the flow chart of documentary stamp funding obligations, and the appropriate level of funding for the TRIP.

A motion to approve the staff recommendation to create a bullet as part of Position 1 that reflects Position 2 and to delete Position 2 as a stand-alone position was made by Greg Stuart, Broward MPO, and seconded by Don Scott, Lee County MPO. The motion was approved with Peter Buchwald, St. Lucie TPO, voting in opposition.

Policy Position 3 (relating to funding for the Strategic Intermodal System (SIS)): The MPOAC staff recommended no changes to the existing position. Chelsea Favero, Forward Pinellas, expressed concern that the existing language relating to Transportation Performance Measurement (TPM) could create confusion and limit the ability of funds allocated to the SIS to be spent on transit projects. She proposed that the words “... and are part of the TPM system” be removed from the end of last sentence of the explanatory text.

A motion to approve the staff recommendation, but removing the words “... and are part of the TPM system” was made by Chelsea Favero, Forward Pinellas, and seconded by Beth Alden, Hillsborough MPO. The motion was approved unanimously.

Policy Position 4 (relating to transit project funding): The MPOAC staff recommended no changes to the existing position. Beth Alden, Hillsborough MPO, stated that transit agencies in the Tampa Bay area were seeking to have the match requirements waived during the current pandemic to help them preserve their stressed budgets. By consent, MPOAC staff was asked to add language to the position asking for match requirements on transit funds be waived during the current pandemic. Mike Escalante, Gainesville MTPO, suggested alternate language that would emphasize “expanding” uses for funds coming from the State Transportation Trust Fund (STTF) in place of an emphasis on “removing limitations.” Mr. Escalante also suggested using the phrase “remove various funding limitations to enable flexibility of State Transportation Trust Funds for funding Transit Projects, Capital and Operating. Identity through the Metropolitan transportation planning process.” By consent, MPOAC staff were directed to include language emphasizing “expanding” the potential use of STTF funds that is consistent with policies on this issue from the Florida Public Transportation Association.

Policy Position 5 and 6 (relating to state rules attaching to federal planning funding and innovative transportation mobility solutions): The MPOAC staff recommended no changes to the existing positions. There was no discussion on these policy positions.

Policy Position 7 (relating to hands-free driving): The MPOAC staff recommended no changes to the existing position, but that the position be elevated to the second position in

the list. By consent, MPOAC staff were directed to elevate the position to the second position in the list.

Policy Position 8 (related to virtual meetings): The MPOAC staff recommended that a new policy position be added to the 2021 Legislative Priorities and Policy Positions. The new policy position would allow all governmental units in the state to meet virtually while an emergency declaration was in place and for 90 days following the lifting of the emergency declaration. Discussion touched on support by affiliated associations, the potential for allowing virtual meetings even during “normal” times and ensuring that the policy position would include regional and statewide organizations such as the MPOAC and regional coalitions of MPOs. Beth Alden, Hillsborough MPO, suggested that the new position be added as the third position in the list. By consent, the membership approved the addition of the new policy position as the third position in the list.

A revised draft of the 2020 Legislative Priorities and Policy Positions will be presented to the membership at the next meeting of the MPOAC Staff Directors’ Advisory Committee (currently scheduled for October 29, 2020).

D. MPOAC MEETING DATE METHODOLOGY

Carl Mikyska, MPOAC Executive Director, led a discussion to define a methodology for setting future MPOAC meetings. Mr. Mikyska opened the discussion by describing the difficulties establishing meeting dates in the past, but that a solution that appeared popular was to hold MPOAC meetings on the fifth weekday of the normal meeting months of January, April, July and October. He proposed the following three step methodology for setting future MPOAC meeting calendars:

In order of priority –

1. Hold the meeting on the 5th Tues, Wed or Thurs of Jan, April, July and Oct
2. Hold the meeting on the 5th Mon or Fri of Jan, April, July and Oct
3. Hold the meeting on other months that have available 5th Tues, Wed or Thurs, spacing meetings apart by 3 months

As an alternative, Greg Stuart, Broward MPO, discussed holding meetings on the 5th Tues, Wed or Thurs of Jan, April, July and Oct, if possible. Otherwise, meetings will be held on the 4th Thursday of Jan, April, July and Oct. Discussion touched on support for this simpler methodology, though Lisa Colmenares, Miami-Dade TPO, expressed concern as the Miami-Dade TPO typically meets on the 4th Thursday of the month.

A motion to recommend approval by the MPOAC Governing Board for holding meetings on the 5th Tues, Wed or Thurs of Jan, April, July and Oct, if possible or otherwise on the 4th Thursday of Jan, April, July and Oct was made by Greg Stuart, Broward MPO. A second was made Peter Buchwald, St. Lucie TPO. The motion was approved unanimously.

• MEMBER COMMENTS

- Mike Escalante, Gainesville MTPO, was happy to report that the MTPO had adopted their 2045 LRTP a few weeks ago.
- Greg Stuart, Broward MPO, asked the membership for support for his nomination to the AMPO Board of Directors.
- Gary Huttman, MetroPlan Orlando, asked the membership if there was any appetite for the group to engage with the Department in a full review and revision of the FDOT MPO Program Management Handbook. He noted that while it had been revised several times by FDOT, the last full revision had not been conducted since 2017. Mark Reichert, FDOT, noted that the document is now a “living” document that is revised quarterly. MPOs are notified of any changes and are always welcome to provide comments and suggestions.

• ADJOURNMENT

The next meeting of the MPOAC Staff Directors’ Advisory Committee will be held at Noon on October 29, 2020 at the Orlando Airport Marriott Lakeside Hotel, 7499 Augusta National Drive, Orlando, FL 32822.

The meeting was adjourned at 3:44 p.m.

Item Number 3

Public Comments (non-agenda items)

DISCUSSION:

Recommendations or comments by the public.

REQUESTED ACTION:

As may be desired.

ATTACHMENT:

None.

Item Number 4

Executive Director's Report

DISCUSSION:

For presentation is a table showing the MPOAC Budget from last fiscal year and another table showing expenditures to date for State Fiscal Year 2021 which began July 01, 2020. Also included is a report of the MPOAC Staff Leadership Meeting which was held with the Florida DOT staff on September 21 and 22, 2020.

REQUESTED ACTION:

As may be desired.

ATTACHMENTS:

Budget Table for State Fiscal Year 2020 which ended on June 30, 2020.

Budget Table for State Fiscal Year 2021 to date.

Meeting notes from the Staff Leadership Meeting of September 21 and 22, 2020.

**Florida Metropolitan Planning Organization Advisory Council
FY 2019/2020 Budget
July 1, 2019 to June 30, 2020**

Category	Annual Allocation	1st Qtr Expenditures 7/1/19-9/30/19	2nd Qtr Expenditures 10/1/19-12/31/19	3rd Qtr Expenditures 1/1/20-3/31/20	4th Quarter Expenditures 4/1/20-6/30/20	Expenditures to Date	Remaining Balance
Salaries/Benefits	\$ 177,000	\$ 41,319	\$ 45,730	\$ 48,716	\$ 42,085	\$ 177,850	\$ (850)
Expense	\$ 55,661						
Travel	\$ 25,000	\$ 3,620	\$ 3,762	\$ 2,898	\$ -	\$ 10,280	\$ 14,720
Meetings	\$ 23,274	\$ 7,078	\$ 6,220	\$ 6,111	\$ -	\$ 19,409	\$ 3,865
Administrative	\$ 5,887	\$ 386	\$ 423	\$ 625	\$ 490	\$ 1,925	\$ 3,962
Membership Dues *	\$ 171,826	\$ 1,000	\$ 170,826	\$ -	\$ -	\$ 171,826	\$ -
							\$ -
Contracted Services							\$ -
General Counsel	\$ 22,000	\$ 3,125	\$ 2,770	\$ 3,568	\$ 4,708	\$ 14,170	\$ 7,830
							\$ -
Transportation Planning							\$ -
Univ. South FL (CUTR)	\$ 92,500	\$ 13,750	\$ 13,750	\$ 32,500	\$ 32,500	\$ 92,500	\$ -
MPOAC Institute	\$ 85,000	\$ 21,250	\$ 21,250	\$ 21,250	\$ 21,250	\$ 85,000	\$ -
							\$ -
Strategic Plan							\$ -
Florida State University	\$ 5,000	\$ -	\$ -	\$ -	\$ -	0	\$ 5,000
							\$ -
Total Federal Funds	\$ 607,487	\$ 91,528	\$ 264,731	\$ 115,668	\$ 101,033	\$ 572,961	\$ 34,526
							\$ -
Advocacy Activities							
Local Funds	\$ 10,500	450	935	7,265	1,070	9720	\$ 780
							\$ -
Total Budget	\$ 617,987	\$ 91,978	\$ 265,666	\$ 122,933	\$ 102,103	\$ 582,681	\$ 35,306

* FBT, FPTA, NARC & AMPO

**Florida Metropolitan Planning Organization Advisory Council
FY 2020/2021 Budget
July 1, 2020 to June 30, 2021**

Category	Annual Allocation	1st Qtr Expenditures 7/1/20-9/30/20	2nd Qtr Expenditures 10/1/20-12/31/20	3rd Qtr Expenditures 1/1/21-3/31/21	4th Quarter Expenditures 4/1/21-6/30/21	Expenditures to Date	Remaining Balance
Salaries/Benefits	\$ 182,310	\$ 39,882	\$ -	\$ -	\$ -	\$ 39,882	\$ 142,428
Expense	\$ 55,661						
Travel	\$ 25,000	\$ 242	\$ -	\$ -	\$ -	\$ 242	\$ 24,758
Meetings	\$ 23,274	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 23,274
Administrative	\$ 5,887	\$ 506	\$ -	\$ -	\$ -	\$ 506	\$ 5,381
Membership Dues *	\$ 171,826	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 171,826
							\$ -
Contracted Services							\$ -
General Counsel	\$ 22,000	\$ 1,914	\$ -	\$ -	\$ -	\$ 1,914	\$ 20,086
							\$ -
Transportation Planning							\$ -
Univ. South FL (CUTR)	\$ 92,500	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 92,500
MPOAC Institute	\$ 85,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 85,000
							\$ -
Strategic Plan							\$ -
Florida State University	\$ 5,000	\$ -	\$ -	\$ -	\$ -	0	\$ 5,000
							\$ -
Total Federal Funds	\$ 612,797	\$ 42,544	\$ -			\$ 42,544	\$ 570,253
							\$ -
Advocacy Activities							
Local Funds	\$ 10,500	0	\$ -			0	\$ 10,500
							\$ -
Total Budget	\$ 623,297	\$ 42,544	\$ -			\$ 42,544	\$ 580,753

* FBT, FPTA, NARC & AMPO

MPOAC Executive Leadership Meeting

September 21-22, 2020
Microsoft Teams Online

Meeting Objectives

This is a meeting of the Metropolitan Planning Organization Advisory Council (MPOAC) Leadership Team (Chair, Vice-Chair, Recent Past Chair, and two other MPO Staff Directors) and Florida Department of Transportation (FDOT) Central Office Staff. The committee meets twice per year to discuss issues related to the Metropolitan Planning Program.

The objective of this meeting is to discuss topics and issues that affect the Metropolitan Planning Program. This includes optimizing the MPOAC structure to improve communication and coordination of program goals. The meeting also allows MPOAC Leadership to gain access to Central Office staff, providing feedback, and identify opportunities for efficiencies and innovation.

For additional information, please contact Erika Thompson at (850) 414-4807 or Erika.Thompson@dot.state.fl.us.

Meeting Agenda

Monday, September 21, 2020

Time	Topic
1:00 p.m.	Welcome and Introductions <ul style="list-style-type: none">Status of Action Items from Fall 2019 MPOAC Leadership Meeting
1:30 p.m.	UPWP Discussion <ul style="list-style-type: none">Challenges this CycleRegional Planning EffortsTemplate Development Plan
2:30 p.m.	Transportation Performance Management (TPM)-Tracking Progress
3:00 p.m.	Break
3:15 p.m.	Revenue Projections <ul style="list-style-type: none">Impacts on Preservation/Maintenance, Capacity, Transit, Legislative Mandates SIS Cost Feasible Plan
4:00 p.m.	Florida Transportation Plan Update
4:15 p.m.	23 CFR Part 667 (Double Dippers)
4:45 p.m.	Managed Lanes Policy Discussion

Tuesday, September 22, 2020

Time	Topic
8:30 a.m.	Welcome and Day 1 Recap
9:00 a.m.	SU Fund Swap Study
9:30 a.m.	Consolidated Planning Grant Update
10:00 a.m.	Break
10:15 a.m.	Planning for the 2020 Census
10:45 a.m.	SU Funds – Effective Use of Funds
11:00 a.m.	MPO Document Portal Discussion
11:15 a.m.	Open Forum Discussion
11:45 a.m.	Wrap Up

Meeting Attendees

Meeting attendees are listed in the table below.

Attendee	Office / Agency
Austin Mount	Emerald Coast Regional Council
Beth Alden	Hillsborough MPO
Don Scott	Lee County MPO
Greg Stuart	Broward County MPO
Lois Bollenback	River to Sea TPO, Chair of the MPOAC Staff Directors Group
Carl Mikyska	MPOAC
Stacey Miller	Assistant Secretary of Finance and Administration
Huiwei Shen	Office of Chief Planner
Allison Stettner	Office of Policy Planning
Erika Thompson	Office of Policy Planning
Mark Reichert	Office of Policy Planning
Samantha Parks	Office of Policy Planning
Scott Philips	Office of Policy Planning
Raj Ponnaluri	Office of Traffic Engineering & Operations
Trey Tillender	Office of Traffic Engineering & Operations
Chris Bratton	Office of Work Program and Budget
Kendra Sheffield	Office of Work Program and Budget
Sean McAuliffe	Office of Work Program and Budget
Stephanie Certain	Office of Work Program and Budget
Chris Wigglesworth	Public Transit Office
Gabe Matthews	Public Transit Office
Gerald Goosby	Systems Implementation Office
John Kaliski	Cambridge Systematics
Richard Denbow	Cambridge Systematics
Macy Fricke	Kimley-Horn

Meeting Summary

Day 1: Introductions

Mark initiated introductions by welcoming everyone to the meeting and reviewing the agenda. He requested flexibility with agenda items as staff may need to leave and rejoin the call. He also noted the MPOAC Leadership Team added two new staff directors. Those present announced themselves.

Carl thanked everyone for making time in their schedule for this meeting, and Alison highlighted the importance of collaboration and offered the Department's support.

Status of Action Items from the Fall 2019 MPOAC Leadership Meeting

Action Item	Person	Status	Notes
Develop and share a more predictable schedule and process for the Tentative Work Program		On list of legislative priorities	<ul style="list-style-type: none"> The Department seeks to be on the early legislative session schedule permanently. If you send the Department information as soon as possible, it helps the Department's programming process.
Remind the Metropolitan Planning Organization (MPO) Liaisons of their role in Federal Highway Administration (FHWA) contract review	Mark/Erika	Complete	<ul style="list-style-type: none"> We have reminded the District MPO Liaisons.
Identify exactly what FHWA requires in contracts with MPOs	Mark/Erika	In progress	<ul style="list-style-type: none"> We are still working on this action item and need to clarify if this is about third party contracts or the MPO Agreement. Currently, the District MPO Liaison role is minimal in reviewing third party contracts. We will coordinate with FHWA on the District MPO Liaison role in reviewing third party contracts. Yes, we were wondering if District MPO Liaisons should review the contracting

Action Item	Person	Status	Notes
			process and supporting documents for competitive procurements.
Update the MPO Handbook to better describe MPO Liaison roles in timesheet review	Erika	Complete	<ul style="list-style-type: none"> We have provided a copy of this to everyone. We set up a process for the Chair's timesheet approval.
Dedicate a session to MPO and transit agency coordination at the next Florida Public Transit Association (FPTA) Annual Conference	Gabe	In progress	<ul style="list-style-type: none"> The FPTA conference is October 6-9, 2020. I am coordinating panelists and Jeff Kramer is presenting about the CUTR's research on transit agency coordination.
Share the Federal Transit Administration (FTA) Circular 8100.1C for additional guidance on the consolidated planning grant (CPG)	Scott	Complete	<ul style="list-style-type: none"> We sent this fall of 2019.
The MPOs would like a graphic that can be easily shared through social media to illustrate to the Department's Resilience efforts	Jennifer/Erika	Complete	<ul style="list-style-type: none"> We shared the resilience subject brief and other information gathered through the resilience peer exchange. We also have a resilience SharePoint that anyone can access.
Research if the MPOs can use the new state travel management system	Mark	No	<ul style="list-style-type: none"> No, they cannot.
Research if MPOs can use CITS to process invoices for consultant management	Mark	No	<ul style="list-style-type: none"> No, but I will ask again. Thank you, this would help the District MPO Liaisons as well.
Confirm with FHWA that Consensus Documents are required to be adopted annually	Mark	Yes	<ul style="list-style-type: none"> Yes, this was the case. If you take it before your Board as an individual action, it can be done once.
Include a guarantee that MPOs will be held harmless during the transition into the	Mark/Scott	In progress	<ul style="list-style-type: none"> This was always the intent. Work with OGC to develop language to be added to the MPO Agreement.

Action Item	Person	Status	Notes
CPG in the new MPO agreement in January			
Develop an FAQ for the CPG based on questions and comments received from MPO staff	Scott	Complete	<ul style="list-style-type: none"> Done
A roundtable for the CPG will be included on the FMPP agenda	Erika	Complete	<ul style="list-style-type: none"> May not be a roundtable, but the CPG will be a major part of the FMPP.
Identify an example Unified Planning Work Program (UPWP) and illustrate potential changes before and after the adoption of the CPG	Scott/Erika	Complete	<ul style="list-style-type: none"> Done
Share the Florida Transportation Plan (FTP) Safety Subcommittee Friends list signup information	Dana/Carl	Complete	Done
Create a place on the FTP website that MPOs can pull social media content information from	Dana	In progress	Will provide link to the MPOs. There is much content on the FTP website, they can use.
Share the official Resilience definition from the Chief Resilience Officer	Erika	Complete	<ul style="list-style-type: none"> The definition is available in LRTP resilience quick guide.
Discuss Transportation Performance Management (TPM) date alignment with FHWA	Mark	On hold	<ul style="list-style-type: none"> We are holding off on this.
Develop a subgroup of MPOs to draft language for the Dispute Resolution Process	Erika/Carl	Not scheduled yet	<ul style="list-style-type: none"> We will do this when we update the MPO Agreement. The detailed process outlined in the MPO Handbook elevates issues less quickly than the process in MPO Agreement. Let's discuss this at the next MPOAC meeting.

Action Item	Person	Status	Notes
Update or draft a process for updating the Planning (PL) Formula Allocation at the next MPOAC Policy and Technical Meeting	Carl	No meeting scheduled	<ul style="list-style-type: none"> • How do we want to address census derived funding in anticipation of the new census and transportation bill? Do we want to tackle this now or later? • We don't have historical data older than the early 2000s. The last 10 years have been \$350,000 base, plus population.
Share history of the PL funding distribution formula and detailed instructions on calculation amounts with the MPOs	Carl	In progress	<ul style="list-style-type: none"> • We have the last four distribution formulas. • Does Jeff have any information? • Let's revisit this based on how the federal government is providing the funding, then consider how we are doing it. We could use the Census as the data source, rather than Bureau of Economic and Business Research (BEBR) estimates. • Florida is getting short changed. • Let's document what we did in the past and consider if there is a more appropriate way to distribute the funding. Let's go forward sooner rather than later.
Confirm with FHWA that there is no federal requirement to complete the Joint Certification annually	Mark/Carl	Complete	<ul style="list-style-type: none"> • There is not.
Determine potential interest for a four-year frequency of Joint Certifications	Mark/Carl	In progress	<ul style="list-style-type: none"> • We have to keep doing the risk assessment annually. • In favor of continuing, if we make it more meaningful. There are valuable components. • Invoicing was a challenge during the assessment, and it is following us.

Action Item	Person	Status	Notes
			<ul style="list-style-type: none"> • There is a six month lag. We are happy to consider improving the process. • Recommend Carl bring this up at an MPOAC meeting so that we can make this a two-sided, partner review. • Recommend we start this now, so that we can make adjustments before January when the process starts again.
Share the link to Trena McPherson’s map and information for how law enforcement can apply for Safety funding	Erika/Carl	Complete	<ul style="list-style-type: none"> • Completed.
Trena will be invited to speak at Florida Metropolitan Planning Partnership (FMPP)	Carl	Complete	<ul style="list-style-type: none"> • She presented.
Confirm with all MPO liaisons that all (Long Range Transportation Plan) LRTP updates are scheduled to be submitted	Erika	Complete	<ul style="list-style-type: none"> • About 15 LRTPs are due between now and December. Liaisons are staying on top of due dates and everyone seems to be on schedule. • What do we know about the timing of LRTP approval and is there a chance to change our adopt date in the future, other than adopting it earlier? • You can adopt early to change the date. • Correct, five years starts on the adoption date. You can always adopt early, but you cannot adopt late.
Share a summary of the MPOAC Executive Leadership Meeting in the next meeting packet	Carl	In progress	<ul style="list-style-type: none"> • We will share these meeting notes with everyone and make this an agenda item at MPOAC meetings. • Sounds good.

Action Item	Person	Status	Notes
Jeff Kramer will be asked to present the MPO/Transit agency coordination study results at the 2020 Florida Public Transportation Association Annual Conference	Carl	On FPTA agenda	<ul style="list-style-type: none"> On the FPTA agenda.

UPWP Discussion

The Federal Highway Administration (FHWA) would like regional activities to be described consistently across the Unified Planning Work Programs (UPWP). Central Office met with FHWA to kick off an effort to develop an UPWP template. Any ideas or suggestions?

Discussion

- My MPO developed a draft outline in January when we didn't have much information and submitted a draft to our committees and board in March. If we could get funding estimates and planning emphasis areas earlier, we can better include the information in the draft plan, resulting in less changes. Approvals can be a challenge with a monthly meeting cycle.
- Thank you for the support on how to show regional tasks. The MPO received FHWA's comments with very little time to address them.
- UPWPs can be consistent across the state, no matter the size of MPO. Could Central Office share UPWP best practice research with FHWA?
 - Yes. We reviewed UPWPs across the state and found 25 different formats (the three under the ECRC are similar). The goal is to develop a consistent structure, address challenges with regional tasks, and ensure UPWPs meet federal requirements. The biggest challenge will be developing a consistent budget table that meets everyone's needs. FHWA is supportive of a consistent layout and budget tables.
- My MPO supports this effort. This year, we tried to streamline and focus on terminology. Can another term be used instead of Administration to account for the operations of the MPO?
 - MPO operations is another term that can be used.
- What kind of feedback did Central Office get from FHWA on how to show regional tasks?
 - Regional tasks would be their own category.
 - The regional tasks must be separate and match from MPO to MPO.
- Does the bottom line PL budget amount get changed for each MPO? Or does the PL budget go to the MPO and in the future one MPO invoices the other?

- Central Office agreed it was not off the top, and we are getting FHWA on board. They are concerned with the invoicing process, and we hope a template adds transparency to resolve this. We prefer invoicing because it is more accountable and transparent. The issue was formatting and nomenclature; they were not concerned about the activities.
- FHWA will review the consultant scope of work after MPOs pool resources to hire someone.
 - Yes, they know.
- Central Office will keep everyone informed and develop a product that meets everyone needs for a more efficient process in the future.
- Some MPO Board members that are used to a different template may be concerned. It will be harder to track changes and model trends for a cycle.

Transportation Performance Measures – Tracking Progress

John Kaliski provided some updates on TPM.

Upcoming Milestones: Safety

- On or before February 27, 2021, MPOs must commit to support safety targets, or establish their own safety targets.
- By March 2021, FHWA must notify state DOTs whether they met or made significant progress toward safety targets.
 - FDOT Highway Safety Improvement Program (HSIP) Implementation Plan submitted July 2020.
 - Strategic Highway Safety Plan (SHSP) update to be completed by early 2021.

Discussion

- Does FHWA have a formal review process in place?
 - Yes, there is a standard process. Signification progress for the Safety targets means that four out of five measures are better than the baseline, or targets are being met.
- My understanding is that there is no penalty to Florida if progress is not being made towards our zero-based targets because all of our federal safety funds are already being used for safety projects.
- Is the HSIP plan available online?
 - Not yet, FHWA has not approved it yet.
 - Central Office will let you know when it is posted.

Upcoming Milestones: PM2 and PM3

- The Mid Performance Period Progress Report is due on October 1, 2020.

- It will address 2-year performance and progress towards achieving 2-year targets.
- FDOT does not intend to Adjust 4-year targets for PM2 (bridge/pavement) and PM3 (system performance).
- In October of 2020, FHWA will notify state DOTs whether they met or made significant progress toward targets for:
 - Bridge condition
 - Non-Interstate NHS pavement condition
 - Interstate travel time reliability
 - Truck travel time reliability
- Central Office will let you know if the MPOs need to take any action.

Upcoming Milestones: Transit Asset Management

- On or before October 1, transit providers (and FDOT for the group transit asset management (TAM) Plan) must report transit asset data to FTA and establish 2021 transit asset targets.
- MPOs may choose to update targets for their planning area when they update their LRTPs or TIPs.

Upcoming Milestones: Transit Safety

- On or before December 31, 2020 (extended from July 20), transit providers subject to requirement must complete Public Transportation Agency Safety Plan and establish applicable targets.
- MPO responsibilities:
 - Within 180 days of transit provider action: must commit to support transit provider targets or establish their own targets.
 - MPOs that update or amend an LRTP or TIP that is approved on or after July 20, 2021 must incorporate the public transit safety performance measures and targets.

Upcoming Milestones: FDOT System Performance Report

- The Performance Element of FTP will be submitted December 2020 in conjunction with FTP Policy Element.
- It focuses on statewide targets.
 - It also identified MPOs that established their own safety targets.
- Future updates may be more comprehensive.

Reporting of Performance Data

- Reporting of performance data to be used in tracking progress toward achievement of critical outcomes for the MPO planning area.

- Roles include:
 - FDOT: Report to FHWA or FTA as applicable, and share with each MPO and transit provider, performance for the state showing progress being made towards attainment of each target established by FDOT.
 - MPO: If an MPO establishes its own targets, the MPO will report to FDOT on an annual basis performance for MPO area showing progress being made towards attainment of each target.
 - Transit provider: Report transit performance annually to MPO(s) covering the provider's service area, showing progress made toward attainment of each target established by provider.

Discussion

- Transit agencies and MPOs will work together on reporting progress. Transit providers must provide performance updates to the MPOs.
- Coordinating with transit providers can be a challenge. The Department may be able to support when reviewing Transit Development Plans (TDPs) or by adjusting the Intergovernmental Coordination and Review (ICAR) agreement to elevate coordination. The timing of safety targets with the TIP can also be a challenge. Could the TIP template be updated to discuss how projects in the TIP help achieve safety targets?
 - Yes, Central Office can do that. The eight MPOs with their own Safety targets have to demonstrate progress towards goals.
 - Yes, Central Office can adjust the TIP template to demonstrate progress towards targets.
- Is there interest by FDOT to have information from MPOs about projects in TIPs that support targets?
 - That would be very beneficial.
- Broward MPO, Miami-Dade TPO, and Tri-Rail all provide transit services. Should all operators present the same information to all MPOs in the region? Who would collect this information and share it?
 - They may not know they need to send it to you, and the Department does not know who is supposed to communicate what to who at what agency. We need to figure out who and what needs to be communicated to each other (MPOs, transit agencies, and FDOT). The next step may be a meeting with each MPO and all of its transit agencies.
 - Let's bring it up at FPTA.
 - Agreed.
- How does the Department want to report progress for MPOs that did not adopt the state targets?
 - If you adopted independent measures, I am not sure how we want to handle data/reporting.

- This may be a federal finding.
- The MPO can provide ample information on how we integrate the targets into our planning. Just let us know what you need.
- Central Office can look into how to address this with the TIP. We may be able to handle this informally the first year.
- The regulation puts onus on the transit provider to give information to MPOs with transit projects in the TIP.

TPM Templates

- Template for discussing TPM in TIPs:
 - Updated June 2020.
 - Will update again early 2021.
- Template for LRTP System Performance Report:
 - Updated June 2020.
 - Will update again October 2020 following Mid-Period Performance Report and early 2021 following completion of Public Transportation Agency Safety Plans (PTASPs).

Revenue Projections

Stacey Miller provided an update on revenue projections based on the COVID-19 Pandemic:

- Projecting lost revenue through 2030.
- As a cash to commitment agency, the Revenue Estimating Conference (REC) generates revenue projections and we convert that to allocations. There is a \$768.3 million dollar impact to state funds in the current year (allocation) and the Department is still trying to figure out where those resources will come from.
- I have no information about specific programs; we are trying to spread it around. We are considering a hierarchy:
 - Everything that is under contract, obligations take precedent. We are not stopping contracts.
 - Pay outstanding debt, debt service.
 - Safety
 - Preservation
 - Capacity
- The Department may be able to mitigate impacts in later years, but is focused on the current year of the Work Program.
- The Department wants to preserve priority process and does not want to move projects from this year to a new year.
- The districts are also reviewing planned/programmed projects for potential cost savings rather than deferring project phases.

- We hope to send allocations to the Districts by the end of the month.
- It may be October before we know where all reductions will occur.
- Hopeful for a quick rebound with an uptick in traffic. Currently, Work Program is not balanced to revenue due to a \$768.3 million dollar loss.

SIS Cost Feasible Plan Update

Gerald Goosby provided an update on the Strategic Intermodal System (SIS) Cost Feasible Plan (CFP) update:

- The SIS CFP update is on hold due to the pandemic.
- Central Office worked with the Districts to pull together priority project lists. This is a good pausing place until the CFP starts again.
- We had a kickoff meeting in January, completed a presentation with the MPOAC, and held coordination meeting in March.
- Once the budget is set, the SIS team will develop the 10 year work program. There will be impacts to the CFP due to a shortage of available funds. Projects will be deferred and captured somewhere in short-, mid-, or long term plans. We will slow down and recalibrate, rather than remove projects.
- We are working through projects deferred out of the Work Program and now in the CFP. We are also waiting for the FTP policy plan to see if there are any shifts in priorities. We will restart the CFP effort in January after the FTP policy document is adopted.

Discussion

- Coordination and communication outlined at the beginning of this effort was not necessarily carried forward at the district level. The establishment of a clear process or approach could help FDOT & MPO's communicate, coordinate, and participate as intended. We suggest FDOT establish/communicate a process for updating the SIS CFP as a way to improve efforts in the future.
- Projects are now very different than what's in updated LRTPs that are about to be, or are already, adopted. There is concern that what was submitted is not consistent with the plan, which includes a lot of public outreach.
 - Nothing is set in stone yet, so we can address any changes. Let's set up a meeting to review the project list together.
- My MPO had sent some correspondence about a particular project that is not consistent with our plan. We did not receive any response and the project is still on the list. A response letter (like District 4) helps communicate choices and decisions to local government.
 - Central Office is sensitive to communicating rebalancing SIS projects.
 - Try to keep SIS coordinators in the loop.

- District MPO Liaisons and District SIS coordinators will better coordinate.

Florida Transportation Plan Update

Dana Reiding provided an update on the FTP:

- We are drafting the policy document to be adopted in December 2020.
- We have been doing targeted outreach by talking to statewide advocacy groups, such as health departments, the Florida Farm Bureau, the Able Trust, etc.
- We are developing a virtual room that will be available on October 1st. We will be pushing it out via social media.
- TransPlex is on Friday mornings throughout October.
- The Department is posting the Strategic Highway Safety Plan (SHSP) and FTP for public comment in November.
- There will be an implementation element developed next year.
 - The Steering Committee (SC) will continue with the short- and near-term implementation element and feedback on SIS Policy Plan in January.
- Carl Mikyska is doing a webinar with the MPOs to discuss the key strategies and objectives. We are seeking feedback on how they align with your plans. We are focusing on a handful of key strategies to shift policy.
- Greg Slay has been doing a great job representing the MPOs and MPOAC. We are open to new suggestions.
- There is a SC meeting next week and one in November to review the FTP policy document. There will be three to four virtual meetings next year.

Managed Lanes Policy Discussion

- My MPO (Hillsborough) requested this item because we are having a workshop on managed lanes soon and the Department issued a new policy in May. There is a lot of flexibility in the approach, but not a lot of information about the decision-making process and how MPOs and the public can participate. Can you share any information before the workshop?
 - What about variable toll rates?
 - How are you considering transportation equity?
 - What about transit alternatives to the highway system?
- It may be best to consider one project at a time, since every region is different. Central Office looks forward to working with each District and MPO. FDOT is developing a guidebook on managed lanes. Flexibility is important.
- A lot of these are planning questions. We can talk in detail about the variable lanes, but it's very context and project specific.

- Thank you for developing a guidebook. Who makes decisions on the management strategy? Is it part of the economic impact statement? Is it part of the design process? What is the process, when does it start, and when does it end?
 - We do not know.
 - Managed lanes is about throughput.
 - If there is not a decision-making process, would you allow the District office to create one?
 - Can Ed McKinney in District 7 connect with Mark Reichert on this?
 - Yes, I'll get with Ed. We hear your concerns.

23 CFR Part 667 Periodic Evaluation of Facilities

23 CFR Part 667 is related to facilities that are repeatedly impacted during disaster declarations. The Department has been considering if there is an impact to the MPOs. Richard Denbow provided an update:

- Requires states to perform statewide evaluations to determine if there are reasonable alternatives to roads, highways, and bridges that repeatedly require repair and reconstruction activities due to emergency events.
- FDOT completed first evaluation on November 23, 2018 for the National Highway System (NHS).
 - Permanent Repairs on NHS Roads & Highways (2 or More Occurrences).
 - Permanent Repairs on NHS Bridges (1-Time Occurrence).
- Tribally owned and federally owned roads, highways, and bridges are not subject to evaluation.
- Non-NHS: Beginning on November 23, 2020, FDOT must complete an evaluation for a repeatedly damaged non-NHS facility before any project relating to that facility can be included in the Statewide Transportation Improvement Program (STIP).
- FDOT will work cooperatively with MPOs and facility owners to carry out evaluations for affected non-NHS facilities.
- FDOT must consider the results of the evaluations in project planning, Project Development and Environment (PD&E), and design.
- FDOT will update the evaluations every four years, as well as add any affected NHS facilities after every emergency event.
- There are no explicit requirements in Part 667 that apply to MPOs.
 - FDOT and MPOs are encouraged to consider evaluations when developing transportation plans and programs and during environmental review.
- Federal MPO planning requirements related to Part 667:
 - Resiliency and reliability planning factors.

- LRTPs must include an assessment of capital investment and other strategies that reduce vulnerability of existing infrastructure to natural disasters.
- When developing a LRTP or TIP, MPOs should consult with agencies and officials responsible for natural disaster risk reduction.

Discussion

- Do Projects that end up in this report have to be addressed before anything is put in the STIP?
 - Evaluation has to be done.
- Is 1997 a hard date?
 - Yes, the evaluation analyzes projects from January 1, 1997 through December 31, 2017.
- Is the Department looking at segments or whole systems?
 - There is guidance out there that I can send you.
- How are/were segments or criteria developed?
 - We did it by roadway ID for the first report. We could use the same methodology.
- Can you share the report with the MPOs?
 - Yes, and sometimes parts of the road are not federal.
- Many MPOs are doing vulnerability assessments now. We don't want to wait for a second event. This is an important conversation to have now, considering the TIP and LRTP impacts.
- My MPO looks forward to seeing how this ties into other resiliency efforts.

Day 2: Welcome and Recap

Mark Reichert welcomed everyone back to the meeting and recapped the previous days discussion.

SU Fund Swap Study

The Center for Urban Transportation Research (CUTR) has been doing some research.

- CUTR has been contacting states that implemented this program. There has been a lot of staff turnover and retirement, so it is not easy to answer the question – Why did you decide to do this program? Some states are not sure why they are doing it, or they are not doing it anymore. Trying to understand why they got rid of it was interesting. CUTR will share a report and case studies soon, covering what worked well and not well. Then, let's discuss what to do here in Florida.

Discussion

- Has anyone reached out to Lorraine Moyles in the Local Administrated Project (LAP) office? She arranged a webinar a year ago that involved representatives from other

states. The District has been interested in this to help create more stability in the work program.

- Projects could be delivered in 2-3 years, rather than 5-7 years.
- My MPO struggles with staff turnover and LAP certification because we have to wait for training. It is also hard to find a LAP sponsor sometimes. Easier access to funds would help implement projects.
- Some of the items being discussing may not be addressed by this because not all funds are captured in LAP.
 - Understood, LAP is broader than SU.
- Could we look into these programs in the future?
 - First, the Department needs to understand intent and overall goal of the SU fund swap.
- Focusing on SU, Washington did a swap of 75 cents to the dollar.
- Could we try a pilot program?
- The funds swap can be with each other, local government to local government. This may be powerful for Transportation Alternatives (TA) funds. Local governments could purchase TA funds from each other.
- We will wait for the CUTR study and go from there.

Consolidated Planning Grant

The Office of Policy Planning has been conducting research since 2018 and intends to continue pursuing the CPG with the recognition that the MPOAC previously moved in support of continued discussion to advance this effort. We are working on a business plan and approach moving forward. We need full buy-in from MPO partners.

- We are quantifying the benefits to the Department and the MPOs. Carl sent out a survey to support this effort. Please help us by completing it. Through our research, we already found that we manage 81 agreements (MPO agreement and Public Transportation Grant Agreement [PTGA]) during a UPWP cycle. We could eliminate the PTGA and expedite approvals and fund authorization. We would maintain the current match scenarios. The CPG would make invoicing easier because you will not need authorization or approval from FTA or transit liaisons.

Discussion

- An MPO expressed support for the CPG. One question– 5305(d) funds are available for three to five years and they roll. The two year agreement doesn't have the same flexibility.
 - The 5305(d) are available for two years, not five. The Department allows the MPOs to extend their grant agreements, but we can't change the purpose of the funds if they are older than three years. We have issues with MPOs not following

- the state procurement guidelines and this goes away if the Department implements the CPG because there will be one set of procurement guidelines.
- That is a one-time issue. As long as funding is available, FHWA should be able to back the 5305(d) funds.
 - FTA doesn't want us keeping the grants open for longer than three years anyways, and we are working towards that.
- We have time to discuss this at the FMPP where the MPO finance officers will be in attendance. It is important to get people together and discuss implementation and transition. When we transitioned to the two year UPWP, the Department was clear that they would support us, handle any wrinkles, and not hold up funding. We would like to see the same level of support. Let's continue the discussion so that everyone can get comfortable.
 - FTA would close out any open grants. The current grants would not be transferred to the CPG.
 - FTA initiated this effort because they were tired of managing so many grants.
 - My MPO supports this effort and have met professionals in other states that strongly support this.
 - Florida statutes and regulations make this harder for us than other states. We are committed to holding MPOs harmless and are working with the Office of Work Program and Budget (OWPB) to address this.
 - Other states don't have the same restrictions. Funding is available the first day of the UPWP.
 - Florida is exceedingly unique. We cannot use a lot of what the other states use. There were rules imposed on the Department after it went bankrupt in the 1980s. We will try to work through all of this.
 - This is change and some people are cautious of change. The list of pros is longer than the cons. Let's not forget procurement. MPOs could benefit from a discussion on the pitfalls and challenges of procurements.
 - Central Office wants to get into the details and quantify the benefits to help move forward. The details related to change make everyone cautious, so we are doing additional research to make sure benefits are well documented and thought-out. Eliminating contract management is good common sense, but we want to share a consistent message of benefits and changes to move forward.
 - Can the MPAOC Leadership Team help address a response to known concerns/issues?
 - Yes, we are putting that together and will coordinate with you.

SU Funds – Effective Use of Funds

Many states have a use it or lose it policy. If the funds are not used, they are returned to the fund. There are many MPOs with funds that are not encumbered at the end of the year. This would eliminate roll forwards.

Discussion

- Would the Department be providing SU funds to non-Transportation Management Areas (TMAs)? Or just TMAs?
 - We haven't gotten into the details yet, but it could be SN/SA/SL funds.
- It would be a very attractive opportunity for non-TMA MPOs. \$50,000-\$100,000 can be a lot of funding for a small MPO. Alabama does this in conjunction with PL funds. Is there any interest in considering PL funds too?
 - We are just getting the conversation started.
 - Georgia does the same thing with their PL funds. Any unspent PL funds at the end of year get redistributed based on demand. We can discuss in the future.
 - In Alabama, the MPO has to match the competitive PL funds by 20 percent. Florida does the local match.
- As a major SU funds consumer, my MPO had to adjust our approach to spend the funds in the second year of the UPWP budget cycle. A round table related to best practices may help other MPOs understand that they need to spend the money.
- 15 MPOs use SU funds. At some point, all MPOs will be using SU funds.
- A roundtable would help MPOs learn from each other, but we also need to include FDOT staff. We all have a different perception and approach to these funds. It can be a challenge to start a budget cycle with extra funds.
 - Agreed, it was difficult to spend \$3 million in unexpected funds with short notice.
 - This is an ongoing discussion, and the Department is trying to figure out how to handle this statewide. We need clearer policies on spending down funds and how to show these funds are going to meaningful tasks. We understand that short notices can be a challenge.
- This could also affect all MPOs Surface Transportation Block Grant (STBG) funds. The 80/20 rule is one of our biggest challenges.
- The Department has taken the lead on programming the Florida-Alabama MPOs funds based on our priorities. Funds go to design and PD&E, but limited funds go to bike/ped, etc. It may be helpful to see how the other MPOs program their SU funds.
- It would be nice to eliminate the 80/20 rule. SU funds can appear out of nowhere and the MPO has to work closely with the Work Program to spend the funds as desired.
- Central Office will work with Carl to get a roundtable at MPOAC.

Planning for the 2020 Census

There will be no new MPOs, but a few new TMA areas. We have no direction from Florida FHWA yet. FHWA did share a timeline based on the 2010 census.

Schedule of Activities

Date	Activity
August 24, 2011	U.S. Census Bureau published the final criteria for the defining of urbanized areas (UZAs) and urban clusters (UCs) in the Federal Register.
March 27, 2012	The Census Bureau published the new list of UZAs and UCs based on the 2010 Census in the Federal Register and released TIGER/Line geographic Shapefiles for the 2010 UZAs and UCs on the 2010 Census TIGER/Line Shapefiles website.
April 24, 2012	HEPGIS (beta) includes UZA and UC boundaries, including the ability to download shapefiles
July 18, 2012	USDOT (FHWA/FTA) published the new list of Transportation Management Areas (TMAs) in the Federal Register
Before October 2012	States should revisit their Intra-State formulas for metropolitan planning (PL) funds allocations to MPOs to ensure that the new Census 2010 population figures are being used and that any new MPOs are part of the calculation.
Before next regularly-scheduled MTP update, after October 1 st , 2012, or within 4 years of the designation of the new UZA boundary, whichever occurs first	Existing MPOs must expand their Metropolitan Planning Areas (MPAs) to include all territory in Census 2010 UZAs (if necessary)
March 27, 2013	New MPOs must be designated by Governor(s) to represent all new UZAs
January 18, 2014	New TMAs must have a Congestion Management Process (CMP)
June 1, 2014	Any adjustments to UZA boundaries must be approved by the Governor(s) and FHWA Division Office(s). FHWA will consider all boundaries final as of this date and will use the original 2010 Census UZA boundaries for all UZAs that have not been adjusted. The 2014 HPMS data submission must conform to the approved boundary as of June 1, 2014.
March 27, 2016 (4 years after list of UAs is published)	New MPOs must have a formally adopted Long-Range Metropolitan Transportation Plan (MTP) and Transportation Improvement Program (TIP)

Discussion

- Very few of us on the call have gone through a new Census. We need to consider Florida Statutes 339.175 and ICARs. It would be helpful to have regular meetings and a timetable. Last Census, agreements went to FDOT legal very late. Is there any interest in changing the voting member cap? Other items that have come up include: Is there any desire to prohibit weighted voting? A desire to waive or establish term limits? Questions like this might come up.
 - In 2000 and 2010, there was a desire to encourage new MPOs to join existing MPOs. This could come back up.
 - My MPO Board took advantage of the 25 voting member increase previously. Some MPOs may be interested in combining.

- Should this be a regular item on the MPOAC staff director's agenda?
 - Yes, it is important to have continuous discussions on this. It will be important to consider where population will be based so the boards can be rebalanced. We should come in with a proposal, or the legislature may make one. We may also have to deal with inaccurate population counts.
- This is a broad topic. Beyond the Census, boundaries can be an issue. If an approach is taken to the legislature, can we add virtual meeting options into that?
- We will also have to reconsider the boundaries of our urbanized areas. The potential for undercounts is concerning.
 - Agreed, undercounts are concerning.
- Merging may be a difficult conversation with the MPO Boards. Talking points would be helpful.

MPO Document Portal Discussion

The MPO Document Portal was updated to a sequential review process. The Office of Policy Planning developed training. Please have MPO staff take the training for access. We also created a new MPO Partner SharePoint site. The Portal will be here with other resources and tools.

Discussion

- The MPO is really excited to share this with staff. We are working on something similar and this will help us. Thank you!
- This will be very helpful for all of us. Is there a place where invoices and supporting documentation can be uploaded? Those get lost and resent quite a bit.
 - We have accounted for an informal process but have not worked with Districts on their individual processes. We could probably do this in the future.

Open Forum Discussion

- Is the LAP program going to be expanded?
 - We will look into it and get back to you.
- What is the role of District MPO Liaisons? It appears as though their role is changing. Are their roles tailored in each District? Can Central Office provide a description of expectations for that position? Then, if there is tailoring done at a District level what that involves.
 - This is an on-going conversation. Office of Inspector General (OIG) reviewed their role and they issued a report. We have not taken action, but the role is slightly tailored in each District. This is not driven by Central Office.
 - District 5 tailored this position to include more planning responsibilities to the MPO, in addition to contract management. We used to prioritize processing invoices over planning and facilitation. The Districts may have taken different

approaches to the audit. We try to be consistent across the Districts, but planning is not consistent across the Districts because we have to be unique to our MPOs. We could make more progress in this area. The District MPO Liaison should know about all projects in their area and be communicators between FDOT and local governments. Contract management should be a smaller task, just making sure all expenditures are eligible.

- The clear vision is appreciated. Across the state, the role should be clear including what is tailored at the District.
- The Department should tailor the role to meet MPO needs, so it is important to get feedback. Until there are fundamental changes, we may still experience communication issues. It takes a long time to get a District MPO Liaison up to speed.
- The OIG audits two to three MPOs a year. They are closing out the Pasco County MPO audit. The Ocala/Marion TPO audit is underway, and OIG is wrapping up the Hillsborough MPO audit.
 - Have they announced the new candidate MPOs?
 - No.

Wrap Up

Mark thanked everyone for joining the call. He asked everyone to review the notes, add to them, and share them as needed. He noted that everything discussed involves further communication and coordination and that the next MPOAC meeting is on October 29th, 2020.

Action Items

The table below summarizes actions items following the meeting.

Action Item	Person	Status
Identify exactly what FHWA requires in contracts with MPOs	Mark Reichert	
Share a summary of the MPOAC Executive Leadership Meeting in the next meeting packet	Mark Reichert/Carl Mikyska	
Share HSIP when it is online	Mark Reichert	
Update MPOs on when to take action for PM2 and PM3	Mark Reichert	
Adjust the TIP template to demonstrate progress towards targets	Cambridge Systematics	
Determine how to report progress for MPOs that did not adopt the state targets	Cambridge Systematics	
Discuss meeting with each MPO and all of its transit agencies at FPTA	Gabe Matthews	

Action Item	Person	Status
Review project lists	Gerald Goosby	
Follow up on Managed Lanes Policy and touch base with Ed McKinney	Mark Reichert	Done
Discuss SU Fund Swap once CUTR study is published	Mark Reichert/Carl Mikyska	
Add Effective Use of SU Funds to MPOAC roundtable	Carl Mikyska	
Add 2020 Census to MPOAC staff director's agenda	Carl Mikyska	
Follow up on role of MPO Liaison	Mark Reichert	
Share 23 CFR 667 Report with MPOs	Mark Reichert	

Item Number 5A

Agency Reports – Florida Department of Transportation

DISCUSSION:

Ms. Alison Stettner, Director of the Office of Policy Planning and Mark Reichert, Administrator for Metropolitan Planning, will update the members on the activities of Florida DOT and bring forward information of importance to the membership about Florida DOT efforts. Mr. Brad Thorburn, the Assistant Secretary of the Florida DOT for Strategic Planning will address the membership.

REQUESTED ACTION:

None requested. For discussion and action as may be desired.

ATTACHMENT:

None. Speaking notes will be distributed separately a few days before the meeting.

Item Number 5B

Agency Reports – Florida Division of Federal Highway Administration

DISCUSSION:

Ms. Cathy Kendall, Team Leader of the Planning Team and Ms. Karen Brunelle, Director of Program Development will update the members on the activities of the Florida Division Office of FHWA and bring forward information of importance to the membership.

1. Announcements

- Division Travel Limitations and Work Site Information
- Staffing Updates - Stacie/Teresa are the contacts D1 MPOs and Jim/Cathy for D3 MPOs.
- Tips for Social Media Outreach on TMA Certification Reviews – distributed Feb 2020 (attachment)
- Federal Planning Finding Annual Assessment results – Sept 2020 (attachment)
- Build Grant Awards
- Every Day Counts - State Transportation Innovation Council (STIC) Incentive Program Award
- FY19 Advanced Transportation and Congestion Management Technologies Deployment (ATCMTD)

2. Funding Opportunities

3. Legislation and Regulations

- a. FAST Act 1-year extension; Continuing Resolution through Dec 11th
- b. Transportation Performance Measures Updates (attachment)

REQUESTED ACTION:

None requested. For discussion and action as may be desired.

ATTACHMENTS:

Tips for Social Media Outreach on TMA Certification Reviews
Federal Planning Finding Annual Assessment
Transportation Performance Measures Updates



**Federal Highway Administration
Florida Division Office**

**Federal Transit Administration
Region 4 Office**

Tips for Social Media Outreach for Florida TMA Certification Reviews

Revised 02/20/2020

- Traditional public meetings can still be used to gather public input for the TMA Certification Reviews.
- Social media can supplement the public meeting or be carried out in lieu of the public meeting.
 - If social media is used for the public input to the certification review, it should be because the MPO already uses these methods to reach out to their stakeholders and consistent with the MPO's Public Participation Plan (PPP). The social media outlets or a combination of social media outlets that the MPO typically uses to reach out to their stakeholders, such as Facebook, Twitter, Instagram, website with an email blast, etc., could then be used to gather the input for the certification review. The decision to use social media will be made by the Federal Review Team, in coordination with the MPO, based on assessment of the MPO's social media engagement (i.e. examples of past success is using social media to get public input; references from the PPP on how the MPO currently uses social media for public involvement, etc).
- The adequate time frame to submit the social media posts would align with the timing the MPO typically uses for social media posts to announce other MPO meetings or events. Consideration should be given in providing timely notice and reasonable access to relevant information.
- Social media posts should not be deleted, but revised with updated information if needed. The revision should be clear what has been changed. Making an additional post with the new information should also be considered.
- Whether a public meeting notice and/or social media post,
 - Similar language announcing the opportunity to provide input into the review process should be used.
 - Copies/screen shots of the announcement and any comments need to be captured by the MPO in order to consider the feedback and include in the certification report.
 - A shorter version of the below examples would be acceptable as long as the key points (i.e. who, what, when, where, why and how) are conveyed.
 - Consideration should be given to those traditionally underserved, as applicable. This may also include providing translations, as identified in the MPO's PPP and/or Limited English Proficiency Plan(s).
- The MPO will provide to FHWA and FTA a copy of the public meeting notice, email blast, and/or screenshots of posts/tweets, website, etc. initially made by the MPO, as well as meeting minutes, email responses and/or screen shots from social media comments, and screen shots showing the number of likes and shares, all of which will subsequently be included in the TMA Certification Report.



- A sample post for **social media only** might look like the following:

The Federal Highway Administration and Federal Transit Administration are conducting an evaluation of the {Insert MPO Name} as part of the {Insert TMA Name} Transportation Management Area Certification Review. TMA Certification Reviews are required to be conducted every four years by federal law. As a part of the review, a site visit will be held {Insert date(s)}. Public comments are also a vital element of the certification review, as they allow citizens to provide direct input on the transportation planning process for their transportation planning area. Comments can be submitted through this post, at the site visit, through the FHWA FL Division Website at {Insert direct link to the webpage}, by phone or by email to {Insert FTA Planner name, email, and phone} and {Insert FHWA Planner name, email and phone}. Comments received by {Insert date 30-days from site visit} will be considered in the writing of the report.
- A sample post for **social media with a public meeting** might look like the following:

The Federal Highway Administration and Federal Transit Administration are conducting an evaluation of the {Insert MPO Name} as part of the {Insert TMA Name} Transportation Management Area Certification Review. TMA Certification Reviews are required to be conducted every four years by federal law. As a part of the review, a site visit will be held {Insert date(s)} and a public meeting will be held on {Insert date, time and location}. Public comments are also a vital element of the certification review, as they allow citizens to provide direct input on the transportation planning process for their transportation planning area. Comments can be submitted through this post, at the site visit, during the public meeting, through the FHWA FL Division Website at {Insert direct link to the webpage}, by phone or by email to {Insert FTA Planner name, email, and phone} and {Insert FHWA Planner name, email and phone}. Comments received by {Insert date 30-days from site visit or public meeting, whichever is later} will be considered in the writing of the report.
- A sample post for a **public meeting only** might look like the following:

The Federal Highway Administration and Federal Transit Administration are conducting an evaluation of the {Insert MPO Name} as part of the {Insert TMA Name} Transportation Management Area Certification Review. TMA Certification Reviews are required to be conducted every four years by federal law. As a part of the review, a site visit will be held {Insert date(s)} and a public meeting will be held on {Insert date, time and location}. Public comments are also a vital element of the certification review, as they allow citizens to provide direct input on the transportation planning process for their transportation planning area. Comments can be submitted at the site visit, during the public meeting, through the FHWA FL Division Website at {Insert direct link to the webpage}, by phone or by email to {Insert FTA Planner name, email, and phone} and {Insert FHWA Planner name, email and phone}. Comments received by {Insert date 30-days from the public meeting} will be considered in the writing of the report.



**2020
Florida Federal
Planning Finding
(Statewide Annual
Assessment)**

Federal Highway Administration

**Federal Transit Administration
Region 4**

September 2020

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I. BACKGROUND

The Federal Highway Administration (FHWA) and Federal Transit Administration (FTA) have joint stewardship responsibilities to ensure that both the statewide and metropolitan transportation planning processes satisfy the requirements of 23 U.S.C. 134 and 135, 49 U.S.C. 5303-5305, 23 CFR Part 450 and 500, and 49 CFR Part 613. From a statewide planning perspective, the State certifies the process through the submittal of the Statewide Transportation Improvement Program (STIP), while Metropolitan Planning Organizations (MPOs) and the State jointly certify the metropolitan transportation planning processes through the submittal of the MPOs' Transportation Improvement Programs (TIPs). Based on our review of the STIP, TIPs, our annual program and risk assessments, and our day-to-day stewardship and oversight activities, FHWA and FTA are responsible for issuing the following types of planning findings and approvals:

- A. *Metropolitan planning findings based on review of MPO TIPs and certification statements.* Pursuant to 23 CFR 450.328(a), the FHWA/FTA must jointly find that each metropolitan TIP is based on a "3-C" (continuing, comprehensive, and cooperative) planning process by the MPO, State Department of Transportation, and transit service provider(s). In Florida, this finding primarily has been based on the annual MPO/Florida Department of Transportation (FDOT) joint certification statements on the respective metropolitan planning processes. Information collected from the quadrennial FHWA/FTA certification reviews of the planning processes in Florida's Transportation Management Areas (TMAs), pursuant to 23 CFR 450.334(b), also has provided substantial input for FHWA/FTA to issue these annual "3-C" planning findings.
- B. *FHWA/FTA review of the statewide planning process and issuance of a related statewide planning finding to support FHWA/FTA approval of the STIP.* As outlined under 23 CFR 450.218, the FHWA/FTA statewide planning finding, made in conjunction with the FHWA/FTA approval of the STIP, ensures, at a minimum, that the process from which the STIP was developed is consistent with the provisions of 23 U.S.C. 134 and 135 and 49 U.S.C. 5303-5305. A joint FHWA/FTA planning finding accompanies the annual FHWA/FTA approval of Florida's STIP. In Florida, this process was formerly known as the "annual assessment" of the statewide planning process. It is now known officially as the "Federal Planning Finding" to better align with the regulatory responsibilities.

The primary objective of this report is to substantiate the issuance of the FHWA/FTA Statewide Planning Finding for supporting FHWA/FTA approval of Florida's Fiscal Year (FY) 2020/21 - 2023/24 STIP.

II. FORMAT

The findings in this report are based in part on the information received during the annual statewide assessment meetings held on July 7-8, 2020, with the FDOT staff responsible for the topic area activities. The numerous topics discussed are related to FDOT's statewide planning process and are listed in the Meeting Agenda, shown in Appendix A. A summary of the information conveyed during and after the meeting is provided in Appendix B. The list of meeting attendees is provided in Appendix C. Documentation received from FDOT on the topics covered during the Statewide Assessment Review process meeting was used to support the findings and is on file at the FHWA Division Office.

III. TOPICS OF INTEREST

A. Findings and Recommendations from the 2019 Statewide Annual Assessment

Provided below are the overall findings from the 2019 Annual Assessment Report, and the status of the corrective actions and recommendations.

Corrective Actions

1. Documentation of TPM Coordination

Corrective Action: 23 CFR 450.314(h) requires the MPO(s), State(s), and the providers of public transportation to jointly agree upon and develop specific written provisions for cooperatively developing and sharing information related to transportation performance data, the selection of performance targets, the reporting of performance targets, the reporting of performance to be used in tracking progress toward attainment of critical outcomes for the region of the MPO, and the collection of data for the State asset management plan for the NHS in certain circumstances. These provisions shall be documented either: (i) As part of the metropolitan planning agreements required under paragraphs (a), (e), and (g) of this section; or (ii) Documented in some other means outside of the metropolitan planning agreements as determined cooperatively by the MPO(s), State(s), and providers of public transportation. **For the MPOs that have not adopted the Consensus Document or other coordination documentation, beginning October 1, 2019, FHWA/FTA will not approve S/TIP or LRTP amendments for those MPO areas until they take the appropriate action and provide the documentation to FHWA/FTA.** FHWA/FTA have reached out to the individual MPOs affected to make them aware of this corrective action.

Status: Working through the MPOAC, FDOT and the MPOs agreed that the Consensus Document would be submitted as part of the MPO TIP process. This action would provide the assurance required by the FHWA that the Consensus Document was reviewed and approved by each individual MPO Board. Sixteen MPOs followed this course and included the Consensus Document in their TIPs. Six MPOs adopted the Consensus Document by Resolution or separate Board action. The

remaining five MPOs took no action prior to the beginning of the adoption of the STIP on October 1, 2019. FDOT's Office of Policy Planning (OPP) notified and worked with the five non-conforming MPO/TPOs to seek Board approval as soon as possible. Each non-conforming MPO/TPO adopted the Consensus Document by October 23, 2019. The OPP provided the documentation to FHWA/FTA. FDOT and the MPOs took necessary actions to resolve this corrective action. FHWA/FTA sent a letter dated June 19, 2020, confirming that the corrective action had been satisfied.

For the FY2020/21 TIPs, all MPOs that did not adopt the Consensus Document by resolution or separate Board action included the Consensus Document in the TIP.

2. Transfer (flexed) funds to FTA in STIP

Corrective Action: FDOT and its respective metropolitan planning organizations and transit providers must develop a process and procedure for administering federal transportation funding by March 18, 2020. This should be conducted in a manner that does not require continual amendments and updates to the STIP, particularly if funding is not carried over from the prior year. FDOT and its planning partners must coordinate to make sure that projects proposed to use federal funding, either from FHWA or FTA, are identified in the STIP and implemented in a timely manner, and identify all local, state, and federal funds, consistent with 23 CFR 450.218(f), the STIP shall contain all regionally significant projects requiring an FHWA/FTA action. Currently, there are long standing issues where projects are dropped from the STIP in subsequent updates, before local agencies may apply for the funds, preventing FTA from issuing a grant in a timely manner.”

Status: The Federal Aid Management Office (FAMO) within the Office of Work Program and Budget in consultation with the Department's Public Transit Office developed a Federal Aid Technical Bulletin 20-02 to address this corrective action. FAMO had presented draft Bulletins to FTA for review. In order to allow FAMO additional time to address their review comments, FTA extended the deadline in which to satisfy this Corrective Action to March 31, 2020. FDOT took necessary actions to resolve this corrective action. FTA sent email correspondence in March 2020 confirming that the corrective action had been satisfied

Recommendations

1. Outreach and Consultation with Partners and Stakeholders

Recommendation: The Federal Review Team recommends that FDOT provide training and QA/QC on consultation requirements of PPPs, TIPs and LRTPs to all MPOs. Recent examples of MPOs who have developed new PPPs that exemplify consultation with partners and stakeholders include Heartland and Florida-Alabama. Peer exchanges where these exemplary PPPs can be shared may also be helpful.

Status: FDOT Office of Policy Planning, FHWA Florida Division, and FHWA Federal Lands provided PPP training at the annual Florida Metropolitan Planning Partnership Meeting (FMPP) meeting on December 5-6, 2019. FDOT Office of Policy Planning

also shared Florida-Alabama / Heartland PPPs with the all the MPO/TPOs as good examples. FDOT has offered technical guidance and training to any and every MPO/TPO and will continue to provide this upon request.

2. Partner Communication

Recommendation: The Federal Review Team recommends that this collaborative consultation process for communication, as noted in the FHWA/FTA Stewardship and Oversight Agreement, be further enhanced by –

- Including the Federal partners on draft changes to the MPO Program Handbook so that we can similarly coordinate and adjust our procedures, or, if needed, notify FDOT of any concerns regarding the draft changes that could affect an approval process; and
- Provide the final MPO Program Handbook change (or provide notification thereof) to the Federal Review Team so there is a shared understanding of procedural expectations.

Status: The Office of Policy Planning has committed to coordinating with FHWA and FTA prior to publishing an updated MPO Program Management Handbook if the changes are to a process or procedure that will affect them.

The Office of Policy Planning states that they will always notify FHWA and FTA when there are quarterly updates to the Handbook at the time of its release.

No handbook changes were provided to the federal agencies in 2019-2020.

3. ADA Transition Plan

Recommendation: The Federal Review Team appreciates these monitoring commitments and recommends that OPP continue to work with other FDOT offices to ensure that the Roadway Characteristics Inventory (RCI) data base update is sufficient to provide an annual statistically significant sampling of the state's inventory of pedestrian facilities to verify ADA compliance. We recommend that FDOT provide this verification to FHWA/FTA in a timely manner to allow sufficient review and consideration prior FDOT's requested annual STIP approval.

Status: FHWA sent formal correspondence to FDOT on December 16, 2019 that FDOT complies with the ADA and 504 programs.

4. Tracking of STP and Other Non-PL Planning Funding

Observation: In response to the 2018 Planning Finding Corrective Action and Recommendation on this issue, FDOT worked with FHWA and FTA to develop a process for tracking PL and non-PL funding using the STIP tool. This process was rolled out through issuance of a Federal Technical Memorandum in June 2019. FDOT also committed to additional process enhancements in the coming months. There have been at least two instances in which a District and the Work Program staff were

unaware of, or did not understand the new process of having the STIP modified or amended before the UPWP amendment is submitted to FHWA/FTA for approval.

Recommendation: The Federal Review Team recommends additional clarifications be made to the Federal Technical Memorandum as discussed with FDOT as the Federal Technical Memorandum was being finalized. There is still a need for further refinement, particularly with understanding of next year's 1st year UPWP adoption.

- FDOT has an 80/20 spend rule that has resulted in FDOT denial of MPO requested authorization of some non-PL funded tasks in the approved UPWPs. When UPWPs are presented for federal approval, the Federal Review Team considers funding in the UPWP to be approved and available for tasks identified. FHWA and FTA strongly recommend that FDOT apply any additional State criteria as part of their UPWP approval recommendation, rather than after UPWP approval.
- FHWA and FTA recommend that the Federal Technical Memorandum be updated to specify FDOT's role and timing of any needed STIP changes, with training provided to those involved in UPWP, STIP and FMIS approval requests at both Central Office and the Districts.
- FHWA and FTA recommend after concurrence by the federal agencies, the Federal Technical Memorandum should also state what STIP documentation is needed for the initial UPWP approval (i.e. at the start of each new UPWP).
- FHWA and FTA further recommend clarification between the Closeout Deobligation Process and the process to reduce roll forward funds from the second year UPWP before June 30 (or April, if that is FDOT's deadline for roll forward amendments).
- Finally, the Federal Review Team recommends that the FTA program processes and associated coordination that specify roles and responsibilities be included in the Federal Technical Memorandum.

Status: FDOT issued Technical Memorandum 19-03 REV to address this recommendation. They also have been refining tracking mechanisms of the different funds on a monthly basis. FHWA noted that the revised memo was still not clear in a number of areas, and FDOT committed to additional process enhancements in the coming months. Please see Section IV for additional information.

5. Programming of FTA Capital and Operating Activities

Recommendation: To address inconsistencies in the next STIP (FY20/21), the Federal Review Team recommends FDOT identify and document a policy or policies, either Statewide or by FDOT District, to better clarify where and when capital and operating funds are merged. Such efforts will provide greater transparency and understanding to federal partners and the public alike of how and where federal funds are utilized.

Status: Currently, the FDOT Work Program instructions do not indicate the capital and operating be broken into separate categories. Each MPO and transit agency develop their own approach as appropriate for their local conditions; therefore, variability exists in the TIPs and STIP. FDOT will update the Work Program instructions to note that a description be provided to indicate whether capital and

operating are grouped together or are separate.

Collectively, FTA and FDOT will work with our Metropolitan Planning Organization Advisory Council (MPOAC) and Florida Public Transportation Association (FPTA) counterparts to remind/educate on how to collect/provide better information to the MPOs for inclusion in the TIPs.

6. **Tracking of Large and Small Urban Apportionment Activities**

Observation: It appears that certain FDOT Districts combine both large urban and small urban capital and operating into one project. It is not clear when this occurs, as the project descriptions appear to only include the County of the proposed activity.

Recommendation: The Federal Review Team recommends that FDOT include the relevant urbanized area(s) for each project/FM number.

Status: FDOT will update the Work Program instructions to ask that a description be provided to indicate the breakdown of large and small urban apportionments. Collectively, FTA and FDOT will work with our MPOAC and FPTA counterparts to remind/educate on how to collect/provide better information to the MPOs for inclusion in the TIPs.

7. **Sufficient Descriptive Material – FTA Programs**

Recommendation: As the STIP is inclusive of capital and non-capital surface transportation projects (or phases) proposed for funding under title 49 USC Chapter 53, the Federal Review Team recommends the STIP projects fully reflect the FTA funding program associated with an activity or activities.

Status: Collectively, FTA and FDOT will work with our MPOAC and FPTA counterparts to remind/educate on how to collect/provide better information to the MPOs for inclusion in the TIPs. FDOT will better reflect FTA funding programs, without losing flexibility by providing guidelines with too much specificity. At a minimum, the TIPs need enough detail to be informative to FTA. Please see Section IV for additional information.

B. FY 2021 - FY 2024 Statewide Transportation Improvement Program

Title 23 U.S.C. requires the State to develop a STIP. The portion of the Program that is urbanized must be developed in cooperation with the MPOs. The State must also have a process for developing priorities with local officials in the rural areas. The STIP is a list of priority projects for the next four fiscal years. The projects are expected to be consistent with the Florida Transportation Plan (FTP), which serves as the statewide plan, and to incorporate the TIPs as adopted from within each metropolitan area. The STIP document has been submitted in Adobe PDF format and is available on the FDOT website at: http://www.dot.state.fl.us/OWPB/Federal/STIP_ProjectDetailListing.shtm. STIP modifications are also captured daily and displayed in the current STIP document as noted online.

Before the STIP was required under Intermodal Surface Transportation Efficiency Act, the state of Florida had developed a process for having a statewide improvement program. This document is the Five-Year Work Program and essentially serves as the STIP. Section 339.135, Florida Statutes, authorizes and sets the guidelines for the FDOT to develop a State Transportation Five-Year Work Program. It is the State's project-specific list of transportation activities and improvements that meets the goals and objectives of the FTP. Although FDOT's Five-Year Work Program serves as the basis for creating the STIP, it is important to note that FHWA and FTA only recognize the four-year element of the STIP, which is derived from FDOT's Work Program, for the purposes of programming federal funds.

Since the FDOT Work Program serves as the basis for creating the STIP, FHWA, and FTA look to the FDOT's Work Program development process to ensure compliance with Federal law. There are summary documents that are helpful in understanding how the Work Program is developed and financed and more detailed documents and procedures that provide specific instructions for Work Program development. Some of these documents are located on FDOT's website: <https://www.fdot.gov/workprogram/WorkProgramResources.shtm>. Other resources are also available upon request from FDOT's Work Program Office.

Public Participation is also a major component in the development of the STIP. The Work Program is developed by the Districts and Central Office, working with the MPOs and local governments. Input is also included from the Legislature, Governor's office, and public hearings. More detailed information related to the Public Involvement Process, utilized by FDOT to develop the Work Program and the STIP, can be found in the STIP Public Involvement Process pdf found at: <https://www.fdot.gov/workprogram/Federal/stip.shtm>

On April 24, 2020, FHWA notified FDOT that they did not meet the Transportation Performance Management (TPM) safety targets for 2018. As such on August 31, 2020, FDOT submitted an implementation plan that addresses the use of Highway Safety Improvement Program (HSIP) funds to meet or better the baseline data for the 5 safety targets. FHWA is current reviewing the implementation plan.

In July 2019, FHWA provided national technical assistance regarding the flexibilities currently in place related to fiscal constraint. FHWA, FTA and FDOT have been periodically meeting over the past year to collaborate on how best to address the technical assistance. FDOT confirmed that Florida was not taking advantage of the additional flexibilities afforded by the technical assistance which stated "Documentation of administrative modifications that adjust the funding amount, sources, or categories that have occurred can be provided after the project(s) are obligated in FMIS." In Florida, the Current STIP is published online and is updated to incorporate administrative modifications before a project is initially authorized in FMIS. As a result, administrative modifications will always be reflected in the Current STIP and this flexibility provided in the technical assistance is not needed.

FDOT updated the STIP website to add language that documents how Advanced Construction (AC) conversions are handled in the STIP. FDOT also added the current PAR Rollup Report as one tool which documents the planned use of AC. We are still working on a mutually agreeable method to document the actual amount of AC conversions in the STIP.

One process change that was made is in regard to the STIP and FMIS modification requests. FHWA identifies FMIS modification requests that are \$2M or greater in change and whether those requests are more than or less than 20% of the project cost. For FMIS project change requests that are greater than \$2M and 20% of the project cost, FHWA will check the STIP at the time of the request to ensure the STIP has enough funds to support the request. For FMIS project change requests that are greater than \$2M and less than 20% of the project cost, at a point post FMIS approval, FHWA will do a spot check to ensure the STIP supports the FMIS modification request. FHWA is currently conducting a review of the 2020 FMIS modifications that are \$2M and less than 20% to assess the magnitude and frequency of the changes.

As part of FHWA's routine oversight activities for the statewide planning process, and in accordance with the Division's Standard Operating Procedure for the STIP, the planning unit conducts both an overall checklist review of the STIP and a spot check review of a few randomly selected projects from each MPO area to assess the consistency in project information between the STIP, TIP, and LRTP planning documents. FHWA randomly reviewed 54 projects in the proposed STIP, at least two from each MPO throughout the State, for general consistency between the TIP, STIP, and LRTP documents. The preliminary results of this year's review indicate that emphasis is still needed in this area to ensure that projects are accurately reflected in both the TIP and STIP and that these projects are flowing from and are found to be consistent with the MPO's LRTP. Consistency between the TIP and STIP was noted in 96% of the projects reviewed which was higher than the findings from the previous year. Identifying/locating an LRTP project or phase associated with a particular STIP project or project phase continues to be a challenge in that only 83% of the projects reviewed were deemed consistent with the LRTP. It is important to note that all the inconsistencies identified were found in three of the seven districts. FHWA has shared the information with the applicable Districts and MPOs.

FTA, responsible for federal review and oversight of transit-related activities, also reviews the STIP to ensure regulatory compliance, in partnership with FHWA. The results of FTA's STIP review are reflected in the appropriate areas of Section IV.

The FY 2020/21-2023/24 STIP needs to be fiscally constrained by year. In an effort to demonstrate how much funding is available for projects, FDOT has developed a process and summary table to show the available funds including balance forward, estimated new funds, and the programmed projects. The 2021 STIP Production Accomplishment Report (PAR) is developed annually by FDOT to demonstrate financial constraint for the new STIP. Ending balances in each of the major categories are positive in each of the years of the STIP. The summary is located in the following table.

Please note the following points regarding these summaries:

1. The FY2021 Statewide Transportation Improvement Program (STIP) is based on the Adopted Work Program as of July 1, 2020.
2. Annual funding amounts are presented net of Obligation Authority Constraints.
3. Funding levels are reasonably expected to continue at the FFY 2020 levels consistent with the FAST Act throughout the four years of the STIP (2021-2024).
4. Once a full year extension or new multi-year Transportation Act is in place, allocations will be adjusted to the levels authorized into law. FDOT will adjust the project programming accordingly if the new act has decreased funding levels below the levels authorized in the FAST Act, to ensure fiscal constraint of the STIP is preserved.
5. Included is a breakout, by major fund rollup category, of the estimated Advanced Construction (AC) conversions anticipated to be done each year to fully consume the annual Obligation Limitation subject to lapse at each fiscal year end.

Based on the summaries and other documentation received throughout the year, the FY 2020/21 – FY 2023/2024 STIP is shown to be fiscally constrained by year given the funding levels that are reasonably expected to be available over the timeframe of the STIP. FDOT has also indicated for FY2019/20, that they converted \$1.4B of AC, which is consistent with the \$1.355B that was planned for AC conversions at the beginning of the FY2019/20.

2021 STIP P.A.R. Rollups

	Fiscal Years			
	2021	2022	2023	2024
Congestion Mitigation/Air Quality Program				
Balance Forward from Prior Year	4,501,697	207,113	-	-
Net Annual Allocations Available	13,509,072	13,481,509	13,476,881	13,475,828
Less: Program of Projects	(17,803,656)	(13,688,622)	(13,476,881)	(13,475,828)
Balance Forward to Next Year	207,113	-	-	-
Discretionary and Other Programs				
Balance Forward from Prior Year	170,081,954	63,086,732	1,067,059	1,067,059
Net Annual Allocations Available	5,198,524	6,291,994	3,566,994	3,566,994
Less: Program of Projects	(112,193,746)	(68,311,667)	(3,566,994)	(3,566,994)
Balance Forward to Next Year	63,086,732	1,067,059	1,067,059	1,067,059
National Freight Program				
Balance Forward from Prior Year	77,402,574	54,500,801	30,711,754	15,711,754
Net Annual Allocations Available	66,144,989	66,010,039	65,987,381	65,982,220
Less: Program of Projects	(61,046,762)	(74,799,086)	(65,987,381)	(65,982,220)
Funds Available before AC conversions	82,500,801	45,711,754	30,711,754	15,711,754
Planned AC Conversions	(28,000,000)	(15,000,000)	(15,000,000)	(15,000,000)
Balance Forward to Next Year	54,500,801	30,711,754	15,711,754	711,754
National Highway System Performance Program				
Balance Forward from Prior Year	432,963,109	426,638,955	279,005,585	199,102,642
Net Annual Allocations Available	1,113,342,976	1,114,610,945	1,114,823,835	1,114,872,326
Less: Program of Projects	(19,667,130)	(62,244,315)	(94,726,778)	(54,720,784)
Funds Available before AC conversions	1,526,638,955	1,479,005,585	1,299,102,642	1,259,254,184
Planned AC Conversions	(1,100,000,000)	(1,200,000,000)	(1,100,000,000)	(1,000,000,000)
Balance Forward to Next Year	426,638,955	279,005,585	199,102,642	259,254,184
Planning and Research Programs				
Balance Forward from Prior Year	30,430,253	8,797,502	3,501,018	3,501,018
Net Annual Allocations Available	63,436,378	63,436,378	63,436,378	63,436,379
Less: Program of Projects	(65,069,129)	(68,732,862)	(63,436,378)	(63,436,379)
Balance Forward to Next Year	8,797,502	3,501,018	3,501,018	3,501,018
Safety Programs				
Balance Forward from Prior Year	106,976,444	61,314,810	17,524,090	3,427,939
Net Annual Allocations Available	145,213,920	105,213,919	115,548,919	115,548,915
Less: Program of Projects	(22,875,554)	(14,004,839)	(9,645,070)	(9,645,070)
Funds Available before AC conversions	229,314,810	152,524,090	123,427,939	109,331,784
Planned AC Conversions	(168,000,000)	(135,000,000)	(120,000,000)	(109,000,000)
Balance Forward to Next Year	61,314,810	17,524,090	3,427,939	331,784
Surface Transportation Block Grant Program				
Balance Forward from Prior Year	293,392,938	48,942,878	283,032	284,625
Net Annual Allocations Available	567,435,470	566,330,015	566,144,404	566,102,136
Less: Program of Projects	(766,885,530)	(605,489,861)	(540,642,811)	(540,600,543)
Funds Available before AC conversions	73,942,878	9,783,032	25,784,625	25,786,218
Planned AC Conversions	(25,000,000)	(9,500,000)	(25,500,000)	(25,500,000)
Balance Forward to Next Year	48,942,878	283,032	284,625	286,218
Grand Totals - All Programs				
Balance Forward from Prior Year	1,115,748,969	663,488,791	332,092,538	223,095,037
Net Annual Allocations Available	1,974,281,329	1,935,374,799	1,942,984,792	1,942,984,798
Less: Program of Projects	(1,250,665,953)	(1,028,266,413)	(901,837,223)	(850,782,748)
Funds Available before AC conversions	1,984,488,791	1,691,592,538	1,483,595,037	1,414,652,017
Less: AC Conversions	(1,321,000,000)	(1,359,500,000)	(1,260,500,000)	(1,149,500,000)
Balance Forward to Next Year	663,488,791	332,092,538	223,095,037	265,152,017

C. Summary of the FY 2020 Annual MPO Certifications by FDOT

Each FDOT District and MPO must jointly certify annually that the transportation planning process is addressing the major issues facing the metropolitan area. The purpose of the MPO certification review is to establish that the MPO's planning process is being conducted in accordance with 23 CFR 450.334. The reviews also provide the opportunity

to recognize noteworthy practices, provide recommendations for consideration, and identify corrective actions needing resolution within the timeframe specified in the Certification Report. Many of the joint certification statements listed findings, such as noteworthy achievements and areas for future emphasis. A general compilation of the topic areas from the FDOT/MPO certification reviews conducted this year are noted and do not necessarily apply to every MPO. The following are the findings from the 2019 Certifications.

FDOT/MPO Identified Best Practices/Noteworthy Achievement Areas

- TIP project sheet improvements
- TPM - reporting in Annual Report to the Board and use of TPM in TIP priorities
- Public Outreach/Engagement to assess priorities and update plans via social media, electronic surveys and website updates
- Innovative projects: Installation of a Two Stage Left Turn Bicycle Box; Micro-transit pilot
- Community partnerships and student involvement initiatives
- Resiliency Study with performance metrics/projects for the LRTP, and pilot projects
- Transportation Alternatives application assistance
- Safety: Vision Zero Action Plan, Continued collaboration for reliable, safe and efficient transp. Projects; and Sponsorship of safety summits/conferences and safety target setting
- Environmental Justice National Workshop participation
- Mapping and data efforts for project needs and demonstrating success (TIGER project)
- TMA Certification outreach, noteworthy practices identified and findings
- QA/QC process for invoicing
- Coordination with Turnpike, regional and local planning agencies and regional model partners

FDOT Identified Corrective Actions

A total of five corrective actions were issued during the 2019 annual joint FDOT/MPO certification process. These corrective actions are outlined below.

1. "Please Explain."
2. "The *(redacted)* TPO submits their invoices on a monthly basis and has improved tremendously."
3. MPO should submit complete invoices with all supporting documentation.
4. MPO should work with County to rectify issues concerning direct/indirect charges. They will need to define direct charge vs. indirect charge and explore options for reimbursement (Direct charge, De Minimus, or Indirect Rate).
5. MPO should work with County on timely submission of charges for invoices.

FDOT Identified Recommendation Topics

- Rental car size justifications
- Travel voucher documentation
- Noting percentage billed on direct expense invoices
- Use of schedule milestone tracking in LRTP development
- Stakeholder engagement and local plan coordination
- Development of contingency plans for delayed or frozen federal funds

- Update website to include amendments and other needed documents
- Spending SU funds to avoid possible redistribution or loss of funds
- Regional TSMO Program
- Elevated review of invoices due to drafts often being submitted
- Need for invoice submittal within 90 days of last invoice date
- List of Priority Projects by rank, group, and funding, with old removed
- Mutually agreed upon ratio for transit v. highway priorities in the LOPP
- Appropriate signatures for consultant work authorizations
- Timely use of PL and FTA funds
- MPO to remain in low category for risk assessment
- Use of spreadsheet software for UPWP task and summary budget tables
- Use single priority list and minimize changes from year to year
- Consolidate UPWP tasks to reduce need for many revisions
- Work with local agencies to submit timely applications for high priority projects

D. Summary of the Fiscal Year 2020 FHWA/FTA Certification Reviews of the Transportation Management Areas

During State FY 2020 (May 2019 – June 2020), FHWA/FTA conducted TMA Certification Reviews for River to Sea TPO, Miami Dade TPO, and Polk TPO. The results of these FHWA/FTA TMA certifications were summarized at the 2020 Florida Federal Planning Certification (Statewide Annual Assessment) Meeting on July 2, 2019. There were three corrective actions identified during these three FY 2020 certifications. These corrective actions relate to document accessibility for ADA Section 508; fiscal constraint – missing 1st 5-year band of projects; and fiscal constraint – need for project costs in year of expenditure.

In the July 2020 Joint Statewide Planning Finding meeting, FDOT indicated that they are working closely with the MPOs on 508 plans. Further, FDOT indicated that they will add the corrective actions to the next FMPP agenda and discuss recommendations for statewide consistency.

E. Performance Year 2020 Program Accountability Review Results

For FY20, the Florida Division Planning and Civil Rights staff conducted (3) Program Accountability Results (PAR) reviews on three of the State's non-Transportation Management Area (TMA) Metropolitan Planning Organizations (MPOs). The purpose of these reviews was to assess the MPOs' self-certification processes to determine their compliance with 23 CFR 450.334 (a). Based on an analysis of the TMA Certification

Reviews' corrective actions and recommendations, this topic was one of the top 3 issues for TMAs and thus selected for this non-TMA review.

FY20 was the third and final year that the annual PAR reviews were geared exclusively towards the non-TMA MPO self-certification processes to ensure that applicable federal requirements are being met. The PAR reviews largely indicate that two of the MPOs reviewed are satisfactorily carrying out the requirements for self-certifications set forth specifically in 23 CFR 450.334(a). One of the MPOs was not consistent in addressing these requirements and could be better focused to identify MPO process refinements to address planning and civil rights requirements. Specifically, one MPO had deficiencies related to not having the self-certification signed by the MPO Chair, not having documentation to support the self-certification, and not having an accessible Title VI/Nondiscrimination complaint filing procedure and an updated LEP Plan. FHWA provided this report to FDOT and the MPOs to encourage these refinements in process and a greater focus on these processes as part of the self-certifications. FHWA will also work with FDOT to ensure technical assistance is provided to the MPO to address the specific deficiencies.

The completion of the FY20 Planning PAR completes the FHWA-Florida Division's focused review of the self-certification process of the nine non-TMA MPOs in Florida. PAR reviews are an effective tool to complete a quick and focused review of various program elements. Beginning in FY21 as part of the FY21 Program and Risk Assessment process, a review of fiscal constraint in each LRTP will be completed for the nine non-TMA MPOs over a three-year period (FY 21, FY 22, and FY 23).

F. Training/Technical Assistance Needs

During the certification review site visits this year, the following technical assistance/training needs were identified:

- Overview of 5303 and 5305 funding programs from FDOT to MPOs
- Title VI (this request was accommodated)
- Automated, Connected, Electric, and Shared vehicles (ACES)
- TPM (data collection)
- Innovative financing and ways to sustain TSMO
- Virtual engagement
- Eligibility and pre-award authority for flexing federal funds

Upcoming training offerings include a statewide truck parking plans and inland ports class. A peer exchange in District 6 for express lanes, and a tolling peer exchange were also recently held. The FDOT and MPOs were asked to send any additional training requests to the FHWA/FTA team by July 30th. No additional training requests were received.

IV. 2020 FINDINGS AND RECOMMENDATIONS

FHWA/FTA highlight the following Noteworthy Activities underway by FDOT this year:

- 1. Public Involvement and Outreach** –In response to the Governor issuing a series of executive orders that prohibited public gatherings as well as orders to provide alternatives for local officials to vote remotely as part of administrative actions, FDOT had to develop expectations for when they would conduct public meetings. In addition to developing a new public involvement web page with video tutorials for conducting public meetings, FDOT developed public meeting guidelines for the Districts. These instructions were very much needed by the Districts who were still responsible for holding public outreach for programs and projects. These enhancements to their procedures were also helpful for MPOs, who were also trying to maintain their public outreach compliance during the pandemic in a manner that was considered the safety for all participants. We commend FDOT for acting quickly to provide an enhanced direction for public outreach in Florida.
- 2. Emergency Response:** The Federal Review Team commends FDOT for providing support to transit agencies and MPOs while agencies found a new way to do business. FDOT’s coordinated response with the FPTA and the Commission for Transportation Disadvantaged (CTD) were particularly helpful to ensure timely and uniform communications, as well as ensuring that critical needs were met amidst these changing conditions.
- 3. FDOT-CUTR Transit Partnership:** The FDOT-CUTR transit partnership is an excellent step forward to assist and enhance coordination between the State, transit agencies, and MPOs. The Federal Review Team commends FDOT for the recently completed transit research and look forward to learning more about implementation. Furthermore, the transit planning network and virtual professional development workshops, such as the “Current Practices in the Use of Onboard Technologies to Avoid Transit Bus Incidents & Accidents”, “Segmenting the Market to Affect Travel Behavior & Increase Ridership”, “Transit Automation & Shared Mobility in Florida”, and “Emergency Preparedness” are innovative techniques for enhanced coordination between a State DOT, transit agencies, MPOs, and other transportation stakeholders.
- 4. Annual Planning Award** – In 2020, FDOT developed a new recognition for transportation planners that is presented at the annual TRANSPLEX meeting. This award recognizes transportation planning professionals for excellent work and achievements in Florida, providing inspiration to others in the transportation planning field. The Federal Review Team commends FDOT for developing this program and recognizing these deserving Florida professionals in their achievements.

The following Corrective Actions require action for compliance with the federal planning regulations and must be completed within the timeframes noted:

No corrective actions identified.

The following Recommendations are made to continue implementing improvements to the transportation planning process within the State of Florida:

1. Tracking of STP and Other Non-PL Planning Funding

Observation: In response to the 2018 and 2019 Planning Finding Corrective Action and Recommendation on this issue, FDOT worked with FHWA and FTA to develop a process for tracking PL and non-PL funding using the STIP tool. This process was rolled out through issuance of a Federal Technical Memorandum in June 2019. FHWA noted that the new process was still not clear in a number of areas, and FDOT committed to additional process enhancements in the coming months, such as adding additional needed clarifications to the Federal Technical Memorandum to address FDOT's 80/20 spend rule, FDOT's role and timing of any needed STIP changes, STIP documentation needed for initial UPWP approval, Closeout Deobligation Process, the process to reduce roll forward funds from the second year UPWP, and roles and responsibilities for FTA program processes. The MPOs are still unclear in their ability to fully use their authorized funds, so the additional clarifications and process enhancements are very much needed.

Recommendation with Deadline: The Federal Review Team strongly recommends that FDOT puts a priority on clarifying the Technical Memorandum and refining tracking processes to provide these needed enhancements that will provide clarity and transparency for MPOs and the federal partners. **If FDOT has not adopted an updated Technical Memorandum by January 30, 2021, then FHWA/FTA may not be able to approve year 2 of the current UPWPs in a timely manner.**

2. UPWP

a. UPWP Template

Observation: For several years, FHWA has been working with the MPOs to better show how regional tasks are reflected in the UPWPs for both the contributing MPO, and the receiving MPO (or FDOT). There is no consistency between MPOs in how these regional task transfers are reflected, making it difficult to track the funds, identify each MPO's invoice responsibilities, and to easily understand what each MPO is authorized to spend. In the 2020 UPWP approvals, FDOT Central Office

and Districts participated in the review and discussions with FHWA and the MPOs on the UPWP regional transfers and also had difficulty with understanding the documentation when transferring funds for regional tasks. Some of the MPO UPWPs had to be conditionally approved until their budget tables could be amended to more clearly reflect these transfers. In working with FHWA on this issue, FDOT concluded that a UPWP template is needed to provide transparency and consistency to ensure that tasks and funds associated with regional tasks can be tracked and accounted for. FDOT committed to working with FHWA/FTA to jointly develop a UPWP template for the FY22 UPWP submittals for the MPOs to use to not only identify the tasks and funds used in the regional task transfers but to also provide consistent information where needed.

Recommendation: The Federal Review Team recommends that FDOT continue to recognize the importance of this issue and work with FHWA/FTA to develop a schedule and mutually agreeable FY22 template as soon as possible for the MPOs to use that will provide clear budget tables so that all funds and tasks can be adequately tracked and UPWP review and approvals can be streamlined.

b. UPWP Amendment Thresholds

Observation: The Federal Review Team notes that there is no threshold in Florida to distinguish whether a revision to the UPWP should be processed as an amendment or modification. As a result, each MPO uses their own determinations, with no consistency among the Florida MPOs, and no assurance between all parties that the procedure being used is reasonable.

Recommendation: The Federal Review Team recommends that FDOT work with the MPOs and the Federal partners to identify a monetary threshold for UPWP amendments and update the UPWP revision form to reflect the agreed upon threshold to ensure a process that is reasonable and consistent across the State for UPWP revisions.

3. STIP Documentation

a. Sufficient Descriptive Material

Observation: Similar to previous years, there appear to be inconsistencies with how STIP information is presented statewide, resulting in insufficient descriptive material. Instances exist where capital and operating assistance activities are unclear, such as operating assistance included in a “capital” line item. Other observed inconsistencies include not including the urbanized area(s) for which FTA funds are apportioned to, not including the FTA funding program, as well as inaccurately or

insufficiently describing proposed activities. FDOT has recently advised FTA that the work program instructions have been revised to mitigate this challenge by adding this information in the project description, however improvements associated with past recommendations do not appear to be reflected in the FY20/21 – FY23/24 STIP.

Recommendation: To address inconsistencies in the next STIP (FY21/22), the Federal Review Team recommends FDOT confirm that work program instructions include clear direction for describing capital, operating, or other activities (where applicable), as well as the FTA program and corresponding urbanized area(s). Any other details needed to sufficiently describe project activities should also be included. Further, standardized and recurring communication between central office and districts is recommended to ensure district staff understand process and associated requirements. These efforts should ensure adequate coordination between FDOT Central Office and Districts, as well as between Districts, MPOs and transit agencies so that activities are correctly recorded and reflected in the STIP. Additional measures FDOT may explore at their discretion include supplementing the MPO handbook with FTA-specific details, leveraging MPOAC for certain coordination efforts, or others that FDOT deems helpful.

b. Flexibilities in Fiscal Constraint

Observation: As noted previously, FHWA, FTA and FDOT have been periodically meeting over the past year to collaborate on how best to address the July 2019 FHWA national technical assistance regarding flexibilities in fiscal constraint.

Recommendation: The Federal Review Team recommends that the agencies work together on a mutually agreeable method to document the actual amount of AC conversions in the STIP. The Federal Review Team also recommends that the 2020 FMIS modification review be completed by FHWA to assess the magnitude and frequency of the changes. Based on the results of the review, FHWA, FTA and FDOT should also jointly determine if the current process is sufficient or if enhancements for transparency are needed. The agencies previously agreed that the STIP website will be updated to document the mutually acceptable process for changing the STIP post letting and to also think about ways to potentially enhance the transparency for post letting STIP changes.

4. Review Portal

Observation: The review portal continues to be refined to meet the needs of FDOT, the MPOs and the federal agencies. Users continue to experience problems with the portal, however, in uploading information, retaining information that has been uploaded, and notifying those who need to take an action in the portal. Additionally, there is inconsistency in use of the portal. Specifically, many MPOs still forward documents directly to the federal team rather than have the documents

uploaded to the portal for tracking and review. FDOT states that a rollout of Portal 2.0 is in the works.

Recommendation: The Federal Review Team recommends that FDOT clarify policy regarding the use of the portal, prioritize portal improvements to address the identified issues, and provide the necessary training to all who use the portal to ensure consistency in implementation.

5. Transportation Performance (TPM)

a. Public Transportation Agency Safety Plan (PTASP) Final Rule

Observation: on July 19, 2019, FTA published the PTASP Final Rule, which requires certain operators of public transportation systems that receive federal funds under FTA's Urbanized Area Formula Grants to develop safety plans that include the processes and procedures to implement Safety Management Systems (SMS). The final rule also outlined the establishment of transit safety targets by qualifying transit agencies and MPOs, for each performance measure, coordination with State DOTs, and integration of PTASP into the planning process.

Recommendation: The Federal Review Team recommends FDOT coordinate with MPOs and Transit Providers to ensure that by January 20, 2021 (or not later than 180 days after receipt of the Agency Safety Plan from public transit providers), MPOs set their initial transit safety targets. By July 20, 2021, specific written provisions for the transit safety measure should be jointly agreed upon and adopted by the MPO(s), State, and providers of public transportation. Please also note that transit safety measures and targets should be included in all LRTPs and TIPs updated or amended after this date. Additional information may be found at FTA's PTASP website: <https://www.transit.dot.gov/PTASP>.

b. Transit Asset Management (TAM) Final Rule

Observation: On July 26, 2016, FTA published the TAM Final Rule to help achieve and maintain a state of good repair for the nation's public transportation assets. The final rule also included the establishment of TAM targets by qualifying transit agencies and MPOs, for each performance measure, coordination with State DOTs, and integration of TAM into the planning process.

Recommendation: As applicable, FDOT should coordinate with MPOs and Transit Providers for any TAM-related updates to the LRTPs and TIPs, including noted progress towards achieving targets. Although MPOs need not update targets annually, they may do so at their discretion and in coordination with the transit agencies, to the maximum extent practicable. Additional information may be found at FTA's TAM website: <https://www.transit.dot.gov/TAM>.

6. FDOT Stewardship and Oversight

a. Planning Products

Observation: The FDOT MPO Liaisons are very involved with the MPOs in helping to ensure that the financial requirements of 2 CFR 200 are met. This is evident in the FDOT Risk Assessment for the MPOs. There does not seem to be a similar level of stewardship and oversight for ensuring that the requirements of 23 CFR 450 are met, particularly related to LRTP, TIP and Public Involvement Plan development. From reviewing corrective actions from federal TMA certifications and conducting PAR reviews, the Federal Review Team observes that the MPO planning products required under 23 CFR 450 are repetitively noncompliant with certain requirements. The Federal Team relies on FDOT's stewardship and oversight of the MPO planning products (LRTPs, TIP, PIPs) to ensure that requirements are being met, particularly since we do not conduct certification reviews on non-TMAs, and may not be involved in the planning products for TMAs until their federal certification review. The continuing noncompliance findings on the same issues from federal certifications and federal PAR reviews indicate a need for additional FDOT stewardship and oversight of the MPO planning products required by 23 CFR 450.

Recommendation: The Federal Review Team recommends that FDOT expand their Risk Assessment beyond topics related to 2 CFR 200 and ensure their stewardship and oversight responsibilities areas clearly defined as to what is a District responsibility. Additional oversight and training on planning product requirements may also clarify expectations. Assisting MPOs in ensuring that the federally-funded planning products, such as LRTPs, TIPs and Public Involvement Plans meet the 23 CFR 450 federal requirements, may eliminate the same corrective actions that are issued across many TMAs during federal certification reviews, as well as federal PAR findings of noncompliance.

b. FDOT Findings in Annual Certifications

Observation: A summary of the 2019 FDOT/MPO Annual Joint Certifications is provided in Section C of this report. The first two corrective actions identified as part of these joint certifications do not seem to provide a clear action to correct a specific problem. These could be written more clearly to ensure understanding in what is needed to meet Federal and State requirements. In addition, one of the recommendations from these annual joint certifications stems from FDOT's opinion that the MPO is prioritizing too many transit projects over highway projects, and further requests the MPO to develop a mutually agreed upon ratio for transit vs. highway project priorities in the annual List of Project Priorities. This recommendation may be counter to Federal requirements to require TMAs to develop project priorities off the NHS through consultative process with the State DOT. State DOT's, on the other hand, are required to set the priorities on the NHS in collaboration with the MPOs. FDOT's recommendation appears to provide judgement on the MPO priorities.

Recommendation: When writing corrective actions, FDOT Districts should be very clear in identifying the problem and the needed solution, and clearly tie to a

requirement. Additionally, FDOT recommendations should be limited to enhancements that fall within the Federal requirements.

7. Partner Communication

Observation: In their written response to the 2018 and 2019 recommendations, FDOT identified a number of strategies they have instituted, many of which have already resulted in improved communication between FDOT, the Federal partners, and the MPOs. FDOT provides notification to the federal agencies, for example, of MPO Handbook changes, and has worked with the federal partners on Fed Tech Bulletins. There are some initiatives underway, however, that had limited federal collaboration such as Consolidated Planning Grants proposals and tracking non-PL funds, including CMAQ, in UPWPs. These initiatives would also benefit from a collaborative consultative process with other program offices within FDOT (i.e., Work Program, Transit Office, and Transit and MPO liaisons, etc). There are also specific directions that FDOT Office of Policy Planning provides to the FDOT liaisons, but which are not copied to the federal partners for their awareness.

Recommendation: The Federal Review Team recommends that FDOT continue to find ways to further enhance this collaborative communication consultation process for all initiatives that affect the federal planning partners, regardless of which program areas within FDOT are leading the initiative.

8. Consultation with MPO Partners

Observation: The Federal Review Team have noted many instances of projects included in the STIP and TIP, but which are not found in the LRTP. Further, several MPOs have expressed concern that they are being asked to include projects in their TIP, even though these projects did not come from a process that first includes these projects in the MPO's LRTP. MPOs have also expressed concern regarding sub-allocated funds and the programming process for TMA TIPs.

Recommendation: The Federal Review Team recommends that FDOT and the MPOs discuss together how the current process is implemented, as well as how it is meeting the needs for a cooperative planning process from a TMA perspective. While the process for project prioritization, selection for funding, and sub-allocation of funds may have worked in the past for FDOT, the TMAs and the non-TMA MPOs, changing needs may require a shared update of the process to ensure that it continues to be a "3-C" process.

Conclusions

Based on routine coordination throughout the year with the various statewide planning participants, discussions at the "annual assessment" meeting, the review of statewide summary and planning documents provided by participating and affected offices, and the status of past "annual assessment" recommendations, FDOT continues to

demonstrate that they address federal questions/concerns, as such concerns are identified.

Therefore, it is hereby determined that Florida's statewide and metropolitan transportation planning processes continues to substantially satisfy the requirements of 23 U.S.C. 134 and 135, 49 U.S.C. 5303-5305, 23 CFR Part 450 and 500, and 49 CFR Part 613. FHWA and FTA will continue working with Florida's various planning partners (e.g., FDOT, the 27 MPOs, local /regional transit service providers, local governments, State/local resource agencies, and the public) to further address and complete the activities and commitments contained in this report.

Appendix A – Meeting Agenda

Meeting Agenda

Office of Policy Planning

Tuesday, July 7 and 8, 2020
Virtual Through TEAMS



2020 Florida Federal Planning Certification

The Federal Planning Certification is required for STP approval by FHWA and FTA. They have joint stewardship responsibilities to ensure that both the statewide and metropolitan planning processes satisfy the federal planning requirements.

	<p>TEAMS Meeting or 850-739-5589 Conference ID: 670 295 481# Point of Contact: Mark Reichert 850-414-4901</p>
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Agenda - Tuesday July 7, 2020

Time	Topic	Presenter
9:00 a.m.-9:30 a.m.	Introductions	Mark Reichert, FHWA/FTA
9:30 a.m.-10:30 a.m.	Status of 2019 Annual Certification Overview with Discussion on: <ul style="list-style-type: none"> • Corrective Actions • Recommendations 	FDOT, FHWA, FTA
10:30 a.m.-10:45 a.m.	Break	
10:45 a.m.-11:00 a.m.	Transportation Performance Measures (TPM)- Safety, How to Make Significant Progress Towards Achieving Targets	Lora Hollingsworth
11:00 a.m.-11:15 a.m.	Florida Transportation Plan Update	Jennifer Carver
11:15 a.m.-11:30 a.m.	MPO Risk Assessment Process and Joint Certifications	Erika Thompson
11:30 a.m.-11:45 a.m.	UPWP Revision Form/UPWP Template	Erika Thompson/Scott Philips
11:45 a.m.-12:00 p.m.	FDOT Office of Inspector General Planning Audits	Tim Crellin Michael Dean

Agenda – Wednesday July 8, 2020

8:30 a.m.-9:00 a.m.	Introductions/Recap of Day 1	Mark Reichert
9:00 a.m.-9:30 a.m.	MPO Portal Status	Samantha Parks
9:30 a.m.-9:45 a.m.	MPOAC Update	Carl Mikyska
9:45 a.m.-10:00 a.m.	Comments from MPOs	Lois Bollenback, et al
10:00 a.m.-10:15 a.m.	Break	
10:15 a.m.-10:30 a.m.	LRTP and TIP Content	FDOT/FHWA/FTA
10:30 a.m.-10:45 a.m.	Noteworthy Practices	Mark Reichert
10:45 a.m.-11:00 a.m.	Transit Update	Liz Stutts
11:00 a.m.-11:30 a.m.	Non-TMA PARS/Summary of TMA Certification Corrective Actions	FHWA/FTA
11:30 a.m.-Noon	Wrap Up, MPO Training Requests, Next Steps	FHWA/FTA

Appendix B - Summary of Discussions that Supported the 2020 Planning Finding

The meeting began with general introductions from the Florida Department of Transportation (FDOT), the Federal Highway Administration (FHWA), and the Federal Transit Agency (FTA). This group met to conduct the 2020 Florida Federal Planning Finding review and discuss the status of the 2019 Corrective Action and recommendations. As noted below, the group also discussed the Work Program Integration Initiative (WPPI), Joint Certification Risk Assessment, Rural Planning Initiative, FDOT OIG General Planning Review, Quality Assurance Reviews (QARs), Transportation Management Area (TMA) Certification Review, and other items. The sections below summarize the discussion of each topic.

2020 Florida Federal Planning Certification Meeting

July 7–8, 2020
Teams Meeting

Meeting Objectives

The Federal Planning Certification is required for Statewide Transportation Improvement Program (STIP) approval by Federal Highway Administration (FHWA) and Federal Transit Administration (FTA). They have joint stewardship responsibilities to ensure that both the statewide and metropolitan planning processes satisfy the federal planning requirements.

For meeting information, please contact Mark Reichert, Administrator for Metropolitan Planning_(850) 414-4901, Mark.Reichert@dot.state.fl.us.

Meeting Summary

Day One, 9:00 am - Noon

Introductions

Those present and participating remotely announced themselves. Stacey Miller, Huiwei Shen, Alison Stettner, Karen Brunelle, Cathy Kendall, and Rob Sachnin welcomed everyone to the meeting and expressed appreciation for the opportunity to collaborate on program improvements.

Status of 2019 Annual Certification Overview

Corrective Actions

- Mark Reichert, OPP - We received confirmation that FDOT addressed the 2019 corrective actions.
- Cathy, FHWA - We are very happy with the progress on the corrective actions from last year.
- Rob, FTA - Great job, everyone. Currently FTA is satisfied with proposed solutions and recommend coordination during and after the upcoming grant cycle to assess whether or not the solutions achieved the desired result.

Recommendations

Mark, OPP reviewed the status of 2019 recommendations:

- **Recommendation 1: Outreach and Consultation with Partners and Stakeholders**
 - Mark, OPP - FDOT addressed this recommendation by providing Public Participation Plan (PPP) training at the 2019 Florida Metropolitan Planning Partnership (FMPP) meeting.
 - Cathy, FHWA - When MPOs revise PPPs, do they involve the District MPO Liaison? Are there opportunities to remind MPOs to conduct outreach?
 - Alison Stettner, OPP - District MPO Liaisons are involved in all processes and provide input when MPO's develop documents. We also have new resources on our updated public involvement web page.
 - Mark, OPP - Many MPOs are revising their PPPs due to the COVID-19 Pandemic.
- **Recommendation 2: Partner Communication**
 - Mark, OPP - OPP has committed to coordinating on MPO Handbook updates when the changes affect FTA and FHWA. We always notify federal partners when we release an updated MPO Handbook.
 - Cathy, FHWA - Please continue to communicate as much as possible. With the Unified Planning Work Programs (UPWPs) that were just completed, it shows how important communication and understanding of each other's processes are.
 - Erika Thompson, OPP - Yes, we are documenting the UPWP procedural changes now. With this MPO Handbook update, we added specific dates and clarified processes.
 - Alison, OPP - Based on lessons learned this cycle, we may want to adjust the timing of the schedule to allow more review time. A UPWP template will also help address areas of confusion.
 - Cathy, FHWA - Yes, we are looking forward to working together on the UPWP template.
- **Recommendation 3: ADA Transition Plan**
 - Mark, OPP - FDOT is compliant with the Americans with Disabilities Act (ADA) Section 504 programs.
- **Recommendation 4: Tracking of STIP and Other Non-PL Planning Funding**
 - Erika, OPP - Technical Memorandum 19-03 has been revised and OPP tracks funds monthly.
 - Stacie Blizzard, FHWA - The last version we reviewed did not have a finalized tracking method.

- Erika, OPP - We could not fully address the recommendation because we cannot apply the 80/20 rule before the UPWP is approved due to the timing of the state and federal fiscal years. There is a delay between UPWP programming and authorization.
- Kendra Sheffield, OWPB - The OWPB tracks this regularly.
- Stacie, FHWA - We were looking for a mechanism to track planning (PL and non-PL) amounts.
 - Erika, OPP - We capture this information using the Tentative Work Program. We will add language to the technical memorandum and can reconcile programmed funds with UPWPs in July. FDOT is committed to tracking non-PL and PL funds.
 - Karen Brunelle, FHWA - We have made great strides compared to the last two years and appreciate the complexity of the different facets. FHWA still needs an understanding of when the 80/20 rule will be dealt with and how changes would occur if something did happen. There may be an opportunity to address the 80/20 rule when we do the initial authorization.
 - Alison, OPP / Kendra, OWPB - We are constantly monitoring expenditures and UPWPs to make sure PL is spent down first.
 - Stacie, FHWA - We won't know if this is an issue until the second authorization in October.
 - Mark, OPP - Let's discuss in detail later.
- **Recommendation 5: Programming of FTA Capital and Operating Activities**
 - Mark, OPP - FDOT updated the Work Program instructions.
 - Rob, FTA - Recommendations 5, 6, and 7 are all related. We agree that FDOT's approach may help address the recommendations.
 - Gabe Matthews, OPP - The MPOs and transit agencies should put the appropriate information in the Transportation Improvement Program (TIP). We support educating MPOs and transit agencies on the process and requirements.
 - Rob, FTA - FTA is happy to help coordinate; we appreciate efforts to make improvements.
 - Carl Mikyska, MPOAC - I am happy to facilitate coordination.
 - Mark, OPP - The MPOAC is working with MPOs to better reflect FTA programs in the TIP.
- **Recommendation 6: Tracking of Large and Small Urban Apportionment Activities**
 - No additional comments.
- **Recommendation 7: Sufficient Descriptive Material - FTA Programs**
 - No additional comments.

Transportation Performance Measures (TPM) - Safety, How to Make Significant Progress Towards Achieving Targets

Lora Hollingsworth, Safety Office provided an update on how FDOT is addressing safety targets:

- FDOT has a target of zero fatalities. This target is consistent across the Highway Safety Plan (HSP), Strategic Highway Safety Plan (SHSP), and Highway Safety Improvement Program (HSIP). I am working with OPP on the Florida Transportation Plan updates as well.

- The HSIP annual report was provided to the National Highway Traffic Safety Administration (NHTSA) for review. We established zero as a target in 2017, but forecasting real data shows we may not hit our target.
- Most MPOs have adopted the state safety targets, but eight MPOs have developed their own targets while still supporting the state's overall goal.
- Secretary Thibault received a letter regarding performance targets from FHWA.
 - FDOT is in the process of responding to the letter.
 - States with numbered targets also received this letter.
- We want to spend safety dollars where the data show a need, and we are updating an implementation plan.
 - The updated plan will be submitted with the letter.
- We are currently updating the SHSP. Please participate and provide input.
- Complete Streets, Safe Routes to School, and other engineering countermeasures and programs also continue to improve safety.
- John Crocker, FTA - FDOT is very progressive with their targets.
- Alison, OPP - Thank you for sharing this update. The Department is very progressive with this approach.
- Cathy, FHWA - Will you provide this detail related to how FDOT is addressing safety in the letter?
 - Lora, Safety Office - Yes.
- Carl, MPOAC - Thank you for the presentation at FMPP. It was helpful for those managing local roads.

Mark, OPP shared an update on TPM integration into TIPs and LRTPs:

- Mark, OPP - Most MPOs adopted the consensus document with their TIPs this past year. We have been recommending that the MPOs adopt the consensus document as a separate board item this year. We can provide an update on which MPOs have adopted the consensus document later this year.
 - We provided updated templates/language to comply with Transportation Performance Measures (TPM) requirements in the TIP and long range transportation plans (LRTPs). We also recently updated and distributed fact sheets for each measure to the MPOs.
 - We continue to share data on the PM1, PM2 and PM3 performance measures.
- Carl, MPOAC – The senior planner is now on the distribution list for many MPOs, instead of just the Executive Director. This will help ensure that the information gets into the right hands.
- Teresa, FHWA – It would be helpful if we can be copied on what is sent to the MPOs.
- Cathy, FHWA - Can you share the revised templates and the fact sheets? That will be helpful information to have when we review the LRTPs.
 - FTA - Can you share the templates with us too?
 - Mark, OPP - Yes, FHWA reviewed the original versions and we will share the revised.
- Rob - We have a PTASP technical assistance center if there are any questions.

Florida Transportation Plan Update

Jennifer Carver, OPP shared an overview of the Florida Transportation Plan (FTP) update process:

- We started the update in May 2019 with a vision zero workshop and long-range visioning session.
- We already conducted significant partner outreach and are continuing to work with statewide partners.
- We completed a values and preferences survey that showed a diverse group of responses.
- We also completed the vision element which outlines the FTP vision and its seven goals. It is on the FTP website and printed copies will be shared.
- We are working on the policy, performance management, and implementation elements.
- The public outreach approach is being reconsidered due to the COVID-19 Pandemic.
- Cathy, FHWA - It sounds like the FTP is coming together well.

MPO Risk Assessment Process and Joint Certifications

Erika, OPP provided an update of the Joint Certification Risk Assessment:

- We coordinated with District MPO Liaisons, OIG, and the MPOAC to update the risk assessment.
- Major updates included adding statutory language, converting it to a percentage-based scoring system, and updating questions to consider technical memorandums and the review checklists.
- Attachments do not have to be included with the risk assessment because they are available in the MPO Document Portal.
- We do not anticipate making major changes to the risk assessment this year. We may add new questions if there are new recommendations or findings.
- Cathy, FHWA - How do past assessment results compare to current results?
 - Erika, OPP - We applied the new criteria to last year's process. There was not much variation, and the differences that we found were appropriate.
- Michael Dean, OIG - We are auditing the Ocala/Marion Transportation Planning Organization (TPO) now and understand why their risk level may have lowered.
 - Alison, OPP - The District MPO Liaisons have been working hard to educate the MPOs. They have also improved the invoicing process by conducting quality reviews of invoices before submittal.
 - Erika, OPP - Yes, and we were dinging some MPOs more than necessary in the past because some the questions used previously resulted in materially insignificant findings, such as typos.
 - Cathy, FWHA - FHWA and FDOT use different statutes (23 CFR 450 v. 2 CFR 200) as the basis for risk assessments. We may have different findings. Having our agencies use different focus areas in their risk assessment can be good, if the MPOs understand that there are differences in the focused review, that our findings may therefore be different, and that our combined processes achieve the needed results. Alison, OPP - Yes, we should share this with the MPOs to ensure that they understand the differences between the risk assessments.

UPWP Revision Form

Erika, OPP introduced the idea of updating the UPWP Revision Form to FHWA and asked Sandi Bredahl, District 7 to review suggested updates:

- The UPWP Revision Form has been streamlined from three pages to one and is in Microsoft Excel so that checks and balances are built in.
- The form also automatically calculates the difference between original and proposed funding amounts.
- Mark, OPP - FHWA and FTA, please share comments as soon as you can.
- Sandi, District 7 - I will add all STBG options to the fund dropdown list.

UPWP Template

Mark, OPP and Scott, OPP introduced a new initiative to develop a UPWP Template for use by the MPOs.

- Scott, OPP - We are reviewing all of the recent UPWP comments to identify best practices and areas of concern. We are also collecting templates from around the country. Once we complete the preliminary research, we will share it with FHWA and begin coordinating on a template. Then, we can work with the MPOs. The goal is to have consistently formatted budget tables to make UPWP reviews and changes easier. Please send us the list of people who you would like us to work with on this effort.
 - Cathy, FHWA - We are excited about this effort. We will provide a point of contact to Scott. What is the timeframe on this?
 - Alison, OPP - January or spring of next year.
 - Greg Stuart, Broward MPO - I am glad to hear it will be a collaborative process. We appreciate consistency while considering complexities.

FDOT Office of Inspector General Planning Audits

Mark Reichert, OPP introduced Tim Crellin, OIG to discuss the on-going audits on Hillsborough MPO and Ocala/Marion TPO.

- Tim, OIG and Michael Dean, OIG - Hillsborough MPO was selected for audit for two reasons. The MPO's indirect rate was much higher than normal and has a complex government structure.
 - We have one finding and three observations that are in a draft report sent to the MPO on June 15th. The MPO must respond by July 14th. Then, we will share the draft report with OPP before it is final.
 - Finding 1: Indirect Rates: The Department found that the de minimis rate of 10 percent is now being used and is appropriate. Previously, a higher rate was used. The cause of this incorrect rate is identified in our three observations.
 - Observation 1: The indirect rate was incorrectly calculated because vacation and sick leave were double counted. The rate should have been 10.3 percent, not 30 percent. Methodology documentation was lacking, making it difficult to determine what was included in the 30 percent.

- Observation 2: The MPO is double hosted, which could result in confusing roles and responsibilities.
- Observation 3: The MPO relies on the host agency for fiscal compliance, while the MPO handles programmatic compliance.
- Tim, OIG and Keyonis Shack, OIG: The Ocala/Marion TPO was selected for audit by request, and the audit is still underway.
 - Mark, OPP - OIG audits are selected based on past experiences and by request.
 - Keyonis, OIG - Several concerns related to timesheet verification and lack of expenditure transparency lead to this audit. Though the investigation is still underway, we have been able to determine that new management, updated invoice procedures, and better communication have helped to address some concerns. Next steps include coordination with the FDOT management team and report development.

Day Two, 8:30 am - Noon

Introductions/Recap of Day 1

Those present and participating remotely announced themselves. Mark, OPP welcomed everyone back and summarized the discussion from Day 1.

MPO Portal Status

Mark, OPP - We implemented MPO Document Portal version 1.0 last year. Samantha Parks, OPP will be discussing upcoming updates that will address the hiccups in version 1.0.

- Samantha, OPP - For the updated portal, we reviewed each agency's process to determine the new design and workflow. We are wrapping up testing now and have started to develop training. Other updates include:
 - Maintained the look and feel of the portal.
 - Updated processes to allow MPOs to upload documents.
 - Notifications set for state review and federal review based on specific timelines.
- The training will cover how the portal works and the steps to conduct a review or upload a document. The training will be by audience and available online. The training will be required before gaining access and will be available sometime this fall. If possible, people should attend as many different trainings as possible – not just for their specific use – but also to understand the process the other partners will be following.
- Cathy, FHWA - Closing out of a current action to start a new action is not efficient.
 - Samantha, OPP - We resolved this.
- Cathy, FHWA - MPOs send documents to FHWA rather than through the portal.
 - Samantha, OPP - The training should improve this.
- Cathy, FHWA - Notifications do not always come through.
 - Samantha, OPP - The tool that caused this issue has been changed.
- Cathy, FHWA - Multiple/duplicative documents cause confusion in review.

- Samantha, OPP - These communication gaps are being addressed.
- Cathy, FHWA - There are plans that we do not approve, just review, that are showing up for us.
 - Samantha, OPP - This has been addressed.
- Rob, FTA - Cathy covered our comments. It is difficult to tell when action is required versus us being notified. It seems the updated version addresses this. We appreciate the intent and look forward to the updated portal.

MPOAC Update

Carl Mikyska, MPOAC introduced his newest staff member, John Waldron, and provided a quick update:

- Due to the COVID-19 Pandemic, the MPOAC did not hold their last regularly-scheduled quarterly meeting but plans to hold a hybrid meeting in July.
- Carl thanked FDOT Leadership, OWPB, and OPP for their leadership, support, and coordination.

Comments from MPOs

- Lois Bollenback, Chair of the MPOAC Staff Directors - OPP is a very responsive and a great partner. The team is open, accessible, and provides guidance, data, clarification, and more. They are open to feedback, which helps us build stronger partnerships. We are happy to have Alison on board.
 - MPO Executive Directors echoed these sentiments.
- Greg Stuart, Past Chair of the MPOAC Staff Directors - We have seen vast improvements over the past 12 years. We appreciate everyone working together to find common ground when we know a “one size fits all” approach doesn’t work in Florida.
- Beth Alden, Hillsborough MPO - Thank you for pulling together the performance measures data.
- Dave Hutchinson, Sarasota/Manatee MPO - This is a review of the process, not just FDOT. We appreciate everyone working together to improve processes.

LRTP and TIP Content

Cathy, FHWA – Recently, we have started to see some issues that were addressed in the 2012 and 2018 Expectation Letters resurface. For example, some LRTPs are missing details related to total project cost and phasing, inclusion of all regionally significant projects, or don’t properly identify federal projects. We need those elements to complete planning consistency and determine fiscal constraint. This can lead to much larger issues when approving projects.

- Mark, OPP - We can re-emphasis these expectations, as well as discuss them at FMPP. We updated the TPM language.
- Jim, FHWA – Does the FDOT checklist include the items from the Expectations Letters?
- Erika, OPP - We updated the LRTP checklist in 2019 to include the new planning factors and there are references to the 2018 Expectations Letter. We share the checklist with the MPOs, and MPO Liaisons complete the checklist when they review an LRTP. We can share the checklist with you if you would like to make suggestions.
 - Cathy, FHWA - Great, thanks.

- Greg, Broward MPO - We should work together to improve communication and dissemination of the Expectation Letters. The letters were released when OPP staff was in flux and the Districts were taking a stronger role in technical support. The Districts could have interpreted the letters differently. Maybe Carl can help communicate the letters to everyone.
- Carl, MPOAC - Yes, I can help. A virtual meeting would give us the chance to invite staff level positions at the MPOs as well. The group discussed the possibility of an FMPP-like training to address the Expectations Letters.
- Karen, FHWA – Reminded everyone of the purpose of the letters (issued in 2008, 2012, and 2018). Based on what was observed during certification reviews, there were some requirements that were not being interpreted correctly at the state and/or local level. The expectations letters provided a heads-up as to what was the federal interpretation of certain requirements so that MPOs had time to make adjustments during their LRTP updates.
- Cathy, FHWA – Probably want to make sure the training covers the 90-day provision on the collation and posting of LRTP documents in the MPO website, which some MPOs have interpreted as a 90-day extension of adopting the supporting technical studies.
- Dave, Sarasota/Manatee MPO - As we prepare the LRTP, the earlier years of the planning horizon include more detail than the latter years. We support consistency but also want to ensure the appropriate level of detail is included in plans.
- Cathy, FHWA – The certification reviews show similar concerns with the TIPs as the LRTPs, and our annual STIP Check review has identified project differences between the three documents. Let's work on consistent communication of the letters. We will include Samantha in our upcoming consistency review of the LRTPs, TIPs and STIP.

Noteworthy Practices

Mark, OPP - Erika, OPP already went over the update to the risk assessment but other practices we are working on with our partners include:

- Holding monthly webinars with the District MPO Liaisons. Recent topics include the UPWP Amendment process and UPWP Closeout Process.
- Developed LRTP, TIP, UPWP, and Planning Consistency Computer-Based Trainings to train new District MPO Liaisons and partners.
- Updating Desktop Procedures for District MPO Liaisons.
- Updating the UPWP Revision Form with FHWA.
- Developing a UPWP Template with FHWA and FTA. This will help address current issues related to regional tasks and transparency.
- Updating the MPO Handbook quarterly.
- Advertising and presenting Planning Awards at TransPlex.
- Developed TPM and MPO Fact Sheets.
- Conducted research on MPO and transit agency coordination with CUTR. It was found that LRTPs and transit development plan (TDP) updates are often not coordinated. Coordinated transit systems operations planning and integration into LRTPs may be helpful.
 - Gabe Matthews, Transit Office - FFTA is accepting virtual presentations. We could submit the CUTR findings.

- Rob, FTA - Coordination with transit providers is important and helps us award funds in a timely manner. When reviewing grant applications, we need certain documentation and it helps to have that coordination up front to reduce application processing delays.
- Developing MPO guidance for ACES technologies.
 - HNTB developing ACES language for MPOs to use in their planning documents.
- Developing guidance for hybrid virtual and in person public meetings.
 - Alison, OPP - Public hearings are still postponed with the current environment. Leadership is reviewing the draft hybrid meeting guidance. We will share the guidance as soon as we can. Do you have any guidance?
 - Karen, FHWA - We have no additional guidance at this time.
 - Michael Sherman, FHWA - Are you sharing this guidance?
 - Alison, OPP - Yes, it is all available on our public involvement web page.

Transit Update

Liz Stutts, Transit Office - Thank you for the opportunity to highlight what the Transit Office has been working on.

- Liz, Transit Office - With the onset of the COVID-19 Pandemic, we activated our emergency response team to coordinate statewide transit operations and resources.
- John Crocker, FTA - Thank you for the flexibility. Please let us know if you need any assistance.

Non-TMA PARs/Summary of TMA Certification Corrective Actions

Cathy, FHWA introduced Michael, FHWA and Teresa Parker, FHWA to discuss TMA certification reviews and non-TMA PARs.

- Michael, FHWA - We have issued reports for River to Sea TPO, Miami Dade TPO, and Polk TPO. There were three corrective actions and 20 recommendations.
- Corrective actions were related to ADA Section 508 and outreach to interested parties during public outreach; fiscal constraint – missing 1st 5-year band of projects; and fiscal constraint – need for project costs in year of expenditure.
 - Alison, OPP - We are working closely with the MPOs on 504 plans and understand and appreciate your comments.
 - Michael, FHWA – Thanks, let's figure out how to collaborate to support the MPOs.
 - Alison, OPP - We will add the corrective actions to the FMPP agenda and discuss recommendations so we can be consistent statewide.
- Teresa, FHWA - The non-TMA PAR report was released in December. We pick MPOs for review based on their FHWA risk level. This year we reviewed Hernando/Citrus MPO, Bay County TPO, and Okaloosa-Walton TPO.
- Two MPOs were found to be satisfactory. One MPO was not consistently implementing the planning and civil rights requirements. The self-certification was not signed by the MPO Chair, not having an accessible Title VI/ Non-discrimination compliant filing procedure and LEP plan.

- Mark, OPP - We provided Public Participation Plan training and assistance at FMPP, but no other action by FDOT has been taken.
- Teresa, FHWA - A few MPOs reached out to Carey Shepherd (FHWA Civil Rights Program Coordinator) for training.
 - We will review the report and work with Carl Mikyska to see what actions we can take to make improvements.

Wrap-Up, MPO Training Requests, Next Steps

- Mark, OPP - We take this process seriously and appreciate the opportunity to work together to improve the planning process.
- Alison, OPP - Thank you, this dialogue helps us improve our service to MPOs and the State of Florida.
- Stacie Blizzard, FHWA - We seek to identify types of technical training needed. TMA Certifications, MPOAC, and FMPP used to identify needs. A few training needs requested by the MPOs or that we have identified include:
 - Grants (5305 and 5303)
 - Title VI (this request was accommodated)
 - ACES
 - TPM (data collection)
 - Innovative financing and ways to sustain TSMO
 - Virtual engagement
 - Flexing funds
- Stacie, FHWA - Upcoming trainings include a statewide truck parking plans and inland ports class.
 - There was recently a peer exchange in District 6 for express lanes.
 - The FDOT and MPOs were asked to consider if there are any additional training needs, other than those listed in this session, that the federal agencies should be notified of and to send those to the FHWA/FTA team by July 30th.
- Mark, OPP - I sent a save the date for resilience peer exchange.
- Michael, FHWA - Will there be a District 3 TSMO peer exchange?
 - Mark, OPP - Depends if the Emerald Coast Symposium happens.
- Cathy, FHWA - Thank you everyone for participating and addressing corrective actions and recommendations. We have just a bit of coordination left. The MPOs summed up our perception of working with FDOT. We appreciate your willingness to address issues as they pop up, and we have made a lot of progress. Your responsiveness helps us collaboratively improve the program. We will review any documentation sent to us by FDOT, complete the STIP/TIP/LRTP review, and send a report in September.

Action Items

The following table lists action items identified during the meeting, those responsible for completion of the action item, and the status of the action item.

Action Item	Staff Responsible	Status
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Share TPM template and fact sheets	Mark Reichert, OPP	Completed
Share FHWA POC for UPWP Template development	Cathy Kendall, FHWA	
Reemphasize FHWA Expectation Letters	Mark Reichert, OPP	Need for meeting/training per discussion
Review non-TMA Report	OPP and MPOAC	Underway
Coordinate with MPOs on FTA Capital and Operating Activities	Carl Mikyska, MPOAC	
Share LRTP Checklist	Alison Stettner, OPP	Complete
Share UPWP Revision Form for comment	Erika Thompson, OPP	Complete
Tracking of STIP and Non-PL funding discussion	Erika Thompson, Stacie Blizzard	

APPENDIX C

2020 Florida Federal Planning Certification - Attendees July 7-8, 2020, 8:30 A.M. – Noon

The table below summarizes meeting attendees and their organization. * indicates attendees that joined on July 8th only.

Attendee	Organization
Greg Stuart*	Broward MPO
Jeff Cramer*	Center for Urban Transportation Research (CUTR)
Sandi Bredahl	FDOT District 7
Huiwei Shen	FDOT Office of Chief Planner
Stacey Miller	FDOT Office of Finance and Administration
Keyonis Shack	FDOT Office of Inspector General (OIG)
Michael Dean	FDOT Office of Inspector General
Tim Crellin	FDOT Office of Inspector General
Alison Stettner	FDOT Office of Policy Planning (OPP)
Erika Thompson	FDOT Office of Policy Planning
Jennifer Carver	FDOT Office of Policy Planning
Mark Reichert	FDOT Office of Policy Planning
Samantha Parks	FDOT Office of Policy Planning
Scott Philips	FDOT Office of Policy Planning
Chris Bratton	FDOT Office of Work Program and Budget (OWPB)
Kendra Sheffield	FDOT Office of Work Program and Budget
Stephanie Certain	FDOT Office of Work Program and Budget
Lora Hollingsworth	FDOT Safety Office
Chris Wiglesworth	FDOT Transit Office
Gabe Matthews	FDOT Transit Office
Liz Stutts	FDOT Transit Office
Cathy Kendall	Federal Highway Administration
Jim Martin*	Federal Highway Administration
Karen Brunelle	Federal Highway Administration
Michael Sherman	Federal Highway Administration
Stacie Blizzard	Federal Highway Administration
Teresa Parker	Federal Highway Administration
Brittney Lavender	Federal Transit Administration
Courtney Roberts	Federal Transit Administration
Holly Liles	Federal Transit Administration

Attendee	Organization
John Crocker	Federal Transit Administration
Rob Sachnin	Federal Transit Administration
Beth Alden*	Hillsborough MPO
Joe Crozier	Kimley-Horn
Macy Fricke	Kimley-Horn
Gary Huttman*	MetroPlan Orlando
Jason Loschiavo	MetroPlan Orlando
Nick Lepp*	MetroPlan Orlando
Carl Mikyska	Metropolitan Planning Organization Advisory Council (MPOAC)
John Waldron	Metropolitan Planning Organization Advisory Council
Aileen Bouche*	Miami-Dade TPO
Lois Bollenback*	River to Sea TPO
Dave Hutchinson*	Sarasota/Manatee MPO
Nancy Simpson*	Sarasota/Manatee MPO

Transportation Performance Management (TPM)

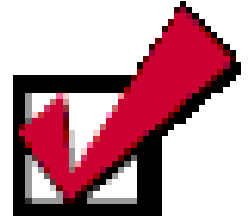
Recent Updates

October 2020



U.S. Department of Transportation
Federal Highway Administration

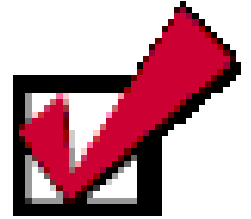
Spring TPM Activities



- Feb 27: MPO Set 2019 Safety Targets
- April 24: FHWA determination regarding FDOT progress toward 2018 Safety Targets
 - » No targets met for the 5 measures
 - » 2 of 5 measures better than baseline
 - » Conclusion: FDOT did not make significant progress toward target achievement
 - » Implementation Plan required
 - » All State Safety Target Determinations Posted at: https://safety.fhwa.dot.gov/hsip/spm/state_safety_targets/



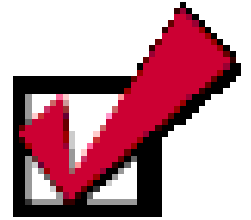
Summer TPM Activities



- July 31: FHWA TAMP Consistency Determination
 - » Determined to be consistent
- Aug 31: FDOT Set 2021 Safety Targets
 - » All were “0”
- Aug 31: FDOT Submitted Safety (PM1) Implementation Plan
 - » Currently under review by FHWA



Recent TPM Activities



- Oct 1: FDOT Submitted Mid Performance Period Progress Report (MPPR)
 - Currently Under Review by FHWA
 - Applies to Systems Performance, Bridge, and Pavement Targets (PM2 and PM3)
 - Non-Interstate NHS system reliability baseline is reported
 - FDOT's option to adjust the FDOT 4-year targets are reported
 - » FDOT to coordinate target adjustment decisions with MPOs
 - » In 2018, all FL MPOs Supported State Targets
 - » FDOT is not adjusting their targets. No further action by MPOs
 - » If FDOT adjusted targets, the MPOs would have an opportunity to assess and adjust their targets by March 30, 2021



What's New in Guidance?

- FAQs on Pavement Data Collection and Reporting

<https://www.fhwa.dot.gov/tpm/faq.cfm/>

- TPM Essential Videos (5-12 minutes)

<https://www.fhwa.dot.gov/tpm/videos/>



New TPM Training Opportunities



- NHI 138021 – Data for TPM
- NHI 138022 – Making the Connection between HPMS Data Items and TPM
- NHI 138023 – Communicating and Reporting on TPM
- NHI 138024 – Monitoring and Adjustment for TPM
- NHI 138025 – Investment Decision Making and TPM

<https://www.nhi.fhwa.dot.gov/>

**Free!
Web Based!**



Upcoming TPM Activities



- Nov 2: Mid Performance Period Progress Report Finalized
- Nov 23: 23 CFR 667 Evaluation of Facilities
 - » See Next Slides
- Feb 27: MPOs set 2021 Safety Targets



Upcoming TPM Activities



- Nov 23: 23 CFR 667 Evaluation of Facilities
 - Evaluate reasonable alternatives to roads, highways, and bridges that:
 - » Required repair and reconstruction activities
 - » Two or more occasions due to emergency events
 - Prior to including any project relating to the facility in the STIP.



Upcoming TPM Activities



- Nov 23: 23 CFR 667 Evaluation of Facilities
 - 11/23/2018: Evaluation for All NHS Routes
 - Update After Every Emergency Event
 - 11/23/2020: Evaluation for All Routes not previously included
 - FHWA will periodically review FDOT's compliance
 - FDOT must make evaluations available to FHWA upon request



***Whether you are a driver, passenger, or
pedestrian...***

highway safety depends on YOU.

Be observant and be adaptable to be safe.



Item Number 6A

Business Items & Presentations Legislative Policy Positions

DISCUSSION:

The 2021 Legislative session will begin with committee meetings in January and the full legislative session will begin in March. Each year MPOAC develops a set of policy positions and advocates for these positions. The legislative policy positions included in this meeting packet are the culmination of staff recommendations and review by the Staff Directors' Advisory Committee.

The Staff Directors met on September 16, 2020 and workshopped the legislative policy positions. The Staff Directors requested the revised policy positions be brought back before the Staff Directors' Advisory Committee at their October 29, 2020 meeting. The recommendations from the September 16, 2020 meeting included:

- Combining policy positions 1 & 2.
- Making policy position number 2 the proposed ban on the use of handheld electronic devices while driving.
- Adding a new policy position as number 3. Allowing virtual meetings during a declared state of emergency.
- Adding language to policy position 5, flexibility in funding for transit, to add language consistent with that of the Florida Public Transportation Association.

REQUESTED ACTIONS:

Recommend approval to the MPOAC Governing Board.

ATTACHMENT:

2021 Draft MPOAC Legislative Policy Positions.

FLORIDA METROPOLITAN PLANNING ORGANIZATION ADVISORY COUNCIL

2021 DRAFT LEGISLATIVE POLICY POSITIONS

Each Policy Position Starts with: “The MPOAC supports State Legislation that:”

2020 Legislative Policy Position:

1. **Expands transportation revenue sources and stabilizes transportation funding levels.**

Key Recommendations:

- Expand the Charter County and Regional Transportation System Surtax to allow municipalities over 150,000 in population (or the largest municipality in a county) and all counties located in MPO areas to enact up to a one cent local option surtax by referendum.
- Index local option fuel taxes to the consumer price index in a manner similar to the current indexing of state fuel taxes.
- Identify potential revenue replacement sources for the current motor fuels tax which is no longer able to fully support the current or future needs of the transportation system.
- Charge alternatively fueled vehicles a fee equal to the fuel tax paid by gasoline or diesel fueled vehicles.
- Use the existing MPO and local planning processes to select individual transportation projects rather than legislative appropriations (commonly referred to as earmarks). Ensure that all legislative appropriations that are passed come from non-transportation funding sources (i.e. general revenue funds).
- Fund the Transportation Regional Incentive Program (TRIP) at a predictable level of \$250 Million per year.

MPOAC Staff Directors’ Advisory Committee Recommended Language for 2021: Recommends bringing the TRIP funding language up into this policy position as a bullet point. Recommended language: Fund the Transportation Regional Incentive Program (TRIP) at a predictable funding level of \$250 million per year.

2020 Legislative Policy Position:

- 2. Regulates distracted driving by prohibiting the handheld use of electronic wireless communication devices and other similar distracting devices while operating a motor vehicle on any roadway.**

The 2018 Florida legislature enacted the “Wireless Communications While Driving” law that makes texting while driving a primary offense. One of the expressed concerns of opponents of this law is the potential for racial profiling during enforcement. This legislative proposal would increase roadway safety by prohibiting the handheld use of electronic wireless devices for any purpose, making enforcement easier and reducing the potential for racial profiling.

Discussion points:

The 2019 legislature approved texting while driving as a primary offense. In addition, the law provided a ban of handheld devices in school and work zones. The Senate bill sponsor was Wilton Simpson who stated that he wanted a full ban on handheld electronic devices while driving. Senator Simpson is slated to be the next Senate President and it is likely that he will be interested in passing a ban on handheld electronic devices while driving and would appreciate support from the transportation community.

MPOAC Staff Directors’ Advisory Committee Recommended Language for 2021: Move this policy position into the 2nd place in our brochure. No other changes recommended.

2020 Legislative Policy Position:

- 3. Add provisions to Florida's Sunshine Law to allow all government entities to hold virtual meetings during a declared emergency plus a period of 90 days past the declared emergency dates.**

We have learned during this time of COVID that the ability of government to hold meetings virtually is a benefit to Florida. Upon the declaration of an emergency by the Governor of Florida or the federal government, units of government may meet virtually so long as there is an opportunity for the public to participate virtually. Recognizing that some declared emergencies can take some time to recover, an additional 90 days are sometimes needed to repair damage to government facilities used to hold meetings or to transition from meetings that have been already advertised as virtual back to in-person meetings.

Discussion points:

The transition period of 90 days allows for good meeting planning. A meeting scheduled for two weeks from now may be problematic if an existing emergency order is revoked prior to the meeting date. Allowing a 90-day extension allows for ease of meeting planning and public notice of the meeting. It is very undesirable to advertise a meeting as virtual and at the last minute have to change it to in person.

MPOAC Staff Directors' Advisory Committee Recommended Language for 2021: List this policy position in the 3rd position in our list. Change language to state: Direction was given to staff to coordinate the MPOAC effort with the Florida DOT's effort on this issue. The Florida DOT has not released their legislative policy position related to this issue yet.

2020 Legislative Policy Position:

- 4. Allows Strategic Intermodal System (SIS) funds to be used on roads, transit, and other transportation facilities not designated on the SIS if the improvement will enhance mobility or support freight transportation on the SIS.**

Current state law does not permit SIS funds to be spent on roads, transit, or other transportation facilities that are not part of the SIS, even if proposed improvements would directly benefit users of SIS facilities by enhancing mobility options or supporting freight movement in a SIS corridor. Additionally, the newly created Federal Transportation Performance Measures (TPM) apply to a larger network than just the Strategic Intermodal System. Therefore, it is appropriate to direct SIS funding to transit and roadway projects that relieve the SIS.

MPOAC Staff Directors' Advisory Committee Recommended Language

for 2021: Recommend approval with a minor revision to language from last year. Remove ".....and are part of the federal TPM system" from the end of the policy position. The Staff Directors feared the last portion may be construed in a way that would restrict funding to some facilities.

2020 Legislative Policy Position:

5. Establishes flexible and predictable funding for transit projects (capital and operating) identified through the metropolitan transportation planning process by removing various funding limitations for the State Transportation Trust Fund (STTF).

Current state law limits the amount of funding that can be made available from the STTF for transit projects for both capital and operating expenses. These limitations, which are not in place for roadway funding, makes transit funding from the STTF less predictable for the purposes of planning and project implementation and artificially limits the ability of MPOs to implement priority transit projects. This proposal recognizes the critical role transit plays in moving people and goods within and between Florida's metropolitan areas by removing the distinction between transit and highway projects for the purpose of spending funds from the STTF.

Additionally, state law should be changed to:

- Make FDOT and TDTF Grants more flexible:
 - Extend TDTF Grants for Each County to the next year
 - Allow TDTF Funds to be used for Meal, Grocery, and Prescription Deliveries
 - At a minimum, earmark the TDTF dollars to ensure the Funds go back to the TD Trust Fund and not moved elsewhere
 - Allow other FDOT Grants to be used on Transit Improvement and Operating Funds.
- Waive the 50/50 match for the State Public Transit Block Grant for a set period of time and include a sunset provision.

MPOAC Staff Directors' Advisory Committee Recommended Language

for 2021: Keep the policy position. The Staff Directors committee discussed that several transit agencies and the Florida Public Transportation Association will be asking for the local match to be waived on transit funds for a few years, presumably to get through the pandemic, and MPOAC should develop supporting language in the explanatory paragraph after seeing policies from transit agencies and FPTA. I have reached out to Lisa Bacot at FPTA to insure consistency with our policy position and theirs. Lisa Bacot shared with me the following legislative policy position that FPTA will be taking:

- Make FDOT and TDTF Grants more flexible:
 - Extend TDTF Grants for Each County to the next year
 - Allow TDTF Funds to be used for Meal, Grocery, and Prescription Deliveries
 - At a minimum, earmark the TDTF dollars to ensure the Funds go back to the TD Trust Fund and not moved elsewhere
 - Allow other FDOT Grants to be used on Transit Improvement and Operating Funds.
- Waive the 50/50 match for the State Public Transit Block Grant for a set period of time and include a sunset provision.

2020 Legislative Policy Position:

- 6. Recognizes that federal metropolitan transportation planning funds shall not be regarded as state funds for purposes of expenditure.**

The United States Department of Transportation (USDOT) provides funding to Metropolitan Planning Organizations (MPOs) to carry out their federally required duties. Those federal funds are given to states who in turn distribute them to MPOs based upon a formula agreed upon by the Florida Department of Transportation (FDOT) and the Florida MPOs and then approved by the Federal Highway Administration (FHWA). The Florida Department of Financial Services (DFS) has determined that the expenditure of federal funds by MPOs shall be subject to all state requirements, laws and regulations even where such laws conflict with federal laws, regulations and requirements. This limits the ability of the Florida MPOs to use federal funds for their intended purpose and impinges on their ability to carry out their responsibilities as outlined in federal rule. This proposal would clarify that federal monies passed through the State of Florida to MPOs and the Florida MPO Advisory Council (MPOAC) shall not be regarded as state funds for purposes of expenditure.

MPOAC Staff Directors' Advisory Committee Recommended Language for 2021: Keep this policy position without change.

2020 Legislative Policy Position:

- 7. Supports the advancement of innovative transportation mobility solutions and policies that promote creative approaches to addressing transportation needs, while simultaneously protecting citizens from malicious tampering with such technologies by making tampering a punishable offense.**

Transportation technologies have undergone a revolutionary leap forward over the past several years. A variety of transportation technologies are under development including autonomous vehicles and the hyperloop. It is the responsibility of the Florida legislature to ensure that state laws and funding mechanisms support the development and implementation of these technological advances in the way people and freight will move in and between our metropolitan areas. At the same time, it is incumbent upon the Florida legislature to ensure that the health and welfare of Florida's citizens and visitors are protected from possible harm presented by these new technologies, including the malicious and intentional interference of the proper functioning of transportation vehicles and systems. This proposal supports legislative efforts to implement innovative mobility solutions and policies while protecting the health and welfare of Florida's citizens and visitors.

MPOAC Staff Directors' Advisory Committee Recommended Language for 2021: Keep this policy position without change.

Item Number 6B

Business Items & Presentations Federal Fund Exchange Presentation

DISCUSSION:

Ms. Tia Boyd from the Center for Urban Transportation Research, University of South Florida will present the findings from research they conducted on behalf of MPOAC. The national review of states that have implemented a federal fund exchange or swap program will be shared with the Staff Directors.

Federal processes and requirements are described as time consuming and costly for local agencies. To address these concerns, a number of state Departments of Transportation (DOTs) have developed federal fund exchange (or swap) programs. Exchange programs offer a practical solution for both DOTs and local agencies by de-federalizing locally administered Federal-aid projects, allowing local agencies to exchange federal dollars for state dollars. Smaller projects and smaller communities who do not have the staff resources to maintain LAP certification realize the greatest benefit from federal fund exchange programs.

REQUESTED ACTIONS:

For review and discussion. If the Staff Directors have an interest in pursuing a federal fund exchange direction to MPOAC staff is desired.

ATTACHMENT:

Federal Fund Exchange Review report.

Federal Fund Exchange Programs

Review of Existing Policies and Practices

Prepared For
The Florida Metropolitan Planning Organization Advisory Council

Prepared By
USF Center for Urban Transportation Research

September 2020

Project Team

Jeff Kramer, AICP

Wyatt Burttschell

Tia Boyd

Disclaimer

The contents of this report reflect the views of the authors, who are responsible for the facts and the accuracy of the information presented herein. The opinions, findings, and conclusions expressed in this report are those of the authors and not necessarily those of the Florida Metropolitan Planning Organization Advisory Council (MPOAC).

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Chapter 1

Introduction

Locally administered Federal-aid projects, managed by State Transportation agencies, allow cities, counties, and other Local Public Agencies (LPAs) to administer Federal-aid projects and provides for construction, reconstruction, and improvement of highways and bridges on eligible Federal-aid highway routes (FHWA, n.d.). These projects are required to remain in compliance with federal program requirements, including environmental determination and mitigation, right-of-way procurement, utility relocation, design standards, detailed project management/contract compliance and quality assurance procedures.

Federal processes and requirements are described as time consuming and costly for local agencies. To address these concerns, several state Departments of Transportation (DOTs) have developed federal fund exchange (or swap) programs. Exchange programs offer a practical solution for both DOTs and local agencies by de-federalizing locally administered Federal-aid projects, allowing local agencies to exchange federal dollars for state dollars. Each state identifies an exchange rate, which is the ratio of state dollars that can be exchanged for federal dollars. Exchange rates vary between states ranging from an equal exchange (1:1) to 75 cents of state dollars for federal dollars (3:4). Where the exchange rate is not equal, the excess funds are used by the state to cover exchange program costs (FHWA, 2018). More information on exchange rates are provided through this document and in Appendix A.

The Federal Highway Administration (FHWA) conducted a survey of current fund exchange programs and reported that fifteen states have an exchange program. The fund exchange survey briefing developed by FHWA is provided in Appendix B.

This research, conducted using a combination of online searches and DOT staff interviews, takes a deeper look into states identified by FHWA as having fund exchange programs. Of the fifteen states identified, Idaho, Indiana, New Jersey, and Wisconsin had limited information online and were unable to be contacted for an interview. This document summarizes findings from the online searches and/or interviews from the remaining eleven states. Please note that the report attempts to accurately summarize information provided by each state reviewed and that names and acronyms used may differ from state to state, even as they refer to the same program or concept (i.e. federal funding program acronyms).



Chapter 2 Arizona

The Arizona federal fund exchange was first introduced in 1997. The Arizona Department of Transportation (ADOT) suspended the program in 2008 due to a sharp decline in Highway User Revenue Fund (HURF) revenues (the HURF is a repository for a variety of fees and charges relating to the registration and operation of motor vehicles on the public highways of the state). The program was reinstated on October 1, 2017, and currently remains active. The first iteration of the HURF exchange, 1998 to 2009, facilitated 145 projects exceeding \$90 million in total value (ADOT, 2018a).

The support for a federal fund exchange emerged during the early 1990s and finally culminated in the legislation which authorized its use in 1997. The council of governments (COGs) and metropolitan planning organizations (MPOs) supported legislation for a fund exchange in light of ADOT's ability to efficiently execute federally funded projects and to quickly deploy discretionary Surface Transportation Block Grant Program (STBGP) funds. Also, COGs, MPOs, and ADOT identified state-funded local projects as being less time and resource intensive than the federal aid process would allow. ADOT and local transportation agencies also identified the flexibility and control over project type and delivery as being a key motivation for the exchange (ADOT, 2019a).

In 1997 the state authorized ADOT to provide State Highway Funds (SHF) to enable local transportation agencies to exchange federal funds for HURF funds. The HURF Exchange program allows cities, towns, and counties, with a population under 200,000, the ability to use state funding in lieu of federal funding for the design and construction of transportation projects (A.R.S 28-6993 G).

ADOT has documented the benefits of their exchange. According to ADOT Director John Halikowski, “[t]his is a win-win for the state and local communities that would otherwise have to depend on ADOT to manage their federally funded projects...” (ADOT, 2018a). Projects funded through the HURF Exchange are intended to cost less, be more flexible, and progress more rapidly than federal aid projects by removing federal regulatory and certification requirements. The exchange is described as popular with project sponsors and ADOT (ADOT, 2018b).

Organization of the Exchange

The HURF represents a set of auto-related revenues (gasoline and use-fuel taxes, motor-carrier taxes, vehicle-license taxes, motor vehicle registration fees and other miscellaneous fees). Historically, the HURF has been a general source of funding for transportation projects on the state system. Figure 1 illustrates the flow of HURF revenue distribution for fiscal year 2019 (ADOT, n.d.a.).

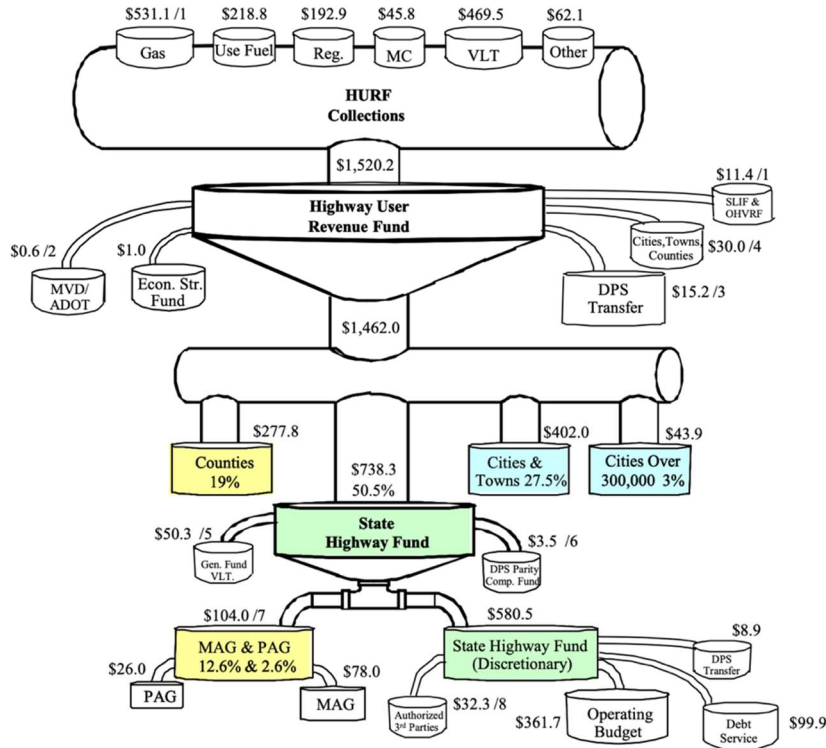


Figure 1. HURF revenue distribution flow fy2019

Source: ADOT, 2019b

Eligible Funds and Projects

Federal STBGP funds are the only fund type eligible for the HURF exchange. The COG/MPO federal aid funding ledger reflects the authorization status of projects in the current federal fiscal year, apportionments and obligation authority, transfers and loans, available, and lapsing funds (ADOT, 2019c). The STBGP funds (identified by sub-categories) appear on the COG/MPO ledgers as “STP <5”, “STP 5-200”, and “STP Other” (ADOT, n.d.). COGs/MPO federal funding ledgers produced by the ADOT Resource Administration database are required to be maintained for up to five years. According to the HURF Policies and Procedures, eligible projects are required to (ADOT, 2019c):

- Have as its primary purpose the improvement of the efficiency, reliability, and safety of the traveling public;
- Be on the federal aid system and be eligible for federal STBG funding (limits eligibility to projects on roads classified as rural minor collectors or above; projects on local roads are not eligible);
- Have all phase(s) approved by the COG/MPO Technical Advisory Committee and be programmed as HURF Exchange in the approved, fiscally-constrained portion of the Transportation Improvement Plan (TIP); and
- Demonstrate a realistic schedule indicating all phases of the project will be completed within three years of the date of finance authorization of the design phase.

Eligible Agencies

Eligible entities include Arizona cities, towns, and counties with populations less than 200,000. The Arizona COGs and MPOs representing these populations must program projects into their respective TIP to be eligible for the HURF exchange. The eligible entities are maintained through the Arizona Department of Administration's most recent annual population estimates (Arizona Commerce Authority, 2019).

To participate in the program, eligible local governments enter into an intergovernmental agreement (IGA) with ADOT, obtaining project sponsorship for the HURF exchange program. Project sponsors must complete ADOT's prescribed exchange project forms including a HURF Exchange scoping form, HURF Exchange Project Cost Estimate, HURF Exchange Project and Draw Schedule, and HURF Draw and Final Reimbursement Invoice.

Additionally, the initiation request must include a map showing the project location and the functional classification of the roadway, a copy of the transportation improvement program (TIP) listing reflecting the HURF Exchange programming, and any other ADOT documents required – some projects may require additional documentation beyond what is listed. Once the local public agency (LPA) completes the submission of these documents, the LPA section of ADOT will:

- a) Establish an ADOT project number and assign an ADOT Project Manager (ADOT PM),
and
- b) Initiate an IGA – conditional for project authorization.

Role of the State

ADOT maintains a significant series of roles and responsibilities in the exchange. ADOT reserves the right to suspend the program if SHF revenues substantially diminish. The total amount of available HURF exchange funds is determined annually in conjunction with the development of the ADOT Five Year Transportation Facilities Construction Program. All HURF Exchanges and their respective project transactions are maintained in COG/MPO federal aid funding ledgers produced by the ADOT Resource Administration database. Additionally, ADOT is responsible for authorizing and recording transfers of funding from the SHF into the HURF Exchange sub-fund. The documented transfers occur for each phase of the project and are presented in the state's Monthly Recipients and Expenditures Report.

After needed documentation is submitted and approved, ADOT, with cooperation from FHWA, reviews the project to identify any applicable federal requirements. Applicable federal requirements will then be incorporated into the IGA. The ADOT PM examines the project scope to determine any ineligible costs under the HURF exchange rules. The project sponsor is responsible for covering ineligible expenses. A careful review by the ADOT PM is intended to prevent IGA amendments in the scope, schedule, or budget from emerging as the project progresses.

The assigned ADOT PM is also responsible for receiving and processing finance authorization requests. A timeline must be observed for funds to be released on a phased schedule (see page 8 of HURF Policies and Procedures (HURF, 2019c)). The ADOT PM prepares a Project Funding Request (PFR) for each applicable phase of the project. This request includes all LPA provided documents referred to earlier. Upon receipt of a complete and accurate PFR, the ADOT Resource Administration will perform an additional review to ensure all phases of the project met HURF eligibility. When eligibility has been confirmed, Resource Administration will transfer 100% of the federal apportionments and obligation authority from the applicable COG/MPO ledger to ADOT. Resource Administration transfers HURF Exchange funding to the COG/MPO at 90% of the federal obligation authority transferred to ADOT for the project phase.

For the invoicing schedule per each phase of the HURF, Exchange Projects will follow "a standard protocol of 30%/30%/30%/10% (see page 11 of HURF Policies and Procedures (HURF, 2019 c)). All exchange submissions and invoices are to be submitted to the assigned ADOT PM, whose responsibility is to review, approve, and forward invoices to Financial Management Services (FMS), an ADOT division. Any deviation from the 30%/30%/30%/10% invoicing structure must be approved by the ADOT Chief Financial Officer.

Within 15 days of substantial completion of the construction phase, the project sponsor should notify the ADOT PM. From this point, a project walk-through involving the project sponsor, applicable COG/ MPO, and an ADOT district representative and potentially an FHWA representative (if federal funds were involved in the design phase) is scheduled. A final project-walk-through is required for a closeout package. The ADOT PM is involved in reviewing and approving the closeout package and submits it to Resource Administration. The completed closeout package is sent to FMS Final Voucher Unit. A final voucher review prompts ADOT to reimburse the final 10% of the project's cost to the project sponsor. ADOT reserves the right to refuse to enter into further HURF exchange transactions if project sponsors owe a repayment of previous HURF exchanges and/or have been found to misuse funds. The ADOT shutdown process, for the HURF Exchange, is outlined in detail on page 14 of the Policies and Procedures Document (HURF, 2019c).

ADOT employees are required to track their time on each HURF Exchange project during all phases of the outlined administrative process. The agency is actively involved during the finance authorization process. During project initiation and IGA approval, ADOT project managers work closely with project sponsors to ensure the project scope is feasible. If a project has not reached substantial completion within three years of the date of finance authorization of the first HURF Exchange funded phase, the project sponsor must repay all HURF Exchange funds to ADOT. ADOT may refer projects to the State Auditor General or ADOT's Internal Audit unit in cases of suspected misuse of HURF Exchange funding. ADOT assumes no liability or financial responsibility for complying with all applicable laws, rules and regulations, any additional funding required to complete the project, and any claims due to delays or other circumstances. The HURF Exchange program is offered at ADOT's discretion.

Exchange Rate

The exchange rate allows ADOT to pay 90 cents in SHF for each \$1 of federal funds exchanged. The amount paid to each COG/MPO varies widely as shown in Table 1.

Table 1. Historical HURF Exchange Utilization by COG/MPO (1998 to 2009)

COG/MPO	Total HURF Exchange \$ Paid Out	# of Projects	Average Project Size (\$)
CAG	11,493,081.45	38	302,449.51
CYMPO	1,316,373.00	2	658,186.50
FMPO	2,006,459.28	5	401,291.86
MAG	320,394.43	1	320,394.43
NACOG	18,953,257.13	40	473,831.43
PAG	26,419,484.18	13	2,032,268.01
SEAGO	9,982,072.90	5	1,996,414.58
WACOG	13,102,205.06	31	422,651.78
YMPO	7,561,414.52	10	756,141.45
Total	\$ 91,154,741.95	145	\$ 628,653.39

Source: ADOT, 2018

Matching Funds

No local match is required. Some COGs/MPOs may require project sponsors to pay a certain percent of the project costs (ADOT, 2019d).



Chapter 3 California

California maintains a strong exchange program with nearly 60 million dollars exchanged each year. In 1992 state legislation was amended to allow Caltrans to appropriate Regional Surface Transportation Program/Regional Surface Transportation Block Grant (RSTP/RSTBG) funds to MPOs, transportation planning agencies (TPAs), and county transportation commissions. The legislation allows the receiving agencies to use RSTP/RSTBG funds for projects based on their annually updated five-year average of allocations. The legislation also outlines the process of involving representatives of local government in the nomination of projects. (Caltrans, 2018). The amendment to subdivision 182.6(g) of the Streets and Highways Code (S&HC) allows for a non-designated, non-MPO represented RTPA to exchange its annual apportionment of RSTP/RSTBG funds on a dollar-for-dollar basis for non-federal State Highway Account funds. If an eligible RTPA elects not to exchange, subsection 182.6(h) permits an eligible county represented by that RTPA to exchange its entire annual sub-apportionment.

Caltrans staff indicated that the exchange has been very popular with partnered agencies. Eligible RTPAs and counties elect to participate annually, demonstrating the popularity of the program. These local agencies view state funds as beneficial because they enable them to avoid the relatively arduous federal aid process. The only potential constraint identified by Caltrans staff was the need for more staff time to facilitate exchange agreements. Chapter 18 of the Local Assistance Program Guidelines (LAPG) provides guidance on the exchange program.

Organization of the Exchange

The STBG is the sole source of RSTBG funds in California. The federal RSTBG funds are divided into urbanized and any area funds. Caltrans' transportation program distributes RSTBG funds according to a formula set in 1992 legislation. The formula is based on census figures and applies to both urbanized and any area RSTBG funds. Only any area RSTBG funds are allowed to be exchanged for state funds.

The process begins with determining what entities are eligible for exchange and for what type of exchange. Eligible agencies are defined by a standard list internal to Caltrans. For each county, it indicates if it is RTPA eligible, state match eligible, 1 percent eligible, or 3.5 percent eligible. The eligibility and amount are sent to the Caltrans implementation group, which generates an RTPA agreement with a cover letter detailing their eligibility. Local entities then have the option to participate or not.

Eligible Funds and Projects

The eligible uses for exchanged funds vary according to the agreement type. County-State agreements are specified in Article XIX of the California State Constitution. For county-state agreements, the allowable uses include the research, planning, construction, improvement, maintenance, and operation of public streets, highways, mass transit guideways (and their

related public or fixed facilities including non-motorized traffic), and mitigation of environmental effects. Projects involving mass transit will not support passenger facilities, vehicles, equipment, and other services (California Constitution Article XIX).

RTPA-State agreements require the apportionment of exchanged funds directed to projects according to subdivision 182.6(d), which details the process of nominating projects. The nomination process does not specify or require any eligible use. When agencies receive state funds through the agreement, they can then choose from a variety of projects within the parameters of Article XIX. The agreement provides variety in terms of eligible uses/projects and may include projects already programmed in a region's Regional Transportation Improvement Program (RTIP) – in conformance with Federal law.

Eligible Agencies

Eligible agencies include Regional Transportation Planning Agencies (RTPAs) and counties represented by populations greater than 200,000 not represented nor designated as an MPO.

Role of the State

The state determines eligibility, provides agreements to eligible entities, requires a list of projects to be funded, and may perform audits. Aside from these roles, Caltrans does not maintain significant oversight relative to oversight provided by other states that maintain federal fund exchange programs.

Exchange Rate

There is no uniform or set exchange rate. The exchange rate is based on the apportionment received according to each entities' agreement. According to Caltrans staff, in recent years there has been a gradual increase in the total amount of exchanged state funds – these trends largely reflect an increase in total federal apportionment received by California. For federal fiscal years (FFY) 2014-2015, 2015-2016, and 2016-2017 an estimated \$57 million of state dollars were exchanged. In FFY2017-2018 and 2018-2019 almost \$61 million was exchanged and FFY2019-2020 nearly \$63 million of state cash was exchanged.

Matching Funds

County match funds must be used to match Federal funds allocated pursuant to S&HC 182(d)(2)* or if in excess, may be used for any transportation purpose authorized by Article XIX of the State Constitution (Caltrans, 2018).

**S&HC 182(d)(2): "An amount not less than 110 percent of the amount that the county was apportioned under the federal-aid secondary program in federal fiscal year 1990-91, for use by that county".*



Chapter 4 Colorado

In 2016, Colorado DOT (CDOT) staff examined strategies to more efficiently and effectively deliver locally administered projects and, as a result, improve customer service, streamline processes, and reduce overall project time. In support of this concept, on October 20, 2016, the Transportation Commission (TC) approved Resolution #TC-16-10-7 (2016) to endorse a pilot project initiative allowing the substitution of state funds for federal funds on select projects. Sixteen candidate projects were recommended for consideration by Region staff and vetted with federal partners.

The state has not proceeded beyond pilots. The projects are currently in various stages of development and completion. Pending project completion, CDOT will discuss the viability of a fund exchange in Colorado. The following sections highlight available information from the pilot program (CTDOT, 2016).

Organization of the Exchange

Eligible Funds and Projects

Surface Transportation Program (STP) funds are eligible for the exchange; consideration was also given to the Transportation Alternatives Program (TAP) and Congestion Mitigation and Air Quality Improvement (CMAQ) funds.

Eligible Agencies

Unable to determine eligible agencies.

Role of the State

Pilot projects are delivered by the local agency with oversight from CDOT.

Exchange Rate

Funds for pilot projects are at a 1:1 exchange.

Matching Funds

Matching funds are required.



Chapter 5 Connecticut

Connecticut's federal fund exchange or Local Transportation Capital Improvement Program (LOTICIP) has two main goals. First, to have municipalities perform capital infrastructure improvements with less burdensome requirements and second, to reduce state resources (staff) involved in the oversight of municipal infrastructure improvements. The Federal STBG Program sub-allocated funding resources can subsequently be directed to more regionally significant improvements on State-owned facilities (CTDOT, 2019). To provide sufficient time for the program to be developed, an effective date of November 1, 2013, was set for the program several months after the legislation was signed on July 1, 2013 (Connecticut Senate SB 842 Sec.74, 2013). CTDOT developed the final language found in Connecticut General Statute (CGS) Chapter 238 Sec. 13a-98n providing for the establishment of the LOTICIP.

The LOTICIP provides state funding in lieu of STBG-Urban federal funding to a municipality through the regional COG for transportation improvements. One of the unique features of this legislation is the authority and flexibility given to CTDOT. The original LOTICIP guidelines were developed jointly and cooperatively by members of the Department, regional Council of Governments (COGs), and municipalities of the state. CTDOT continuously works with local agencies to further develop and refine the guidelines.

The administration of FHWA's \$50-\$60 million STBG-Urban programs has historically resulted in a significant amount of commitment from Department resources. The application of these additional resources was largely needed to ensure Federal Title 23 requirements are met. The projects currently in the LOTICIP range from just under one million dollars to approximately seven million dollars. While Federal Title 23 requirements are well thought out and developed, they may not be conducive for smaller infrastructure improvements.

According to CTDOT staff, the responsive flexibility provided by the legislation has had many beneficial outcomes. The authority given to the Department via guidelines has strengthened communication between the COGs and has reduced the burdensome process of changing State Statute when modifying some aspects of the program. The burdensome process associated with changing legislation has been well demonstrated in the state's much older local bridge program, which is codified extensively in the State Statute.

The program is strictly an urbanized area program. This was a deliberate decision that acknowledged the existing STBG rural major-minor collector program in which rural COGs are permitted to use, at their discretion, small amounts of federal funds. As suggested by the title, the program is intended for capital improvement projects. For this reason, a project value minimum was set at \$300,000 to prevent the program from functioning as a municipal or sub-allocation program.

The COGs or planning regions play a role in the facilitation of the state's federal fund exchange process. The overall STBG-Urban funding is sub-allocated by the COG based on population

numbers from the Census. The overall level of funding is determined in a way that attempts to mirror the Federal Urban program – the sub-allocated pieces for those over 200,000 urbanized areas and the 5,000-200,000 areas. According to CTDOT staff, this approach is seen as equivalent and easiest to defend.

The COGs across Connecticut are responsible for the solicitation, ranking, and prioritization of their municipal member’s project proposals. Application materials must clearly address the needs and purpose of the project. Application preparation is to be carried out by the municipality, along with any supporting documentation. A review procedure allows comments to flow back and forth between the Department and municipalities. An overview of the LOTCIP process is shown in Figure 2.

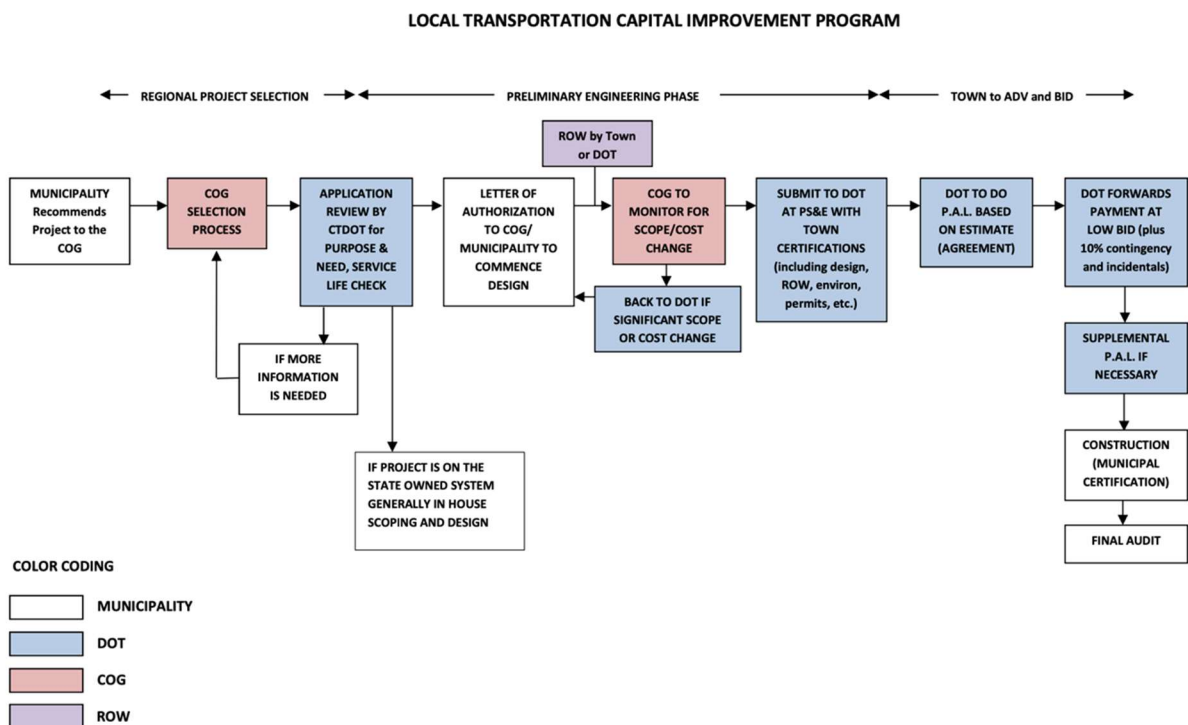


Figure 2. LOTCIP Flow Chart

Source: CTDOT, 2019

Organization of the Exchange

Application Process

The fund exchange in Connecticut places significant emphasis on the application process. Examples of application materials can be found in Appendix C. When the program was first being considered, COGs and municipalities suggested a grant giveaway program. The main concern from the DOT was accountability. To mitigate potential misuse or abuse of a grant giveaway, the Department established what it felt was a middle ground between a federal-aid program and grant giveaway. The development of a fund exchange was difficult from the

perspective of CTDOT. With most Department staff trained in federal-aid, it can be difficult to fundamentally transfer oversight and other responsibilities to a COG and a town. The application materials were designed to assuage these concerns. The Department developed the guidelines to offer what they felt was a sufficient level of information and requirements for COGs and municipalities. From a professional standpoint, the Department recognized the value of having application materials and guidelines that ensure checks and balances from the municipalities. Additionally, Municipal and COG certifications are required as part of the final package submission to have the towns assume full responsibility for their designs.

The application materials provide for an extensive review of the project proposal and include items such as project information, right of way, utilities, storm water drainage system and under drains, rail crossings, pedestrian/ bicycle safety mobility, traffic, environmental resource involvement, public involvement, cost estimate, and replacement/improvement specifics.

Screening Process

The Department reserves the right to reach into project specifics and request modifications and recommendations before a commitment to design or build is issued. According to CTDOT staff, very few projects go through the process without a comment and response exchange. However, staff indicates that over time COGs and municipalities have improved in providing clear purpose and needs in their applications.

Planning Studies

The LOTCIP exchange offers funds for planning studies. Planning studies must be subject to a regulated corridor selection process from the Department. If approved, planning studies are allowed to be funded by both Federal and LOTCIP funds. The decision to include planning studies in the LOTCIP program ensured consistency with the traditional Federal-urban program. The Department maintains the ability to restrict planning studies if they begin to undermine the delivery of capital improvements. This is a program-wide decision and does not apply on a project-by-project basis.

Project Specifics

One of the important elements of the LOTCIP has been operational flexibility and responsiveness. Certain federal requirements are carried over into the LOTCIP program to help guide the program and provide parameters. For example, independent utility and logical termini are federal terms applied to the Department's assessment of specific characteristics of a project. This can prevent non-federally eligible projects from being paid for with state funds. A specific example CTDOT staff provided was a trail project that involved rebuilding a community center – the request was evaluated by federal standards and was not permitted to be rebuilt. Additionally, Department officials reserve the right to identify project specifics they regard as potentially problematic and request these items be addressed.

COG Quarterly Meetings

To facilitate communication and feedback, which continually improves the LOTCIP guidelines, the Department holds quarterly meetings with the COGs. In the meetings, the Department hosts COGs to address a variety of agenda items. The meetings typically involve COG directed questions, and Department provided answers; however, the Department also uses the time to keep the COGs up to date on process improvements. As part of the quarterly meetings, the Department prepares a cash flow summary sheet for the COGs. The cash flow summary sheet is a spreadsheet, which includes information such as project payments specific to each COG. The cash flow summary was introduced a year or two into the DOT's managing of the program after recognizing the value of a partnership-based approach. The guidelines also ensure quarterly reporting to indicate the status of project delivery. This information is used as an input for the Department and subsequently directs when and what degree of funds will be needed from the bond commission. At the end of the formal session, time is designated for LOTCIP related questions and an information exchange.

Individual COG Annual Meetings

In addition to quarterly meetings, the Department also hosts individual or COG specific meetings on an annual basis. In these meetings, an individual COG will meet with DOT staff from engineering and capital services to review their program. The review is centered on a financial assessment, which then operates as a vehicle to determine the direction of future project solicitations. It is also a chance to review what projects have been issued and the status of those projects.

Exchange Rate

CTDOT uses a 1-for-1 exchange rate. According to CTDOT staff, CTDOT officials did not feel it necessary to retain any funds from an exchange rate since they take a portion of statewide allocation to pay for the staff time associated with administering the program. A portion of each COGs allocation can be used to pay for the COGs time to administer the program. So, the costs are contained within the program as opposed to funded by the exchange itself. CTDOT staff expressed concerns that an exchange rate would add an additional layer of complexity, which undermines the intended objective of the program. The costs to administer the program are seen as inherent to the program itself. The only potential conflict in maintaining this even exchange would be a significant change, either increase or decrease, in the level of funding from the STBG-Program.



Chapter 6

Iowa

Iowa introduced the federal fund exchange program, named the Federal-aid swap, to streamline project development and programming. The program was established in 2017 when it passed House File 2013. The Iowa Transportation Commission approved the exchange on February 13, 2018. The fund exchange alleviates the need for LPAs to comply with resource intensive federal aid requirements and optimizes state use of highway funding. Specific federal requirements eliminated through the fund exchange include Davis-Bacon wages, Buy America, and NEPA; Disadvantaged Business Enterprise (DBE) commitments are optional and some environmental requirements remain. According to Iowa DOT and LPAs, the exchange has been a “win-win” due to faster project completion at less cost to the state.

To develop the program, Iowa first collected basic information on existing state exchange programs. Their search revealed variation in match, exchange rate, and eligibility. Consequently, Iowa worked cooperatively with FHWA to develop the state’s version of a fund exchange program. The DOT also worked with cities, counties, planning agencies, other state agencies, and environmental groups to develop their Swap policy (Iowa DOT, 2018a). Pilots were not conducted before introducing the program.

Because the program is relatively new, quantifiable metrics related to its performance are not yet available. The following section summarizes available information.

Organization of the Exchange

There is no application process and the program is run on a project-by-project basis. Eligible agencies receive state funds in lieu of federal funds unless the applicable governing boards choose to “opt-out” of the program. Iowa DOT allocates federal aid to Regional Planning Affiliations (RPAs) and MPOs. In addition, they allocate federal funds for the County Bridge Program, City Bridge Program, Iowa Clean Air Attainment Program, and Highway Safety Improvement Program-Secondary. Prior to approval by the Iowa Transportation Commission, the Swap Program was discussed with stakeholders and it was determined that all the projects funded from those programs would be eligible.

LPAs that participate in the Federal-Aid Swap are still required to observe important environmental and cultural resource reviews. The permitting and consultation requirements are required to be maintained in accordance with applicable agencies, which include the following:

- United States Army Corps of Engineers.
- United States Fish and Wildlife Service.
- Iowa Department of Natural Resources.
- Iowa Department of Cultural Affairs/State Historic Preservation Officer.
- Native Sovereign Tribes and Nations.

- Office of the State Archaeologist.

Eligible Funds and Projects

Swap funds can only be used on road and bridge construction projects and are provided to the LPA on a reimbursement basis (Iowa DOT, 2018b). The Iowa County Engineers Association describes three classes of public roads, which include state primary highways, secondary (county) roads, and city streets. In Iowa, county roads are divided into two systems: the Area Service Roads and the Farm to Market network. The Farm to Market network enhances the transport of commodities produced from rural areas (Iowa County Engineers Association, n.d.). The program covers all Farm-to-Market (FM) projects.

Farm-to-Market funding is available for roadways that are included on the Farm-to-Market road system. The Farm-to-Market Road Fund receives 8% of the revenues deposited into the State Road Use Tax Fund. This amounts to approximately \$107 million annually, divided among Iowa's 99 counties.

Eligible federal funds include STBG Program, Congestion Mitigation and Air Quality Improvement (CMAQ) Program, and Highway Safety Improvement Program (HSIP-S). For STBG funds, RPAs and MPOs are the primary targets. These funds are eligible for 100% reimbursement but are subject to MPO and RPA match requirements. Federal funds flowing through the City Bridge Program are eligible for 80% swap funding with a 20% local match requirement (Iowa DOT, 2018a).

An important feature in connection to eligibility is determining if the project is "Federalized." A Federalized project will have to remain a Federal-aid project and follow all applicable requirements. Activities that may Federalize a project include the following (Iowa DOT, 2018a):

- The project has been authorized by FHWA, or utilized Federal-aid for any phase of work, such as Preliminary Engineering, purchasing Right-of-Way, Utility work, Construction, etc.
- The project has received FHWA Environmental Concurrence (NEPA Clearance). However, if a project was given NEPA clearance as a Programmatic Categorical Exclusion (PCE), it has not been Federalized. An analysis of whether a project is assumed to be Federalized has been run; the analysis looked at whether TPMS Development showed a NEPA Clearance and whether that NEPA Clearance was granted under a PCE. The Federalization information can be found in TPMS Development, next to the map icon, stating the project is "Federalized". However, that is not an all-encompassing list; there are likely projects that haven't been included in that analysis.
- The project has had a Planning Study, that has utilized Federal-aid, and the project may be Federalized. If you've had or are considering a federally-funded planning study, contact your MPO/RPA and the Office of Systems Planning to discuss whether any subsequent work would make it Federalized.
- If the project has had an Interchange Justification Report, the project has likely been Federalized. Contact the Iowa DOT Administering Office for further guidance.

Eligible Agencies

The swap is between the state and local agencies. Participation in Iowa's swap is optional for RPAs and MPOs. According to Iowa DOT staff, all 18 RPAs and 7 of 9 total MPOs chose to participate in the program as of FFY 2020.

Role of the State

With respect to an LPA Federal-aid transportation project, Iowa DOT serves as both an advisor and a monitor. As an advisor, the DOT is responsible for providing guidance and assistance to LPAs to help them successfully implement their Federal-aid transportation projects. As a monitor, the DOT is responsible to FHWA for administering and overseeing the various Federal-aid transportation programs that are available to LPAs. This oversight is accomplished by numerous reviews and approvals of project activities, as outlined in the Instructional Memorandums applicable to those activities (Iowa DOT, 2018c).

Iowa DOT lends expertise and staff time to assist LPAs in ensuring compliance or to acquire the relevant permits. LPAs are ultimately responsible for verifying proper environmental and cultural resource oversight. Iowa DOT reviews contract documents for conformance with the Department standard and reserves the right to review projects during the construction phase (Iowa DOT, 2018b).

Exchange Rate

A one-to-one swap exchange rate is used. Federal funding is swapped with Primary Road Funds on a dollar-for-dollar basis.

Matching Funds

Unless specifically required by the grant program, Iowa DOT will not require match and will reimburse funds at 100 percent up to the programmed amount. For County HBP projects, Iowa DOT does not require match and reimburses funds at 100 percent up to the contract amount. Match requirements for Iowa's Clean Air Attainment Program (ICAAP), HSIP-Secondary, and city bridge program projects continue to apply based on program guidance. Individual MPOs and RPAs can require match, but Iowa DOT will not monitor those requirements.



Chapter 7 Kansas

In 2010, the Kansas Department of Transportation (KDOT) Bureau of Local Projects initiated the Federal Fund Exchange to help local agencies streamline project implementation processes (FHWA, 2015). The program gives LPAs greater control and scope over the use of transportation funds and reduces costly resource-intensive and time-consuming requirements of Federal-aid projects. According to 2015 figures, in the first four years, KDOT committed over \$84.9 million in exchange dollars across the State to be used by eligible local governments on local projects (FHWA, 2015).

Figure 3 shows the federal fund exchange process in Kansas (note: the exchange rate has decreased since this figure was published, see **Exchange Rate** for more information). The exchange involves a three-step process: 1) request to exchange federal funds; 2) fund exchange agreement; 3) request for reimbursement.

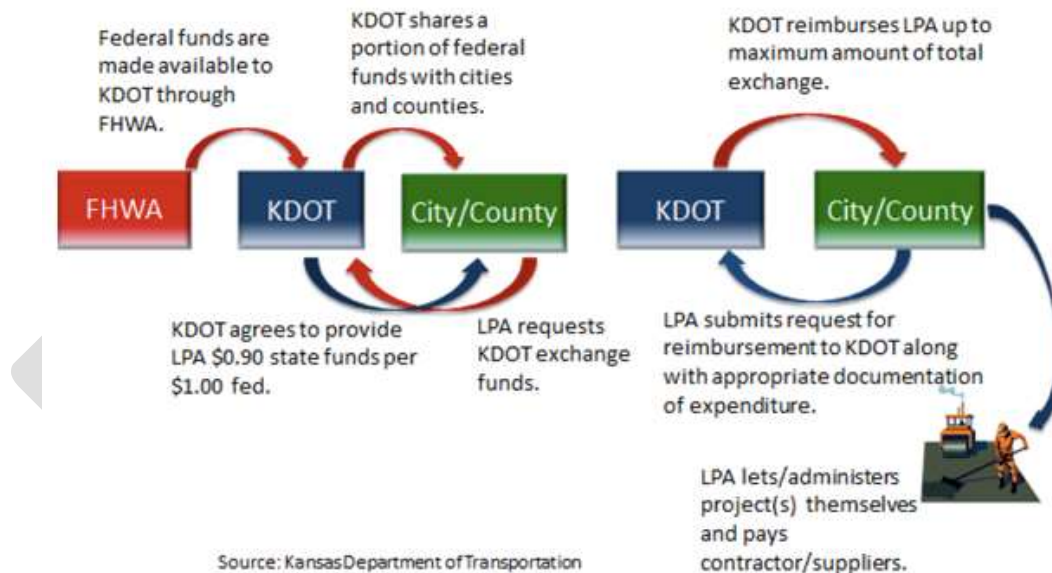


Figure 3. KDOT federal fund exchange

Organization of the Exchange

Eligible Funds and Projects

The LPA is required to use state funds for specific types of transportation improvement projects. State guidelines do not indicate or refer to specific state use of transportation funds. State funds may be used for all phases of a project including preliminary engineering, right-of-

way acquisition, utility relocations, construction, and construction inspection (KDOT, 2018). Acceptable project scopes include, but are not limited to, the following (KDOT, 2018):

- Roadway construction, reconstruction, or rehabilitation.
- Pavement preservation including overlay, mill/overlay, chip and seal, pavement patching or crack sealing.
- Safety improvements including signing, traffic signals, pavement marking, removal of roadside obstacles, installation or upgrade of guardrails, or installation of turn lanes.
- Installation of erosion protection measures in roadside ditches or around drainage structures.
- Construction or reconstruction of sidewalks, Americans with Disabilities Act (ADA) ramps, or pedestrian signals.
- Replacement of deteriorated curb and gutter.
- Storm sewer repairs to restore or enhance positive drainage.
- Bridge construction or replacement, rehabilitation or repair, painting, or bridge removal.
- Construction of low-water crossings.
- Improvements to transit or other multi-modal systems.

Methods used to distribute state funds vary by agency type. STP funds are distributed to counties in proportion to the amount received from the Special City and County Highway Fund and the County Equalization and Adjustment Fund in the preceding calendar year as provided in K.S.A. 68-402b. STP funds are distributed to small urban cities “in proportion to its population relative to the total population of all eligible cities” (KDOT, 2018).

Eligible Agencies

Participation in the program is optional. Eligible LPAs include all counties and cities with populations greater than 5,000 that are not located in a Transportation Management Area (TMA). An eligible LPA may choose to exchange its federal funds or it may use the funds to develop a federal-aid project following the established fund exchange procedures (KDOT, 2018).

Role of the State

The LPAs must adhere to KDOT requirements. Overall, the Department provides LPAs authority in determining which of their roads need improvement. Although, the Department sets specific requirements for when a state-certified engineer is needed on a local project. KDOT also reimburses for labor and equipment for projects completed by LPAs. This reimbursement is consistent with the way the Department has handled previous Federal-aid projects involving local use. Furthermore, KDOT does not require pre-approval for each project provided the project fits within the scope of eligible uses outlined in KDOT's Federal Fund Exchange Guidelines (KDOT, 2018).

The LPA provides the Department an outline of projects along with estimated costs and completion dates in the form of an agreement to KDOT. KDOT then processes and reviews reimbursement requests. When the reimbursement is approved, a check is issued to the LPA

within a few weeks (Harris, 2010). The KDOT Bureau of Local Projects sends staff to perform a final review of the project and confirm compliance with the terms of the agreement (KDOT, 2018).

Exchange Rate

The exchange rate is determined by the Secretary of Transportation on an annual basis. In 2017, KDOT reduced the exchange rate from 90 cents to 75 cents. An article written by Hrenchir (2017) stated that the rate was reduced to account for federal match requirements incurred by the state.

Available funds are determined annually when federal funding is confirmed for a federal fiscal year. Additional reviews of available funding are conducted when necessary. On average, \$15.3 million goes to counties and \$7 million to cities (FFY 11). For 5-Year Plan funds (STP limitation), \$31.1 million is allocated for counties and \$11.6 million is allocated for cities (FFY 2018).

Matching Funds

State funds do not require a local match.



Chapter 8 Minnesota

A review of staff productivity, conducted by the Minnesota DOT (MNDOT), revealed that approximately 200 person-hours were used for every line in the State Transportation Improvement Program (STIP), regardless of project size. This revelation led to efforts for a more efficient distribution of agency resources. These efforts led to the development of a federal fund exchange program spearheaded by the State Aid for Local Transportation (SALT), a DOT Department created to manage and distribute funds in an oversight assistance role. The program kicked-off in 2009 with a call for candidate projects. Several local agencies submitted projects and the program was well-received by participating agencies and has since continued with positive feedback.

The exchange provides a process for local state aid agencies to exchange federal funds awarded by the Area Transportation Partnership (ATP) with another local state aid agency “for a share of that agency’s state aid funds” (MNDOT, 2020). ATPs were created to emphasize public involvement in the preparation of transportation plans and programs and are responsible for developing an Area Transportation Improvement Program (ATIP) that covers a minimum four-year period and is incorporated into the STIP. A target for the amount of federal dollars that should be distributed to local agencies by ATPs was set by the state.

When developing the program, MNDOT looked at other states with federal fund exchange programs, including Kansas and California. Although MNDOT looked at other states as a reference, the program was designed to meet specific state needs and follow the Minnesota state constitution (MN State Constitution, Article 14, Public Highway System). The gas tax is divided into very specific percentages between the Trunk Highway system, the county system, and the city system; therefore, the program cannot be applied to exchanges between the state and local agencies. As a result, the program is limited to county to county or city to city exchanges. The program, as it is currently executed, (MNDOT, n.d.b):

- Allows State Aid agencies who have been selected to receive federal funds to trade them with another State Aid agency for state aid funds.
- De-federalizes the project donating the federal funds.
 - Decreases the project delivery requirements for this Local Public Agency (the donor).
 - There is no additional work for the recipient except the execution of the exchange agreement.
- Brings the project of the recipient up closer to allowable federal participation levels.
- Decreases the total number of federal projects processed each year.
- Decreases review queues for the remaining federal projects.

Although the program has been successful in many ways, several caveats were identified by MNDOT staff. Projects may be federalized if they require an Army Corps of Engineers permit, cost estimates need to be as accurate as possible before the agreement is executed, and

County State Aid Highway funds cannot be spent on Municipal State Aid Streets or Trunk Highway routes. There were initial concerns regarding accountability and the potential for delays in project delivery. Agency staff shared that, despite these initial concerns, participating agencies are successful in self-policing and delivering projects on-time. Other challenges encountered include the following:

- Agencies are more willing to donate federal funds than they are to receive federal funds.
- State funds cannot be spent off of the Trunk Highway.
- Difficulty identifying approaches to distribute extra money if project costs are lower than estimated.
- The timing of projects may present difficulty if both projects are not in the same year.
- State aid rules are determined by a committee of cities and counties; therefore, the DOT is only able to serve as a facilitator when rules are being changed.

Organization of the Exchange

Eligible Funds and Projects

Eligible federal funds include the Surface Transportation Program (STP), Highway Bridge Program, and Transportation Alternative Program funds. Transportation alternative funds may be swapped if the donor's project is eligible for state aid funds (MNDOT, 2016).

The state requires at least two projects with federal funding that are both eligible for state aid funds. Both projects must meet the following requirements (MNDOT, 2016):

- Both projects must be in the STIP but do not need to be in the same fiscal year (e.g., County donor in 2012 and County recipient in 2014).
- Projects involved in the swap should be constructed in the year they were programmed in the STIP.
- Have a STIP amendment to correctly request funding levels of each project.
- Federal funds donated cannot exceed federal participation rules for the project.

Projects within an MPO are required to have the MPO's approval for the STIP amendment necessary to document the project exchange in the STIP.

To identify projects for the exchange, SALT sends out a call for projects to District State Aid Engineers (DSAE). Completed exchange applications are sent to SALT (see Appendix E) along with an agency to pair projects with as identified by the DSAE. ATPs and MPOs participate in the initial project selection process, but not the exchange process.

"Fund Swap Agreements" are used to facilitate the exchange. An agreement is written between SALT and the State Aid agency wishing to give up their federal funds for another agency's state aid funds (donor) and a separate agreement is written between SALT and the state aid agency that is willing to transfer their state aid funds for the federal funds (recipient) (MNDOT, 2020). Each of these agreements references the other, although they are not three-party agreements.

The approval process includes the following steps (MNDOT, n.d.a):

- 1) Local agency fills out a fund exchange application.
- 2) The DSAE and SALT review and approve fund exchange.
- 3) SALT prepares the STIP modification.
- 4) STIP modification is approved.
- 5) Agreements are prepared by SALT to designate fund exchange amounts and timing.
- 6) Agreement is executed by local agencies and SALT.
- 7) State Aid Finance transfers state aid funds from recipient agency to the donor agency's state aid account on the timeline listed in the agreement.
- 8) Recipient agency completes federal process to receive funds for the project (plan approval, permits, etc.)
- 9) Recipient agency receives federal funds when the project is authorized and payment requests are submitted.

Internal processes executed by MNDOT staff include the following:

- 1) Confirm application information with current STIP.
- 2) Pair applications for fund exchange.
- 3) Confirm with SALT Finance that recipient agency has sufficient State Aid Funds for a transfer.
- 4) Fill in fund exchange spreadsheet.
- 5) Fill in project tracking to reflect fund exchange:
 - Fill in agreement number.
 - Note agreement type.
 - Note who is involved in swap in execution comments.
 - For Donor projects leave sub type blank or agreement screen information is lost.
- 6) Prepare STIP modification to align projects with proposed fund exchange.
- 7) Submit STIP amendment to OCPPM.
- 8) Prepare fund Swap agreements for recipient and donor(s).
- 9) Execute agreements per normal agreement process.
- 10) Copy SALT Finance when agreements are executed. Save in Fund Swap section of S drive.

Sometimes two or three smaller projects will donate to a single federalized project. MNDOT also has an additional provision in its fund exchange program for advanced construct swaps. During this process, which is typically used by larger agencies that have the funding capacity, funds are released to the receiving agency at a pre-determined point in the future. As soon as both agreements are received by SALT, state aid funds are transferred to the donor agency to be applied to the project as it is being authorized.

Eligible Agencies

Any state aid agency that has been selected to receive federal funds for a project eligible for state aid funding is eligible to participate in the exchange. Exchanges are local, from county to

county or city to city and can occur within a district or between two or more districts. Projects proposed within the same agency may also exchange funds.

Role of the State

The MNDOT State Aid Manual Chapter 5.3 Section III identifies the state as an agent in federal aid projects, relieving the state of any financial responsibility in the project unless explicitly stated in the project agreement (MNDOT, 2020). Once the State Aid Finance office transfers State Aid funds from the Recipient agency to the Donor agency, the state does not engage in the exchange any further.

Exchange Rate

The current exchange rate is 1:1, which MNDOT staff has expressed works well for the DOT and has been well accepted by participating local agencies. Approximately 3 or 4 pairs of projects use the exchange annually, averaging a total of \$1 million to \$1.5 million exchanged in the state per year. Projects being de-federalized are typically less than \$1 million, while projects receiving federal funds are typically larger than \$1 million.

Matching Funds

Matching funds are not required. When matches are done, only a cash match is accepted.



Chapter 9 Nebraska

The Federal Funds Purchase Program (FFPP) was approved in the Nebraska state legislature in 2011. Legislative Bill 98 provided the Nebraska DOT (NDOT) the authority to enter into agreements for the purchase of counties' and cities' share of federal aid transportation funds at a discount rate (Nebraska Legislature L.B. 98; NDOT, n.d.). The FFPP was established to allow NDOT the ability to purchase the federal funds used by LPA's in exchange for state cash – reducing federal requirements and allowing local governments “more flexibility to tailor road and bridge projects to their needs” (AASHTO, 2016). Program benefits listed by NDOT include (NDOT, n.d.):

- Local control of LPA projects.
- FHWA requirements and oversight are eliminated.
- LPAs can fund a wider variety of transportation projects.
- All phases of local projects are eligible for use of the funds.
- Minimal environmental requirements.
- No NDOT/FHWA oversight of required permits, consultant procurement, or contracts.
- Projects using funds will have minimal state oversight.

Organization of the Exchange

Eligible Funds and Projects

Eligible funds include Surface Transportation Block Grant Program (STBGP) funds and Highway Bridge Program (HBP) funds. Eligible roadway activities for STBGP funds include construction, reconstruction, maintenance, or repair of public highways, streets, roads or bridges and facilities, appurtenances, and roadway structures. Eligible bridge activities for HBP funds include construction, reconstruction, improvements, repair, or maintenance (projects that preserve, restore, or correct major roadway or bridge condition). Other eligible activities include erosion protection, sidewalk, ADA ramps, curb and gutter repair, and storm sewer repair.

Eligible Agencies

STBGP eligible agencies include all counties, cities, and “the First Class” cities (more than 5,000 up to 100,000) outside of the Omaha and Lincoln metro areas. HBP eligible agencies include counties with deficient bridges and “First Class” cities (including Lincoln and Omaha) with deficient bridges.

Role of the State

NDOT offers no oversight of required permits, consultant procurement, or contracts. The obtained state funds must be used for highway and bridge needs and may include a variety of other eligible activities.

Exchange Rate

In 2015, Nebraska increased its exchange rate from 80 percent to 90 percent, an increase attributed to “savings from state project delivery efficiencies” (Ban, 2016; AASHTO, 2016). The total annual amount exchanged averages around \$17 million for counties and \$8 million for cities (NDOT, 2020). Ban (2016) explains that, although the states net less after the exchange, the funds go further once federal conditions and procedures are no longer required.

Matching Funds

Unable to determine matching funds.

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Chapter 10 Ohio

The federal/state fund exchange program in Ohio was developed to streamline the project development process for bridge projects (ODOT, 2018). In 2015, the Ohio DOT (ODOT) allowed the County Engineers Association of Ohio (CEAO) to exchange up to \$12.5 million per year of federal County Local Bridge Program (LBR) funds for state dollars.

CEAO is central to the overall exchange process. According to the most recent iteration of the program process, a county will first submit a request to exchange federal funds for state funds to the CEAO, and a County Surface Transportation Program (CSTP)/LBR committee determines if the project can be approved for exchange (CEAO, 2019). If approved by CEAO, the county sends the request to ODOT's central office for approval. If approved by ODOT central office, the county and their respective ODOT District will receive an approval letter. According to ODOT staff, the program has had great success.

Organization of the Exchange

Eligible Funds and Projects

The program is limited to LBR funds and bridge projects. State funds can only be used for the construction phase of the project, no federal money can be used in any of the other project phases (CEAO, 2018).

Eligible Agencies

Unable to determine eligible agencies.

Role of the State

After receiving approval from ODOT's central office, if projects are not already programmed, the county works with the respective ODOT district on programming the project and enter into an LPA agreement. A field review is advised to identify any environmental issues that would prevent the project from being part of the exchange program.

The county performs all project development activities with local funds (or other non-federal funding sources). The roles and responsibilities of the county in regards to project development are wide-ranging and extensive and include environmental, right-of-way, design, and final review.

During construction, ODOT will not monitor construction records or material specifications; however, the county may contact the ODOT District if issues arise. When the project is complete, ODOT staff will perform a final review of the project.

Exchange Rate

The exchange rate is \$0.85 state funds for \$1.00 federal funds.

Matching Funds

Unable to determine matching funds.

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Chapter 11 Oregon

The Oregon Department of Transportation (ODOT) offers a variety of options that enable local agencies to better complete and manage projects involving Federal-aid funds. In Oregon, the initial iteration of fund exchange was established to minimize the amount of state oversight responsibility on federally funded local projects and provide local agencies a more flexible funding option for the delivery of transportation improvements (Oregon DOT, 2019a). Two methods are provided for the exchange: a traditional fund exchange in the form of the Surface Transportation Block Grant (STBG) fund exchange program (established in the 80s) and the State Funded Local Project (SFLP) (established for the 2015-18 Statewide Transportation Improvement Program (STIP)).

To further accomplish the goal of flexible project delivery, ODOT offers two additional options for administering projects under the federal-aid programs. The first is the Local Public Agency (LPA) Certification Program intended for rural areas (revamped in 2016) – primarily focused, not exclusively, for LPAs within TMAs. The second is an option for state delivery of Local Agency funded federal-aid projects that do not meet the eligibility requirements for state funding or certification. While these additional options are not representative of a fund exchange per se, they offer additional flexibility and control for LPAs in administering Federal-aid projects.

The current exchange funding was approved by the Oregon Transportation Commission on July 20, 2017, as part of the 2018-2021 STIP. The program and Funding Services Manager approved the Fund Exchange on November 8, 2018. The state can apply the funds swapped with a non-TMA MPO in any geographic area. However, funds swapped in TMAs must be used in the same geographic area, potentially making swaps in TMAs more difficult.

ODOT/AOC/LOC Agreement

The ODOT, Association of Oregon Counties, and League of Cities agreement (ODOT/AOC/LOC) is central to the form, function, and organization of Oregon's current federal fund exchanges and Certification and State Delivery of LPA projects. Key objectives outlined in the agreement include (ODOT/AOC/LOC Agreement, 2018):

- Establish the process for allocating and administering STBG funds among participating local public agencies.
- Identify the selection process for All Roads Transportation Safety (ARTS) and Local Bridge processes.
- Outline expectations for the LPA Certification Program, State Funded Local Projects, fund Exchange and state-managed project delivery.

For non-MPOs, the allocation of funds to local agencies is informed by forecasting done at the local jurisdiction level. The distributions are broken down into shares of 60-25-15 between the state, counties, and cities as spelled out in the AOC-LOC agreement (p.4). Counties and cities manage their own sub-distribution to determine how funds are split within their jurisdiction. A formula is contained in section 4 of the AOC-LOC agreement and the federal share is entered to get an idea of what the amount will be. The Oregon DOT program funding services office provides non-MPO areas the number based on the formula every year and on request. An annual allocation is provided to every city in Oregon, not belonging to an MPO. Every city in an MPO is subject to what the MPO awards them. For TMA-MPOs, the process is different.

According to the AOC-LOC Agreement, local agencies can pool their funds with other local governments or transportation jurisdictions to accomplish one or more transportation project(s).

STBG Fund Exchange

The STBG fund exchange program provides an opportunity for local cities and counties to exchange their Federal STBG dollars for State Highway Fund dollars. The local agency could use the state funds to build any gas tax eligible project. Nearly half of all federal transportation funding, of all types, go to local agencies to deliver projects – STBG is the largest source.

The initial fund exchange began in the 1980s and only involved STP dollars outside of MPOs. It is not known if the initial fund exchange was piloted before statewide implementation. While the original model worked well, Oregon wanted to address state oversight responsibilities within urban areas. With this goal in mind, a certification program was developed establishing a “split” model, with rural areas using the fund exchange and the urban areas using certification. Certification was introduced as a come one, come all approach (see ODOT (2013) for more information). According to ODOT staff, in 2016, certification requirements were narrowed down and the focus was strengthened.

SFLP

While there are similarities between the STBG fund exchange and State Funded Local Projects (SFLP), the exchanges differ in scope. The STBG exchange is a general allocation to agencies, whereas, the SFLP provides state funding to individual projects selected through Oregon DOT or TMA processes.

SFLP provides state dollars in lieu of federal dollars on a select number of state and MPO selected federal funding programs such as safety (ARTS), local bridge, TAP, and CMAQ. The MPO selection requires scoping for federal projects to take place in the context of SFLP. ODOT will typically deliver projects where it involves their right of way/part of the state system.

The AOC/LOC agreement, which introduced the SFLP in 2018, requires SFLP to be reviewed by the transportation commission by 2024. The formula in Section 4 of the AOC/LOC agreement (ODOT/AOC/LOC Agreement, 2018) determines the allocation amount instead of an application

process; the allocation is distributed as already swapped funds. The closest thing to an application is a project agreement once the project starts. The intergovernmental agreement is entered at the start of the project, and this statement indicates the exchanged amount.

For SFLP, there were two to three pilot projects. The pilots indicated that the program was successful enough to implement statewide with some refinements. A lesson from the SLFP pilots was streamlining the exchange rate. Also, they experimented with projects that already had federal funds obligated and wanted to know if these funds could be paid back to the federal government and use state funds. While this can technically happen, all the federal requirements would still apply. The state right of way was also experimented with and the major ADA requirements were more robust with the state than with a local agency. It was determined that there is no value in paying back federal funds. All of the projects are scoped and selected as if they are going to be a federal project.

The TMA MPOs traditionally have not had a project delivery role. The new SFLP, and to some extent, certification program, considered increasing the roles and responsibilities of TMA MPOs to project delivery oversight. Specifically, in regard to the obligation of federal funds.

From ODOT staff's perspective, there has not been significant evidence to suggest fund exchange results in faster and cheaper project delivery; rather, the realized benefits have been in establishing clear roles and responsibilities for agencies. In the existing Oregon fund exchange, the MPO claims a larger share of responsibility for managing a portfolio of projects, the local agency (via certification) can have greater control over their project and clear project delivery options.

Organization of the Exchange

Eligible Funds and Projects

STBG Exchange

Federal STBG Program funds are eligible for the STBG exchange. Planning funds are not eligible for the swap because federal requirements are project and not planning specific. The fund exchange overview document identifies eligible projects as those which develop, improve and/or preserve the existing transportation system, and are gas tax eligible. Specific project types include (Oregon DOT, 2019a):

- Road paving.
- Equipment purchase.
- ADA (Sidewalks).
- Project planning.
- Safety.
- Transit.
- Material purchase.

State funds may be used for all phases of the project.

SFLP

Projects up to \$1 million and located inside TMAs and projects up to \$5 million and located outside TMAs are potentially eligible for SFLP exchange (Oregon DOT, 2019b). Eligible projects include those selected through ARTS, Enhance, Local Bridge, and Active Transportation Discretionary. A portion of Surface Transportation Program Urban (STPU) and Transportation Alternatives Program (TAP) funds are also eligible for state funding.

Eligible Agencies

STBG Exchange

All cities with 5,000 to 200,000 residents, counties, and MPOs under 200,000 residents are eligible for the fund exchange.

SFLP

All local agencies are eligible for the SFLP, with the restrictions identified in **Eligible Funds and Projects**.

Role of the State

The state is responsible for oversight of local government projects with federal funds and shared with local agencies. If a local agency opts to exchange federal funds for state funds then they deliver their project directly with minimal state involvement.

Exchange Rate

The exchange rate for the STBG exchange and the SFLP is 94 cents per 1 dollar, no deposit is collected.

The amount of STBG available to local agencies is determined annually by the state. Section 4 of AOC-LOC agreement uses Federal Fiscal Year 2004 as a baseline for calculating future STBG allocations to local agencies. Cities received \$7,370,785 of STBG funds in FFY 2005, while counties received \$10,957,428 of STBG funds. It is not clear how much per year involve swaps. The program funding service manager of ODOT maintains fund swap totals per year.

Matching Funds

Local agencies can provide financial match to projects delivered by the state but are considered third-parties and are not eligible for reimbursement. The match requirement is incorporated into the exchange rate. The project savings, if any, is rolled back onto the account. According to ODOT staff, local agencies are typically proud if they are under budget despite not having the money returned.



Chapter 12 Utah

The Utah DOT (UDOT) federal fund exchange program was implemented in 2006. No pilots were conducted for the exchange. Most of the initial exchanges were project-by-project, but it's not clear if these projects were evaluated. UDOT staff states that, at the time they were developing the fund exchange, there were no nearby states with a federal fund exchange program. Consequently, there was no collaborative involvement in developing the program.

The exchange is between the State and the Local Public Agency. All exchanges conducted through the program have been initiated at the request of counties, cities, and metropolitan planning organizations (MPOs). The majority of exchanged funds are directed to urban areas. For the rural sub-allocated amount, UDOT uses the Joint Highway Committee (JHC), which has funding sub-allocated to select projects to be recommended to the Utah Transportation Commission (Appointed by the Governor for final approval of all transportation funding).

The JHC is an entity within the state made up of county and city representatives. It was formed to address a requirement for the small urban and non-urban portion of federal Surface Transportation Block Grant Program funds. The program is administered through UDOT, the Utah League of Cities and Towns, and the Utah Association of Counties. The committee solicits involvement from local governments in small urban and non-urban areas and recommends projects. In this vein, the responsibilities of the JHC include initiating a call for projects, helping with project selection, and determining if funding needs to be adjusted.

UDOT's program is divided into project-by-project exchanges and programmatic exchanges. The Utah federal funds exchange guidelines require construction standards comport with AASHTO standards or in accordance with state law regardless of the exchange type.

In project-by-project exchanges, the exchanged funds are applied to stand-alone individual projects. A cooperative agreement detailing the funds exchanged between the local government sponsoring the project and UDOT is executed for each project request. Funds are disbursed on a reimbursement basis and invoices are submitted to and approved by the UDOT project manager according to the cooperative agreement.

The original goal on the programmatic side was to have local agencies administer their own projects, requiring less involvement in project delivery from UDOT. In programmatic exchanges, a Memorandum of Agreement is required between UDOT and the MPO for each exchange. Required project documentation and performance reporting (certifications) are detailed as part of each agreement. The exchange is then reviewed at the end of each fiscal year and UDOT and the MPOs determine if modifications are recommended or if the program should continue.

There is no application process for either the project-to-project or programmatic exchanges, these are handled on a per request basis.

According to UDOT, the majority of the benefits of the exchange programs are realized by local governments and MPOs. For example, in September 2019, one local MPO took four projects off of the Transportation Improvement Program (TIP) because the City found that it was cheaper to use local funding and not contribute any federal funding to the project. When receiving feedback from the local agencies they share that it is more advantageous to use the state dollar instead of the federal dollar. The most notable benefits of the exchange, as stated by a local MPO, are time and cost savings when federal requirements such as NEPA, Buy America, Davis Bacon Wages, and Federal right-of way (ROW) acquisition process are removed. In turn, UDOT can more efficiently utilize the exchanged federal funds on larger projects that are typically already federalized, providing benefits to both parties involved.

Organization of the Exchange

Eligible Funds and Projects

According to UDOT administrative guidelines, both programmatic and project-by-project exchanges include STBG Non-urban, STBG Urban, and STBG Small Urban funds.

Eligible Agencies

Any Local Public Agency can request an exchange of federal for state funds. The limiting factors are usually the federal funding type (for example, Off-System Bridge Funds can only be applied to Local Government Bridges so a State DOT would not benefit by exchanging these funds) and whether or not there are available state funds to exchange.

Role of the State

A UDOT project manager is assigned to each project and serves in a consultation capacity. It is the state's intent that the local sponsor is responsible for all aspects of the project. UDOT does not give any assurances or guarantees regarding the quality of work. Local government sponsors follow their own bid process in awarding contracts. The exchange reflects appropriate coordination between the MPOs/JHC, project sponsors, and UDOT.

According to the DOT's guidelines in both programmatic and project-by-project exchanges "[t]he exchange will reflect appropriate coordination between the MPOs/JHC, the project sponsor and UDOT" (UDOT, 2016). The outcome of this coordination is less state involvement with state funds and more state involvement with federal funds. The UDOT stewardship agreement requires significant state involvement when a project is federally funded.

Exchange Rate

In both programmatic and project-by-project exchanges, the exchange rate is set at 85 cents of state dollars per 1 dollar of federal dollars.

The decision to use this exchange rate was based on a study conducted by Kishore and Abraham (2009) with cooperation from the Indiana DOT, FHWA, and the U.S Department of Transportation. The study is based on construction factors unique to bridge projects and used a

case study in Elkhart County, Indiana to compare construction costs between a federal-aid project and a completely locally funded project. Based on the findings, the team was able to develop an equation to calculate the percent difference in federal-aid versus locally funded project costs. UDOT officials applied the formula from the study to help determine what their exchange rate should be. The equation indicated a large cost difference for smaller projects, however, as the size of the projects increased the cost difference between the two funding sources became less significant. UDOT officials found the average cost difference to be 82% and as a result, set the exchange rate at 85%.

In 2019, all four MPO's received Federal funds. Wasatch Front Association of Governments (WFRC); \$51 million, Mountainland Association of Governments (MAG); \$15 million, Dixie MPO; 2.8 million, Cache MPO; \$2.6 million. The JHC received approximately \$12 million to facilitate the off-System bridge, local urban and small urban block grant and transportation alternative programs.

Matching Funds

It is up to the MPO to determine if a match is needed. If a federally funded project has a local match, the exchange is only on the federal portion. UDOT only takes federal money once the project is exchanged.

Project by Project Exchanges

A local match minimum of 6.77 percent of total project cost is required. There is no flexible match agreement for these state exchanged projects like a federal project; rather the local government provides their match with cash, materials, right-of-way, design/construction services, etc. which does not require reimbursement by the project.

Chapter 13 Summary

Although motivation for starting fund exchange programs are relatively consistent, no two state's fund exchange programs are identical. The review of existing federal fund exchange programs revealed several benefits to developing and implementing an exchange program. Several states mentioned reduced demand on Department resources as a primary benefit to the exchange program (although states that maintain a significant role in the exchange may not always experience this benefit to the same degree). For local agencies, the benefits listed were more extensive. In addition to the general advantage of avoiding arduous federal requirements, specific benefits to de-federalizing locally administered Federal-aid projects, included:

- Time and cost savings,
- Improved flexibility in project execution and delivery, and
- Funding for a wider variety of projects.

State involvement varies significantly between exchange programs. While very few DOTs offer no oversight, handing full responsibility for exchange administration to local agencies, most serve in an oversight role with varying levels of involvement. The responsibilities of states with a more hands on role typically include:

- Developing, reviewing, and processing exchange authorization agreements and requests;
- Authorizing and recording transfer of funds and reimbursement requests where applicable;
- Determining project eligibility and reviewing projects for details, such as applicable federal requirements, ineligible expenses, etc.;
- Providing guidance and support to participating agencies for project implementation including compliance review and permit attainment;
- Reviewing and approving project activities and closeout packages.

Exchange rates and match requirements vary between states. Agencies with a 1:1 exchange rate cite funding availability and/or limited need for staff involvement in the exchange as the rationale for the even exchange rate. States with an uneven exchange rate typically use the excess funds to cover federal match requirements and/or Department overhead for the exchange program. The breakdown of exchange rates by state are as follows:

- 1:1: Colorado, Connecticut, Iowa, and Minnesota.
- 94 cents per dollar: Oregon.
- 90 cents per dollar: Arizona and Nebraska.
- 85 cents per dollar: Ohio and Utah.
- 75 cents per dollar: Kansas.
- No set exchange rate: California.

These programs, although very different in organization, requirements, and processes, do not conflict with Federal statutes. Based on the combination of online searches and DOT staff interviews, it can be agreed that exchange programs are considered effective and beneficial for both the state and local agencies.

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Appendix A Federal Fund Exchange Matrix

State	Eligible federal funding programs	Eligible Participants	Exchange Rate	Local Match Required
Arizona	Projects must be on the federal aid system and eligible receipts of STBG funding. Projects on local roads are not eligible.	Cities, towns, and counties with population of 200,000 or less.	90 cents per dollar	No
California	Varies according to agreement type.	RTPAs and counties greater than 200,000.	No set exchange rate – based on the apportionment received according to each entities’ agreement	Yes
Colorado	STBGP, TAP, and CMAQ	Unknown	1:1	Yes
Connecticut	STBG-Urban	COGs and state municipalities	1:1	Unknown
Iowa	STBG, CMAQ, ICAAP, and HSIP	All RPAs and MPOs.	1:1	Not for STBGP. Match requirements for ICAAP, HSIP-S, and city bridge program projects apply. <i>Individual MPOs and LPAs can require match.</i>
Kansas	STBG	LPAs that receive federal funding allocation, including all counties in the state and cities with population greater than 5,000 (not located in a TMA.)	75 cents per dollar (reduced from 90 cents per dollar)	No

Minnesota	STBG, HBP, and, TA	Any local agency selected to receive federal funds for a project and eligible for state aid funding	1:1	No
Nebraska	STBGP and HBP	STBGP: all counties, cities, and “the First Class” cities (more than 5,000 up to 100,000) outside of the Omaha and Lincoln metro areas. HBP: counties with deficient bridges and “First Class” cities (including Lincoln and Omaha) with deficient bridges.	90 cents per dollar (increased from 80 cents per dollar)	Unknown
Ohio	LBR	Unknown	85 cents per dollar	Unknown
Oregon	STBG Exchange – STBG funds SFLP – STPU and TAP	All cities with 5,000 to 200,000 residents, counties, and MPOs under 200,000 residents	94 cents per dollar	Yes - The match requirement is incorporated into the exchange rate.
Utah	STBG Non-urban, STBG Urban, and STBG Small Urban funds	Any LPA	85 cents per dollar	Determined by the MPO. Project by project exchanges – minimum of 6.77%

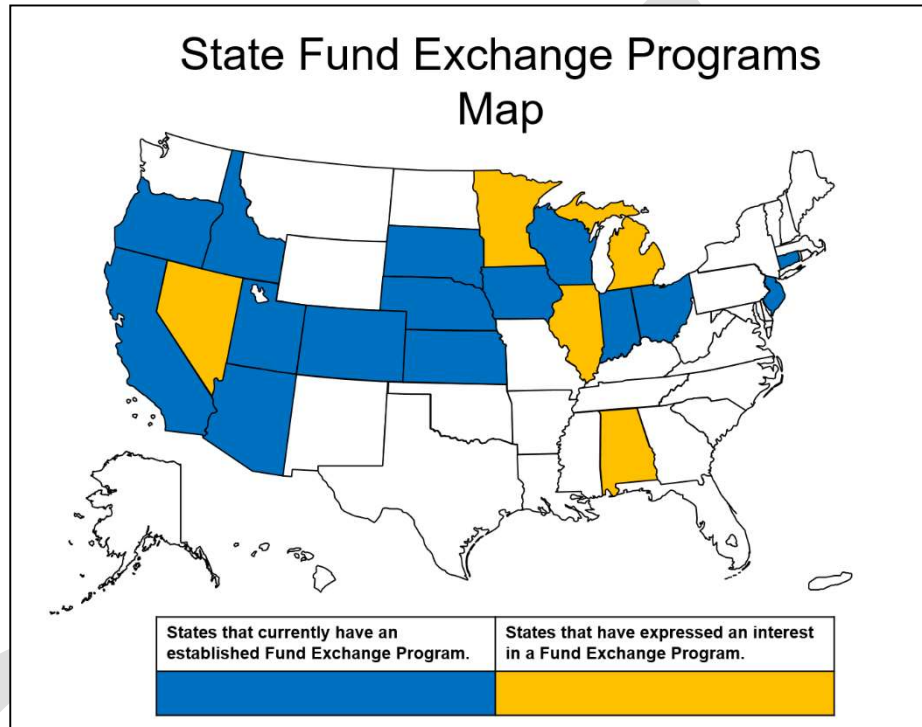
Table Legend

Congestion Mitigation and Air Quality Improvement (CMAQ) Enhancement funds (TE) Highway Safety Improvement Program (HSIP) Iowa’s Clean Air Attainment Program (ICAAP) Surface Transportation Block Grants (STBG) Highway Bridge Program (HBP) County Local Bridge Program (LBR)	Transportation Management Area (TMA) Regional Transportation Planning Agency (RTPA) Council of Government (COG) Local Public Agency (LPA) Surface Transportation Program Urban (STPU) Transportation Alternatives (TA)
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Appendix B FHWA Briefing

This chapter includes results from a federal fund exchange survey conducted by the Federal Highway Administration (FHWA).

Fifteen States report they currently have an established fund exchange program (see map below). These States are AZ, CA, CO, CT, ID, IN, IO, KS, NE, NJ, OH, OR, SD, UT and WI.

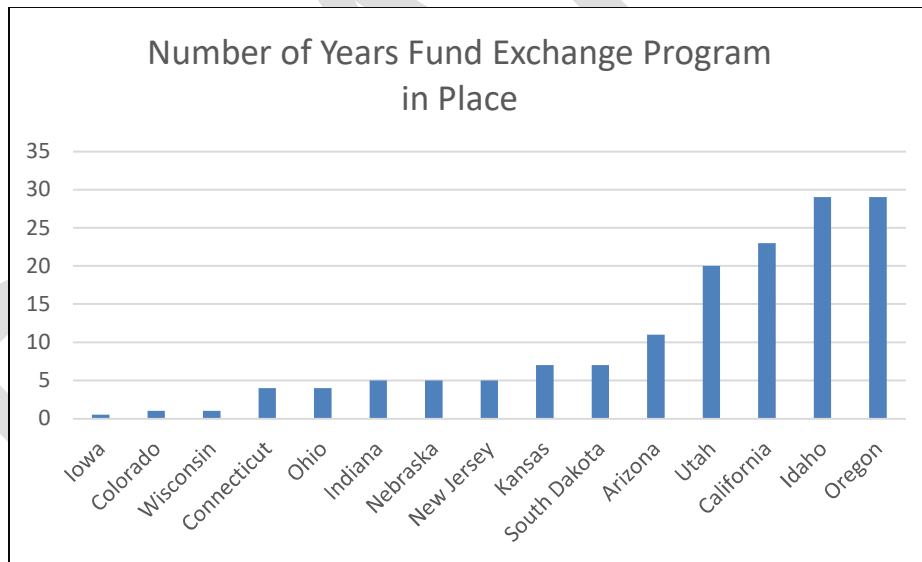


- Three States either have had a fund exchange program in the past and discontinued it or are currently considering its discontinuance. These States include AZ, MI and WI. AZ and MI had discontinued their fund exchange programs due to a lack of State funds to support the programs. However, AZ has recently reestablished their fund exchange program. WI is currently under deliberations as to whether to continue their program.
- Five States have expressed an interest in establishing a fund exchange program. These States include AL, IL, MI, MN and NV. AL and MN indicated that State Statutes were an obstacle to implementation. IL and MI were constrained by limited State funds. NV indicated some sort of MPO constraint.
- Four States allow their LPAs to exchange funds among themselves. These States include CA, ID, MI and MN.

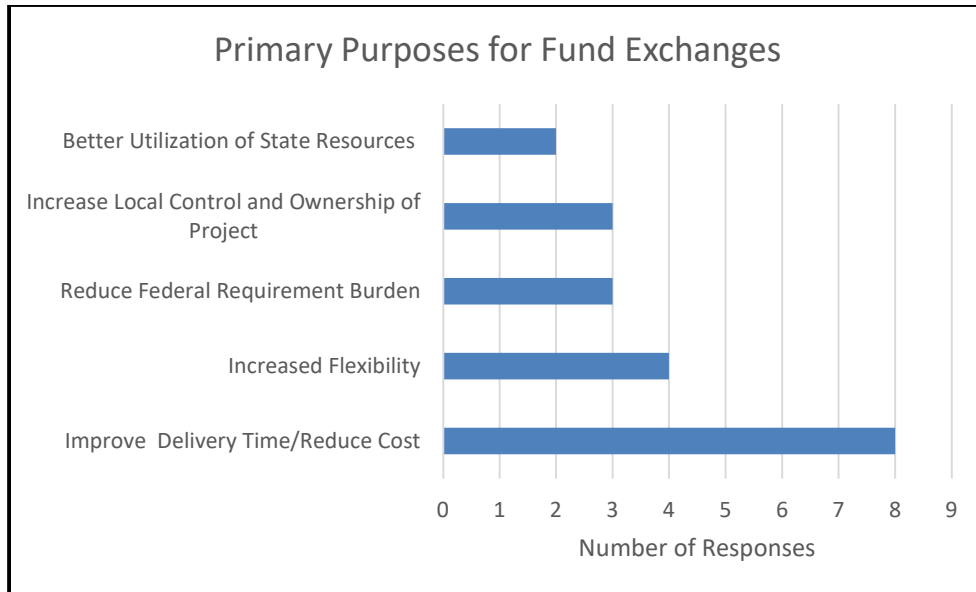
- CA has been allowing LPAs to exchange funds among themselves for the last ten years. The purpose for allowing the practice is to facilitate usage of Federal-aid funds before they are reprogrammed (Use it or Lose it). The process involves the use of fund trading and loan mechanisms.
- MI initiated a pilot program in FY 2016. It has continued the pilot program through FY 2018. The purpose for allowing the practice is that it allows LPAs to utilize project delivery and cost flexibilities not allowed in the Federal-aid program.
- MN has done so for the last nine years. The purpose for allowing the practice is that it facilitates aggregating Federal funds in larger projects, while avoiding Federal requirements on smaller projects.

State DOTs with an existing Fund Exchange Program:

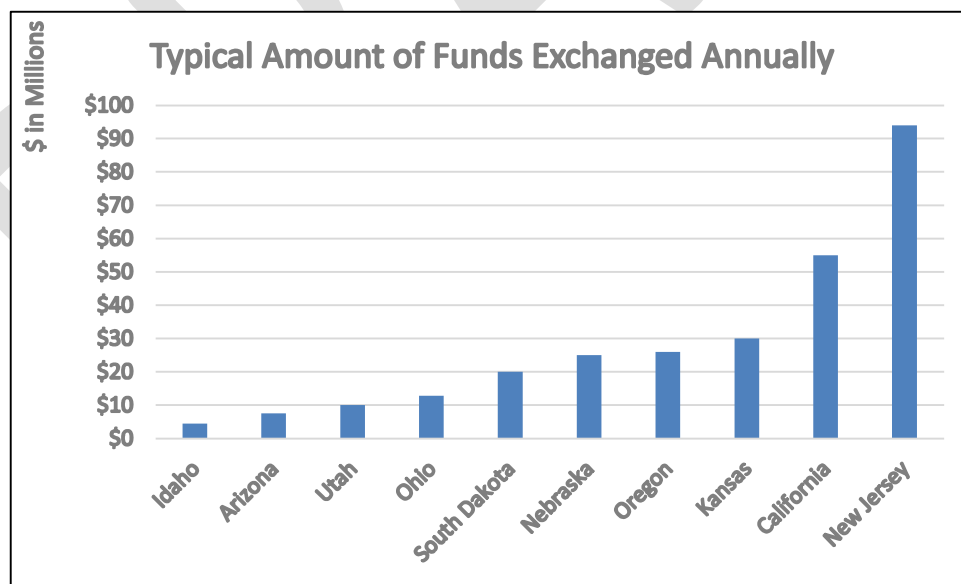
- The number of years a State DOT has had a fund exchange program in-place:
 - 8 States have had it in place for 5 years or less.
 - 2 State had it in place between 5 and 10 years.
 - 4 States have more than 20 years.



- The primary purposes given by the State DOTs for having a fund exchange program:
 - The most common reason is to improve project delivery time and increased flexibility.
 - States also stated the following reasons:
 - to increase local control and ownership of projects,
 - to reduce the federal requirement burden,
 - to reduce project cost, and
 - to better utilize state resources.



- **Typical Funding Levels Exchanged:**
 This is highly dependent on the specific State and the size of their Federal-aid Program.
 - Of the 10 states that reported, the average amount was \$28M per year with a range of \$5M to \$94M per year. Six states were between \$10M and \$30M exchanged annually.
 - Connecticut stated its annual exchange is 80% of the Surface Transportation Block Grant (STBG) funds and Indiana stated it was all their eligible STBG funds.



- **How are the fund exchanges conducted?**
 - Nine states conduct exchanges on a project-by-project basis.
 - Six states conduct exchanges on a program basis.

How are fund exchanges conducted?	
Project-by-Project Basis	9
Program Basis	6

- What were the types of Federal-aid funds used to in a fund exchange?
 - Nearly all use STBG set aside funds for under 200k and under 5k.
 - Two states have swapped Highway Safety Improvement Program (HSIP) funds.
 - One state has swapped off-system bridge funds.
 - One state has swapped Congestion Mitigation and Air Quality (CMAQ) funds.

- What are the Exchange Rates utilized by the State DOTs?
 - 10 States identified has having developed an exchange rate.
 - The rate range is between 60 cents on the dollar to 100%. Most states were around 75-90 cents on the dollar.
 - The rate determination varied by state. Several of them were based on law or state policy, while others are based on cost of LPA projects accomplished locally versus adhering to federal requirements.
 - See table below for specific details:

Exchange Rate Determination by State			
	Exchange Rate determined by State DOT	How was the exchange rate determined?	What is the State DOT doing in exchange for the money they are retaining?
Arizona	90 cents on dollar	ADOT developed the rate back in 1998 and tried to base it on the cost of ADOT oversight.	Some administrative work.
California	100%	Was written into the law that way by the California Legislature.	Not applicable. We are not retaining any funds. We exchange all of it.
Idaho	61.67 cents on dollar	Cost of LPA projects accomplished locally versus those following all federal requirements.	Funding additional rural projects on the state highway system.
Indiana	State law allows up to 100% Past - 75 to 80 cents on dollar	The maximum exchange rate is identified in Indiana State Code, IC 36-9-42.2 Sec. 6(b).	Still match the funds at an 80-20 rate, and if consultants are funded with these dollars then they also must be selected using a qualifications-based approach (similar to the Brooks Act).
Iowa	100%	The IA DOT wanted to encourage participation in the exchange program.	It is anticipated that the retained money will be used on more state transportation projects.
Kansas	Currently 75 Prior to 2018, 90 cents on the dollar	The exchange rate is set annually at the discretion of Kansas' Secretary of Transportation.	100% of Federal funds that are retained by the State through the exchange of funds are utilized by KDOT on State projects.
Nebraska	90 cents on dollar	Set by state policy.	The state is doing State projects in the population areas that qualify for the respective funding in the appropriate areas.
Oregon	94 cents on dollar	Unclear	To offset the program administration costs.
South Dakota	90.08%	LPA gets credit for half sliding scale match 81.95% + 9.025% = 90.975%. STP Allocation * 90.975 =	State writes a check to the LPA and retains the STBG funds.

		\$137,050.27 / 81.95% = \$167,236.45.	
Utah Division	85 cents on dollar	It was selected based on discussions and agreement with the LPAs.	Typically, the funding is put into the pavement preservation and rehabilitation programs.

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Appendix C

Caltrans Sample Invoice

Local Assistance Program Guidelines

EXHIBIT 18-F
Sample Invoice-Exchange/Match Program

SAMPLE INVOICE FOR EXCHANGE/MATCH PROGRAM (ON AGENCY LETTERHEAD)

Date of Invoice:

Billing No.: 1, 2, ... , or final

Local Agency's Invoice No.: Invoice
No.

[Name, District Local Assistance Engineer]
California Department of Transportation
District Local Assistance
[Street Address or P.O. Box]
[City, CA Zip Code]

Attn: Local Assistance Engineer

Payment of State Match and/or State Exchange funds is claimed pursuant to Local Agency-State Agreement No. _____, Executed on _____

	State Match	State Exchange	Total
Total Amount Claimed	_____	_____	_____
Total of Previous Invoices	_____	_____	_____
Amount Claimed This Request	_____	_____	_____

I certify that the amounts shown in this invoice are true and correct; and the amount claimed is due and payable in accordance with the terms of the Agreement.

Signature

Title

Appendix D

Connecticut LOTCIP Guidelines and Materials

Connecticut General Statute (2013)

Sec. 13a-98n. Local transportation capital program. (a) The Commissioner of Transportation shall establish a local transportation capital program to provide state funding, in lieu of specific federal funding available, to any municipality or local planning agency for transportation improvements to any state or locally maintained roadway or facility that is deemed eligible for federal surface transportation urban program funding.

(b) The commissioner may request the authorization of special tax obligation bonds of the state to establish such state funding. In the absence of state funding in any year, specific and eligible federal transportation funding shall remain available. Such bonds shall mature at such time or times not exceeding twenty years from their respective dates as may be provided in or pursuant to the resolution or resolutions of the State Bond Commission authorizing such bonds.

(c) The Department of Transportation shall accept applications for such state funding from any eligible recipient, based on project priorities, through the appropriate regional council of governments. Any such state funding shall be provided to the recipient through guidelines developed by the Department of Transportation.

(d) Any transportation improvement funded pursuant to the program established in this section will have a service life of approximately twenty years.

(e) Notwithstanding any other provision of the general statutes, this program, when improvements are on a locally owned roadway or facility, shall not be deemed to be a proposed state action, activity or critical activity for the purposes of sections 25-68b to 25-68h, inclusive.

Appendix E

Minnesota Federal Fund Exchange Application

The Microsoft Word version of the application can be accessed using the following link:
<http://www.dot.state.mn.us/stateaid/other/federal-fund-exchange-app.docx>



State Aid Federal Fund Exchange Application

SP:	Click here to enter text.	Classification:	<input type="checkbox"/> Donor or <input type="checkbox"/> Recipient
Tied SP:	Click here to enter text.		
Local agency	Choose an item.		
Project description:	Click here to enter text.		
Type of work	Click here to enter text.		
Old bridge number:	Click here to enter text.	New bridge number:	Click here to enter text.
Desired construction date:	Click here to enter a date.	State Aid eligible:	<input type="checkbox"/> Yes or <input type="checkbox"/> No
Type of federal funds:	Choose an item.	ATP:	Choose an item.
STIP year:	Choose an item.	MPO:	<input type="checkbox"/> Yes* or <input type="checkbox"/> No
Sequence number:	Click here to enter text.	*If yes, which one:	Click here to enter text.
Total estimated project cost:	\$ Click here to enter text.		
Total federal funds in STIP:	\$ Click here to enter text.		
Amount of federal funds needed or to exchange:	\$ Click here to enter text.		

Requestor _____
Local agency signature *Date*

I concur _____
DSAE signature *Date*

Approved _____
State Aid Engineer signature *Date*

TO BE COMPLETED BY STATE AID	
Match this exchange with SP:	
Adequate state aid funds in recipient account:	\$
STIP amendment approved:	
Agreement number:	
Agreement execution date:	
Date CSAH money transferred:	
Amount transferred:	\$

Item Number 6C

Business Items & Presentations Mobility Week Presentation

DISCUSSION:

The Florida Department of Transportation (FDOT) and partners from across the state are about to kick off the third annual Mobility Week, a statewide celebration of making **smart**, **efficient**, and **safe** transportation choices, from October 30-November 6, 2020.

For 2020, Mobility Week is going online by embracing technology and making it available to more people throughout the state. Floridians can learn about innovative programs and projects by visiting the Mobility Week Virtual Conference Center, which consists of a series of virtual rooms representing different regions. Virtual visitors will learn about transit agencies, local transportation planning efforts, and learn best practices for remote working, as well as be able to register for live events and workshops. Visit the Mobility Week main hall at <https://vmr.vhb.com/v/OAzAVDaaJQp>.

Mobility Week will feature a fun, free statewide challenge to get more people riding bicycles. Known as the Love to Ride Florida challenge, the competition kicks off on Friday, October 30 and continues to November 30, 2020. Florida is the first state to host a statewide Love to Ride challenge, providing a valuable tool to reach all types of riders. The challenge is open to anyone or any organization within Florida. Participants can register as workplace teams, social groups or as individuals. Registration for the challenge is now open at www.lovetoride.net/florida.

Additional resources are available for local partners interested in participating in this year's Mobility Week, including guidance on hosting virtual events. These resources, a schedule of events, and more information are available at www.MobilityWeekFL.com.

REQUESTED ACTIONS:

For review and discussion.

ATTACHMENTS:

Love to Ride Florida Challenge Flyer
Mobility Week District Contacts

Join us for the Love to Ride Florida challenge!

The challenge is a fun, free statewide competition for individuals and organizations to get more people riding bikes.

The **Love to Ride Florida** challenge kicks off with Mobility Week on Friday, October 30, 2020 and continues through the end of November.

Individuals, social groups, and workplaces can all participate, with a competition for the top spots on statewide leaderboards. For this competition, miles aren't the only way to win. In fact, riding for as little as ten minutes is a great place to start!

LOVE TO RIDE
FLORIDA



Here's how to participate:

1



REGISTER. IT'S FREE
LOVETORIDE.NET/FLORIDA

2



RIDE FOR 10 MINUTES
OR MORE

3



RECRUIT FRIENDS
& COLLEAGUES

4



WIN
GREAT PRIZES

The **Love to Ride Florida** challenge is made possible by Mobility Week, a statewide celebration of making smart, efficient, and safe transportation choices.

Learn more at www.MobilityWeekFL.com, or email contact@MobilityWeekFL.com.

 **Mobility Week**
www.MobilityWeekFL.com

Mobility Week District Coordinators

Name	District	Email
Dawn Gallon	D1	dawn.gallon@dot.state.fl.us
Christina Nalsen	D2	Christina.Nalsen@dot.state.fl.us
Debbie "Toni" Prough	D3	Debbie.Prough@dot.state.fl.us
Larry Wallace	D4	larry.wallace@dot.state.fl.us
Libertad Acosta-Anderson	D5	Libertad.Acosta-Anderson@dot.state.fl.us
Tiffany Gehrke	D6	Tiffany.Gehrke@dot.state.fl.us
Katina Kavouklis	D7	Katina.Kavouklis@dot.state.fl.us

Item Number 7
Member Comments

DISCUSSION:

Comments or recommendations by MPOAC members.

REQUESTED ACTION:

As may be desired.

ATTACHMENT:

None.

Item Number 8

Adjournment

The next meeting of the MPOAC Staff Directors' Advisory Committee will be set by the MPOAC Governing Board at their meeting. A meeting notice will be sent out at least one month prior to the meeting date.