

**Winston-Salem Urban Area Metropolitan Planning Organization
Transportation Advisory Committee
Action Request**

Meeting Date: February 15, 2018

Agenda Item Number: 7

Action Requested: Review of the recommended Surface Transportation Program – Direct Attributable (STP-DA) and Transportation Alternatives Program – Direct Attributable (TAP-DA) funding allocation for the Winston-Salem Urban Area MPO’s Fiscal Year 2018 call for projects

SUMMARY OF INFORMATION: **Attachments:** Yes X No

The Winston-Salem Urban Area Metropolitan Planning Organization (MPO) has the authority to program available STP-DA and TAP-DA funds for transportation planning, bicycle, greenway, sidewalk, street and highway, transit and other projects in the urban area.

The attached table identifies the proposed programming of the available STP-DA and TAP-DA funds.

- \$5,200,000 in STP-DA funds and \$800,000 in TAP-DA funds (\$6,000,000 Total) were added to TIP Project U-4741 Bicycle, Greenway and Sidewalk projects.
- \$1,000,000 in STP-DA funds was added to TIP Project U-4742, Intersection Improvement Projects.
- \$2,000,000 in STP-DA funds was programmed for TIP Project U-5022, Small Roadway Projects/Streetscape Projects/Reserve.
- \$1,100,000 in STP-DA funds was programmed for Public Transit improvement projects (\$800,000, WSTA; \$200,000, PART; \$100,000 Davidson County).
- \$700,000 in STP-DA funds was added to TIP Project U-4951, MPO Planning Studies.

Altogether, \$10,000,000 in STP-DA funds and \$800,000 in TAP-DA funds are proposed for the Fiscal Years 2018 WSMPO Call for Projects. A local match of 20% is required of each project approved to receive funding. The TAC has the authority to grant additional STP-DA funds for projects upon request under reasonable circumstances.

Please see attached updated Funding Allocation Table. Previously each category of funds was assigned a maximum and a minimum dollar amount.

WINSTON-SALEM URBAN AREA METROPOLITAN PLANNING ORGANIZATION
2018 CALL FOR PROJECTS

The Winston-Salem Metropolitan Planning Organization (WSMPO) is seeking proposals from local governments and other eligible project sponsors to implement transportation projects. The 2018 Call for Projects will commit federal funds allocated to the WSMPO to implement Bicycle and Pedestrian, Intersection Improvements, Small Roadway, Streetscape, and Transit projects. All proposals seeking funding will be evaluated, ranked, and submitted to the WSMPO Transportation Advisory Committee (TAC) for final approval.

Proposed Funding Allocation: The maximum and minimum requirements for each project category were removed. Please submit all viable projects, regardless of the cost estimate.

| | |
|------------------------|---------------------|
| Bicycle and Pedestrian | \$4,000,000 |
| Greenway | \$2,000,000 |
| Intersections | \$1,000,000 |
| Small Roadway | \$1,000,000 |
| WSTA | \$800,000 |
| PART | \$200,000 |
| Davidson Transit | \$100,000 |
| Reserve | \$1,000,000 |
| Planning Studies | \$700,000 |
| STP-DA Total | \$10,000,000 |
| TAP-DA | \$800,000 |
| Grand Total | \$10,800,000 |

Submission Instructions:

Submit one (1) original proposal via email, standard mail, or hand delivery.

All proposals must include the following:

- Cover letter from the principal elected official or chief executive
- Completed Project Application
- An appendix of supporting documents such as letter of support for 20% match and project map, as well as any additional documentation that helps support the project

Highway Project Eligibility:

Highway projects must be federally classified. Federal Aid-While functionally classifying a roadway makes it eligible for Federal Aid funding, functional classification modifications cannot be approved solely for Federal Aid funding eligibility.

NCDOT Functional Classification Map:

<http://ncdot.maps.arcgis.com/home/webmap/viewer.html?layers=029a9a9fe26e43d687d30cd3c08b1792>

WINSTON-SALEM URBAN AREA METROPOLITAN PLANNING ORGANIZATION
2018 CALL FOR PROJECTS

Schedule:

- Federal Funding Workshop..... November 27, 2017
- Biennial Call for Projects..... January 2, 2018
- Project Selection Committees..... February, 2018
- TAC Review..... March 15, 2018
- TAC Action..... May 17, 2018
- STIP Programing..... July, 2018
- Project Implementation..... August, 2018
- Project Agreement Deadline..... March, 2019

All proposals must be received by the Winston-Salem Department of Transportation (WSDOT) via email, standard mail or hand-delivery by **Wednesday, January 31, 2018.**

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The Surface Transportation Program Direct Apportionment Program (STP-DA) is a federal transportation funding program that provides flexible funding to states for highway, bridge, transit capital, intercity mass transportation, bicycle and pedestrian projects, among other project types. The program is authorized by federal transportation bills, the most recent of which was MAP-21, the Moving Ahead for Progress in the 21st Century Act. States are required to make these funds available to Transportation Management Area MPOs (Urbanized areas with a population greater than 200,000). These “direct attributable” (DA) funds are allocated by MPOs to member jurisdictions. The Winston-Salem MPO (WSMPO) undertakes this process by issuing calls for projects.

MAP-21, the Moving Ahead for Progress in the 21st Century Act (P.L. 112-141), was signed into law by President Obama on July 6, 2012. Funding transportation programs at over \$105 billion for fiscal years (FY) 2013 and 2014, MAP-21 is the first long-term highway authorization enacted since 2005. MAP-21 creates a streamlined and performance-based surface transportation program and builds on many of the highway, transit, bike, and pedestrian programs and policies established in 1991.

MAP-21 establishes a new program to provide for a variety of alternative transportation projects, including many that were previously eligible activities under separately funded programs. The Transportation Alternatives Program (TAP) replaces the funding from pre-MAP-21 programs including Transportation Enhancements, Recreational Trails, Safe Routes to School, and several other discretionary programs, wrapping them into a single funding source.

As a Transportation Management Area MPO, the WSMPO receives a direct sub-allocation of STP-DA funds each year and an allocation of TAP funds each year. The primary requirement for utilizing these funds in our MPO area is: STP-DA and TAP funds must be obligated to eligible projects through a competitive process, in consultation with the State from proposed projects submitted by eligible entities.

Programming STP-DA and TAP Projects

1. The MPO Staff contacts NCDOT's Program Development Branch (PDB) to determine available STP-DA and TAP funds.
2. MPO staff meets to develop a Draft Fiscal Year Program.
MPO staff develops the parameters for the biannual *Call for Projects* (Minimum and Maximum project costs, Project Submittal Method, Eligibility, Monthly Project Updates sent to: MPO and NCDOT, etc...)
3. MPO staff will hold a biannual *Federal Funding Workshop*. The workshop will address the call for projects parameters, required documentation, timelines, budget issues, project delivery expectations, etc.
4. TAC approval of the call for projects parameters, required documentation, timelines, budget, project delivery expectations, etc.
5. MPO staff initiates the biennial *Call for Projects*.
6. Project selection committees are formed to review and rank projects based on a specified set of criteria.
7. The MPO's TAC takes formal action to program projects with available STP-DA and TAP funding. The TAC must approve the project(s) and its action must state the funding committed based upon the applicable estimated cost of preliminary engineering (PE), right of way (ROW), and construction phase of the project as well as a schedule to accomplish each phase of the project. The MPO shall also document that the scope of work meets the eligibility requirements.
8. The PDB of NCDOT programs the project(s) based upon the information submitted with Board of Transportation concurrence. With concurrence, the PDB of NCDOT assigns a STIP Project Number.
9. The MPO identifies the Local Governmental Entity (LGE) that will administer the project in accordance with the STP-DA Independent Project Guidelines.
10. The Local Programs Management Office (LPMO) will assign a NCDOT Project Manager (NCDOT PM) to coordinate the project for NCDOT.
The NCDOT PM works with the LGE to execute an agreement to define funding and project responsibilities.

Implementing STP-DA and TAP Projects

11. The LGE will request an agreement through NCDOT's Project Management Tool.
12. NCDOT's Local Projects Management Office (LPMO) will develop a Project Agreement based on the PID for all phases: Design (if applicable), Right-of-Way (ROW), Construction, etc. The agreement must be executed, and any required planning documents approved prior to NCDOT authorizing project specific phases: Design, ROW, Construction, etc. The agreement will define the project's location and whether the proposal is on a state or locally owned facility. The agreement will also specify the maintenance and liability responsibilities for the completed project.
13. The LGE will oversee project implementation once a project agreement is executed. The LGE ensures the terms of the agreement are adhered to for reimbursement.
14. NCDOT Authorizes Preliminary Engineering.
15. The LGE will complete the preliminary engineering for the project. For projects requiring a document more comprehensive than a Type I Categorical Exclusion, a file copy of the approved planning environmental document should be forwarded to the NCDOT PM prior to, or with the request for ROW authorization for all projects.
(**Note:** The LGE is responsible for evaluating the need for the facility (i.e., generators, safety, continuity, integration, existing or projected traffic) and public involvement. The LGE is responsible for certification to the Department that local governing standards and generally accepted engineering practices have been adhered to and a professional engineer has sealed the plans.)
(**Note:** The LGE may use a Professional Engineering Firm (PEF) or in-house planning efforts. If a PEF is used, the LGE shall select a consultant in accordance with federal and State guidelines for procurement. The consultant selected to perform engineering services on a state maintained roadway must be pre-approved by the Department.)
16. The LGE submits invoices to the NCDOT PM for engineering costs incurred as specified in the agreement. The invoice should note the project number and whether the invoice is a partial or final invoice. Proof of payment and supporting documentation is not necessary if the governmental entity is reporting under the Single Audit Act.
(**Note:** The STP-DA and TAP programs are cost reimbursement programs with reimbursement on a quarterly basis. As per the North Carolina Board of Transportation's (NCBOT) Policy on Federally Funded Projects Selected by Entities Other than the NCBOT, the LGE is responsible for providing at least the 20% project matching funds to the STP-DA funds authorized and all costs greater than the authorized STP-DA funding. Additional funding can be authorized with the use of a supplemental agreement pending TAC approval.)
17. If the project is on the state maintained roadway system, preliminary designs will be submitted by the LGE for review and approval by NCDOT PM. Preliminary design plans are to show design, profiles, typical section, construction limits, drainage, and proposed ROW and /or easements. The project shall be designed in accordance with federal and State regulations as well as AASHTO standards. A plan showing utility conflicts shall also be included with the final plans.
18. NCDOT PM and PDEA approves the planning document.

19. The LGE obtains any required permits for the project and verifies to the NCDOT PM that all such required permits have been obtained and have not expired prior to project construction.
20. NCDOT authorizes ROW funding upon completion of the environmental document and receipt of a request for ROW funding in the listed dollar amount per the attached preliminary plans. The LGE is responsible for the acquisition of ROW or easements and such acquisition must be certified in accordance with the Federal Aid Policy Guide, Part 710. Certification of existing municipally owned ROW shall be in accordance with procedures governing the acquisition of ROW. ROW costs or utility relocation costs incurred prior to NCDOT authorization of ROW funding will not be reimbursed.
(**Note:** It is recommended that the LGE contact the Division ROW Agent prior to initiating any ROW acquisition to review the preliminary ROW plans and the required negotiation and relocation processes that must be followed and to determine if an encroachment agreement is necessary.)
21. The LGE shall accomplish or cause to be accomplished the relocation and/or adjustment of any and all publicly or privately owned utilities in conflict with the project.
22. Prior to the LGE advertising for construction bids, the LGE shall submit final plans, specifications, and contractor's estimates (PS&E package) for construction funding federal authorization. For projects on the state maintained roadway system, the PS&E package should include 3 sets of final plans/2 copies of contract proposals for NCDOT for review and approval prior to advertisement of the construction project.
23. The LGE shall advertise the project as per the FHWA regulations as contained in the Federal-Aid Policy Guide.
24. The LGE shall submit a bid tabulation with DBE goals stated (along with 2 copies of the construction contract for projects on the state maintained system) to the NCDOT PM prior to award of the construction contract by the LGE. The NCDOT PM will notify the LGE of FHWA and Departmental concurrence, thereby authorizing the LGE to proceed with the awarding of the construction contract.
25. The LGE will oversee and inspect the project construction. The Local DOT Division Office should also be consulted and will be responsible for performing the final project inspection. The LGE submits all construction invoices to the NCDOT PM for review and reimbursement subject to all conditions as contained within the project Agreement. The LGE must adhere to cost principles as contained in OMB Circular A-87, Administrative Requirements as contained in 49 CFR 18, and shall arrange for an independent audit in compliance with NCGS 159-34 and in accordance with OMB Circular A-128..

WSMPO Policies

1. A Project Screening Form must be COMPLETED and submitted along with other supporting documentation in order for a project to be evaluated (Attached).
(**Note:** The screening form will assist in identifying potential pitfalls such as utility and ROW conflicts.)
2. Programming STP-DA funds that have yet to be allocated to the MPO is prohibited.
(**Note:** Estimates of capital cost, ranging from detailed engineer's estimates to planning-level cost estimates, should be as refined as appropriate for the project's stage in the project development process. Cost estimates used to program or setting aside future funds will more than likely need to be revised in the future, resulting in the need for additional funds.)
3. Only Safety and STIP projects partially funded by the NCDOT may be brought to the attention of the TAC and considered for funding outside of the scheduled *Call for Projects*.
(**Note:** There is a limited amount of funds available for each *Call for Projects*. Consideration of any project that was not approved by the TAC during the Call for Projects reduces the contingency funds for the approved projects.)
4. During each call for projects 10% of the available STP-DA funds will serve as a contingency for the cumulative total of project costs approved. The TAC has the authority to grant additional STP-DA funds for projects upon request under reasonable circumstances.
(**Note:** Adhering to the budget established for a given Call for Projects ensures that subsequent Calls occur without delay. From 2009 to 2014 the average cost increase approved by the TAC was 73% above the original cost estimate.)
5. An executed Locally Administered Project Agreement with the State must be in place no later than nine (9) months after Programming in the STIP by the NC Board of Transportation. If a project fails to secure an executed agreement funding is revoked and the project must be resubmitted during the next call for projects.
(**Note:** Prompt project delivery has significant benefits: Reduces risk of funds subject to lapse; demonstrates that the MPO can spend its yearly allocation of funds; reduces the impact on the MPO subject to federal rescission.)
6. If an approved project is canceled, the associated STP-DA funds remaining revert back to the MPO's unobligated balance. If a Municipality decides to cancel a Project without the concurrence of the NCDOT, the Municipality shall reimburse the NCDOT one hundred percent (100%) of all costs expended by the NCDOT associated with the Project.

7. Once a project is approved for funding, scope changes that result in a category shift are prohibited. For example, a sidewalk project's scope can't be modified to include a lane widening.
(**Note:** Project categories are identified prior to each *Call for Projects*. Typical categories: Intersection Improvements, Small Roadway Improvements, and Bicycle and Pedestrian Improvements. Projects are ranked per category and funding is awarded to select projects in each category. Scope modification often result in the need for additional STP-DA funds.)

8. Once a project is approved for funding, scope changes that deviate from the location of the approved project are prohibited. For example, an intersection improvement project at location A cannot become an intersection improvement project at location B.
(**Note:** Each project is evaluated based on the parameters submitted during the Call for Projects. Changing a project's location introduces new variables that must be evaluated before an award of funding.)

STP-DA/TAP Programming Schedule

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|----|--|--------------------------|
| 1 | Available STP-DA and TAP funds Identified | November, 2017 |
| 2 | MPO staff develops a Draft Fiscal Year Program | November, 2017 |
| 3 | Federal Funding Workshop | November 27, 2017 |
| 4 | Biennial Call for Projects | January 2, 2018 |
| 5 | Project Selection Committees | February, 2018 |
| 6 | TAC Review | March 15, 2018 |
| 7 | TAC Action | May 17, 2018 |
| 8 | STIP Programing | July, 2018 |
| 9 | Project Implementation | August, 2018 |
| 10 | Project Agreement Deadline | March, 2019 |
| 11 | Available STP-DA and TAP funds Identified | October, 2019 |
| 12 | MPO staff develops a Draft Fiscal Year Program | October, 2019 |
| 13 | Federal Funding Workshop | November, 2019 |
| 14 | Biennial Call for Projects | January, 2020 |
| 15 | Project Selection Committees | February, 2020 |
| 16 | TAC Review | March, 2020 |
| 17 | TAC Action | May, 2020 |
| 18 | STIP Programing | July, 2020 |
| 19 | Project Implementation | August, 2020 |
| 20 | Project Agreement Deadline | March, 2020 |

TAC Meeting Information

The Transportation Advisory Committee (TAC) and Technical Coordinating Committee (TCC) meet bimonthly on the third Thursday or on an as-needed basis. Action items are presented as information prior to taking action, spanning two (2) meetings.

North Carolina Board of Transportation Information

The board meets monthly in Raleigh, typically the first Thursday of each month, with subcommittee meetings held the first Wednesday. Action items are presented as a handout prior to taking action, spanning two (2) meetings.

**The WSMPO Federally Funded Projects Process was approved by the
WSMPO Transportation Advisory Committee (TAC) on March 19, 2015.**

Comments or Questions

Comments or Questions Please Contact: Kelly Garvin

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