



Literature Review

Local Public Agency Programs: State of the Practice Research in the Development of LPA Program Stewardship and Oversight Strategies

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Contents

| | |
|--|----|
| Acronyms and Abbreviations | 2 |
| Executive Summary | 3 |
| 1. Regulatory Information | 5 |
| 2. Resources from Federal Government Sources... | 7 |
| 2.1 Policies, Guidance, and Manuals | 7 |
| 2.2 Reports | 9 |
| 2.3 Training | 13 |
| 2.4 Internet Resources | 17 |
| 2.5 Presentations | 18 |
| 3. State-Specific Resources on LPA Stewardship and Oversight | 19 |
| 3.1 Policies, Manuals, and Guides | 19 |
| 3.2 Templates, Checklists, and Other Resources | 28 |
| 3.4 Reports and Process Reviews | 31 |
| 3.5 Training | 32 |
| 4. Resources from Non-Governmental Sources | 33 |



Acronyms and Abbreviations

| | |
|---------|--|
| AASHTO | American Association of State Highway and Transportation Officials |
| CFR | Code of Federal Regulations |
| DOT | Department of Transportation |
| FHWA | Federal Highway Administration |
| HEPR | Office of Real Estate Services |
| LPA | Local Public Agency |
| LTAP | Local Technical Assistance Program |
| MAP-21 | Moving Ahead for Progress in the 21 st Century |
| NCHRP | National Cooperative Highway Research Program |
| NHI | National Highway Institute |
| OIG | Office of Inspector General |
| OPCD | Office of Professional and Corporate Development |
| ROW | Right-of-way |
| STA | State transportation agency |
| Toolkit | Local Public Agency Stewardship and Oversight Toolkit |
| TTAP | Tribal Technical Assistance Program |
| USC | United States Code |

Executive Summary

Federal Highway Administration (FHWA)'s Office of Real Estate Services (HEPR) is developing an LPA Stewardship and Oversight Toolkit (Toolkit) that will contain information on effective LPA oversight practices and techniques in the realty program area. The Toolkit is intended to assist State Department of Transportation (DOT) and LPA practitioners in meeting their Right of Way (ROW) responsibilities and addressing the challenges they face within the Federal-Aid program.

The literature review and annotated bibliography presented here serves as a foundation for the Toolkit. It builds upon the information identified in the 2011 National Cooperative Highway Research Program synthesis report "Effective Delivery of Small-Scale Federal-Aid Projects,"¹ organizing resources pertaining to LPA realty oversight that are currently available. The bibliography includes source and summary information for relevant statutory, regulatory, and guidance materials; research reports; and training courses, such as HEPR's "Introduction to Federal-Aid ROW Requirements for LPAs" which debuted in 2010 and has been consistently offered since. Information on other tools including presentations, checklists, templates, and descriptions of different approaches to LPA certification and qualification are also provided in the bibliography. Currently, most available resources related to LPA oversight describe:

- **Recommendations to improve LPA oversight.** Resources in this category include reports and best practice case studies that analyze and make general recommendations on how FHWA and State DOTs can improve their oversight of LPA programs. Most of these resources can be found in Section 2 of this report, "Resources from Federal Government Sources."
- **State-specific LPA oversight practices and policies.** These resources typically consist of oversight-related agreements and manuals or guidance documents that designate various States' oversight responsibilities and processes. This group of resources also includes the tools provided by the Local Technical Assistance Program (LTAP) and Tribal Technical Assistance Program (TTAP). The LTAP/TTAP programs consists of a network of centers – one in every state, Puerto Rico and regional Centers serving tribal governments – that enable LPAs to improve

¹ The report is available at http://onlinepubs.trb.org/onlinepubs/nchrp/nchrp_syn_414.pdf.

their roads and bridges by supplying them with a variety of training programs, an information clearinghouse, new and existing technology updates, personalized technical assistance and newsletters. The majority of resources available to LPAs fall into this category; they can found in Section 3, “State-specific Resources on LPA Stewardship and Oversight.”

- **Templates, checklists, and certification procedures.** Both FHWA and State DOTs provide a variety of resources that are intended to provide guidance to LPAs on how to better develop, implement, and manage Federal-Aid projects. The templates, checklists, and certification procedure examples included in this literature review were developed to help increase LPAs’ capacity to successfully carry out Federal-Aid projects. Wisconsin DOT, for example, offers LPAs a basic ROW acquisitions policy checklist; an appraiser function checklist; a guide for preparing appraisals; a nominal parcel report; and a waiver appraisal template form. These resources can be found in this report’s Section 3.2, “Templates, Checklists, and Other Resources.”

1. Regulatory Information

As specified in 23 CFR 630.112(a), when a state transportation agency (STA) signs a project agreement the STA agrees to comply with the applicable terms and conditions in title 23, U.S.C., the regulations issued pursuant thereto, FHWA policies and procedures relative to the designated project covered by the agreement, and all other applicable Federal laws and regulations. The following section provides contextual legislative and regulatory information key to the administration of LPA programs.

23 USC 106 – Project Approval and Oversight

Each FHWA Division Office is responsible for monitoring the effective and efficient use of funds authorized to carry out Title 23 and is required by law to periodically review the monitoring of sub-recipients by State transportation agencies. Section 106 of Title 23, Project Approval and Oversight, requires an agreement between the Secretary of Transportation and the State relating to the extent to which the State assumes FHWA responsibilities for projects under Title 23 for project development (plans, specifications and estimates), contract awards, and inspections/final acceptance of Federal-aid highway projects.

Some states have either developed or are in the process of developing a stewardship/oversight agreement that describes how the State will monitor projects carried out by another agency (e.g., LPA). A periodic review that examines whether the State DOT is adequately monitoring locally administered projects shall be conducted in accordance with 23 U.S.C. 106(g)(4)(B).

49 CFR 18 – Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments

49 CFR 18 is known as “the Common Grant Rule.” This part establishes uniform administrative rules for Federal grants and cooperative agreements and sub-awards to State, local, and Indian tribal governments, ensuring that they are adequately staffed and suitably equipped to undertake the Federal-aid projects; to provide the supervision and inspection required to complete each project in conformance with the approved plans and specifications; and to ensure that all federal requirements

are met. If the situation warrants, an LPA or State DOT can be declared “high risk” under the authority of 49 CFR. 18.12.

Public Law 91-646, the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended (Uniform Act)

The Uniform Act is the primary legislation for land acquisition and relocation activities on Federal or federally assisted projects and programs. The Act, via its statute (42 United States Code (USC) 61) and implementing regulations (49 CFR 24), provide the basic requirements for projects using Federal funding where real property is acquired or persons are displaced as a result of acquisition, demolition, or rehabilitation. In some cases, Federal-aid projects that LPAs undertake require the acquisition of real property. When this happens, LPAs must ensure the accurate implementation and administration of the requirements of the Uniform Act.

23 CFR 710 – Right-of-Way and Real Estate

Agencies receiving funds from the FHWA, directly or through a State DOT, are subject to the regulations found in 23 CFR, "Highways." These regulations are found at various locations in 23 CFR, primarily in Part 710, *Right-of-Way and Real Estate*. These regulations address highway-related issues not covered by the Uniform Act. In particular, 23 CFR 710.201(c) requires the State DOT to have a ROW operations manual that the FHWA Division Office has approved. The State DOT is responsible for establishing the appraisal, acquisition, and relocation program requirements and procedures for Federal-aid transportation projects in its state. An LPA has the option of accepting the State DOT's procedures or submitting its own to the State DOT for approval, if it wishes to deviate from the state's FHWA-approved manual.

Moving Ahead for Progress in the 21st Century (MAP-21)

The MAP-21 legislation revised Stewardship/Oversight requirements for Federal-Aid programs implemented by States and LPAs, which FHWA clarified in questions and answers.² Section 1503 of MAP-21 expanded States' oversight responsibilities to include reconstruction projects along the Interstates in excess of \$1M, in addition to those along the National Highway System, but prohibited FHWA Division Offices to transfer to States oversight for high-risk projects.

² FHWA Stewardship and Oversight Questions and Answers are available at www.fhwa.dot.gov/map21/qandas/qastewardship.cfm.

2. Resources from Federal Government Sources

Various Federal agencies have taken active roles in improving both the capacity of LPAs to undertake Federal-aid projects and of State DOTs to oversee LPA actions on these projects. This section catalogs resources related to LPA oversight that the Federal government has produced. Where relevant, a synopsis of major conclusions is provided.

Note: Except where otherwise noted, all resources from here forward are presented in reverse chronological order beginning with the most recent.

2.1 Policies, Guidance, and Manuals

| Discussion of Office of Inspector General (OIG) Recommendations on Transactions with High Levels of Noncompliance | |
|--|--|
| Author(s) | David Nicol, FHWA Office of Program Administration |
| Date | February 13, 2012 |
| Source | |
| Web link | www.fhwa.dot.gov/federalaid/lpa/120213.pdf |
| <p>Purpose: To provide guidance to divisions on project activities the OIG determined to have a high incidence of noncompliance</p> <p>Abstract: This memorandum provides guidance to Division Offices on project activities the OIG determined to have a high incidence of noncompliance, including change orders and claims, project bidding/contractor selection/unbalanced bid analysis, utility agreements and reimbursements, consultant selection and billings, construction pay quantities and progress payments, project reporting and tracking, and quality assurance procedures. FHWA encouraged State DOTs to review their stewardship programs and to include the memo's suggested activities and reviews as needed to ensure compliance with requirements in the cited areas.</p> <p>Synopsis of Major Conclusions: FHWA recommended that Division Offices should, among other actions:</p> <ul style="list-style-type: none"> • Work with their State DOT to agree on a method and the level of detail required for conducting cost analyses for negotiated contract changes. • Ensure that State DOT LPA program guidance requires a cost analysis for each negotiated contract change for LPA projects on the NHS. • Encourage their State DOT to adopt procedures comparable to those in 23 CFR 635.120(e) for projects off the NHS to maintain a uniform change order process. • Ensure that State LPA program guidance has bid analysis procedures that apply to LPA projects. • Ensure that State LPA program guidance includes requirements for LPAs to document that they have reviewed utility invoices to ensure reasonableness. • Ensure that State LPA program guidance includes requirements to document within project diaries that the required utility work was performed and determined to be acceptable. | |

| Federal-Aid Highway Program Stewardship and Oversight Agreement Guidance | |
|---|--|
| Author(s) | FHWA |
| Date | March 2014 |
| Source | |
| Web link | www.fhwa.dot.gov/federalaid/stewardship/140328_so.pdf |
| <p>Purpose: This guidance provides information the FHWA Division Offices and State DOTs need to develop implementing Stewardship & Oversight Agreements tailored to the needs of each State and consistent with Federal requirements.</p> <p>Abstract: The Federal-aid Highway Program (FAHP) is a federally-assisted program of State-selected projects. The Federal Highway Administration (FHWA) and the State Departments of Transportation (State DOTs) have long worked as partners to deliver the FAHP in accordance with Federal requirements. In enacting Title 23, United States Code (U.S.C.), Section 106(c), as amended, Congress recognized the benefit of giving the State DOTs more authority to carry out project responsibilities traditionally handled by FHWA. Congress also recognized the importance of a risk-based approach to FHWA oversight of the FAHP, establishing requirements in Section 106(g) of Title 23, United States Code (Section 106). This “Stewardship and Oversight Agreement Guidance: Documenting State Assumption of Federal-aid Project Oversight and FHWA Program Oversight Measures” (S & O Agreement Guidance) provides the information the FHWA Division Offices and State DOTs need to develop implementing S&O Agreements tailored to the needs of each State and consistent with Federal requirements.</p> | |

| Real Estate Acquisition Guide for Local Public Agencies | |
|---|--|
| Author(s) | FHWA |
| Date | 2009 |
| Source | |
| Web link | www.fhwa.dot.gov/real_estate/practitioners/uniform_act/program_administration/lpa_guide/index.cfm |
| <p>Purpose: To serve as a basic reference for LPAs and others who receive Federal-aid highway funds for projects involving the acquisition of real property</p> <p>Abstract: FHWA’s Real Estate Acquisition Guide for LPAs provides a compendium of the federal laws and regulations, explains how the laws and regulations work, and charts the real estate acquisition process as an integral part of the overall project development process. It is intended to serve as a basic reference for LPAs and others who receive Federal-aid highway funds for projects involving the acquisition of real property. In addition to making the guide available online, to date, the FHWA has distributed a significant number of copies of the guide to the FHWA Division offices, conference attendees, State DOTs, Federal Transit Administration and Federal Aviation Administration offices, and to other stakeholders.</p> | |

2.2 Reports

| FHWA's Oversight of Federal-Aid and Recovery Act Projects Administered by Local Public Agencies Needs Strengthening | |
|--|--|
| Author(s) | Office of Inspector General |
| Date | July 15, 2011 |
| Source | Project ID: MH-2011-146 |
| Web link | www.oig.dot.gov/library-item/5596 |
| <p>Purpose: To assess (1) the extent of LPA compliance with Federal requirements and (2) the effectiveness of FHWA's actions in ensuring that states have adequate LPA oversight programs.</p> <p>Abstract: In 2011, as part of FHWA's oversight of American Recovery and Reinvestment Act projects, the U.S. DOT's OIG initiated an audit to determine whether FHWA had taken actions to reduce risks identified with locally administered highway projects. Results suggested that FHWA faces a significant challenge in ensuring LPAs are appropriately expending Federal funds. This report details those challenges and makes four recommendations to improve the effectiveness of FHWA's LPA oversight, each of which FHWA concurred.</p> <p>Synopsis of Major Conclusions: The OIG found at least one instance of noncompliance with Federal requirements in 88 percent of the 59 LPA projects reviewed in four states and identified \$5 million in unsupported costs. Most prevalent were shortcomings related to construction management requirements. To strengthen oversight of LPA projects, OIG recommended that FHWA:</p> <ul style="list-style-type: none"> • Implement a policy establishing uniform procedures and criteria for Division Offices to use when assessing the ability of states to ensure LPAs meet Federal requirements. • Develop a Headquarters process to assess the effectiveness of Division Office and State LPA corrective action plans to ensure deficiencies are promptly resolved. • Develop a Division Office-based plan that will increase state oversight in the seven project activities in which a high level of noncompliance with Federal requirements. • Assess the project transactions related to the \$5 million in unsupported project costs we identified in California and Texas and review similar transactions within these projects for unsupported costs. | |

| Legal and Regulatory Provisions Related to Oversight of Subrecipients of Federal-aid Funds | |
|--|---|
| Author(s) | FHWA |
| Date | 2007 |
| Source | |
| Web link | http://narc.org/uploads/File/LPA%20Program%20Memo%20Information%20-%20background%201.pdf |
| <p>Purpose: To list the regulatory provisions related to the oversight of LPAs and other subgrantees</p> <p>Abstract: This document summarizes the legislative and regulatory basis for the responsibilities State DOTs have in overseeing sub-recipients of Federal-aid funds (e.g., local governments, MPOs, universities, non-profit entities). The white paper asserts that the State DOT should determine the type and extent of reviews or other oversight activities conducted based upon the complexity or uniqueness of the project, the experience of the subgrantee's staff, subgrantee performance on previous projects, and other risk factors the State deems appropriate.</p> | |

| The Administration of Federal-aid Projects by LPAs: National Review | |
|--|-------------|
| Author(s) | FHWA |
| Date | 2006 |
| Source | |

| | |
|---|--|
| Web link | www.oregon.gov/ODOT/CS/OPO/docs/aepage/federal_aid_projects_local_public_agencies.pdf |
| Purpose: To assess the administration, stewardship, and oversight of Federal-aid projects administered by LPAs | |
| Abstract: In December 2005, the Office of Professional and Corporate Development (OPCD) asked the FHWA Division Offices and other units of FHWA to rank the FHWA programs that warranted review at the national level. The result was that the administration of Federal-aid projects by LPAs ranked as the highest interest by a considerable margin, most likely due to the perceived risk in this area. This concern led the OPCD to designate the administration of Federal-aid projects by LPAs as the first area to be addressed under the national review program. As a result, an LPA review team was formed to conduct a national review of the LPA Program in February of 2006. The outcomes of the review team's efforts are documented in this report. | |
| Synopsis of Major Conclusions: One of the most common findings was that the LPAs lacked knowledge of the processes and procedures for establishing and administering Federal-aid projects, as well as the Federal and state requirements that need to be met in order to secure and maintain federal funding. The team also suggested that the LPA administration of Federal-aid projects appeared to lack a systematic or comprehensive oversight approach. | |

| Domestic Scan on Right-of-Way Oversight of Local Public Agencies, Dearborn, Michigan | |
|--|--|
| Author(s) | FHWA |
| Date | 2005 |
| Source | Office of Real Estate Services |
| Web link | www.fhwa.dot.gov/real_estate/practitioners/right-of-way/program_administration/scans/dearfreport.cfm |
| Purpose: To foster peer-to-peer interactions and to share experiences and best practices among State DOT officials in the area of ROW oversight. | |
| Abstract: HEPR held a domestic scan on ROW oversight of LPAs on September 14—15, 2005, in Dearborn, Michigan. The scan allowed FHWA the opportunity to learn how it can assist state ROW staffs in their efforts to ensure that the Federal ROW program is administered in an efficient and effective manner and in accordance with relevant regulations and guidelines. Scan participants included 29 officials from 12 State DOTs and the FHWA. Specific topics addressed included how State DOT real estate staffs train their counterparts in LPAs, how they determine whether LPAs are qualified to perform ROW work, and how they assist smaller or more rural LPAs in complying with Federal and state laws and regulations. | |
| Synopsis of Major Conclusions: Scan participants identified numerous ways in which they fulfill their stewardship and oversight responsibilities, including: | |
| <ul style="list-style-type: none"> • Conducting formal and/or informal training for LPA staff • Monitoring and conducting reviews during the project process • Providing technical advice and guidance through regional office staff • Communicating and maintaining contact with LPAs • Coordinating with LPAs early in the project process • Conducting final reviews prior to certification • Auditing completed projects and providing feedback • Providing resources to LPAs, including manuals and forms • Performing work for or loaning staff to LPAs • Entering into project agreements with LPAs • Employing consultants to assist with oversight • Providing contracting services to LPAs | |

- Certifying qualified LPA staff and/or consultants

Scan participants overwhelmingly stated that the Scan met their expectations and that the objectives of the Scan were met. Moreover, numerous participants indicated that they planned to take new ideas back to their states and to implement some of the best practices discussed during the Scan.

Quality Improvement Process Review: Local Public Agency Right of Way Operations

Author(s) Dave Leighow (FHWA), Tim Haugh (FHWA), and Galen Wright (WSDOT)

Date June 2002

Source FHWA and Washington State DOT

Web link www.fhwa.dot.gov/wadiv/row/02lparev.cfm

Purpose: To evaluate the effectiveness of local public agency right-of-way program implementation of the requirements of the Uniform Relocation Act in Washington and to identify and share best practices.

Abstract: The scope of the review consisted of five LPAs-Pierce County, City of Everett, City of Spokane, Spokane County, and Yakima County. The joint FHWA/WSDOT review team interviewed local agency staffs and performed a sample review of selected projects and parcels. Entrance and exit interviews were conducted at all review sites. Upon completion of the interviews and file reviews, the team conducted an exit meeting with the local agency real estate staff. The team reviewed preliminary findings and informed the staff of any items of concern which were noted along with opportunities for improvements and identified best practices. The team committed to provide a formal written follow-up to the local agency staff detailing its findings and recommendations

Synopsis of Major Conclusions: Based on the findings of this review, the Team offers several recommendations to further enhance the local agencies' capabilities in managing and implementing their right-of-way programs, including:

- WSDOT and FHWA should work together to develop both a curriculum and a schedule of courses that will be available to local agencies on a continuing basis.
- The LAG Manual should be reviewed and revisions made which will better enable local agencies to comply with Uniform Act requirements while recognizing their unique needs and structures.
- The T2 center at WSDOT should be utilized to assist in distributing current information to local agencies about training opportunities and other essential information
- The Office of Real Estate Services should ensure that the Region local coordinators are notified on a timely basis of training, conferences, workshops, and revisions of forms and procedures, and that the Region local coordinators make timely distribution of this information to the local agencies within their Regions.
- Joint reviews should be made a routine function of the FHWA-WSDOT Stewardship Agreement and resulting reports from the reviews be distributed to all local agencies.
- The WA Division Office should consider adding a "case studies" feature to its website and use this as one means of communicating to locals how different procedures and practices are applied to "real world" situations.

Right-of-Way Local Public Agency Program

Author(s) Deborah Peters, Quality Environmental Professionals, Incorporated

Date May 31, 2000

Source Prepared for FHWA Office of Real Estate Services

Web link www.fhwa.dot.gov/real_estate/practitioners/right-of-way/research/lpabest/index.cfm

Purpose: To understand how WSDOT and its Local Public Agencies (local agencies) developed a mutually beneficial working relationship that resulted in maximizing Federal funds.

Abstract: This research report examines ROW management practices of the Washington State DOT (WSDOT) in assisting LPAs. The study summarizes key elements and benefits of the quality management

models WSDOT uses to implement its ROW program among its LPAs. It provides other agencies with best practice methodology, identifying four specific areas that States could evaluate as opportunities for improvement: (1) funding for a local agency coordinator position; (2) development of regional business scheduling plans; (3) development of customer surveys; and, (4) development of performance indicators for feedback.

Synopsis of Major Conclusions: The sharing of ROW process knowledge between WSDOT and its local agencies provides all involved with an understanding of each organization’s prime directives. WSDOT and its local agencies have shared visions and goals, and therefore established relationships based on mutual understanding, respect, and trust while maximizing federal-aid.

Good Practices for the Oversight of Federal-Aid Projects Administered by LPAs

| | |
|------------------|--|
| Author(s) | Local Technical Assistance Program |
| Date | |
| Source | |
| Web link | www.ltap.org/resources/lpa/downloads/LPAGoodPractices.pdf |

Purpose: To provide effective practices in defining the roles and responsibilities of FHWA, the state transportation agency, and the LPA in administering Federal-aid projects consistent with current statutory and regulatory authority

Abstract: As the recipient (grantee) of Federal-aid funds for the state, the State Transportation Agency (STA) is responsible for ensuring that all Federal-aid funds are expended in accordance with applicable laws and regulations. The STA is not relieved of this responsibility in cases where the funds are passed through to another State agency, local government agency, MPO, State university, or non-profit entity (where such entity is an eligible sub-recipient under State law). This paper provides good practices in defining the roles and responsibilities of FHWA, the STA and the Local Public Agency (LPA) in administering Federal-aid projects consistent with current statutory and regulatory authority.

Synopsis of Major Conclusions: Appropriate State transportation agency (STA) staffing is important to ensure that satisfactory project delivery systems and sufficient accounting controls are in place to properly manage federal funds for LPA-administered projects and to accomplish its stewardship responsibilities imposed by 23 U.S.C. 106 (g)(4)(A). Good practices include demonstrating a commitment to adequate staffing, a State monitoring program which may be described in the STA/FHWA Stewardship Agreement or in a separate document and a description of the staffing dedicated to monitoring subrecipients of Federal funds including such specifics as the number, location, titles, and duties of the State staff devoted to the various program elements discussed in this document.

2.3 Training

In 2004, the FHWA began offering a series of LPA training workshops through the National Highway Institute (NHI) to ensure that LPA officials understood the basic statutory and regulatory requirements that apply when acquiring real estate for Federal-aid projects. The LPA Workshop materials were designed to facilitate DOT personnel in leading sessions to train LPA officials and others. Over time, these training offerings have evolved to ensure that they continue to adequately address LPA training needs. The current NHI training courses are sometimes supplemented by FHWA and LTAP field trainings, often via webinar and/or web-based/on-line packages to reduce the cost to the States and LPAs. This section reviews the training opportunities regarding LPA oversight of realty programs that are available at present.

| Right-of-Way Procedures, Tools, and Techniques, Part 1 and Part 2 | |
|--|---|
| Author(s) | FHWA |
| Frequency | Held on July 9, 2013 and October 23, 2013 |
| Source | Office of Real Estate Services |
| Web link | https://connectdot.connectsolutions.com/p3ua4xqrndt/ https://connectdot.connectsolutions.com/p3g3pgtjttm/ Case Study: Advance Acquisition Program for the Pyramid/McCarran Intersection Improvement Project |
| Abstract: On July 9, 2013, FHWA held a national webinar on integrating ROW procedures into the project development process. Learning outcomes included (1) understanding the project development procedure for ROW projects; (2) understanding the relationship between other program areas and ROW; and (3) stating the requirements of a ROW Certification Statement. | |
| On October 23, 2013, FHWA held a national webinar on integrating acquisition ROW procedures into the project development process. Learning outcomes included (1) understanding the Acquisition and Negotiation Phase of the ROW process ; (2) understanding other alternative means to acquire property; and (3) understanding the concept of Early Acquisition and the LPAs with additional information presented through a Case Study. | |

| Real Estate Acquisition under the Uniform Act: An Overview, Web-based | |
|--|--|
| Author(s) | National Highway Institute |
| Frequency | Self-directed |
| Source | FHWA-NHI-141045 |
| Web link | www.nhi.fhwa.dot.gov/training/course_search.aspx?sf=0&course_no=141045 |
| Abstract: This self-paced training provides an overview of the Uniform Act's three key elements: valuation, acquisition, and relocation. It underscores the importance of following Uniform Act requirements when acquiring property for a Federally-funded transportation project. Participants can take this course before attending the instructor-led session. Upon completion of the course, participants will be able to: <ul style="list-style-type: none"> • Provide an overview of the Uniform Act • Discuss the three key elements of the Uniform Act: valuation/appraisal, acquisition, and relocation • Explain how to develop an estimate of just compensation using the appraisal process or appraisal waiver procedure(s) • Identify relocation benefits and services required by the Uniform Act • List places to obtain relevant resource documents and materials Length: 6 hours Cost: Free | |

| Advanced Relocation under the Uniform Act | |
|---|--|
| Author(s) | National Highway Institute |
| Frequency | Variable throughout the year |
| Source | FHWA-NHI-141030 |
| Web link | www.nhi.fhwa.dot.gov/training/course_search.aspx?tab=0&key=141030&course_no=141030&res=1 |
| <p>Abstract: This training goes beyond the basic functional areas of relocation assistance and concentrates on areas of specific concern, such as mortgage differential payments, settlement costs, and partial acquisitions. Other topics, including comparability, last resort housing, multiple use, tenants, and nonresidential moves -- including businesses, are also covered. The training is designed to allow flexibility in adjusting course materials to meet the needs of the requesting agency. Prerequisites: Completion of FHWA-NHI-141029 Basic Relocation and the Web-based training FHWA-NHI-141045 Real Estate Acquisition Under the Uniform Act: An Overview or approximately one year of experience working in the relocation program. Upon completion of the course, participants will be able to:</p> <ul style="list-style-type: none"> • Explain the principles that govern relocation provisions of the Uniform Relocation and Real Property Acquisition Policies Act of 1970 (Uniform Act) and implementing regulations • Describe at least three factors involved in difficult relocation subject areas • Describe issues that may arise when developing advisory assistance plans for difficult relocation areas • Determine eligibility for certain relocation payments in difficult relocation cases • Determine challenging issues when calculating complex nonresidential moving costs • Calculate complex nonresidential moving costs <p>Length: 3 days Cost: \$500/participant</p> | |

| Local Public Agency Real Estate Acquisition, Web-based | |
|---|--|
| Author(s) | National Highway Institute |
| Frequency | Self-directed |
| Source | FHWA-NHI-141047 |
| Web link | www.nhi.fhwa.dot.gov/training/course_search.aspx?tab=0&key=141047&res=1#course_search.aspx?tab=0&key=141047&sf=0&course_no=141047 |
| <p>Abstract: This training is designed for those who are unfamiliar with Federal requirements when acquiring real property for Federally-assisted transportation projects. This training provides participants with a working knowledge of these Federal requirements when acquiring real property, including relocation guidance related to individuals and businesses. Comprised of seven distinct learning modules, this self-paced, web-based training provides an overview on real estate acquisition authority, the Uniform Act, and related regulations. Additional modules include project development and administrative matters; valuation; acquisition and negotiation; relocation; and property management. This training also includes case studies, important resources, and suggestions for other companion courses.</p> <p>Length: 6 hours Cost: Free</p> | |

| Introduction to Federal-aid Right-of-Way Requirements for Local Public Agencies | |
|---|--|
| Author(s) | National Highway Institute |
| Frequency | Variable throughout the year |
| Source | FHWA-NHI-141050 |
| Web link | www.nhi.fhwa.dot.gov/training/course_search.aspx?tab=0&key=141050&res=1#course_search.aspx?tab=0&key=141050&sf=0&course_no=141050 |
| <p>Abstract: This course is designed to provide participants with a working knowledge of Federal requirements and procedures for acquiring property for federally assisted transportation projects. The course is hands-on</p> | |

and highly interactive. Course instructors present case studies of agencies acquiring real properties and encourage participants to comment and share ideas relative to the acquisition, valuation, and relocation processes. Additionally, the instructors facilitate role-playing exercises to demonstrate real-life interactions between landowners and LPAs.

Participants learn how to explain the legal basis for land acquisition by a governmental entity, assess the impact of a roadway project as it relates to the Uniform Act, sequence the ROW process within the overall project development process, and determine the appropriate valuation process for ROW acquisition. They also learn how to apply the Uniform Act requirements for ROW acquisition and relocation assistance, and determine their agency's responsibilities for managing real property. The course is relevant for LPAs and those individuals responsible for overseeing LPAs' Federal-aid projects. However, the course content also is appropriate for any Federal, State, and local personnel responsible for acquiring ROW for transportation projects using Federal funds.

Length: 2 days

Cost: \$400/participant

Certificate of Accomplishment: Relocation Under the Uniform Act

| | |
|------------------|--|
| Author(s) | National Highway Institute |
| Frequency | Began September 26, 2006 |
| Source | N/A |
| Web link | www.nhi.fhwa.dot.gov/downloads/other/certif_relocation.pdf |

Abstract: In 2006, NHI launched a Certificate of Accomplishment Program, which recognizes individuals who have successfully completed and achieved passing grades in selected groupings of related NHI course offerings. The Certificate Program features suites of complementary NHI courses bundled together to enable participants to enhance their depth and breadth of knowledge and expertise in specific disciplines or topic areas. The Certificate of Accomplishment in Relocation under the Uniform Act features three NHI courses (FHWA-NHI-141029—Basic Relocation under the Uniform Act; FHWA-NHI-141030—Advanced Relocation under the Uniform Act; FHWA-NHI-141031—Business Relocation under the Uniform Act) and is targeted at transportation and relocation professionals from FHWA and other Federal agencies, State DOTs, MPOs, local governments, and the private sector who work with or are interested in relocation issues.

Local Technical Assistance (LTAP)/Tribal Technical Assistance Program (TTAP) Resources Database

| | |
|------------------|--|
| Author(s) | LTAP/TTAP |
| Date | N/A |
| Source | Sponsored by FHWA |
| Web link | www.ltap.org/resources/searchresults.php |

Abstract: The LTAP/TTAP is composed of a network of 58 Centers – one in every state, Puerto Rico and regional Centers serving tribal governments. The centers enable local counties, parishes, townships, cities and towns to improve their roads and bridges by supplying them with a variety of training programs, an information clearinghouse, new and existing technology updates, personalized technical assistance and newsletters. Through these core services, Centers provide access to training and information, on topics such as LPA right-of-way administration, which may not otherwise be accessible. The LTAP/TTAP resources database allows users to search and view information on all upcoming LTAP/TTAP courses and conferences.

Federal Aid Requirements and LPA Stewardship

| | |
|------------------|---|
| Author(s) | Rutgers Center for Advanced Infrastructure and Transportation |
| Frequency | November 5, 2013 |
| Source | Rutgers University; NJ LTAP |
| Web link | http://cait.rutgers.edu/cait/fed-aid-lpa |

Abstract: This training course reviewed the cradle to grave process of Federal-aid programs, from planning and project concept, plans, specifications, estimates and bidding, and construction. The intent of this course is was to assist local agencies with proper Federal-aid compliance.

Length: 1 day

Cost: Free

2.4 Internet Resources

| Federal Aid Essentials for LPAs | |
|---|--|
| Author(s) | FHWA |
| Date | N/A |
| Source | FHWA Office of Technical Services |
| Web link | www.fhwa.dot.gov/federal-aidessentials/# |
| <p>Abstract: FHWA’s Federal-aid Essentials of LPAs website offers information about key aspects of the Federal-aid program on a single public website in order to help LPAs meet their Federal-aid requirements. The website features a resource library of more than 80 videos and related materials. The short videos focus on a single topic in the most critical areas of Federal-aid, including ROW, and are narrated in non-technical language. The website also offers visitors numerous companion materials, including a written, printable script of each video, information on applicable regulations, helpful references, and links to additional online resources.</p> | |

| Office of Real Estate Services Website | |
|--|--|
| Author(s) | FHWA |
| Date | N/A |
| Source | FHWA Office of Real Estate Services |
| Web link | www.fhwa.dot.gov/real_estate |
| <p>Abstract: The website for FHWA’s Office of Real Estate Services is a resource on FHWA programs and activities for property owners and occupants, transportation improvement program professionals, and highway ROW and other public acquisition program professionals.</p> | |

| Every Day Counts Website | |
|--|--|
| Author(s) | FHWA |
| Date | N/A |
| Source | N/A |
| Web link | www.fhwa.dot.gov/everydaycounts/# |
| <p>Abstract: FHWA’s Every Day Counts (EDC) initiative is designed to identify and deploy innovation aimed at reducing the time it takes to deliver highway projects, enhance safety, and protect the environment. The EDC website supplements the initiative by serving as a clearinghouse for effective practices in streamlining project delivery. Two resources on the EDC website that are specific to the administration of LPA programs are:</p> <ul style="list-style-type: none"> <p>LPA Resources Webpage. The LPA EDC2 page describes FHWA’s three-pronged strategy to aid LPAs through the complexities of the Federal-aid Highway Program’s requirements and processes. www.fhwa.dot.gov/everydaycounts/edctwo/2012/local.cfm. This information is also available in printable factsheet format at www.fhwa.dot.gov/everydaycounts/edctwo/2012/pdfs/edc_la.pdf.</p> | |

2.5 Presentations

| Stewardship and Oversight of LPAs | |
|--|---|
| Author(s) | FHWA |
| Date | 2011 |
| Source | FHWA Office of Real Estate Services |
| Web link | http://fhwa.adobeconnect.com/p1196bqvl8l/ |
| Abstract: The “Stewardship and Oversight of LPAs” presentation, which FHWA’s Carolyn James gave on May 24, 2011, focuses on the background that led to an elevated interest at FHWA in LPA administered Federal-aid projects. Information on how practitioners can develop a common understanding of the issues and concerns pertaining to LPAs and the Federal-aid Highway Program is offered, as well as relative initiatives and interest groups regarding the oversight of LPA administered projects. | |

| The Administration of Federal-aid Projects by Local Public Agencies | |
|---|--------------------------------|
| Author(s) | FHWA |
| Date | June 6, 2008 |
| Source | FHWA |
| Web link | Available upon request. |
| Abstract: This presentation, which was made by FHWA's Mike Morrow at an LPA certification workshop in Portland, OR, describes Federal requirements applicable to LPA oversight, details of FHWA's National Review of locally administered projects, and recommendations for assessing the effectiveness of existing LPA oversight practices. | |

3. State-Specific Resources on LPA Stewardship and Oversight

Many State DOTs have programs for providing realty assistance and guidance to LPAs. Their coordination with LPAs is designed to assist LPAs in complying with Federal and state requirements. Some of the methods used include:

- Designating an LPA real estate coordinator within the State DOT organization to provide information and coordinate with other State DOT staff
- Providing training for LPA personnel, especially in the acquisition and relocation
- Providing a guidance manual to assist with local projects
- Monitoring LPA activity on a regular and ongoing basis
- Providing technical service to LPAs that require such assistance
- Providing advisory service, brochures, forms, and sample letters developed to meet Federal and state requirements

This section lists and summarizes various state-specific tools and resources available to ensure LPA programs are administered efficiently and effectively.

3.1 Policies, Manuals, and Guides

Some State DOTs have local project stewardship agreements with LPAs that are a supplement to the overall State DOT–FHWA Stewardship/Oversight agreement. They may take the form of an appendix or addendum to the Stewardship/Oversight agreement, and establish roles and responsibilities that are tailored to and recognize the LPA’s experience and capabilities. They provide a means for a State to describe the processes, documents, and approvals necessary to administer local transportation projects using Federal-aid funds. The LPA manual in particular is a compilation of information from many sources and is a reference source for administrative and field personnel in any governmental agency. To serve the needs of local agencies, the manual may describe development requirements and outline procedures for obtaining approval when local conditions warrant departures from adopted standards. The needs in each State will vary significantly and the content of a LPA manual will be commensurate with the size of the Local Agency Program. This sub-section consists of state-specific policies, manuals, and guides available to State DOTs and LPAs.

Note: These resources are provided in alphabetical order, by State.

| Alabama DOT LPA Manual for Federal-aid Projects in Alabama: A Summary of State and Federal Requirements | |
|--|---|
| Author(s) | Alabama DOT |
| Date | December 2011; Revised June 2012 |
| Source | Bureau of Transportation Planning and Modal Programs |
| Web link | https://cpmsweb2.dot.state.al.us/TransPlan/LPA/Docs/LPA%20Manual.pdf |
| <p>Abstract: This LPA Manual is a primary resource document for local governments, state and federal agencies, consultants and contractors, MPOs, and the general public requiring information on administering Local Public Agency Projects in Alabama. ROW is covered in Chapter 7. Alabama DOT's July 2013 LPA Project Guide, which is available at https://cpmsweb2.dot.state.al.us/TransPlan/LPA/Docs/LPA%20Project%20Guide.pdf, is more detailed than the LPA Manual. The Project Guide is intended for general use by both practitioners and those unfamiliar with the many acronyms and abbreviations common in government.</p> | |

| California DOT Local Assistance Procedures Manual | |
|---|--|
| Author(s) | Caltrans |
| Date | Continuous updates since 1998 |
| Source | Caltrans Division of Local Assistance |
| Web link | www.dot.ca.gov/hq/LocalPrograms/lpp/lpp1r1.htm |
| <p>Abstract: Caltrans' Local Assistance Procedures Manual has been continuously updated through Local Programs Procedures since its original release in February 1998. It describes the various procedures required to process Federal and State funded local transportation projects. Portions of the manual and procedures have been superseded by Division of Local Assistance Office Bulletins, which Caltrans periodically releases online. Local program procedures for ROW are available at www.dot.ca.gov/hq/LocalPrograms/lpp/LPP04-06.pdf.</p> | |

| Colorado DOT Local Agency Manual | |
|--|--|
| Author(s) | Colorado DOT |
| Date | 2006 |
| Source | CDOT Project Development Branch |
| Web link | www.coloradodot.info/business/designsupport/bulletins_manuals/2006-local-agency-manual |
| <p>Abstract: The primary purpose of the CDOT Local Agency Manual is to assist LPA personnel involved in the design, construction and management of State and Federally-funded projects. The Manual is also recommended for CDOT personnel who manage LPA projects. Chapter 5 focuses on ROW issues.</p> | |

| Connecticut DOT Local Bridge Program Manual | |
|---|--|
| Author(s) | ConnDOT |
| Date | 2011 |
| Source | ConnDOT Local Bridge Program |
| Web link | www.ct.gov/dot/lib/dot/documents/dbridgepubs/FY_2011_Local_Bridge_Program_Manual.pdf |
| <p>Abstract: ConnDOT's Local Bridge Program Manual guides municipalities through the process of developing bridge projects and applying for grants and loans under the Local Bridge Program. It is aimed at those with non-technical orientations, such as mayors and selectmen, as well as those with technical backgrounds, such as engineers and public works directors. The guide provides an overview of the program, with additional coverage given to those subjects that have proven troublesome, confusing, or have resulted in frequent questions. The manual is updated annually to incorporate new information, updated procedures, and lessons learned over previous years.</p> | |

| Florida DOT Procedures for Locally Administered Federal-aid Projects Manual |
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|---|--|
| Author(s) | FDOT |
| Date | February 10, 2012 |
| Source | FDOT Local Agency Program |
| Web link | www.dot.state.fl.us/projectmanagementoffice/lap/LAP_TOC.shtm |
| <p>Abstract: This FDOT manual describes the various processes and documentation required for local agencies to progress federally funded local transportation projects. The manual is written for and intended to be used by local officials and their consultants. Chapter 8 of the manual includes an example of a State quality assurance program. FDOT also has a quick reference guide for LPAs that summarizes key points in the manual available at www.dot.state.fl.us/projectmanagementoffice/LAP/pdfs/LAPQuickReferenceGuide.pdf.</p> <p>Of note, FDOT has developed a Local Agency Program “Community of Practice” that is facilitated by FDOT’s LAP Project Review Section. The community of practice group of 28 individuals statewide who review technical issues applicable to the LAP processes and procedures. Common questions and answers, as well as relevant documentation and process maps are also available on FDOT’s local agency website.</p> | |

| Georgia DOT Local Administered Project Manual | |
|--|--|
| Author(s) | GDOT |
| Date | 2009; Revised October 2011 |
| Source | N/A |
| Web link | www.dot.ga.gov/localgovernment/fundingprograms/documents/lapmanual.pdf |
| <p>Abstract: The purpose of the Local Administered Project Manual is to establish uniform practices for authorizing qualified LPAs to manage certain core activities for Federal-aid funded projects in Georgia. Georgia DOT assumes the responsibilities of the Secretary of Transportation for all Federal-aid projects, and its stewardship includes the responsibility to assure local projects meet or exceed all applicable Federal and State laws, standards and requirements. The roles and responsibilities of the FHWA, GDOT, and Local Governments are defined in this LAP Manual.</p> | |

| Iowa DOT Office of Local Systems Website | |
|---|--|
| Author(s) | IA DOT |
| Date | N/A |
| Source | IA DOT Office of Local Systems |
| Web link | www.iowadot.gov/local_systems/index.htm |
| <p>Abstract: Iowa DOT’s Office of Local Systems works with LPAs in Iowa to provide guidance in the development and implementation of projects to ensure compliance with state and Federal requirements. The Office’s website includes a comprehensive set of publications and instructional memoranda geared toward LPAs in the state.</p> | |

| Idaho Transportation Department Guidelines for Local Public Agency Projects | |
|--|--|
| Author(s) | Idaho Transportation Department |
| Date | July 2011 |
| Source | N/A |
| Web link | www.itd.idaho.gov/manuals/Manual%20Production/LPA/lpa_cover.pdf |
| <p>Abstract: ITD’s Guidelines for LPA Projects offers a user-friendly document to help clarify the process and constraints of Federal and state regulations.</p> <p>ITD also has “Quality Assurance Guidelines for Local Federal-aid Projects Administered by the Local Highway Technical Assistance Council” (September 19, 2011) available at http://lhtac.org/wp-content/uploads/2011/12/LHTAC-Quality-Assurance-Guide-9_16-2011-approved.pdf. The intent of these guidelines, which are based on the <i>LPA Guidelines</i>, are to provide an outline of the Quality Assurance process utilized by the Local Highway Technical Assistance Council when administering projects for LPAs on behalf of ITD.</p> | |

| Indiana DOT LPA Project Development Process Guidance Document for Local Federal-Aid Projects | |
|---|--|
| Author(s) | INDOT |
| Date | Revised August 2013 |
| Source | INDOT LPA Program |
| Web link | www.in.gov/indot/files/LPA_GuidanceDocument_2013.pdf |
| Abstract: The mission of INDOT's LPA Program is to empower LPAs through excellent education and collaborative relationships, to plan, build and maintain a superior transportation system that promotes economic growth, ensures safety, and complies with all local, state, and federal regulations. The purpose of this guidance document is to provide information and resources to help all parties involved fully understand the requirements of the LPA program and when there is uncertainty, to be able to locate the appropriate resources such as guidance materials and/or resource people to clarify and ensure accurate understanding and compliance. | |

| Iowa DOT Right of Way Information Packet (LPA manual) | |
|--|--|
| Author(s) | IA DOT |
| Date | June 2007 |
| Source | IA DOT Property Management Section, Office of Right of Way |
| Web link | www.iowadot.gov/rightofway/propertymanage/infopak.pdf |
| Abstract: Using plain language, IDOT's ROW Information Packet guides readers through all steps of the ROW process. It is directed toward LPAs managing projects receiving state and/or federal highway funding in any portion of the project. IDOT notes that the agency maintains the manual electronically so that updates and modifications can be made quickly, and it encourages readers to contact IDOT's ROW section early and often during projects where property is to be acquired. | |

| Kansas DOT LPA Administered Projects: KDOT Responsibilities | |
|---|--|
| Author(s) | KDOT |
| Date | N/A |
| Source | KDOT Bureau of Local Projects |
| Web link | www.ksdot.org/burlocalproj/LPA/Requirements/LPAKDOTrespons.pdf |
| Abstract: This one-page document enumerates the 16 minimum LPA oversight responsibilities that Kansas DOT and FHWA have agreed KDOT should assume. | |

| Louisiana Department of Development and Transportation LPA Manual for Accessing Federal and State Transportation Funds Through DOTD | |
|---|--|
| Author(s) | LaDOTD |
| Date | July 2011; Revised May 2012 |
| Source | N/A |
| Web link | www.dotd.la.gov/administration/lpa/documents/LPA_Final_Manual_05-2012.pdf |
| Abstract: The purpose of the LPA Manual is to familiarize the public agencies with the programs that are available to them through the DOTD for local transportation and public works projects. It is also intended to help Louisiana's public agencies fulfill the requirements of planning, environmental clearance, design, ROW purchase, construction and maintenance of transportation facilities using state or federal funds. | |

| Maryland State Highway Administration Federal Highway Bridge Program Guidelines for Local Governments | |
|--|--|
| Author(s) | MDSHA |
| Date | N/A |
| Source | MDSHA Office of Structures |
| Web link | www.roads.maryland.gov/OBD/Local_Government_Guidelines.pdf |

Abstract: The purpose of this document is to provide guidance for local governments in Maryland in the development of bridge projects utilizing Federal Highway Bridge Program funds. It covers project development from initiation of design through concurrence in award of a construction project.

MDSHA has also developed a “Highway Project Primer on Basic Federal-aid Requirements” available at www.mdot.maryland.gov/Office_of_Planning_and_Capital_Programming/Economic_Recovery/Documents_2/FederalFundingRequirements_021009.pdf. The document details the major requirements that are necessary to receive reimbursement of Federal funds.

Massachusetts DOT. ROW Manual, Chapter 8

| | |
|---|--|
| Author(s) | MassDOT |
| Date | N/A |
| Source | MassDOT Highway Division Right of Way Bureau |
| Web link | www.mhd.state.ma.us/downloads/row/rowmanual.pdf |
| Abstract: Chapter 8 of MassDOT’s ROW Manual identifies and clarifies the responsibilities of any political subdivision of the Commonwealth of Massachusetts that is undertaking a highway infrastructure project that will utilize Federal-aid in any phase of the project. The chapter also outlines the proper procedures required in order to assure compliance with property owner rights defined under the Uniform Act. | |

Mississippi DOT Project Development Manual for Local Public Agencies

| | |
|---|---|
| Author(s) | Mississippi DOT |
| Date | Revised January 2013 |
| Source | Mississippi DOT Local Public Agency Division |
| Web link | http://mdot.ms.gov/documents/mdot%20lpa/Manuals/PDM%20Manual.pdf |
| Abstract: Mississippi DOT’s Project Development Manual for LPAs establishes the basic requirements for the planning, design, and construction of LPA projects that utilize Federal funds appropriated by the FHWA or the FTA and are under the oversight of MDOT. The manual offers a number of “example” documents and forms throughout that LPAs can use in completing projects. | |

Missouri DOT Missouri Land Acquisition Process, from the Engineering Policy Guide

| | |
|--|---|
| Author(s) | MoDOT |
| Date | On-going update |
| Source | N/A |
| Web link | http://epg.modot.org/index.php?title=236.18_Local_Public_Agency_Land_Acquisition |
| Abstract: Missouri DOT's “Engineering Policy Guide” (EPG), which contains information on the land acquisition process in Missouri, provides a single reference for all engineering and engineering-related guidance by combining the former Right of Way, Design, Bridge, Construction, Traffic and Maintenance manuals. MediaWiki, the engine behind the Wikipedia on the World Wide Web, is the software delivering the EPG. Millions of hits on the EPG endorse this format to be easy to navigate and read. | |

Montana Department of Transportation Local Agency Guidelines

| | |
|--|--|
| Author(s) | Montana Department of Transportation |
| Date | Revised September 2013 |
| Source | N/A |
| Web link | www.mdt.mt.gov/other/cdb/external/lag_manual/lag_manual.pdf |
| Abstract: The “Local Agency Guidelines” manual is intended to help Montana’s public agencies in Billings, Great Falls, and Missoula plan, design, construct, and maintain transportation facilities. The manual is a compilation of information from many sources and is a reference source for administrative and field personnel in the local agency. The manual also describes development requirements and outlines procedures for obtaining approval when local conditions warrant departures from adopted standards. Additional guidance is provided in the “MDT Right-of-Way Operations Manual” at | |

www.mdt.mt.gov/other/rw/external/manual/chapter_1.pdf in order to assure that all Federal and state requirements are met.

Nebraska Department of Roads LPA Guidelines Manual for Federal Aid Projects (Version 1.00)

| | |
|------------------|--|
| Author(s) | NDOR |
| Date | January 2013 |
| Source | NDOR Local Projects Division |
| Web link | www.dor.state.ne.us/gov-aff/lpa/lpa-guidelines.pdf |

Abstract: NDOR’s LPA guidelines manual provides compliance guidance for LPA's in planning, organizing, administering, designing, constructing and maintaining their Federally-funded transportation and related projects. The manual clarifies the LPA's roles and responsibilities throughout the Federal-aid project. It also identifies the required documents, authorizations, approvals and certifications required to maintain a Federally-funded transportation project. Chapter 7 focuses on ROW issues.

Nevada DOT Local Public Agency Manual

| | |
|------------------|--|
| Author(s) | Nevada DOT |
| Date | April 2010 |
| Source | Nevada DOT Design Division |
| Web link | www.nevadadot.com/uploadedFiles/NDOT/About_NDOT/NDOT_Divisions/Engineering/Design/2010_04_April_LPA_Manual.pdf |

Abstract: Each project completed under Nevada DOT’s LPA Program is done through an agreement between NDOT and the local public agency. NDOT retains the responsibility for providing FHWA with certification the project was completed in conformance with applicable federal laws and regulations. The main objective of NDOT’s LPA Program is to assist local public agencies in completing each project successfully with as little administrative oversight as possible, while ensuring Federal and state requirements are fulfilled. This delegation is documented in this manual by defining the procedures NDOT and the local public agency must follow to comply with the intent of the State’s Stewardship Agreement.

New Jersey DOT Summary of Project Management Eligibility Requirements for Locally Administered Federal Aid Highway Projects

| | |
|------------------|---|
| Author(s) | NJDOT |
| Date | December 5, 2012 |
| Source | NJDOT Division of Local Aid |
| Web link | http://tinyurl.com/lslpsv |

Abstract: This document is intended to be used as a guide by LPA’s in New Jersey in the development and implementation of procedures for projects using FHWA funds. It provides a summary of the federal requirements that must be met to establish an LPA’s eligibility for funds. Each LPA seeking federal-aid funds must also complete NJDOT’s Division of Local Aid’s Federal Aid Highway Program Administrative Questionnaire. This questionnaire was developed to assess the LPA’s accounting controls and administrative management systems.

New Hampshire DOT Local Public Agency Manual for the Development of Projects

| | |
|------------------|--|
| Author(s) | NHDOT |
| Date | March 2012 |
| Source | NHDOT Bureau of Planning and Community Assistance |
| Web link | www.nh.gov/dot/org/projectdevelopment/planning/documents/LPAManual.pdf |

Abstract: This manual is communicates all program processes and requirements to NHDOT’s LPA program recipients. The manual includes Gantt Chart schedules, contact information for key staff, and templates for LPAs to use for the various states of project delivery.

New York State DOT Procedures for Locally Administered Federal Aid Projects, Chapter 11 Right of

| Way | |
|---|---|
| Author(s) | NYSDOT |
| Date | Revised March 2009 |
| Source | NYSDOT |
| Web link | https://www.dot.ny.gov/divisions/operating/opdm/local-programs-bureau/locally-administered-federal-aid-projects |
| Abstract: The Procedures for Locally Administered Federal Aid Projects manual was developed to assist New York State municipalities, non-governmental organizations, and their consultants to understand the steps, activities, approvals, and other requirements needed to ensure that Federally-aided projects are developed, designed and constructed in accordance with Federal and State requirements. Chapter 11, "Right of Way", describes the procedures required to acquire right of way for a Federal-aid project. | |

| North Dakota DOT ROW Acquisition Procedures for LPA Federal Aid Projects | |
|--|--|
| Author(s) | NDDOT |
| Date | December 2010 |
| Source | NDDOT Environmental Services Division and Local Government Division |
| Web link | www.dot.nd.gov/manuals/environmental/local-row-acquisition/rofwmanualtag.pdf |
| Abstract: This manual is a guide to ROW acquisition procedures that LPA representatives must observe in the acquisition of road ROW in North Dakota. Information and procedures discussed in the manual pertain to all North Dakota road projects that involve the participation of federal funding, regardless whether federal monies are used in the actual project right of way costs. | |

| Ohio DOT ODOT LPA Audit Guidance and LPA Manual | |
|--|--|
| Author(s) | Ohio DOT |
| Date | June 18, 2013 |
| Source | Ohio DOT Office of External Audits |
| Web link | www.dot.state.oh.us/Divisions/Planning/LocalPrograms/Documents/LPACostRecoveryGuidance.pdf |
| Abstract: This guidance details processes and procedures LPAs must follow to recover labor and overhead costs associated with internal labor forces performing contract work on Federally-funded projects. ODOT's Local-let Manual of Procedures is available at www.dot.state.oh.us/Divisions/Planning/LocalPrograms/Pages/Manual_of_Procedures.aspx . It is intended to assist LPAs and their Project Engineers in the administration of local-let transportation projects, as well as to provide consistency on a statewide basis. The information in it was compiled from numerous sources and is intended to give a broad overview of local-let activities. ODOT's goal for the document is for it to be a guide for users to deliver local projects expeditiously and lawfully. | |

| Oregon DOT Local Agency Guidance Manual | |
|--|--|
| Author(s) | Oregon DOT |
| Date | Revised September 2012 |
| Source | Oregon DOT Statewide Programs Unit |
| Web link | www.oregon.gov/ODOT/HWY/LGS/Pages/lag_manual.aspx |
| Abstract: ODOT's Local Agency Guidelines document provides information and guidance to help LPAs to access FHWA funding for local transportation-related projects through the Federal-aid Highway Program. In general, the LAG Manual does not include discussion of state programs for LPAs. | |

| South Carolina DOT Procedures for Local Public Agency Project Administration | |
|---|--|
| Author(s) | SCDOT |
| Date | Continuous updates |
| Source | SCDOT |
| Web link | www.scdot.org/doing/localPublicAdmin.aspx |

Abstract: SCDOT's LPA website offers a number of useful resources including a flowchart of the process to be followed in the administration of LPA projects; templates for LPAs to use throughout the project development phase; and requirements that LPAs must meet.

Tennessee DOT Local Government Guidelines for the Management of Federal and State Funded Transportation Projects – Fourth Edition

| | |
|------------------|--|
| Author(s) | TDOT |
| Date | February 1, 2011 |
| Source | TDOT |
| Web link | www.tdot.state.tn.us/local/Documents/LocalGovernmentGuidelines.pdf |

Abstract: TDOT's LPA manual is intended to provide local governments with the procedures that are required by law, regulation, rule, policies and standard for the use of FHWA and State Highway funds for transportation projects. If the procedures included in this manual are not followed, Federal and/or state funding may be withdrawn from the project.

Texas DOT Real Estate Acquisition Guide for Local Public Agencies

| | |
|------------------|---|
| Author(s) | TxDOT |
| Date | August 1, 2011 |
| Source | TxDOT Right of Way Division |
| Web link | http://onlinemanuals.txdot.gov/txdotmanuals/lpa/introduction.htm |

Abstract: This guide was originally created to provide a brief guide for LPAs on real estate acquisition and, thereby, to enhance cooperation between the LPAs TxDOT in the ROW acquisition process. Due to new State and Federal laws/regulations and the recent increase in State cost participation with LPAs, it has been necessary to revise and expand its contents. The purpose of the guide is to:

- Provide a basic understanding of the right of way acquisition process;
- Provide a reference for persons involved in the acquisition of private property for public purposes;
- Identify various State regulations that must be followed in the acquisition process; and
- Identify various Federal laws and regulations governing projects where Federal-aid is involved.

Sample and actual template forms are accessible throughout the guide for saving, opening, or downloading.

Utah DOT Local Government Guide

| | |
|------------------|--|
| Author(s) | UDOT |
| Date | March 2010 |
| Source | UDOT Project Development |
| Web link | www.udot.utah.gov/main/uconowner.gf?n=200603020738251 |

Abstract: The purpose of UDOT's Local Government Guide is to assist local governments in obtaining and properly utilizing Federal and state funds.

Vermont Agency of Transportation Local Transportation Facility Guide to the Right-of-Way Phase

| | |
|------------------|---|
| Author(s) | VTrans |
| Date | January 2006 |
| Source | VTrans |
| Web link | http://vtransengineering.vermont.gov/sites/aot_program_development/files/documents/ltf/LTFROW_GuideVer17.pdf |

Abstract: This VTrans' guide was developed to help municipalities, consultants, and any other groups or individuals that are involved in property acquisition of Federally funded transportation projects.

Virginia DOT Locally Administered Projects Manual, Chapter 16

| | |
|------------------|-----------------|
| Author(s) | VDOT |
| Date | May 2013 |

| | |
|---|--|
| Source | VDOT |
| Web link | www.virginiadot.org/business/resources/local_assistance/LAD_LAP_manual_final/CH16_Right-of-Way.pdf |
| Abstract: The ROW chapter outlines the processes and responsibilities associated with acquisition of rights of way; relocation of displaced individuals, businesses, farms, and non-profit organizations; right of way authorization and certification; the disposition of residue/surplus properties; and VDOT's responsibilities for oversight and certification of LPA activities for Federal-aid projects. | |

| Washington State DOT WSDOT Local Agency Guidelines (LAG) Manual | |
|--|--|
| Author(s) | WSDOT |
| Date | Revised April 2013 |
| Source | WSDOT Highways and Local Programs |
| Web link | www.wsdot.wa.gov/LocalPrograms/LAG/#Chapters |
| Abstract: WSDOT's Local Agency Guidelines Manual provides policies and standards for local agencies to follow when using FHWA funds for transportation projects. The Department updates the manual on an ongoing basis. ROW procedures are described in Chapter 25. | |

| Wisconsin DOT Sponsor's Guide to Non-Traditional Transportation Project Implementation | |
|--|--|
| Author(s) | WisDOT |
| Date | September 2012 |
| Source | |
| Web link | www.dot.wisconsin.gov/localgov/docs/sponsors-guide.pdf |
| Abstract: This guide provides information and instructions to LPAs (Sponsors) to help them successfully develop certain Federally funded transportation projects in accordance with Federal and State laws and regulations. The guide is only intended to address the procedures required for a Sponsor to deliver a project through a Local Letting Process. | |

| Wyoming DOT Consultant Use Guidelines for Local Public Agencies | |
|---|--|
| Author(s) | WyDOT |
| Date | March 2013 |
| Source | WyDOT |
| Web link | www.dot.state.wy.us/home/business_with_wydot/local_public_agencies.default.html |
| Abstract: The purpose of these guidelines is to provide direction to a template policy on acquiring engineering and design-related services that LPAs can adopt as their own. WYDOT procedures have been approved by FWHA through Operating Policy 40-1, <i>Consultant Services Agreements</i> . | |

3.2 Templates, Checklists, and Other Resources

The following websites provide LPAs with sample documents and other technical assistance resources to be referred to as they implement Federal-aid projects:

- Indiana DOT’s LPA Resources Website: www.in.gov/indot/2390.htm
- Michigan DOT’s Local Agency Program – Forms Website: www.michigan.gov/mdot/0,1607,7-151-9625_25885_40411---,00.html
- Minnesota DOT’s State Aide for Local Transportation Website: www.dot.state.mn.us/stateaid/
- North Carolina DOT’s Local Projects Administration: <https://connect.ncdot.gov/municipalities/Funding/Pages/default.aspx>

| Washington State DOT LPA Certification Process in Washington State | |
|--|--|
| Author(s) | WSDOT |
| Date | Revised July 2013 |
| Source | WSDOT |
| Web link | www.wsdot.wa.gov/publications/manuals/fulltext/M26-01/LPACertificationFlowchart.pdf |
| Abstract: This flowchart outlines WSDOT’s LPA certification process. It describes the roles of the LPA, the WSDOT region in which the LPA is located, WSDOT headquarters, and the FWHA Division Office. | |

| Washington State DOT Ways to Help Your Federal Aid Project Run Smoothly | |
|---|--|
| Author(s) | WSDOT |
| Date | N/A |
| Source | WSDOT Highways and Local Programs |
| Web link | www.wsdot.wa.gov/NR/rdonlyres/08712411-7280-4B95-88DF-1B7AD7AAB9C2/0/HelpFederalAidProjectRunSmoothly.pdf |
| Abstract: This article provides information to LPAs to help increase their awareness regarding what to anticipate and what to avoid while working on Federal-Aid projects. A section of the article on the right-of-way phase provides the general requirements of the process, as well as where readers can go to find more information about them. | |

| Wisconsin DOT Various Right-of-Way Checklists and Templates | |
|---|---------|
| Author(s) | WisDOT |
| Date | Various |
| Source | WisDOT |
| Web link | N/A |
| Abstract: WisDOT has created a variety of resources to help LPAs in Wisconsin managed the ROW process on Federal-aid projects. These include: a basic acquisitions policy checklist; appraiser function checklist; guide for preparing appraisals; a nominal parcel report; and a waiver appraisal template form. Some of these resources are described in a March 2013 presentation given at a “Local Transportation Funding Symposium” and available at www.dot.state.wi.us/localgov/highways/docs/se-symposium2013-estate.pdf . | |

LPA Certification or Qualification Procedures

When operating in the capacity of the STA, the LPA has to be adequately staffed and suitably equipped to undertake and satisfactorily complete the work. Should the LPA elect to use a consultant to fulfill its authorized duties, the LPA must provide a full time public employee to be in responsible charge. One way to ensure LPAs are sufficiently staffed and suitably equipped to either conduct the work themselves or oversee a consultant is for the State DOT to have a formalized qualification program. Other State DOTs have documented the roles of its LPA Federal-aid sub-recipients, detailing each agency’s responsibilities, including identifying the agency responsible for required approval actions. The established roles and responsibilities are tailored to and recognize each LPA’s experience. In all cases, the State DOT has the responsibility of ensuring that LPAs receiving Federal funds comply with all Federal requirements. For this reason, some State DOTs, in cooperation with FHWA, have developed program qualification criteria for LPAs to assure that the LPA is fully qualified to manage project activities. This endeavor may include listing project delivery elements that LPAs are allowed to undertake along with specific evaluation criteria that will be used to determine the ability of the LPA to adequately administer those elements. Training may be required as part of the qualification program to help LPAs obtain the capacities necessary to administer the Federal-aid program.

This section describes some of the LPA certification or qualification procedures, requirements, and resources available state to state.

| Alabama DOT LPA Certification Procedure | |
|---|---|
| Author(s) | Alabama DOT |
| Date | N/A |
| Source | Alabama DOT Bureau of Transportation Planning and Modal Programs |
| Web link | https://cpmsweb2.dot.state.al.us/TransPlan/LPA/Docs/LPA%20Certification.pdf |
| Abstract: This presentation describes application and certification process flow that Alabama cities, counties, or other local government organizations or authorities wishing to be certified to administer LPA projects in the state under State and Federal guidelines must follow. | |

| Nebraska Department of Roads LPA Certification Statement Form | |
|---|--|
| Author(s) | NDOR |
| Date | N/A |
| Source | NDOR Local Projects Division |
| Web link | www.transportation.nebraska.gov/gov-aff/lpa/chapter-forms/lfp-cert-stmt.pdf |
| Abstract: This form is a template that Nebraska LPAs used to indicate that they have procured and negotiated required services according to the Locally Funded Procurement Procedure defined in NDOR’s LPA Guidelines Manual and certifies that all local laws and ordinances were followed. | |

| New Hampshire DOT LPA Training and Certification Process | |
|---|-------|
| Author(s) | NHDOT |
| Date | N/A |

| | |
|--|--|
| Source | NHDOT Bureau of Planning and Community Assistance |
| Web link | www.nh.gov/dot/org/projectdevelopment/planning/documents/LPABrochure.pdf |
| Abstract: This brochure describes the LPA training and certification process in New Hampshire. NHDOT's training discusses the necessary steps and procedures that a project sponsor and consultant will be required to follow when implementing a project, using the current LPA manual as a resource for all Federally funded, locally-managed projects. The training is broken into two, full-day parts. Part 1 covers project management, the design process, environmental review process, and the ROW process, among other topics. Part 2 covers the construction phase. | |

| Oregon DOT LPA Certification Program | |
|--|--|
| Author(s) | Oregon DOT |
| Date | N/A |
| Source | Oregon Statewide Programs Unit |
| Web link | www.oregon.gov/ODOT/HWY/LGS/Pages/Certification.aspx |
| Abstract: ODOT's Certification Program provides a process through which qualified local public agencies can become certified in certain areas of federal-aid project delivery. ODOT believes this allows LPAs to retain more approval authority and control at the local level when developing FHWA funded transportation projects. The areas in which local agencies can become "certified" include: <ul style="list-style-type: none"> • Consultant Selection • Design • Advertising, Bid, and Award • Construction Contract Administration | |

| Wyoming DOT LPA Certification Program | |
|---|--|
| Author(s) | WYDOT |
| Date | N/A |
| Source | Wyoming Technology Transfer Center/Local Technical Assistance Program |
| Web link | www.dot.state.wy.us/home/engineering_technical_programs/environmental_services/LPA.html |
| Abstract: The LPA certification program is offered by the Wyoming Technology Transfer Center/Local Technical Assistance Program, FHWA, and WYDOT to ensure subrecipient agencies have a fundamental understanding of the requirements in executing state and FHWA rules. | |

3.4 Reports and Process Reviews

| Measuring and Improving Locally Administered Projects' Performance | |
|--|--|
| Author(s) | VDOT |
| Date | October, 24, 2012 |
| Source | VDOT |
| Web link | www.virginiadot.org/business/resources/local_assistance/2012Workshop/1D-Performance.pdf |
| <p>Abstract: This presentation, which was part of a local programs workshop that VDOT offered, focused on how locally administered projects contribute to VDOT's overall program; areas of performance concern; initiatives underway to improve performance; and FHWA perspectives on how performance might be improved, including actions promoted under the EDC initiative.</p> | |

| Missouri DOT LPA Strategic Vision Team: Team Recommendations | |
|--|--|
| Author(s) | MoDOT |
| Date | October 6, 2011 |
| Source | MoDOT LPA Strategic Vision Team |
| Web link | www.modot.org/business/lpa/documents/LPAStrategicVisionTeamReport.pdf |
| <p>Abstract: MoDOT formed an LPA Strategic Vision Team to develop a statewide vision for its LPA program. Using feedback received from Statewide and District Partnering for Innovative Efficiencies meetings and Tracker survey results for LPA partners, the desired outcomes for the team were identified. One of the desired outcomes for the Team is to define a statewide vision to ensure a consistent direction for Missouri's local program.</p> <p>Synopsis of Major Conclusions: The team identified five recommendations to improve the LPA program:</p> <ul style="list-style-type: none"> • Develop a FHWA/MoDOT Certification Program • Develop a Training Program • Improve the Missouri LPA manual • Develop a Program and Project Management Tool • Develop a Continuous Improvement Team <p>The Team Recommendations document describes these findings in depth.</p> | |

| Florida Division Office Local Agency Program Process Review of the Florida DOT | |
|--|--|
| Author(s) | Leslie McCarthy and Susan Kurtz |
| Date | December 2007 |
| Source | FHWA Florida Division Office |
| Web link | www.dot.state.fl.us/projectmanagementoffice/LAP/pdfs/LAPProcessReviewFinalReport_2007.pdf |
| <p>Abstract: The objective of the process review was to evaluate the level of oversight and quality assurance being provided by the FDOT in the administration of the construction phase of locally-administered projects. Additionally, the review also assessed the state-of-the-practice of LAP in Florida through discussions with a number of local agencies and FDOT. Overall, the recommendations and findings of the process review indicated a need for more consistency in administration and oversight of the LAP among FDOT District Offices.</p> <p>Synopsis of Major Conclusions: At the time of the report's release, FHWA considered issues within the FDOT Local Agency Program to be high risk, especially in the development of construction contract documents and level of quality assurance. FHWA believed there was a need by FDOT and FHWA to add guidance for the LAP program in the arena of construction oversight and materials quality assurance, particularly for local roads (i.e., off-State Highway System routes).</p> | |

3.5 Training

Some State DOTs have incorporated a training component in their LPA qualification programs to assist LPAs in obtaining the necessary skills and knowledge needed to administer the program as well provide a basis for evaluating staff abilities. The qualification program might require a training component to be state approved curricula and regularly audited by the state to verify compliance with State and Federal regulations, policies, and procedures. The following information on state-specific training programs is intended to provide examples to State DOTs and LPAs and is not intended to present any suggested requirement.

| California DOT Training for Local Agencies | |
|--|--|
| Author(s) | Caltrans |
| Date | Variable throughout the year |
| Source | Caltrans Division of Local Assistance |
| Web link | www.dot.ca.gov/hq/LocalPrograms/training.html |
| Abstract: Caltrans offers a suite of training workshops and multi-day “academies” on a range of topics. For example, one academy presented is a five-day local assistance course geared toward new Caltrans Local Assistance and local agency staffs. The content generally mirrors the content of the <i>Local Assistance Procedures Manual</i> and the <i>Local Assistance Program Guidelines</i> . The ROW academy is a 10-day course that focuses on four main topics: Principles of Real Estate Appraisal; Principles of Real Estate Law; Principles of Real Estate Negotiation; and Principles of Real Estate Engineering. Caltrans LPA training is divided among twelve coordinators, with one being located in each district. Most classes are provided upon request. | |

| Florida DOT Local Agency Program Training | |
|--|--|
| Author(s) | FDOT |
| Date | Variable throughout the year |
| Source | FDOT Production Support Office |
| Web link | www.dot.state.fl.us/projectmanagementoffice/LAP/LAPTraining.shtm |
| Abstract: FDOT provides a computer-based training for transportation and LPA personnel. The training topics include certification, project selection, and LPA agreements. | |

| Maine DOT Local Project Administration Program | |
|--|--|
| Author(s) | Maine DOT |
| Date | Variable throughout the year, most recently May 8, 2013 |
| Source | Maine DOT |
| Web link | www.maine.gov/mdot/lpa/index.htm |
| Abstract: MaineDOT’s Local Project Administration Program enables cities, towns and other local public agencies to make transportation improvements with Federal and state money. A certified local staff member takes charge of a locally administered project in partnership with a MaineDOT project manager, who makes sure all federal and state requirements are met. MaineDOT’s LPA website includes information on LPA certification, training opportunities, templates, and examples of locally administered projects. The ROW Process training describes “what you need to know” as an LPA to effectively implement Federal-aid transportation projects. The ROW process presentation is available at www.maine.gov/mdot/lpa/documents/pdf/2013/RightofWay2013.pdf . | |

4. Resources from Non-Governmental Sources

| Local Public Agency Oversight Questionnaire Results | |
|---|---|
| Author(s) | AASHTO |
| Date | 2013 |
| Source | AASHTO Subcommittee on Construction |
| Web link | http://construction.transportation.org/Documents/Surveys/AASHTO%20LPA%20Oversight%20Questionnaire_Results%20Report%20Final.pdf |
| <p>Abstract: This questionnaire was developed to determine existing policies and procedures in place by State DOTs for the administration of the Federal-Aid program for LPAs.</p> <p>Synopsis of Major Conclusions: There were 30 total responses to the questionnaire out of approximately 50 invitations to participate. Most responding States (77%) do not have performance measures for LPA project delivery. Most (77%), however, do have a process in place for assessing LPA compliance with Federal and/or State laws and regulations for the ROW phase of project development.</p> | |

| Practices and Performance Measures for LPA Federally-Funded Highway Projects | |
|--|--|
| Author(s) | Leslie Ann McCarthy, Seri Park, and Anthony Giancola |
| Date | April 29, 2013 |
| Source | Transportation Research Board: NCHRP 20-5 Task 43-04, Synthesis 442 |
| Web link | www.trb.org/Main/Blurbs/168858.aspx |
| <p>Abstract: Synthesis 442 explores what performance measures, delivery practices, strategies, and tools are currently used in relation to Federally-funded LPA highway project development and delivery, and how they are used to measure success in project administration. Appendix D has samples of documents on practices or performance measures for Federally-funded LPA transportation project. The overall report was based on a comprehensive survey of State DOTs' LPA oversight practices. Of note, eleven State DOTs indicated that an LPA certification process had helped participating LPAs achieve more of the performance measures established for project delivery, especially in the acquisition of ROW, construction contracting and inspection, and procurement phases.</p> <p>Synopsis of Major Conclusions: More than half of the DOTs reported that more than 100 local agencies are participating in Federal-aid projects in their State. The rationale for LPA eligibility was reported to be based mostly on the Federal-aid program type, local match availability, certification status by the State DOT, appropriate and available LPA staff size, and size or complexity of the project scope. A majority (62 percent) of DOT respondents were not supportive of Federal regulations requiring States to administer a certification program. Of the 41 LPAs surveyed, 26 were not supportive of Federal regulations requiring States to administer a certification program. The feedback provided by the 23 LPAs certified by their State DOTs was that they have improved their ability to deliver Federally funded projects more easily and quickly. LPAs indicated that being certified provides the opportunity to be responsible for Federally funded projects, rather than to be managed by a State DOT or contracted to a consultant. The LPAs that are not certified are challenged in their capability to control scope creep and other financial aspects of Federally funded projects.</p> | |

| Effective Delivery of Small-Scale Federal-aid Projects | |
|---|---|
| Author(s) | Leslie Ann McCarthy, David Mensching, and Andrew Horgan |
| Date | 2011 |
| Source | Transportation Research Board: NCHRP Synthesis 414 |
| Web link | http://onlinepubs.trb.org/onlinepubs/nchrp/nchrp_syn_414.pdf |
| <p>Abstract: This NCHRP report compiles and documents streamlined methods for meeting Federal funding requirements for small-scale highway projects. For this study, small-scale was defined as projects administered by state or local transportation agencies that contain federal funding of \$300,000 or less. A primary objective of this study was to explore ways that State DOTs work with local agencies to implement small projects eligible for federal funding. Information used in the study was acquired through a review of the literature, a survey of local program agency administrators in each of 10 focus state DOTs, as well as interviews with representatives from several agencies and organizations involved at various levels with the locally administered Federal-aid process.</p> <p>Synopsis of Major Conclusions: A series of case study interview questions focused on effective navigation of the Uniform Act for locally administered projects. One example cited is from Delaware DOT. The researchers found that Delaware DOT had effectively streamlined the delivery of the ROW phase of small-scale Federal-aid projects by requiring ROW donations (according to the Uniform Act) from project sponsors. Delaware DOT asks for any property and/or easements needed for the construction of the project through donation. According to the research team, this requirement is particularly important to gain vested interest by the LPA in their project because Delaware DOT handles all the project work from “cradle to grave.” Through this practice, DelDOT is able to place more responsibility on the local agencies to give their support in the planning process and especially after project completion ensuring proper upkeep and maintenance of the end product.</p> | |

| Review of Locally Managed Projects | |
|---|--|
| Author(s) | Frederick Wegman and Melany Noltenius, University of Tennessee |
| Date | September 2010 |
| Source | Prepared for the Tennessee DOT |
| Web link | www.tdot.state.tn.us/longrange/reports/RES2010-15StrengtheningPartnershipsLocal%20Governments.pdf |
| <p>Abstract: The Local Programs Development Office at the Tennessee TDOT oversees federal and state funding programs that are available to LPAs. Given the critical connection between TDOT’s Local Programs Development Office and local governments, the authors note that it is important that funds be administered expeditiously and projects be completed in a timely and efficient manner. For this reason, their research report documents existing procedures and challenges within TDOT’s Local Programs Development Office and identifies best practices used by other states to support local governments in initiating and coordinating joint projects.</p> <p>Synopsis of Major Conclusions: When compared to other states that fully utilize a district or regional local programs coordinator and engineering staff, TDOT’s Local Programs Development Office staff is providing excellent service. The Local Programs Development Office has the ability to help local governments understand more completely the project management process. The research team recommended that:</p> <ul style="list-style-type: none"> • The local programs development office stress to local government personnel that the planners and Transportation Enhancement professionals are the single point of contact for all information concerning their project – technical or other information. • TDOT’s one-day training class may need to be re-evaluated • An email list of all project stakeholders should be created by the planner and a notice of any changes or updates should be emailed to all parties involved in the project. • The Local Programs Development Office should be very specific in its definition of a small, mid-range, and large project so that clear guidelines are provided regarding when a local government can | |

- manage their own projects and when it cannot.
- If possible, the TDOT regional engineers should be incorporated into the project oversight process.

Executive Summary: Local Public Agency Programs

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|------------------|---|
| Author(s) | AASHTO |
| Date | November 2009 |
| Source | AASHTO Standing Committee on Research. Organizational Results |
| Web link | http://research.transportation.org/Pages/LocationofLocalPublicAgencyProgram.aspx |

Abstract: In 2009, AASHTO conducted a survey to better understand where the LPA Program resides in other states' organizational structures. The results are documented in a brief report that summarizes States' organizational structures as they related to LPA administration, education and training, and FHWA involvement in oversight.

Synopsis of Major Conclusions: The authors asserted that future research efforts related to LPA oversight should be narrowed and focused on specific areas of the LPA program to ensure that the research outcomes meet stated needs.

