

# Risk Based Review Process and Other Updates

## Overview of Planning Provisions

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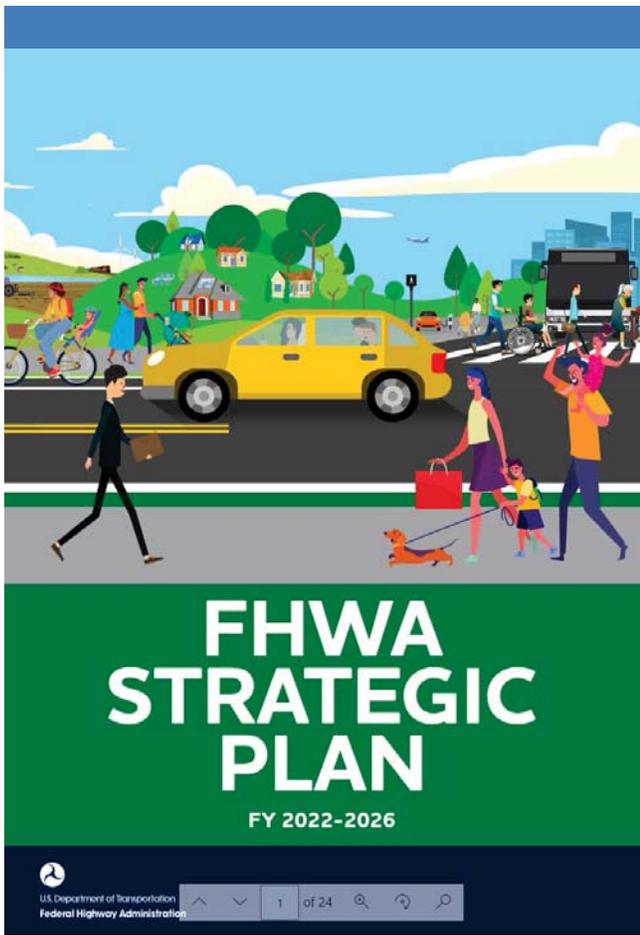
U.S. Department  
of Transportation

**Federal Highway  
Administration**

## PART 1:

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- FHWA Enterprise Risk Management – Strategic Alignment
- Iowa Division Timeline
- Proposed Topics



## U.S. DOT STRATEGIC GOALS

As reflected in its Strategic Plan, FHWA derives its direction from the six U.S. DOT Strategic Goals.

### Safety



Make our transportation system safer for all people. Advance a future without transportation-related serious injuries and fatalities.

### Economic Strength and Global Competitiveness



Grow an inclusive and sustainable economy. Invest in our transportation system to provide American workers and businesses reliable and efficient access to resources, markets, and good-paying jobs.

### Equity



Reduce inequities across our transportation systems and the communities they affect. Support and engage people and communities to promote safe, affordable, accessible, and multimodal access to opportunities and services while reducing transportation-related disparities, adverse community impacts, and health effects.

### Climate and Sustainability



Tackle the climate crisis by ensuring that transportation plays a central role in the solution. Substantially reduce greenhouse gas emissions and transportation-related pollution and build more resilient and sustainable transportation systems to benefit and protect communities.

### Transformation



Design for the future. Invest in purpose-driven research and innovation to meet the challenge of the present and modernize a transportation system of the future that serves everyone today and in the decades to come.

### Organizational Excellence



Strengthen our world-class organization. Advance the Department's mission by establishing policies, processes, and an inclusive and innovative culture to effectively serve communities and responsibly steward the public's resources.

# Iowa Annual Planning Program Assessment

Program Element	Compliance	Effectiveness	Efficiency
Statewide Planning & Research (SPR) Program (Statewide Planning (Part 1), Work Programs and Revisions	Satisfactory	Satisfactory	Satisfactory
Statewide Transportation Planning Products (Long-Range Statewide Transportation Plan, Public Involvement Procedures, State Consultation Process(es) with Non-Metropolitan Local Officials	Excellent	Excellent	Excellent
Allocation Formulas for PL Funds	Satisfactory	Satisfactory	Satisfactory
Statewide Transportation Improvement Program (STIP) (Amendments, State Self-Certification on Planning Process, Federal Finding on STIP)	Excellent	Satisfactory	Satisfactory
Highway System Actions (Interstate, Federal-Aid Urban Area Boundaries, Functional Classification, National Highway System (NHS))	Excellent	Satisfactory	Satisfactory
Unified Planning Work Program (UPWP) (Transportation Management Area (TMA) MPO UPWPs, Non-TMA MPO UPWPs, UPWP Revisions/Amendments (All MPOs))	Excellent	Excellent	Excellent
Metropolitan Planning: Metropolitan Transportation Plan (Updates and Amendments)	Excellent	Satisfactory	Satisfactory
FHWA/FTA TMA Certification Review Report	Excellent	Satisfactory	Satisfactory
Transportation Improvement Program (TIP) (TIP (Approved by MPO and Governor, Amendments, Air Quality Conformity, Federal Finding on TIP)	Satisfactory	Satisfactory	Satisfactory
MPO Agreements (Attainment or Entire/Partial Nonattainment Area, Designation/ Redesignation of MPOs)	Satisfactory	Satisfactory	Satisfactory
CMAQ Annual Report	Satisfactory	Satisfactory	Satisfactory
Traffic Monitoring Data (Vehicle Classification Data, Annual Traffic Reports)	Separate assessment		
Highway Performance Monitoring System (HPMS) and 500 Series Reports	Separate assessment		
Research and Development (Part 2)	Separate assessment		

## Planning Reviews Timeline 2022-2026

### 2022-2026 Iowa TMA Certification Reviews

Agency	Fiscal Year	Next Review	Last Review	Comments
Omaha/C.B.	2022	September 2022	September 24, 2018	TMA
Quad Cities	2024	August 2024	August 25, 2020	TMA
Des Moines	2025	July 2025	July 9, 2021	TMA

### 2022-2026 Risk Based MPO Reviews

Review Topic	Fiscal Year	Last Review Date
Environmental Justice	2022	N/A
Risk-Based Topic TBD	2023	N/A
Risk-Based Topic TBD	2024	N/A
Risk-Based Topic TBD	2025	N/A
Risk-Based Topic TBD	2026	N/A

### Previous Schedule for Iowa MPO Reviews

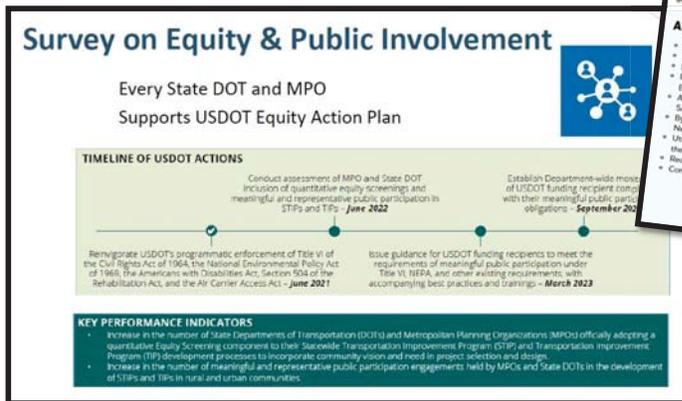
Agency	Fiscal Year	Next Review	Last Review	Comments
Dubuque	2022	June, 2022	December 7, 2016	
Iowa-City	2023	April, 2023	April 13, 2018	
Sioux City	2024	June, 2024	June 26, 2020	
Cedar Rapids	2025	December, 2025	December 9, 2019	
Ames	2026	October, 2026	January 11, 2021	
Waterloo	2026	December, 2026	February 2, 2021	

## Why change?

- Long history of few corrective actions
- Align with FHWA and USDOT priorities
- Strong leadership through Iowa DOT
- Benefits:
  - Focus on hot topics and areas of need
  - One topic annually instead of all of them every five
  - Learn from peers

# What's up first? Equity

- Thoughts?
  - Pre-survey
  - Workshop
- Outcomes
  - Iowa MPO State of the Practice
  - Resources
  - Recommendations



**FHWA STRATEGIC PLAN | FY 2022-2026**

**U.S. DOT STRATEGIC OBJECTIVE: EQUITY**

**FHWA STRATEGIES**

- Expanding Access:** Expand affordable access to transportation jobs and business opportunities by removing barriers for individuals, businesses, and communities.
  - (EEA1) Reconnect communities by linking planning grants and capital construction grants, as well as technical assistance, to restore community connectivity through the removal, retrofit, mitigation, or replacement of eligible transportation infrastructure facilities.
  - (EEA2) As an agency-wide effort, ensure the development, project selection, design, and mitigation processes reflect inclusive input from disadvantaged and under-represented groups.
  - (EEA3) Encourage States, Tribes, local stakeholders, and under-represented groups to adopt practices and prioritize projects that enhance multimodal access and coordinate land-use investment decisions.
  - (EEA4) Provide training and resources to encourage planners and policy makers to improve their understanding of the community and workforce needs of diverse and underrepresented areas and their historic context.
- Wealth Creation:** Reduce the effects of structural obstacles to building wealth.
  - (EWC1) Expand agency-wide support to better enable small businesses and disadvantaged business enterprises to compete for Federal grants and Federal-aid contracts.
  - (EWC2) Promote the use of local hire and on-the-job training programs.
  - (EWC3) Strengthen support to Historically Black Colleges and Universities, Hispanic Serving Institutions, and other Minority Serving Institutions for scholarship and job opportunities at FHWA.
  - (EWC4) Contribute to the economic development of Tribal communities by strengthening their ability to deliver transportation programs.
- Power of Community:** Empower communities through diverse stakeholder engagement with leaders to foster exchange and ownership.
  - (EPC1) Work with stakeholders to incentivize coordination with land-use, economic development, and other local organizations, including disability rights groups, to support collaboration and community input into the transportation decision-making process.
- Proactive Intervention, Planning, and Capacity Building:** Ensure that equity considerations for disadvantaged and underserved communities are integrated into the planning, development, and implementation of all transportation investments.
  - (EIO1) Use equity screening tools to provide more proactive stewardship and oversight of transportation improvement programs (TIP) and statewide transportation improvement programs (STIP) to assess disparate impacts on American Indian (AI) communities and individuals with disabilities.
  - (EIO2) Provide training, technical assistance, and guidance to better integrate equity considerations into workforce development, planning, project development, and program design and deployment with an emphasis on JAO communities.
  - (EIO3) Assess and update right-of-way acquisition and relocation policies to reduce harm and displacement of vulnerable populations.

**ANNUAL PERFORMANCE PLAN MEASURES**

- Reduce National Transportation Cost Burden, including Transportation Travel Cost as a Percentage of Income, by 5% by 2030
- Increase U.S. DOT Direct Contract Dollars to Small Disadvantaged Businesses from 18.2% in FY 2021 to 22% by FY 2026
- Increase Number of State DOTs Adopting and Implementing Identified Best Practices When Administering the Disadvantaged Business Enterprise Program on Design-Build Projects
- By 2025, Increase by 10% the Number of U.S. DOT Discretionary Grant Applicants from Disadvantaged Communities Who Have Never Applied for U.S. DOT Funding Before
- Utilize the Bill to Assess and Strengthen Civil Rights Program Capacity, Coordination, and Outcomes, including Fully Implementing the U.S. DOT's New Title VI Order, Planned to Meet the Bill Implementation Timelines
- Reduce the Number of Displacements Resulting from Federal-aid Highway Program Projects
- Complete Three Projects That Reconnect Communities That Were Divided by Transportation Corridors

For the latest updates on APP measures, review the U.S. DOT Annual Performance Plan: <https://www.transportation.gov/initiatives/budget/fy-2023-performance-plan>

# BIPARTISAN INFRASTRUCTURE LAW (BIL)\*

## Overview of Planning Provisions

## PART 2: IIJA/BIL - TRANSPORTATION PLANNING

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- § 11201 Transportation Planning
- § 11202 Fiscal Constraint of the MTP
- § 11204 Prioritization Process Pilot Program
- § 11206 Increasing safe and Accessible Transportation Options

### Public Involvement (IIJA/BIL §11201)

- States and MPOs may use social media and other web-based and virtual tools to further encourage public participation and to solicit public feedback during the transportation planning process. (23 USC 134(i)(6)(D) & 135(f)(3)(C))

## TMA MPO Representation (IIJA/BIL §11201)

- For MPOs serving a TMA, in designating officials or representatives for the MPO for the first time, subject to the bylaws or enabling statute of the MPO, the MPO shall consider the equitable and proportional representation of the population of the metropolitan planning area. (23 USC 134(d)(3)(D))

## MPO Coordination on Data (IIJA/BIL §11201)

- When more than one MPO has been designated to serve a single urbanized area, the MPOs serving that urbanized area shall ensure, to the maximum extent practicable, the consistency of any data used in the planning process, including information used in forecasting travel demand. (23 USC 134(g)(4))

## Housing Coordination (IIJA/BIL §11201)

- **Better connecting housing and employment** is added to the purposes of the transportation planning process. (23 USC 134(a)(1))
- MPOs are encouraged to consult with officials responsible for other planning activities in the area including **housing** to coordinate its transportation planning process with these activities to the maximum extent practicable. (23 USC 134(g)(3))
- MPOs shall include **affordable housing organizations** among the list of stakeholders and agencies whom the MPO shall provide a reasonable opportunity to be involved in the metropolitan transportation planning process.
- Added to Planning Factor (E): The metropolitan planning process shall provide for consideration of projects and strategies that promote consistency between transportation improvements and State and local planned growth, **housing**, and economic development patterns. (23 USC 134(h)(1)(E))

## Housing Coordination (cont.) (IIJA/BIL §11201)

- Participation by Interested Parties - Each MPO shall provide **affordable housing organizations** with a reasonable opportunity to comment on the MTP. (23 USC 134(i)(6)(A))
- MPOs serving a TMA may address the integration of **housing**, transportation, economic development strategies through a **housing coordination process**, and may develop a **housing coordination plan** as part of the transportation planning process. (23 USC 134(k)(4))

## MTP Development (IIJA/BIL §11201)

### Optional Scenario Development

- An MPO that voluntarily chooses develop multiple scenarios for consideration as part of development of the MTP is encouraged to consider assumed distribution of population and employment as part of developing multiple scenarios for the MTP. (23 USC 134(i)(4)(B)(iii))

## Fiscal Constraint of the MTP (IIJA/BIL §11201)

- The outer years of the metropolitan transportation plan (MTP) are defined as “beyond the first 4 years” of the MTP (previously, the outer years of the MTP were defined as beyond the first 10 years of the plan). (IIJA/BIL Sec. 11202)
- For the outer years of the MTP, the financial plan may reflect aggregate cost ranges/cost bands, as long as the future funding source(s) is reasonably expected to be available to support the projected cost ranges/cost bands.

## Prioritization Process Pilot Program (discretionary) (§ IIJA/BIL 11204)

Purpose	Pilot program to support data-driven approaches to planning that can be evaluated for public benefit.
Funding	\$50 M (FY 22-26) in Contract Authority from the HTF
Eligible entities	<ul style="list-style-type: none"> <li>• State</li> <li>• MPO serving an urbanized area with a population of &gt;200,000</li> </ul>
Other key provisions	<ul style="list-style-type: none"> <li>• Grants of up to \$2M to develop and implement a publicly accessible, transparent prioritization process for the selection of projects for inclusion in the Statewide or metropolitan transportation plan</li> <li>• Recipients that have met funding requirements may use remaining funds for any transportation planning purpose</li> </ul>

## Increasing Safe and Accessible transportation Options (IIJA Sec. 11206)

- States and MPOs shall use not less than 2.5 percent of their SPR and PL funds to undertake Complete Streets planning activities.
- “Complete Streets standards or policies” means standards or policies that ensure the safe and adequate accommodation of all users of the transportation system, including pedestrians, bicyclists, public transportation users, children, older individuals, individuals with disabilities, motorists, and freight vehicles.
- Opt out
- Match waiver

## FOR MORE INFORMATION

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- Please visit:  
[fhwa.dot.gov/bipartisan-infrastructure-law](https://www.fhwa.dot.gov/bipartisan-infrastructure-law)

## PART 3: MISC UPDATES

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- Monthly Emails
- Training? Request for UAB Workshop