

FHWA 500 Series Data Reporting

Lessons Learned and Best Practices
from the FHWA New York Division

Highway Information Seminar
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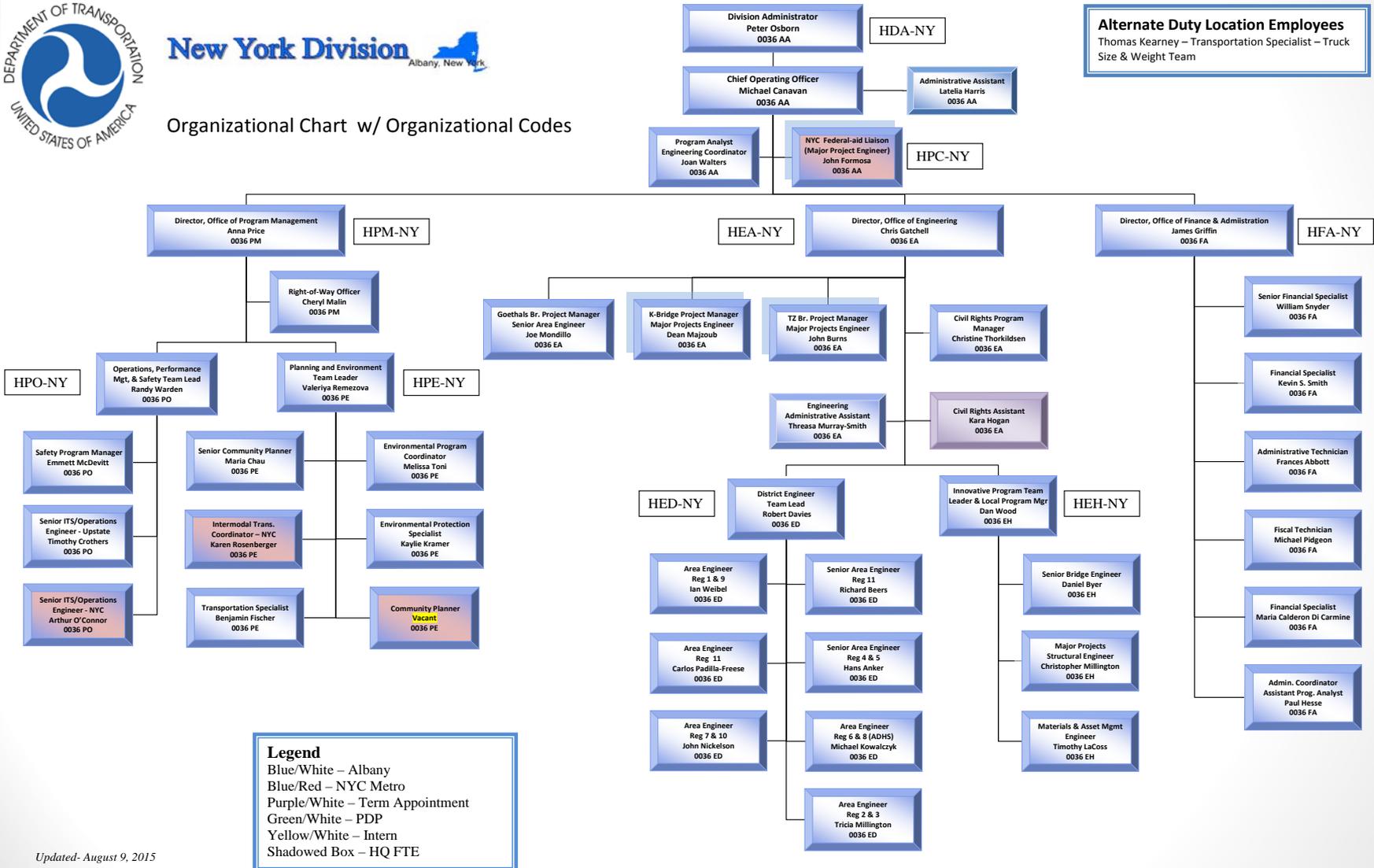
FHWA-NY Division Organization



New York Division
Albany, New York

Organizational Chart w/ Organizational Codes

Alternate Duty Location Employees
Thomas Kearney – Transportation Specialist – Truck Size & Weight Team



Legend
 Blue/White – Albany
 Blue/Red – NYC Metro
 Purple/White – Term Appointment
 Green/White – PDP
 Yellow/White – Intern
 Shadowed Box – HQ FTE

Updated- August 9, 2015

My Role in the FHWA-NY Division

Transportation Specialist responsible for the following Programs:

1. 500 Series Data Reporting
2. SPR Program Parts I & II
[Planning & Research]
3. Highway Performance
Monitoring System
4. Highway Use Tax Evasion
5. Heavy Vehicle Use Tax
6. Vehicle Size & Weight
7. Functional Classification
 - NHS Additions/Deletions
 - Interstate Designation
8. Urban Area Boundary
Adjustments
9. 5 MPOs
 - UPWPs
 - LRTPs
 - TIPs
10. S/TIP Amendments



Issues/Challenges



- Late reporting: New York State had fallen behind in 500 Series Data Reporting
- Staff turnover: both at State DOT and FHWA Division Office
 - Key POC for 500 Series Data Reporting retired from NYSDOT
 - Retirements and Promotions at FHWA-NY Division
 - Loss of institutional knowledge
 - New NYSDOT & FHWA-NY POCs responsible for 500 Series Data Reporting
- Communication issues:
 - No documented procedures or methodology for collecting and reporting 500 Series Data
 - NYSDOT didn't know other contacts from various State Agencies that collect and report 500 Series Data

Moving Forward...



- Researched old files and worked with HQ staff to identify the various State Agencies and individual contacts that report 500 Series Data.
- Created a tracking sheet, organized by 500 Series form number, to compile and manage the collection and submission of data. Tracking sheet lists each State Agency that reports data along with contact information for each agency representative.
- Called individual contacts at each State Agency. Found staff turnover to be common at other Agencies.
- Identified appropriate contact(s) at each of the State Agencies.
- Organized a meeting with all the representatives from the various State Agencies that collect and report 500 Series Data.



Next Steps



- Conducted a meeting with NYSDOT, NYS Tax & Finance, NYS Department of Budget, NYS State Comptroller, NYS DMV, and FHWA HQ.
- Reviewed Federal reporting requirements and consequences for non-compliance.
- Discussed roles and responsibilities for each State Agency and mapped out process for 500 Series Data Reporting on wall of conference room – flow of data collection, reporting, and submission.
- Decision to report 500 Series Data on Fiscal Year (Due Jan 1st)
- Access to UPACS and FUELS/FASH Application.
- Established an action plan to get New York State back on track with 500 Series Data Reporting that was workable for FHWA HQ and all the various State Agencies.

Roles and Responsibilities

500 Series Data Reporting Status Tracker



Form Number	Form Name	Category	Due Dates:		NY State Contact	FHWA HQ Contact
			Fiscal			
FHWA-531	State Highway Income	State Finance	1/1		Lee Gottfried, NYSDOT	Clarissa Smith
FHWA-532	State Highway Expenditures	State Finance	1/1		Lee Gottfried, NYSDOT	Clarissa Smith
					Catherine Middleton, NYS Jessica McBride, NYSDEC	
FHWA-541	State Transportation Obligations Issued	State Finance	1/1		Carrie Piser, NYS Office of the State Comptroller	Clarissa Smith
FHWA-542	Status of State Transportation Debt	State Finance	1/1		Carrie Piser, NYS Office of the State Comptroller	Clarissa Smith
FHWA-543	State Transportation Sinking Funds (Optional)	State Finance	1/1		Carrie Piser, NYS Office of the State Comptroller	Clarissa Smith
FHWA-534	State Highway Capital Outlay	Capital Outlay	2/15		Lee Gottfried, NYSDOT	Clarissa Smith
FHWA-539S	State Toll Facility Receipts and Disbursements	State Toll	N/A		Kyle Wood / Lee Gottfried, NYSDOT	Monique Snow
FHWA-539L	Local Toll Facility Receipts and Disbursements	Local Toll	N/A		Kyle Wood/Lee Gottfried, NYSDOT	Monique Snow
FHWA-536	Local Highway Finance Report	Local Finance	10/1		Mary Ann Berghela, NYS Office of the Comptroller Shawna Dennison, NYSDOT	Clarissa Smith
FHWA-562	State Driver Licenses and Fees	Driver's Licensing	1/1		Paul Gauthier, NYS DMV	Brian Lomax
FHWA-561	State MV Registrations, Registration Fees, and Misc.	Motor Vehicle	1/1		Paul Gauthier, NYS DMV	Brian Lomax
FHWA-566	State MV Registration Fees and Other Receipts; Initial Distribution by Collecting Agencies	Motor Vehicle	1/1		Paul Gauthier, NYS DMV	Brian Lomax
FHWA-571	Receipts from State Taxation of MV Operated For Hire and Other Motor Carriers	Motor Vehicle	1/1		Victoria Hunter, NYS Dept of Taxation and Finance	Brian Lomax
FHWA-551M	Monthly Motor Fuel Consumption	Motor Fuel	90 days		Victoria Hunter, NYS Dept of Taxation and Finance Shawna Dennison, NYSDOT	Bryant Gross
FHWA-556	State Motor Fuel Tax Receipts and Initial Distribution by Collecting Agencies	Motor Fuel	1/1		Christopher McManus, NYS DOB Victoria Hunter, NYS Dept of Taxation and Finance Lee Gottfried, NYSDOT	Bryant Gross

*Data submitted via Bi-Annual NYS Toll Facilities Data Report

<u>State Finance</u>	<u>Local Finance</u>	<u>Vehicle/Driver</u>	<u>Motor Fuel</u>	<u>Tolls</u>
NYS Comptroller	NYS Comptroller	NYS DMV	NYS Tax/Finance	NYSTA
NYS Police	(CAFR)	NYS Tax/Finance	NYS DOB	NYSB/TA
NYSDEC	NYSDOT	NYSDOT	NYSDOT	NYSPA
NYSDOT	(Accounting)			Etc.

Monitoring and Follow Up



- Monitored progress and checked-in with NYSDOT POC on a regular basis to ensure data was being sent to NYSDOT.
- Sent out “friendly reminders” to various State Agencies as needed.
- Followed up with HQ to ensure all data was received.
- Conducted “closeout” meeting with NYSDOT POC to review how the data reporting process went and to identify areas for improvement for next year’s reporting cycle.



- Suggestion for FHWA Division POC to send out email to State Agencies at beginning of next year’s reporting cycle to help facilitate the process.



Lessons Learned

- This experience highlights the importance of having FHWA staff in the field
- Importance of succession planning
- Need for written documentation
 - State DOT Procedures
 - FHWA Division Procedures
- Importance of communication
 - Partner with State Agencies
 - Conduct in-person meetings
- Monitor progress and follow up
 - FHWA POC needs to stay actively engaged throughout the reporting year



Best Practices



- Create a tracking sheet to track which Agency provides what data and to monitor the status of each 500 Series Data Form.
- Create written procedures that document the FHWA 500 Series Data Reporting process in your State.
 - In New York State, we are working on 2 versions – NYSDOT and FHWA-NY Division version.
- FHWA Division Representatives – consider holding periodic meetings with the all State Agencies responsible for 500 Series Data Reporting.
- Map out the process.
- FHWA Division POC – create an email Listserv and send out reminder emails to State partners – ongoing communication.
- Build relationships – Teamwork!



Questions and Comments



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Thank You!