Chapter 3
UNIFIED PLANNING WORK PROGRAM

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3.1 PURPOSE

This chapter provides guidance to the Districts and Central Office units of the Department to assist Metropolitan Planning Organizations (MPOs) in the development, implementation, and financial management of funds of the Unified Planning Work Program (UPWP). The UPWP provides a biennial planning work program that identifies the transportation planning budget and activities to be undertaken in the metropolitan area. The UPWP includes tasks for two (2) years and the MPO adopts a new UPWP every other year.

3.2 AUTHORITY

23 C.F.R. 420 (Planning and Research Program Administration)

23 C.F.R. 450.308 (Unified Planning Work Programs)

23 U.S.C. 134 (Metropolitan Transportation Planning)

23 U.S.C 135 (Statewide Planning)

23 U.S.C. 139 (Efficient Environmental Reviews for Policy Decision Making)


49 C.F.R. 18 (Uniform Administrative Requirements for Grants and Cooperative Agreements to States and Local Governments)

49 C.F.R. 29 (Governmentwide Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug-free Workplace (Grants))

FTA Circular 8100.1C (Program Guidance for Metropolitan Planning and State Planning and Research Program Grants)

Chapter 215.97, Florida Statutes (F.S.) (Florida Single Audit Act)

Chapter 339.175 (9), F.S. (Metropolitan Planning Organizations)

[NOTE: The many due dates and deadlines noted in this chapter are driven largely by the Department's requirements for Work Program development under section 339.135, F.S., federal requirements, and the variance of fiscal years between the state (July 1-June 30) and the federal government (October 1-September 30). These due dates and deadlines are intended to provide adequate and reasonable times for the development, review and approval of the UPWP and documents necessary to efficiently administer UPWP funds. The due dates and deadlines represent current practice and have been arrived at through a consensus between the Department, Federal Highway Administration (FHWA), Federal Transit Administration (FTA), and the MPOs, and is consistent with the continuing, cooperative and comprehensive metropolitan planning process mandated by 23 U.S.C. 134(c)(3).]
3.3 REFERENCES

Form SF-LLL "Disclosure of Lobbying Activities Form," Federal Office of Management and Budget


Federal Office of Management and Budget Circular A-133, "Audits of States, Local, and Non-Profit Organizations,"

Form No. 725-030-06, Public Transportation Joint Participation Agreement

Form No. 725-030-06E, Public Transportation Joint Participation Agreement, Exhibits

FDOT Procedure No. 725-000-005: Public Transportation Joint Participation Agreement

FDOT Work Program Instructions

23 U.S.C. 134

49 U.S.C. 5303

Title VI of the Civil Rights Act of 1964 and the Title VI assurance executed by each state under Title 23 Section 324, United States Codes (U.S.C.) and Title 29, Section 794, U.S.C.

3.4 SCOPE

The Code of Federal Regulations defines a Unified Planning Work Program (UPWP) as "a statement of work identifying the planning priorities and activities to be carried out within a metropolitan planning area. At a minimum, a UPWP includes a description of the planning work and resulting products, who will perform the work, time frames for completing the work, the cost of the work, and the source(s) of funds." (23 C.F.R. 450.104) This chapter is to be used by the Department and MPOs as a guideline in the development, review, and administration of the UPWP.

3.5 TENTATIVE WORK PROGRAM DEVELOPMENT

Each year in late summer, the Department begins a new Tentative Work Program cycle in order to program funds for the state fiscal year beginning the following July 1. Available federal funds are determined by apportionments from the Federal Highway Administration (FHWA). These funds are distributed according to the approved distribution formulas. The distribution of these funds can be found in the Program...
Allocation Guide of the Department’s Work Program Instructions. Available state funds are distributed by formula to each District and are referred to in the Work Program Instructions as “targets.” The Department’s current Work Program Instructions are the source for detailed information on authorizations, targets and the appropriate use of each fund type.

3.6 UPWP FUNDING

UPWPs are funded primarily with PL funds; however, an MPO may use other eligible funds for their UPWP, provided the guidelines for use of these funds are met. Other funds include Surface Transportation Program Funds (STP), National Highway Funds (NHS), Equity Bonus (EB), Federal Transit Administration (FTA), Transportation Disadvantaged (TD), State funds (D) and Local funds. State and local funds are used to provide the non-federal match for FTA funds.

3.6.1 Metropolitan Planning (PL) Funds

FHWA Metropolitan Planning (PL) funds are provided for in each Surface Transportation Act, the most recent being the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU). MPO programs are generally funded by FHWA Metropolitan Planning (PL), Surface Transportation Program (STP), State (D), Transportation Disadvantaged (TD) Trust and Federal Transit Administration (FTA) Section 5303 funds. Once these funds are programmed and the Department adopts the Work Program, execution of the Joint Participation Agreement (JPA) can begin. The steps to execute a JPA vary slightly for each fund type.

The distribution of PL funds is accomplished through a formula developed by the FDOT in consultation with the MPOs and must be approved by the FHWA. [23 C.F.R. 420.109(a)]. In developing the formula for the distribution of PL funds, various factors must be considered including population, status of planning, attainment of air quality standards, and metropolitan area transportation needs [23 C.F.R. 420.109(b)]. The formula is updated as needed when there are significant changes in federal law, changes in air quality designations or a change in the number of MPOs. The Department’s Program Development Office in Central Office is responsible for applying the PL distribution formula and for tracking the available balance for each MPO. The Program Development Office provides the Districts with an MPO tracking report. It is extremely important that the MPO checks the tracking report (PL spreadsheet) to have the most current information regarding available PL funds. Contact the Department’s Program Development Office (or your respective District Liaison) for information regarding the current formula.

The MPOs available balance for a given year includes the following:

1) The amount of new PL funds allocated by formula;

2) The carry forward funds that have not been obligated/used in the prior years;
3) The de-obligated funds from the prior years’ UPWP; and

4) The close-out funds from the prior UPWP.

The amount of new PL funds for the upcoming fiscal year and the four succeeding years appears in the Department’s Work Program Instructions under Schedule A. Each District is responsible for programming the Schedule A amount of funds in the Tentative Work Program. The work program instructions can be accessed at: [http://www.dot.state.fl.us/programdevelopmentoffice/Development/WP_instructions.shtm](http://www.dot.state.fl.us/programdevelopmentoffice/Development/WP_instructions.shtm)

Currently, the state provides 100 percent of the required match (soft match) to secure PL funds with toll credits. Toll credits are not actual dollars that can be expended. Soft match credits do not appear in the Work Program. **However, the MPO needs to show the amount of toll credits that are used to match PL funds in the UPWP.**

### 3.6.2 Surface Transportation Funds

The Surface Transportation Program (STP) is a federal-aid highway flexible funding program that funds a broad range of surface transportation capital needs including roads, transit, sea and airport access, vanpool, and bicycle and pedestrian facilities. Transit-related planning, research, and development activities are eligible uses of STP funds. STP Urban Funds are available to MPOs designated as Transportation Management Areas (TMAs). These funds are coded SU in the Work Program for TMAs. The MPO, in consultation with the District, may choose how to use SU funds. Currently, the state provides 100 percent of the required match (soft match) to secure SU funds with toll credits. Toll credits are not actual dollars that can be expended. Soft match credits do not appear in the Work Program. **However, the MPO needs to show the amount of toll credits that are used to match SU funds in the UPWP.**

### 3.6.3 Federal Transit Administration Funds

Federal Transit Administration (FTA) funds are secured annually through the FTA Metropolitan Planning Program, Section 5303. FTA funds require a non-federal match, FTA funds at 80%, with a 20% required non-federal match. The specific requirements for these funds is outlined in Form No. 725-030-06, Public Transportation Joint Participation Agreement and Form No. 725-030-06E, Exhibits, at [http://ombnet.dot.state.fl.us/forms/formsbynum.asp?index=7](http://ombnet.dot.state.fl.us/forms/formsbynum.asp?index=7) and in Department Procedure 725-000-005: Public Transportation Joint Participation Agreement at: [http://ombnet.dot.state.fl.us/procedures/ProceduresbyNumber.asp?type=procedure&index=7](http://ombnet.dot.state.fl.us/procedures/ProceduresbyNumber.asp?type=procedure&index=7).

### 3.6.4 Local Funds

Any funds other than state or federal that are applied to the planning program are considered local funds. Local funds are required as a match for FTA funds and may be used to meet a project costs for other Federal funds. **The use of Local Funds (LF) is**
described in the Department’s Work Program Instructions.

3.6.5 State Funds

The use of State Funds (D) is described in the Work Program Instructions. State funds are used as a non-federal match for FTA funds. District D fund targets are found under Schedule B in the Work Program Instructions.

3.7 MATCHING FUNDS

In order to secure FTA funds, the state and/or local government must place matching funds on a project. The state and local funds used as match must be shown in the Department’s Work Program. FTA provides 80% with a required 20% match from non-federal sources. The specific percentages can be found in the Department's Work Program Instructions.

Currently, the state provides 100 percent of the required match (soft match) to secure PL and SU funds with toll credits. Toll credits are not actual dollars that can be expended. Soft match credits do not appear in the Work Program. However, the MPO needs to show the amount of toll credits that are used to match PL and SU funds in the UPWP. Even though the state is providing the soft match, an MPO may elect to use local funds on PL funded projects instead of the soft match. An MPO may use SU funds to meet a projects cost. See the Department’s Work Program Instructions for further details and programming guidelines for the soft match.

3.8 ELIGIBILITY OF PROJECT EXPENDITURES

Federal and state laws and regulations govern the types of activities that are eligible for federal and state funding. Some activities require individual coordination by the MPO, with the District, and FHWA. Costs will be eligible for FHWA participation provided that the costs are for activities eligible under Title 23, are verifiable from the MPO’s records, are necessary and reasonable for the accomplishment of program objectives, and meet other criteria for eligible costs identified at 49 C.F.R. 18.22. Costs are eligible for reimbursement with the prior approval of the FHWA. [23 C.F.R. 420.113(a)] Please note: in addition to defining the eligibility for the purchasing of equipment, 2 C.F.R part 225 (Circular A-87) also establishes the principles and standards for determining costs for Federal awards carried out through grants, cost reimbursement contracts, and other agreements with State and local governments and federally-recognized Indian tribal governments. The State has some additional restrictions on the expenditure of funds (e.g. food and refreshments) that the Federal government does not have. These additional restrictions can be found in the Florida Administrative Code, Chapter 69 I. Specifically, these restrictions are found in Section 69I-40.103 Restriction of Expenditures.

FHWA will, on a case-by-case basis, allow MPOs to purchase equipment as a direct expense with PL funds. Equipment is defined as any tangible, nonexpendable personal
property having a useful life of more than one year and acquisition cost of $5,000 or more per unit [49 C.F.R. 18.3]. Specific approval by the FHWA and the District is not required for equipment costs under $5,000. However, these items should be programmed and itemized in the applicable UPWP tasks. This will allow the equipment costs under $5,000 to be approved with the approval of the UPWP provided proper documentation is in the UPWP, as specified below. All proposed equipment purchases must comply with 49 C.F.R. 18.32 and 18.33, and the Federal Office of Management and Budget 2 C.F.R. Part 225 Cost Principles for State, Local and Indian Tribal Governments (Circular A-87).

The following information is required to obtain approval by the District to purchase equipment. This information shall be included as a separate task or incorporated into an appropriate associated task:

1. A list of the equipment to be purchased with its description and cost;
2. The specifications and/or a detailed description of the equipment;
3. Justification for the purchase of each piece of equipment;
4. An estimate of the percent of time the equipment will be used for transportation planning and for other functions;
5. A description of how the new equipment will complement existing equipment;
6. Information on responsibility for the maintenance of equipment purchased; and
7. Information on responsibility for training users if needed.

District staff will review the MPO’s proposed purchase acquisition as part of the District’s review of the UPWP and forward their recommendation to the FHWA. The FHWA will consider the MPO’s equipment purchase proposal during its review of the UPWP. The MPO must not procure any equipment prior to FHWA’s approval of the UPWP.

The FHWA and the Department further require the MPO to maintain property records for all property obtained through federal funding. [49 C.F.R. 18.32(d)] A physical inventory of the property must be taken at least once every two years and the results reconciled with the MPO’s property records. [49 C.F.R. 18.32(d)] Property records for equipment include:

1. Description of the type of equipment including all peripheral items;
2. Manufacturer;
3. Vendor (source of the property);
(4) Model number;
(5) Serial or other identification number;
(6) Date purchased and initial cost;
(7) Percent of federal reimbursement;
(8) Maintenance and repair service costs;
(9) Title owner;
(10) Location, use and condition of the equipment; and
(11) Disposition of the equipment (including the date of disposal and sale price), if applicable.

A control system to safeguard the equipment and maintenance procedures must meet the requirements of 49 C.F.R. 18.32. Disposal of equipment purchased with PL funds must be disposed of in accordance with state laws and procedures according to 49 C.F. R. Part 18.32(e).

3.9 STANDARD MPO AGREEMENTS

Depending on the types of funds the MPO is anticipating using will determine the Standard Agreement form to be utilized. There are separate agreement forms for the use of FHWA fund categories and for the use of FTA funds.

3.9.1 Joint Participation Agreements

A Joint Participation Agreement (JPA) is the standard contract between the MPO and the Department to undertake the planning studies listed in the UPWP. The PL Funds JPA is continuing and does not need to be renewed annually. It shall be reviewed and updated, if necessary, every five years as required by 339.175(10), F.S. The standard PL Funds JPA is Form No. 525-010-02 and can be downloaded by the Liaison from the Form section of the Department's Intranet.

The JPA for Surface Transportation Program funds and State D funds are both executed annually. A standard JPA contains a body of standardized legal language, an exhibit A encompassing the Scope of Services, an exhibit B showing the funding sources and amounts, and other exhibits covering any special conditions not included in the standard language. The standard JPA used for this purpose is the Public Transportation JPA, Form No. 725-030-06 and Form No. 725-030-06E. This document can also be downloaded by the Liaison from the Forms section of the Department's Intranet.
Once the JPA is executed, a contract status change form must be submitted to the District Fiscal Office indicating that the MPO may now invoice the Department for the work performed as it relates to the tasks in the UPWP and/or Public Transportation JPA.

### 3.9.2 Supplemental Agreements

Supplemental agreements for funds other than PL funds are handled in a manner similar to the execution of the original JPA. An additional scope of services will help determine if more funds are actually needed and whether a new expiration date is required. New supplemental agreements must be coordinated between the District and the MPO.

Requests to extend the expiration date of a JPA for funds other than PL funds must be submitted no less than 30 days prior to the expiration date to the FDOT District Liaison. Time extensions must be approved on or before the expiration date by the FDOT District Intermodal System Development Manager. The time extension request should include the Financial Management System number (FM #), the date the contract was signed, the original expiration date, the requested new expiration date, and a justification for the extension. If the current date passes without an approved extension, the JPA will expire, no extension can be granted, and no reimbursements can occur until the execution of a new JPA can be approved.

### 3.10 THIRD PARTY AGREEMENTS

Third party agreements occur when the MPO enters into an agreement with a party other than the Department to perform UPWP work activities. Consultant contracts shall be in accordance with the applicable requirements of Florida State and Federal law outlined in the Transportation Planning Funds Joint Participation Agreement, Form No. 525-010-02, Section 2.11, Contracts of the MPO.

**PL funds cannot be advanced and are distributed on a reimbursable basis only.** In order for MPOs to reimburse a third party, an agreement will be required to incorporate the terms and conditions of MPO funding and interlocal agreements. Prior to execution, a draft scope of work and the consultant contract agreement shall be reviewed within the consultative process by the Department and the FHWA. The scope of work shall reference the task number within the UPWP where the funds are identified. Approval of requests for disbursements from third party agreements shall be contingent upon submittal of satisfactory backup and supporting material, including progress reports and technical reports. This requirement shall be clearly stated in the agreement.

### 3.11 UPWP CONTENT AND FORMAT

The proposed use of FHWA planning funds must be documented in a biennial UPWP that is acceptable to the FHWA. If NHS, STP or EB funds are used for planning purposes, they must be identified separately from the PL funds [23 CFR 420.119(e)]
The UPWP shall include a description of the work to be accomplished and the cost
estimates for each activity. [23 C.F.R. 420.111(b)] The cost estimates must be broken out by fiscal year. An example is shown in Figure 3A.

The MPOs are encouraged (and MPOs in TMAs are required) to include cost estimates for transportation planning, research, development, and technology transfer-related activities funded with local, state, or federal funds other than those authorized under Title 23. [23 C.F.R. 420.111(e)] This information can be included as a task or a separate list. The information could be obtained through your Technical Advisory Committee. The following information should be provided for each planning study:

1. Name of the study and a short description of work to be accomplished;
2. The cost, or the approximate cost, of the study;
3. The source(s) of funding used to pay for the study; and
4. Who is conducting the study.

Alternative Analysis studies are planning studies done by local agencies using FTA Section 5339 funds. These studies would need to be included in the UPWP. For District wide studies listed in the State Planning Research (SPR) report, the MPOs need to include studies if they are location specific. For instance, a district wide traffic collection effort is not corridor or location specific. A revision can be done to the UPWP to add the planning studies not carried out by the MPO (See Section 3.18). PD&E studies are not considered planning studies and are contained in the TIP/STIPs of the MPOs.

Below is an example of a matrix you could use to record your planning studies in the MPO area not funded by an MPO:

<table>
<thead>
<tr>
<th>Planning Studies in MPO Area</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Name and Study Description</strong></td>
</tr>
<tr>
<td>SR 42/Briarcliff Road Corridor Study-Corridor study includes traffic analysis, review of intersections and operations conditions on the corridor from Clifton Road to Druid Road</td>
</tr>
<tr>
<td>Lehigh Valley Bus Rapid Transit Analysis-Determine feasibility of bus rapid transit lanes on US 41 from Lehigh Ave. to Belmont Ave.</td>
</tr>
</tbody>
</table>

If an MPO is transferring STP funds to an agency/local government to be used for a planning study this would need to be reflected as a task in the UPWP.

The general format and content for UPWP development, as outlined below, is acceptable to FHWA and FTA. Other formats may also be acceptable provided they
meet all federal requirements and provide the information listed in the next several sections. The UPWP must include a Cover Page and an Introduction. It is recommended at least three (3) sections, including, Organization and Management, Work Elements, and Summary Budget Tables be used.

3.11.1 Cover Page

The Cover Page must include, per the Florida Office of Inspector General:

1. Name of the MPO;
2. Catalog of Federal Domestic Assistance (CFDA) Number;
3. Identification of agencies providing funds for the UPWP;
4. Federal Aid Project (FAP) Number;
5. Financial Project (FPN) Number (this is the FM number);
6. State fiscal years the UPWP covers; and
7. MPO website address, and other contact information including mailing address, telephone and fax numbers.

3.11.2 Introduction

The Introduction section must include:

1. A brief definition of the UPWP;
2. A current overview of the status of comprehensive transportation planning activities;
3. A discussion of the planning priorities for the metropolitan planning area and should identify the local priorities. For example, if a metropolitan planning area is experiencing a significant rate of growth, appropriate planning priorities should be identified to address increased development, traffic volumes, and planning for the area’s future transportation system;
4. A description of the metropolitan transportation and transportation related air quality planning activities (if applicable) anticipated in the non-attainment area regardless of funding sources or agencies conducting air quality activities;
5. Planning tasks to be performed with funds under Titles 23 and 49 Federal Transit Act;
(6) A description of the public participation process used in the development of the UPWP; and

(7) Any State Planning Emphasis Areas and/or any Federal Planning Emphasis Areas that have been identified.

3.11.3 Organization and Management

The Organization and Management section consists of a narrative that discusses the following:

(1) Identification of participants and a brief description of their respective role(s) in the UPWP metropolitan area transportation planning process;

(2) Discussion of appropriate MPO agreements;

(3) Identification and discussion of operational procedures and bylaws;

(4) Any required forms, certifications, and assurances; and

(5) A matrix that identifies how each task relates to the state planning emphasis areas and/or federal planning emphasis areas, if applicable.

3.11.4 UPWP Work Elements

The Work Elements Section consists of descriptions of the major work products and tasks the MPO proposes to undertake. It is not intended for the examples listed here to be an all inclusive list or that the work element sections be named exactly as shown below.

(1) Administration

The administration section describes task functions required to manage the transportation planning process on a continual basis including program administration, development, review and reporting, anticipated staff development and an annual audit (see Chapter 6). The annual audit shall be performed in accordance with 49 C.F.R. 18.26, OMB Circular A133, and Section 215.97, F.S. Copies of the audits should be forwarded to the FDOT District Liaison and the FHWA Planning Liaison as they become available to the MPOs.

(2) Data Collection

This section includes work tasks needed to monitor area travel characteristics and factors affecting travel such as socioeconomic,
community and land use data, transportation system data, natural, physical, and human environmental concerns and issues.

(3) Transportation Improvement Program (TIP)

Tasks required for the development and management of the TIP.

(4) Long-Range Transportation Plan (LRTP)

This section addresses the planned actions to be taken in this UPWP for developing the LRTP.

(5) Special Project Planning

This section is intended for non-recurring planning projects and/or projects that do not fit easily into other categories. If there is a need to address a Federal TMA or FDOT certification finding as a task, this could be addressed here.

(6) Regional Planning

The Planning Funds (PL) Formula includes a provision that each MPO set aside a specified amount for regional planning. This section should include a description of the planning activities the MPO plans to conduct with other MPOs and/or counties. For multi-county MPOs, it is acknowledged that much of the work they do within their planning boundaries is already regional by nature. Nevertheless, they are encouraged to look for opportunities to partner with other MPOs and/or counties.

(7) Public Participation

This section describes the tasks necessary to implement the MPO’s public participation program during the development of the UPWP, LRTP, TIP, and other plans and programs as required.

(8) Systems Planning

Recurring planning studies/projects, be they transit, bike/ped, Transportation Demand Management, or transportation disadvantaged planning, should be included in this section.

Additional work elements related to transit, energy, short-range transportation planning including Congestion Management Process, Transportation Disadvantaged (TD), intermodal/multimodal planning, Intelligent Transportation Systems (ITS), and air quality planning shall be included when applicable.
3.11.5 Task Sheets

23 C.F.R. 450.308 (c) requires the UPWP to identify the work proposed for the next 1 to 2 years by major activity and task; in sufficient detail to indicate who will perform the work; the schedule for completing the work; the resulting products; the proposed funding by activity/task; and a summary of the total amounts and sources of Federal and the non Federal match when using FTA funds. If an MPO uses local funds to supplement STP or match PL funds the local contribution must be shown. Each task in the UPWP is to be identified under an individual task sheet that includes the following items:

(1) Task number and title;

(2) Purpose;

(3) Previous work completed;

(4) Proposed methodology
   a) How task will be performed
   b) Who will perform the task, e.g. agency/consultant;

(5) Responsible agency or agencies, e.g. who manages the contract;

(6) Proposed funding source(s) with anticipated costs for each task as identified in Table 2: Funding Sources at the end of the UPWP; and

(7) A schedule that adequately describes the activities that will take place during the year(s) including:
   a) A schedule of milestones or benchmarks to be used to measure progress;
   b) End product(s); and
   c) Estimated completion date(s).

An example of a task sheet is shown below in Figure 3A.
FIGURE 3A SAMPLE TASK WORK SHEET
Task 1 Unified Planning Work Program

PURPOSE:
To develop the FY 2012/13- FY 2013/14 Unified Planning Work Program.

PREVIOUS WORK COMPLETED:
FY 2010/2011-2011/2012 UPWP

METHODOLOGY:
The UPWP identifies by task number all planning work to be performed by the MPO, the
funding sources assigned to each task, and a general methodology to accomplish the
work for each task. When developing the UPWP, staff coordinates with state and
federal agencies to determine if any planning emphasis areas (PEAs), Federal
Planning Emphasis Areas or Federal Planning Factors have been identified by these
agencies. Staff also coordinates with local agencies to determine local projects involving
state or federal funds. The draft document is reviewed and approved by the CAC, TAC
and the MPO Board.

END PRODUCT:
FY 2012/13 – 2013/14 Unified Planning Work Program

<table>
<thead>
<tr>
<th>Responsible Agency</th>
<th>Completion Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>MPO</td>
<td>Draft FY March 15, 2012</td>
</tr>
<tr>
<td></td>
<td>Final FY May 15, 2012 Adoption by MPO</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Year 1 - FY 2012/13</th>
<th>FUNDING SOURCES</th>
<th>FEDERAL (PL)</th>
<th>FTA 5303</th>
<th>FTA STATE MATCH</th>
<th>FTA LOCAL MATCH</th>
<th>LOCAL ASSESSMENT (1)</th>
<th>TOTAL</th>
</tr>
</thead>
<tbody>
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<td>1,400</td>
<td>8,640</td>
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3.11.6 Summary Budget Tables

The following budget tables identify agency participation and funding sources.

1. Table 1: Agency Participation identifies participating agencies with respective funding commitments by task with line and column totals. There should be a separate column indicating the dollars that will be billed to consultants. If the MPO uses a mixture of fund types for consultant work (e.g., PL and 5303), the table should clearly identify what the amount is for PL funds and FTA funds. An example of Table 1 can be found in Appendix C.

2. Table 2: Funding Source lists current year funding by program source for each task with line and column totals. The Department will soft match the PL funds and any SU funds using toll revenue expenditures as a credit toward the non-federal matching funds. An example of Table 2 can be found in Appendix C. Please note: Each UPWP should include one set of Tables 1 and 2 for Year 1 (e.g., 2012/13) and another set for Year 2 (e.g., 2013/14).

3. Table 3: FTA Deliverables Table lists each task receiving FTA funds, the amount allocated for the task; the specific deliverable/end product that the task will produce; and, the page number(s) on which the FTA task appears.

3.11.7 Joint Certification Package

The timing of the annual certifications is meant to provide input into the development of the UPWP. This section of the UPWP should include the signed certification statement, a summary description of any noteworthy achievements, and a list of any corrective actions and/or recommendations. If there are any attachments associated with the noteworthy achievements, they can be sent separately. Although the UPWP is adopted every other year, the MPO’s certification must occur annually. This is because certification is tied to approval of the TIP and STIP, which in Florida is submitted annually. During Year 1, the certification will be a stand-alone process since no UPWP is adopted that year. Copies of the certification packages in year 1 must be sent to FHWA, FTA and the MPO Statewide Coordinator. See Chapter 7 of the MPO Handbook for more information on the certification process.

3.11.8 Statements and Assurances

The UPWP should include several signed policy statements which must be signed and
submitted on an annual basis. These statements cover the areas of debarment, disadvantaged business enterprises, and lobbying. Copies of these statements and assurances can be found in Appendix B.

(1) **Debarment and Suspension:** This statement assures that FHWA funds have not been used for procurement from persons who have been debarred or suspended in accordance with the provisions of 49 C.F.R. 29, subparts A through E. This certification statement is provided to satisfy the requirements of federal regulations regarding debarment and suspension. Each MPO should coordinate with their legal counsel on this item.

(2) **Disadvantaged Business Enterprise:** This statement certifies that the MPO and its consultants will comply with federal requirements pertaining to participation of DBEs in federally awarded contracts.

(3) **Lobbying:** Pursuant to 31 U.S.C. 1352, the MPO must annually certify to the FHWA that no appropriated federal funds are being used to influence, or attempt to influence (lobby), any member of Congress or their employees in connection with the awarding of any contract, grant, loan, cooperative agreement, or the extension, continuation, renewal, amendment or modification of any existing contract, grant loan or cooperative agreement.

If any funds other than federally appropriated funds have been, or will be, paid to any person for the influencing, or attempting to influence, a member of Congress or its employees in connection with a federal contract, grant, loan or cooperative agreement, the MPO must in accordance complete **Standard Form LLL - Disclosure Form to Report Lobbying** to serve as the **Lobbying Certification Statement**.

The Certificate for Contracts, Grants, Loans and Cooperative Agreements for all federal grants in excess of $100,000 must be signed annually by the **MPO chairperson**. This statement should also be included in the UPWP.

### 3.11.9 Title VI Nondiscrimination Agreement

As a sub-recipient of the Florida Department of Transportation, each MPO is required to sign a Title VI and Related Statutes Nondiscrimination Agreement with the State to assure Title VI and other non-discrimination authorities’ compliance. The official name of the form is **Title VI/Nondiscrimination Policy Statement**. The sample policy statement is included in Appendix B.

The Nondiscrimination Agreement acts as the MPO’s Title VI Plan pursuant to 23 CFR Part 200 and the Federal Highway Administration’s Title VI Implementation Guide. It includes all of the Title VI requirements that an MPO agrees to take on in return for receiving Planning (PL) funds from the State.
The Title VI Nondiscrimination Agreement must be signed annually by the MPO’s signature authority. Normally, it is submitted with the Unified Planning Work Program (UPWP). District Planning staff are encouraged to work with their Title VI Program Area Officer when reviewing the agreement for compliance with the Title VI Nondiscrimination Program.

3.12 UPWP DEVELOPMENT, REVIEW AND APPROVAL

3.12.1 Early Steps in UPWP Development

In December, the Office of Policy Planning and/or the Public Transportation Office sends the District any statewide and/or regional tasks and/or Planning Emphasis Areas (PEA’s) they have identified. The Program Development Office also provides the Districts and the MPOs with the latest MPO balance sheet for UPWP development. The balance sheet will include separately the Year 1 allocation and, for illustrative purposes, the anticipated Year 2 allocation. No later than January, the District begins early coordination with the MPO and provides technical assistance to the MPO on preparation of the UPWP. At that time, the District will provide to the MPO any new tasks and the most recent estimates of FHWA and FTA metropolitan planning funds available to the MPO. It is very important the balance sheets (PL spreadsheet provided by FDOT) be checked against the UPWP. The FHWA and/or the FTA should be consulted early in the UPWP development process if the MPO and/or the Department identify issues that require additional discussion. The MPO is encouraged to initiate a “kick off” meeting with their respective District(s), who may invite FHWA/FTA and other transportation partners to attend. The MPO should develop the UPWP in accordance with a documented public participation plan consistent with 23 C.F.R. 450.316.
FIGURE 3B  DEVELOPMENT, REVIEW AND APPROVAL OF THE UPWP

DECEMBER/JANUARY
Office of Policy Planning and Transit Office provide the Districts the Planning Emphasis Areas. FDOT Program Development Office provides the District with the latest PL balance sheet. District conducts UPWP kickoff with MPO. MPOs develop draft UPWP.

NO LATER THAN MARCH 15
MPO transmits Draft UPWP as shown in Figure 3C.

Within 5 Working Days
District distributes Draft UPWP as shown in Figure 3C.

NO LATER THAN APRIL 15
District provides their comments and other agency comments back to the MPO. FHWA and FTA are copied on District comments.

NO LATER THAN MAY 15
MPO addresses comments and adopts Final UPWP. Distributes UPWP as shown in Figure 3C.

Within 10 Working Days
District reviews Final UPWP and identifies any outstanding issues. District distributes Final UPWP as shown in Figure 3C.

NO LATER THAN JUNE 1
District transmits Final UPWP to FHWA, FTA and Central Office recommending approval, disapproval, or conditional approval.

NO LATER THAN JUNE 30
The MPO and District must resolve any outstanding issues or funding could be delayed.

FHWA and FTA approve UPWP by JUNE 30.
3.13 REVIEW OF THE DRAFT UPWP

No later than March 15 during update years, the MPO will transmit the draft UPWP to reviewing agencies as shown in Figure 3C. The District shall distribute copies to agencies within five working days of receipt with internal distribution by the District as deemed appropriate. The District shall review the draft UPWP for format and content based on the guidance and checklist found in Appendix A. The District shall complete this review and provide comments within 30 calendar days of receipt of the draft UPWP to the MPO. Copies of District comments should be transmitted to FHWA and FTA. During the 30 day review period, the District will coordinate with the MPO to ensure the UPWP addresses Department concerns. Agencies receiving the draft UPWP for review from the Department should provide comments to the District and the MPO within 30 days of receipt.

Note to Districts: Please make sure that only one version of the Draft UPWP is sent out for review. Review agencies, including FHWA and FTA are working on a timeline. Please do not send out preliminary drafts only to follow them up with final drafts.

3.13.1 Adoption and Submittal of the UPWP

By May 15, the MPO will address all comments and adopt the Final UPWP. The District Liaisons and the MPOs will distribute the final UPWP according to the list in Figure 3C. Delays in the implementation of this schedule may jeopardize the timely receipt of federal PL funds by the MPO. The District must coordinate closely with the MPO to assist in meeting these deadlines.

Electronic copies such as CDs and e-mail pdf attachments are acceptable as indicated in Figure 3C. Links to websites are not acceptable for the purpose of submitting copies of UPWPs to agencies. It is important that the final copies of the UPWP sent to OPP, FHWA, and FTA come from the FDOT District, not the MPO, with a submittal letter recommending approval.
### FIGURE 3C DISTRIBUTION OF THE DRAFT AND FINAL UPWP

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<tr>
<td>Federal Aviation Administration Airport District Office</td>
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</tr>
<tr>
<td>Planning Specialist</td>
<td></td>
</tr>
<tr>
<td>Attn: Rebecca Henry</td>
<td></td>
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<tr>
<td>5950 Hazeltine National Drive, Suite 400</td>
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- **FDOT District**
  - None
  - As agreed by district and MPO

- **MPO Statewide Coordinator**
  - Office of Policy Planning
  - 605 Suwannee St.
  - Mail Station 28
  - Tallahassee, FL 32399-0450

- **Administrator, Transit Planning**
  - 605 Suwannee Street
  - Mail Station 26
  - Tallahassee, FL 32399-0450

- **Transportation Disadvantaged Director**
  - 605 Suwannee Street, Mail Station 49
  - Tallahassee, FL 32399-0450

- **For MPOs with Turnpike Projects:**
  - Florida Turnpike Planning Manager
  - Building 5315
  - P.O.Box 613069
  - Ocoee, FL 34761

- **Division Administrator**
  - Florida Division FHWA
  - Mail Station 29
  - Tallahassee, FL 32303

- **Region Administrator**
  - Federal Transit Administration - Region IV
  - 230 Peachtree St. NW
  - Suite 800
  - Atlanta, GA 30303

- **FDOT District internal distribution**
  - As agreed upon

CDs or electronic PDF files can be sent.

### 3.13.2 District Review of the Final UPWP

Within **10 working days** of receipt, the District shall review the final UPWP for format and content using the UPWP Review Checklist and the Department's and other
agencies’ comments on the Draft UPWP. The UPWP Review Checklist can be found in Appendix A. The MPO shall address any problems resulting from the District’s review and suggest ways to resolve those comments not addressed in the final UPWP as submitted. The District will transmit the MPO’s response and comments to the FHWA, the FTA, and the Public Transportation Office.

The District will transmit copies of the final UPWP to FHWA for their receipt prior to June 1. Based on the review of the final UPWP, the District shall make a recommendation for approval, conditional approval, or disapproval of the UPWP in its transmittal letter to FHWA.

The District and the MPOs need to be aware that the failure to meet the submittal deadlines outlined in this chapter may result in a delay in receiving federal PL funds for the UPWP and that any failure by the District and the MPO to resolve any outstanding issues by June 30 may jeopardize final UPWP approval and authorization of PL and Section 5303 funds. The District and the MPOs shall distribute the final adopted UPWP in accordance with the list shown in Figure 3C.

3.13.3 FHWA/FTA Approval

The Federal Highway Administration approves the UPWP [23 C.F.R. 420.115(a)]. UPWPs include tasks funded by the Federal Transit Administration; FHWA approves the UPWP on behalf of FTA. In order for FHWA to approve the UPWP prior to the beginning of the state fiscal year on July 1, it is critical that they have adequate time to review it. As shown in Figure 3B, the District MPO liaison should forward the adopted UPWP to FHWA, MPO Statewide Coordinator and FTA by June 1.

FHWA will send its approval letter to the District; the District shall notify the MPO within 10 business days; and the District will provide the MPO a copy of the approval letter. It is important to remember that the funds still need to be authorized in the Federal Aid Management System. Section 3.15.2 describes this process. Also although the MPO has adopted a 2-Year UPWP, the Department will still have to do multiple authorizations over that time period. This is because the state and federal governments have different start-end dates for their fiscal years and because the Florida Legislature grants budget authority for only one year at a time.

FHWA and FTA may disapprove or withhold approval of certain tasks in the UPWP. Should that occur, an MPO cannot receive reimbursement of PL funds for these tasks until FHWA and FTA grant approval.
3.14  FINANCIAL MANAGEMENT OF METROPOLITAN PLANNING FUNDS

3.14.1 Authorization and Encumbrance Levels

The Central Office’s Program Development Office distributes information to the Districts for each MPO that gives authorization and encumbrance levels for the newly approved UPWP. This information provides:

1. Initial UPWP authorization amount;
2. Initial encumbrance amount;
3. Second authorization amount; and
4. Final encumbrance amount (if needed).

3.14.2 Initial Authorization of Metropolitan Planning (PL) Funds

PL fund authorizations are typically issued at least twice for each fiscal year. The first authorization occurs after the FHWA approves the UPWP and provides only a portion of funds for the new state fiscal year beginning on July 1. The reason for the partial authorization is that while Florida’s fiscal year begins July 1, the new federal fiscal year does not begin until October 1, meaning that new federal fiscal year PL funds are not available until then.

The initial authorization, using the MPOs’ available balance of funds from the previous year, allows the MPOs to begin work on July 1 and to be able to bill for reimbursement of expenditures during the gap between the new state fiscal year and the new federal fiscal year (July 1 through September 30). The Department must request the first authorization of PL funds no later than June 15. Funds and budget must be approved prior to July 1. The required steps are as follows:

1. No later than June 15, the District MPO Liaison will request the District Federal-Aid Coordinator to process an authorization request in the Federal Aid Management System (FAMS) to the Central Federal-Aid Office for the authorization of PL funds for the new UPWP. The District Federal Aid Coordinator will copy the Statewide MPO Financial Coordinator in the Program Development office with the request to the Federal-Aid Office. Before the District Federal Aid Coordinator can make the authorization request, the District MPO Liaison must provide a copy of the FHWA and FTA letter approving the UPWP.
(2) The Department receives an *Electronic Signature Document* (ESD) from the FHWA authorizing the Department to commit PL funds to the MPO for the reimbursement of MPO expenditures as budgeted in the approved UPWP. The District Federal-Aid Coordinator will provide a copy of the ESD to the District MPO Liaison. Upon receipt of the ESD, a letter notifying the MPO to expend the specified amount of funds is sent by the Department to the MPO with a copy of the ESD.

(3) **Charges incurred by the MPOs cannot be invoiced for reimbursement until after federal authorization approval and the encumbrance of state budget (Step 7)** Thus, work that could generate charges for reimbursement must not start until after the MPO receives an approval letter from the District.

(4) **The MPO will not be reimbursed for expenditures incurred prior to the date of federal authorization of PL funds [23 C.F.R. 420.113(a)(5)] and encumbrance of state budget.**

(5) If the FHWA and the FTA have not approved an MPO's UPWP by June 30, the FDOT District cannot request an authorization of funds for the UPWP for the new fiscal year at that time. The authorization of funds cannot occur until after FHWA and FTA have approved the UPWP. Work performed by the MPO or contracted out by the MPO during this time period (July 1 to the date of authorization) cannot be billed for reimbursement. In other words, expenses incurred during this time will not be reimbursed.

(6) If sufficient funds are not available on July 1 to fund the UPWP budget in full, the District MPO Liaison will request a second authorization via FAMS once the Department receives the Official Notice of Appropriation from FHWA. This occurs sometime after October 1. The authorized PL fund amount for the UPWP must be reflected in each MPO PL fund invoice.

(7) Once FHWA authorizes the expenditure of funds, the next step is to encumber the funds. This is a state process and is described in the next section.

(8) Even though the MPOs are on a 2-Year cycle, FHWA will still authorize the funds one fiscal year at a time.

### 3.14.3 Initial Fund Approval/Encumbrance of Funds (State Process)

Immediately after the Department initiates the authorization process, as described in Section 3.15.2, the Liaison (or whoever the District designates) must encumber the funds in the Contract Funds Management (CFM) System and notify the District Federal Aid Coordinator. The encumbrance requests must be submitted by June 15 to allow sufficient time for review, processing, and conditional approval before July 1. The fund approval/encumbrance will be processed subject to legislative approval of the budget.
The CFM System returns the reviewed fund approval by electronic mail to the originator.

After legislative approval of the budget, the CFM System will then encumber funds on projects reviewed during June. A follow-up electronic mail will be sent to the originator stating that funds have been approved.

Once the funds are encumbered, the District MPO Liaison will transmit a letter of authorization along with the ESD to the MPO. This letter authorizes the MPO to begin work that will be reimbursed by state or federal funds.

3.14.4 Remaining Authorizations and Encumbrances

The second authorization will be provided after October 1 when the official FHWA Notice of Appropriation is received for the new federal fiscal year. The process is similar to the authorization in June. Upon receipt of the second ESD a second authorization letter, with a copy of the ESD, should be sent to the MPO indicating additional PL funds are now available. Prior to the request for the second authorization, the Program Development Office will adjust the Adopted Work Program estimate. The additional PL funds must be encumbered to secure state budget authority to expend federal funds.

3.15 ADDITIONAL PL FUND AUTHORIZATIONS

Sometimes during the fiscal year, there is a need to increase the UPWP budget. In those situations, the Department must request additional authorization from FHWA.

First, the District MPO Liaison will coordinate with the Program Development Office in Central Office to ensure the availability of PL funds. Next, the MPO will adopt a UPWP amendment and transmit it to the District (refer to Section 3.19). The District will forward the amendment to FHWA with a cover letter describing the need for the change and recommending approval.

After FHWA approves the amendment, the District Liaison must authorize the funds in FAMS using the same process described in Section 3.15.2. Once FHWA authorizes the funds, the next step is to encumber them using the same process described in Section 3.15.3. Once this is completed, the liaison will send a letter to the MPO authorizing the expenditure of PL funds based on the new budget amount along with a copy of the ESD. UPWP amendments adding funds to the budget should be approved by the MPO no later than March 15 and submitted to the District no later than April 1.

3.15.1 PL Funds Carryforward and Available Balance

Carryforward funds occur when an MPO does not obligate/authorize all available PL funds in the current and/or prior fiscal years. Carryforward funds are combined with the annual allocation for the new fiscal year, the close out funds from the prior years, and de-obligated funds from the prior year to determine an MPO's available PL fund balance.
for the upcoming fiscal year. Any budget (spending authority) associated with carryforward funds is obtained through the Department's roll-forward process and is subject to approval of the Legislative Budget Committee. In a two year UPWP an MPO does not have to de-obligate funds in the first year of the fiscal two year cycle. (See Section 3.17) If the funds are de-obligated and un-encumbered in the first year of a two year UPWP, they will roll forward and be available by the end of September in the second year of a two year UPWP. The MPO should take this action no later than April 1 and make sure the de-obligation is received by the District no later than May 1. The funds must be de-obligated and un-encumbered no later than May 15 of the first year of the two year UPWP. (See Figure 3E). If the district liaison does not un-encumber the funds in the first year the funds will remain in the first year of the two year UPWP and the MPO must be careful to invoice appropriate expenses against the funds in the first year. See Section 3.17 for de-obligating funds in the second year of a two year UPWP and Section 3.18.1 for an example of when funds become available after de-obligating funds. See Section 3.18 for close out of PL funds and Section 3.18.1 for an example of when funds become available after close out.

3.16 DE-OBLIGATION OF PL FUNDS

De-obligation of PL funds releases federal funds previously authorized but not expended by the MPO. In years past, MPOs de-obligated PL funds if they knew the funds wouldn’t be needed in the current fiscal year but would be needed in the next fiscal year. One of the benefits to switching to the 2-Year UPWP is that an MPO only needs to close-out and/or de-obligate funds every other year, if they choose to leave them in the first fiscal year. An MPO does have the option to leave the encumbrance in the first fiscal year of the two year UPWP. If this option is chosen, the funds and budget are available July 1 of the second fiscal year of the two year UPWP. An MPO must be careful to invoice against year one of the UPWP for funds not de-obligated in the first year. (See Preferred Alternative, Section 3.18.1) Between Years 1 and 2 of the UPWP, any unexpended PL funds can roll forward. In order for the roll forward to happen, the liaisons need to un-encumber the un-needed funds in the first fiscal year of the two year UPWP by September 27th. The funds will be available July 1 of the second fiscal year of the UPWP, however, the budget will not be available until the end of September of the second fiscal year of the UPWP. If an MPO un-encumbers funds to roll forward and these funds are to be used on the same task in the second year, a revision to the UPWP is required to reflect this change. A modification can be a revision or amendment. (See Section 3-18) A copy of the revision needs to be sent to FHWA, District Liaison and Office of Work Program. If an MPO un-encumbers the funds and plans to spend them on a new or unrelated existing task in the second year of the two year UPWP, an amendment is required to delete the old task and add a new task, or add to an unrelated existing task in the second year of the two year UPWP. (See Second Alternative, Section 3.18.1).

Before the end of Year 2, an MPO must un-encumber and de-obligate any funds it wishes to be available in Year 1 of the next adopted 2-Year UPWP. The MPO should take this action no later than April 1 and make sure it is received by the District no later than May 1. This lead-time is required in order to amend the Work Program by
June 30 and release the de-obligated federal funds for use in the new UPWP. If an MPO does not de-obligate those funds by the end of Year 2, they will be subject to the close out process and will not become available again until July 1 of Year 2 of the next UPWP, however the budget will not be available until the end of September of year 2 of the next 2 year UPWP.

De-obligating PL funds in the MPO’s second fiscal year UPWP requires that:

1. The MPO must amend the UPWP and request a de-obligation of the current PL fund authorization.

2. Upon approval of the UPWP amendment by FHWA, the District MPO Liaison will request that the District Federal Aid-Coordinator obtain a de-obligation of the unused PL funds. This request follows the same process as the authorization request in Section 3.15.3. After the approved Electronic Signature Documents (ESD) are issued, the District Federal Aid Coordinator will distribute a copy of the ESD to the District MPO Liaison. The de-obligated funds must be processed via the Contract Funds Management (CFM) System. The CFM System will remove any remaining funds on the Letter of Authorization (LOA) when the LOA is placed in a status 50 (closed).

3. The District MPO Liaison will forward a copy of the federal approval letter to the MPO.

4. The liaisons need to coordinate with the District Work Program/Federal Aid Office to complete the de-obligation process in the FM system. Once the de-obligation process is complete, the liaison needs to notify the Central Office Program Development Office.

5. The de-obligated funds will be available for use in the first fiscal year of the new UPWP. However, the budget to expend the funds will not be available until the end of September of the first fiscal year. For an example of the de-obligation process and fund availability, please see Section 3.18.1.

3.17 CLOSE-OUT OF PL FUNDS

In accordance with 49 C.F.R. 18.50, PL funds obligated in a prior year UPWP must be closed out within 90 days of the termination of the grant. The grant is based on the Work Program fiscal year (i.e., June 30th to July 1st). You have 90 days after July 1st or until September 30th to have the final invoice and close out documents to FHWA. It is important that this process be started prior to September 30, do not wait until the deadline to start the process.

With a two year UPWP, this termination occurs every other year. Therefore, there is no need to close out the grant between Years 1 and 2. The MPO will conduct close out
procedures at the end of Year 2. If an MPO anticipates that it will not have its final invoice submitted to the District in time to allow the closeout process to occur by September 30, the MPO should notify the District. If the District anticipates it will not have the close-out memo completed before September 30, the District MUST request, in writing, a time extension from FHWA. The extension will be good for only an additional 30 days. After that you can request another extension if needed.

The process for closing out a PL fund project account is:

1. After the MPO submits the final invoice, the District sends a letter to the MPO's staff director stating the Department's desire to close out the account and requesting the MPO to confirm the amounts expended. This letter includes a Confirmation Form and provides the authorization and level of reimbursements provided to the MPO for the fiscal year. An example of a close out letter and confirmation form are contained in Appendix D.

2. Upon receipt of the Confirmation letter and Form, the MPO should promptly review its financial records. Based on the MPO's review of its records, any discrepancies should be noted. Any discrepancies found should be resolved before signing a confirmation form. The signed confirmation form is then returned to the District. The District MPO Liaison will submit a Status Change Form to the District Financial Service Office (FSO) to have the Letter Of Authorization (LOA) placed in a status 50, through the CFM system. Any remaining funds on the LOA will be un-encumbered once the LOA is placed in a status 50, by the system. This should be done by September 30th.

3. Once the signed confirmation form is received from the MPO, the District MPO Liaison writes a closeout memorandum to the following offices requesting:
   - The Comptroller, Federal Aid Section to prepare a final voucher for the project.
   - The District Federal-Aid Coordinator prepares an Authorization Request and a Federal Aid Management System (FAMS), (for an Electronic Signature Document) to reduce the PL fund authorization for the MPO's UPWP to the level of reimbursements provided to the MPO for that fiscal year.
   - The Program Development Office, PL Funds Coordinator, begins the fund adjustments to the PL Fund accounts.

Examples of the Close Out Letter and Confirmation Form are located in Appendix D. The de-obligation of the remaining authorization follows the same process described in Section 3.17. After the de-obligation request has been approved, the Central Office

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Unified Planning Work Program 3-29
Program Development Office will adjust the MPO’s account and increase the MPO’s available balance by the de-obligated funds. For an example of the close out and fund availability, please see Section 3.18.1.

### 3.17.1 De-obligation Options and Close Out Example

If an MPO does not use all of the funds that were authorized in the first year of the UPWP, there are a couple of alternatives to consider for making these funds available for the following year (Year 2 of the UPWP). **The Preferred Alternative should be used unless there are extenuating circumstances that would not allow the use of this alternative.**

**Preferred Alternative**

For example: If an MPO has $100,000 in approved/authorized funds for FY 2012/2013, and $100,000 for FY 2013/2014, the following scenario may apply if the MPO chooses to not de-obligate and un-encumber the unused funds. **The MPO must be careful to invoice against Year 1 until the funds are expended:**

<table>
<thead>
<tr>
<th>YEAR 1</th>
<th>YEAR 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY 2012/2013</td>
<td>FY 2013/2014</td>
</tr>
<tr>
<td>Approve/Authorize $100,000</td>
<td>Approve/Authorize $100,000</td>
</tr>
<tr>
<td>Expend $90,000</td>
<td>Expended $90,000</td>
</tr>
<tr>
<td>MPO does not un-encumber and de-obligate the remaining $10,000</td>
<td>$10,000 remains in FY 2012/2013; MPO must invoice appropriately against the FY 2012/2013.</td>
</tr>
</tbody>
</table>

**NO DE-OBLIGATION; NO CLOSEOUT NEEDED IN YEAR 1**

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>NO DE-OBLIGATION; NO CLOSEOUT NEEDED IN YEAR 1</td>
<td></td>
</tr>
<tr>
<td>$10,000 available to un-encumber and de-obligate in second year. MPO chooses to un-encumber and de-obligate $5,000; and reserves $5,000, but does not use it by the end of the fiscal year, so $5,000 will go through the close out process in October, 2014.</td>
<td>Un-encumber and de-obligate for Year 2.</td>
</tr>
</tbody>
</table>

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>Close out of $5,000 occurs in October, 2014, funds available July 1, 2015; budget available by September 2015. (Second year of the next two year UPWP).</td>
<td></td>
</tr>
</tbody>
</table>
**Second Alternative:** If the MPO does not expend all the funds it anticipated spending in the first year, the funds can roll forward and be available for expenditure in the second year of the two year UPWP (e.g. FY 2013/2014 of the new UPWP). However, **in order for the roll forward to occur at the end of Year 1, the District Liaisons need to un-encumber the unused funds for FY 2012/2013 by May 15, 2013.** These funds will be available by **July 1, 2013**; however, the budget to expend the funds will not be available until the end of **September, 2013**.

<table>
<thead>
<tr>
<th>YEAR 1</th>
<th>YEAR 2</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>FY 2012/2013</strong></td>
<td><strong>FY 2013/2014</strong></td>
</tr>
<tr>
<td>Approve/Authorize $100,000.</td>
<td>Approve/Authorize $100,000</td>
</tr>
<tr>
<td>Expend $90,000</td>
<td>Expend $90,000</td>
</tr>
<tr>
<td>Un-encumber $10,000 by September 27, 2011 to allow unused funds to roll forward</td>
<td>$10,000 rolls forward into FY 2013/2014, funds available July 1, 2013; budget available September 2013.</td>
</tr>
<tr>
<td></td>
<td>$10,000 available September 2013 from roll forward. Total amount available to expend is $110,000.</td>
</tr>
<tr>
<td><strong>NO DE-OBLIGATION NO CLOSEOUT NEEDED IN YEAR 1</strong></td>
<td>Un-encumber and de-obligate for Year 2.</td>
</tr>
<tr>
<td></td>
<td>$20,000 available for de-obligation in second year. MPO un-encumbers and de-obligates $15,000; and reserves $5,000, but does not use it by the end of the fiscal year, so $5,000 will go through the close out process in October 2014.</td>
</tr>
<tr>
<td></td>
<td>Un-encumbers and de-obligates; $15,000 rolls forward and is available July 1 with budget available the end of September 2014.</td>
</tr>
<tr>
<td></td>
<td>Close out of $5,000 occurs in October, 2014, funds available July 1, 2015; budget available by September 2015. (Second year of the next two year UPWP).</td>
</tr>
</tbody>
</table>
FIGURE 3D KEY FINANCIAL ADMINISTRATION DATES AND ACTIONS (YEAR 1)

- **MARCH 15**
  Deadline for MPO to approve a UPWP amendment that adds PL funds to current year.

- **APRIL 1**
  Deadline for MPO to transmit to the District a UPWP amendment increasing the PL budget.

- **JUNE 15**
  District requests initial authorization of PL funds from FHWA and encumbers these funds via the Contract Funds Management System. PL funds must be authorized and encumbered prior to July 1.

- **OCTOBER 1 – NOVEMBER 1**
  District requests second authorization of PL funds from FHWA and encumbers these funds via the Contract Management System. The exact date will depend upon receipt of Official Notice of Appropriation from FHWA.
FIGURE 3E  KEY FINANCIAL ADMINISTRATION DATES AND ACTIONS (YEAR 2)

DECEMBER AND JANUARY
District and MPO meet to begin development of new 2-Year UPWP.

MARCH 15
Deadline for MPO to approve a UPWP amendment that adds PL funds to current year.

APRIL 1
Deadline for MPO to transmit to the District a UPWP amendment increasing the PL budget.

APRIL 15
Deadline for MPO to approve a UPWP amendment that de-obligates funds from the current year.

MAY 1
Deadline for MPO to transmit to the District a UPWP amendment that de-obligates funds.

MAY 15
MPO adopts Final 2-Year UPWP

JUNE 1
Deadline for District to transmit the Final UPWP to FHWA and FTA with approval memo

JUNE 15
District requests initial authorization of PL funds from FHWA and encumbers these funds via the Contract Funds Management System. PL funds must be authorized and encumbered prior to July 1.

OCTOBER 1 – NOVEMBER 1
District requests second authorization of PL funds from FHWA and encumbers these funds via the Contract Management System. The exact date will depend upon receipt of Official Notice of Appropriation from FHWA.

SEPTEMBER 30
Deadline to close out the PL Funds Grant. If the MPO needs an extension, the District must request one from FHWA.
3.18 UPWP MODIFICATIONS (AMENDMENTS AND REVISIONS)

The District and the MPO shall monitor invoices for overruns (or potential overruns) by comparing task expenditures amounts with programmed task amounts. When it appears that an individually invoiced FHWA funded line item will require modification, the MPO must prepare and submit a request for an amendment of the UPWP, or in the case of a revision, notify the District MPO Liaison and FHWA. Amendments are also necessary when the MPO introduces conditions that change the scope of a UPWP task or adds or deletes work tasks or subtasks.

3.18.1 Types of UPWP Modifications

Modifications to the UPWP involving FHWA/FTA funds fall into two categories, each requiring different actions by the District and the FHWA/FTA.

Revisions are modifications that

- Do not change the FHWA approved PL budget or
- Do not change the scope of the FHWA funded work task(s) or
- Do not add or delete a work task(s)
- Change the ratio of consultant versus staff time within a task

Amendments are modifications that

- Change the FHWA approved PL budget or
- Change the scope of the FHWA work task(s) or
- Add or delete a work task(s)

Please note: An MPO cannot utilize funds from Year 2 to cover cost overruns in Year 1, until the budget for Year 2 has been approved. If an overrun does occur, a related task must be in Year 2.

3.18.2 Approval of Modifications

Approval for a revision is not required however, the District MPO Liaison and the FHWA/FTA should be advised of any MPO revisions to the UPWP. Notification of a revision should occur within the consultative process prior to its execution by the MPO.

Amendments must be approved by the FHWA for PL funds. Amendment requests must indicate the total amount of the funds being increased, decreased or de-obligated within the body of the amendment request. The PL administrator in the Financial Development Office must be copied on the amendment request. The District shall review the MPO's amendment request and transmit a letter of concurrence or comments within 10 working days of receipt from the MPO along with copies of the request and supporting material to FHWA for approval. The District shall notify the
MPO of FHWA’s response within **10 working days** of receipt. The consultative process should be used at all stages of an amendment in order to facilitate communication and coordination among all parties involved. The District shall provide copies of the FHWA approved amendment to the Program Development Office.

The form for a modification or amendment contained in Appendix E must be used.

### 3.18.3 Invoices

Standard JPA language requires MPOs to submit invoices to the District liaison on a quarterly basis. However, the MPO may submit invoices more frequently. At a minimum, invoices shall include:

1. Grant amount or authorized PL amount;
2. Total expenditures;
3. Total reimbursement for the current invoice;
4. Percentage of project complete;
5. Funds remaining in project;
6. Breakdown of expenditures by UPWP task;
7. Progress Reports;
8. Identify the period of time covered by the invoice; and

The various MPO accounting offices in consultation with the District determine invoice detail. The invoice should provide enough detail to accurately document all charges. **23 USC 104** states that, “no later than 30 days after the date of receipt by a State of a request for reimbursement of expenditures made by a metropolitan planning organization for carrying out section 134, the State shall reimburse” the MPO. Further, guidance from FHWA, states: “if a state DOT believes the MPO did not provide adequate supporting documentation for reimbursement claims needing more than 30 days to verify the claims, the state DOT should reimburse the MPO and then deduct any charges later determined to be unallowable from the MPO's next claim for reimbursement”.

### 3.19 PROGRESS REPORTS

Progress reports are used to monitor the implementation of the UPWP consistent with **23 C.F.R. 420.117** for FHWA subrecipients and **FTA Circular C 8100.1C (September 1, 2008)** for FTA subrecipients. The state requires quarterly progress reports. Federal
regulations require quarterly reports to be due within **30 days** after the end of the reporting period. Final reports are due **90 days** after the end of the two year UPWP. [23 C.F.R. 420.117(c)] The MPO sends the UPWP Progress Report to the District MPO Liaison who forwards the reports to the FHWA with a cover letter/memorandum. One copy of the progress report needs to be sent by the District Liaison to Jon Ausmann, FDOT Central Office, 695 Suwannee St., MS 26, Tallahassee, FL 32399-0450 to satisfy the FTA requirement. This report shall contain the following:

1. Each FHWA (PL funded) and FTA (Section 5303) funded task separately;
2. A comparison of actual performance with established goals;
3. A description of progress in meeting schedules and milestones;
4. A comparison of approved budget amounts and actual costs incurred; and
5. Revisions and any other supporting data.

**A progress report must accompany each invoice an MPO submits to the District.** However as mentioned in the previous section, if the District believes that the documentation provided by the MPO is inadequate, they should still reimburse the MPO. The District should then deduct any charges later determined to be ineligible from the MPO’s next claim for reimbursement. FHWA/FTA should be notified when charges have been determined to be ineligible.

The MPO should report to the District any events that have a significant impact on the UPWP as soon as they become known including problems, delays, or adverse conditions that materially affect the MPO’s ability to attain the UPWP’s objectives. A description of the action taken or contemplated to be taken and any federal or state assistance needed to resolve the situation should accompany the MPO’s disclosure. [23 C.F.R. 420.117(d)] The District should forward a copy of the MPO’s progress report, with a cover letter/memorandum, and accompanying invoice(s) to the FHWA Florida Division Office.
Appendix A

UPWP Checklist
## UPWP REVIEW CHECK LIST

<table>
<thead>
<tr>
<th>MPO:</th>
<th>Draft / Final</th>
<th>Date rcvd:</th>
</tr>
</thead>
<tbody>
<tr>
<td>UPWP Check List</td>
<td>YES</td>
<td>NO</td>
</tr>
</tbody>
</table>

### A. COVER and TITLE PAGE
- Includes CFDA Number?
- Includes Federal Aid Project Number (FAP)?
- Includes FM Number (Work Program)?
- Name of MPO and Funding Agencies?
- The correct fiscal years for the proposed UPWP are listed?
- MPO physical, mailing, and website addresses; phone numbers
- The Final UPWP includes an approved signature or MPO resolution and the date of MPO Board action?

### B. TABLE OF CONTENTS
- Introduction
- Organization and Management
- Work Program Task Sheets – includes the following sections:
  - Administration
  - Data Collection
  - Transportation Improvement Program
  - Long Range Transportation Plan
  - Special Project Planning
  - Regional Planning
  - Public Involvement
  - District Planning Activities
  - Joint Certification Package
  - FTA Grant Application (if included in UPWP)
  - Summary Budget – Table 1 – Agency Participation (broken out by year)
  - Summary Budget – Table 2 – Funding Source (broken out by year)
- Statements and Assurances
- Each Task is consistent in number, wording, and references page numbers with each respective task sheet?

### C. INTRODUCTION
- Brief definition of the UPWP
- Current overview of the status of comprehensive transportation planning activities
- Discussion of local planning priorities
- Planning tasks to be performed with funds under Titles 23 and 49 Federal Transit Act
<table>
<thead>
<tr>
<th>MPO:</th>
<th>Draft / Final</th>
<th>Date rcvd:</th>
</tr>
</thead>
<tbody>
<tr>
<td>UPWP Check List</td>
<td>YES</td>
<td>NO</td>
</tr>
</tbody>
</table>

- Description of Public Involvement process used in development of UPWP
- Discussion of Planning Emphasis Areas and Planning Factors

**D. ORGANIZATION and MANAGEMENT**

- Identification of participants and a brief description of their respective roles in the UPWP metropolitan area planning process
- Discussion of appropriate agreements
  - Standard Interlocal Agreement
  - Joint Participation Agreement – Planning (PL) funds
  - Joint Participation Agreement – FTA 5303 funds
  - ICAR Agreement
  - Other agreements
- Identification and discussion of operational procedures and bylaws

**E. WORK PROGRAM TASK SHEETS**

- Each sheet should describe individual tasks, be in the same format, and include:
  - Task number and title
  - Purpose
  - Previous work completed
  - Proposed methodology – how task will be performed; who will perform the task
  - Responsible agency or agencies
  - Proposed funding source(s) – tied into Table 2
  - Schedule that adequately describes activities that will take place during the year, including:
    - Schedule of milestones or benchmarks
    - End product(s)
    - Estimated completion date(s)
- Regional Planning Task included

**F. JOINT CERTIFICATION PACKAGE**

- Signed certification statement
- Brief description of noteworthy achievements
- Any corrective actions or recommendations

**G. STATEMENTS AND ASSURANCES**

- DBE
- Debarment and Suspension
- Lobbying
- Title VI Nondiscrimination Agreement
**UPWP Check List**

<table>
<thead>
<tr>
<th>MPO:</th>
<th>Draft / Final</th>
<th>Date rcvd:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>YES</td>
<td>NO</td>
</tr>
</tbody>
</table>

**H. FTA SECTION 5303 APPLICATION (If included in UPWP)**
- Certain FTA grants – Form 424
- Certain FTA Grants: FTA Certification / Assurances
- Affirmation of Applicant
- Affirmation of Applicant’s Attorney
- Budget showing total funds by classifications
- Budget showing FTA funds only by classifications

**I. TABLE 1: AGENCY PARTICIPATION**
- Participating agencies identified with funding commitments
- Table includes only those District planning activities scheduled to occur within the MPO Boundaries
- Table shows the amount of PL funds set aside for work by consultants.
- There is one table for Year 1 and one table for Year 2

**J. TABLE 2: FUNDING SOURCE**
- Proposed funding sources and budgeted funds are identified by task and subtask for each appropriate funding source, and are consistent with applicable Task Sheet.
- The Department’s PL and FTA matching funds are shown separately
- “D” funds for a grant or consultant contract are included.
- Federal, state, and local contribution levels are provided by task and subtask
- The total amounts shown in each task agree with the amounts shown in Table 1: Agency Participation
- Balances, amount, and work to be carried over from the previous year’s UPWP into the Proposed Year are clearly identified and separated from the Proposed Year.
- There is one table for Year 1 and one table for Year 2

**K. GENERAL**
- The Final UPWP was reviewed and endorsed or approved by the TAC, CAC, and the MPO prior to distribution
<table>
<thead>
<tr>
<th>UPWP Check List</th>
<th>YES</th>
<th>NO</th>
<th>Comment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Documentation of the endorsement or approvals (e.g., an MPO Resolution, meeting minutes, letter of authentication) are included</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tasks or activities to correct or eliminate deficiencies noted in the previous federal and/or state certification reviews are identified in the UPWP.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>The annual audit is included as part of the Program Administration Task, and as a separate line item.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Equipment purchases are identified as part of a task.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Training and Travel expenses are identified on separate task sheets.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Equipment rentals and leases are included by tasks.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Matrix that identifies how each task relates to the Planning Emphasis Areas and Planning Factors</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Appendix B

CERTIFICATION STATEMENTS
DEBARMENT and SUSPENSION CERTIFICATION

As required by the USDOT regulation on Government wide Debarment and Suspension at 49 CFR 29.510

(1) The (insert name of MPO) hereby certifies to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency;

(b) Have not, within a three-year period preceding this proposal, been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction, violation of federal or state antitrust statutes; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses listed in paragraph (b) of this certification; and

(d) Have not, within a three-year period preceding this certification, had one or more public transactions (federal, state or local) terminated for cause or default.

(2) The (insert name of MPO) also hereby certifies that if, later, it becomes aware of any information contradicting the statements of paragraphs (a) through (d) above, it will promptly provide that information to the U.S.D.O.T.

Chairperson ___________________________ Name of MPO ___________________________ Date ___________________________
**DISADVANTAGED BUSINESS ENTERPRISE UTILIZATION**

It is the policy of the (insert name of MPO) that disadvantaged businesses, as defined by 49 Code of Federal Regulations, Part 26, shall have an opportunity to participate in the performance of MPO contracts in a nondiscriminatory environment. The objectives of the Disadvantaged Business Enterprise Program are to ensure non-discrimination in the award and administration of contracts, ensure firms fully meet eligibility standards, help remove barriers to participation, create a level playing field, assist in development of a firm so it can compete successfully outside of the program, provide flexibility, and ensure narrow tailoring of the program.

The (insert name of MPO), and its consultants shall take all necessary and reasonable steps to ensure that disadvantaged businesses have an opportunity to compete for and perform the contract work of the (insert name of MPO) in a non-discriminatory environment.

The (insert name of MPO) shall require its consultants to not discriminate on the basis of race, color, national origin and sex in the award and performance of its contracts. This policy covers in part the applicable federal regulations and the applicable statutory references contained therein for the Disadvantaged Business Enterprise Program Plan, Chapters 337 and 339, Florida Statutes, and Rule Chapter 14-78, Florida Administrative Code.

<table>
<thead>
<tr>
<th>Chairperson</th>
<th>Name of MPO</th>
<th>Date</th>
</tr>
</thead>
</table>
LOBBYING CERTIFICATION for GRANTS, LOANS
and COOPERATIVE AGREEMENTS

In accordance with Section 1352 of Title 31, United States Code, it is the policy of the (insert name of MPO) that:

(1) No Federal or state appropriated funds have been paid or will be paid by or on behalf of the (insert name of MPO), to any person for influencing or attempting to influence an officer or employee of any Federal or state agency, or a member of Congress or the state legislature in connection with the awarding of any Federal or state contract, the making of any Federal or state grant, the making of any Federal or state loan, extension, continuation, renewal, amendment, or modification of any Federal or state contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The (insert name of MPO) shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants and contracts and subcontracts under grants, subgrants, loans, and cooperative agreement), which exceeds $100,000, and that all such subrecipients shall certify and disclose accordingly.

(4) This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each failure.

________________________________________  __________________________  __________
Chairperson   Name of MPO          Date
TITLE VI/ NONDISCRIMINATION POLICY STATEMENT

The (Name of Recipient) assures the Florida Department of Transportation that no person shall on the basis of race, color, national origin, sex, age, disability, family or religious status, as provided by Title VI of the Civil Rights Act of 1964, the Civil Rights Restoration Act of 1987 and the Florida Civil Rights Act of 1992 be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination or retaliation under any program or activity.

The (Name of Recipient) further agrees to the following responsibilities with respect to its programs and activities:

1. Designate a Title VI Liaison that has a responsible position within the organization and access to the Recipient's Chief Executive Officer.
2. Issue a policy statement signed by the Chief Executive Officer, which expresses its commitment to the nondiscrimination provisions of Title VI. The policy statement shall be circulated throughout the Recipient's organization and to the general public. Such information shall be published where appropriate in languages other than English.
3. Insert the clauses of Appendix A of this agreement in every contract subject to the Acts and the Regulations
4. Develop a complaint process and attempt to resolve complaints of discrimination against sub-recipients. Complaints against the Recipient shall immediately be forwarded to the FDOT District Title VI Coordinator.
5. Participate in training offered on Title VI and other nondiscrimination requirements.
6. If reviewed by FDOT or USDOT, take affirmative action to correct any deficiencies found within a reasonable time period, not to exceed ninety (90) calendar days.
7. Have a process to collect racial and ethnic data on persons impacted by your agency's programs.

THIS ASSURANCE is given in consideration of and for the purpose of obtaining any and all federal funds, grants, loans, contracts, properties, discounts or other federal financial assistance under all programs and activities and is binding. The person whose signature appears below is authorized to sign this assurance on behalf of the Recipient.

Dated ___________

by _____________________ , Chief Executive Officer
Appendix C

Summary Budget Tables
### Table 1: MPO/TPO Agency Funding Participation FY:

<table>
<thead>
<tr>
<th>MPO/TPO Name</th>
<th>FDOT and Local</th>
<th>PL/FTA</th>
<th>TD Trust</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>A.1 TPO Administration</td>
<td>$0</td>
<td>$83,500</td>
<td>$0</td>
<td>$83,500</td>
</tr>
<tr>
<td>A.2 UPWP</td>
<td>$0</td>
<td>$18,000</td>
<td>$0</td>
<td>$18,000</td>
</tr>
<tr>
<td>A.3 Public Involvement</td>
<td>$0</td>
<td>$50,000</td>
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<tr>
<td>A.4 Regional Planning</td>
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<td>$0</td>
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<tr>
<td>A.5 Capital Purchases</td>
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<td>$15,000</td>
<td>$0</td>
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</tr>
<tr>
<td>A.6 Travel</td>
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<tr>
<td>A.7 Direct Expenses</td>
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<td>$52,000</td>
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<tr>
<td>A.8 State Assistance (PL)</td>
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<td>$0</td>
<td>$0</td>
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</tr>
<tr>
<td>State Assistance (SM)</td>
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<td>$0</td>
<td>$0</td>
<td>$141,462</td>
</tr>
<tr>
<td>State Assistance (D)</td>
<td>$8,311</td>
<td>$0</td>
<td>$0</td>
<td>$8,311</td>
</tr>
<tr>
<td>B.1 Socioeconomic &amp; LU</td>
<td>$0</td>
<td>$32,393</td>
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<td>$32,393</td>
</tr>
<tr>
<td>B.2 Transportation Data</td>
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<td>$48,000</td>
</tr>
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<td>B.3 ETDM</td>
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<td>C.1 TIP</td>
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<td>$0</td>
<td>$30,000</td>
</tr>
<tr>
<td>C.2 Long Range Tran Plan</td>
<td>$0</td>
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<td>$0</td>
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### Table 2: MPO/TPO Funding Sources by Task-FY:

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<th>FTA 5303</th>
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<th>Total State</th>
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</tbody>
</table>
Appendix D

Close Out Letter and Confirmation Form
SAMPLE OF A PL FUNDS CLOSE-OUT LETTER

(Date)

(Name of MPO Staff Director)
(MPO Name)
(Address of MPO)

RE: Confirmation of Final Invoice and Reimbursements

MPO Name:
Federal Aid Number: PL-XXXX (xx)
FM No.: XXXXXXXX
Contract No. XXXXX FY XX/XX to XX/XX

Dear _____:

The Department desires to close out our financial records for PL funds for the State Fiscal Year ending June 30, 20__. This will allow us to submit a final voucher to the Federal Highway Administration for reimbursement to the (name of MPO).

In order to do this, the Department needs confirmation that the final invoice has been submitted and that our records reflect the correct amount of reimbursements for the (name of MPO) 2-Year UPWP covering Fiscal Years 20xx/xx to 20xx/xx.

Please complete the enclosed confirmation form and return it to me for further processing.

Sincerely,

Name of Planning Manager or MPO Liaison
SAMPLE OF A PL FUNDS CLOSE-OUT CONFIRMATION FORM

(Date)

To: Florida Department of Transportation
   District __ Planning Office

Attention: Name of Project Manager

From: MPO Staff Director

Subject: PL-XXXX (xx)
         MPO Name

Our records disclose that the final invoice has been submitted for PL Funds for the fiscal years listed below.

Fiscal Years 20xx/xx to 20xx/xx

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<th>Authorization</th>
<th>Reimbursement</th>
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