



FMPP

Florida Metropolitan Planning Partnership



U.S. Department of Transportation
Federal Highway Administration



U.S. Department of Transportation
Federal Transit Administration



FMPP Statewide Collaboration Meeting

Day 2: UPWP & Other Topics

presented to



presented by

Alex Gramovot

Statewide Metropolitan Planning
Coordinator

Florida Department of Transportation



Office of Policy Planning

December 1, 2017

Agenda for the Day



- **UPWP Kick-Off Presentation**
- **UPWP Discussion**
- **Other Topics & Discussion**
 - » MPOAC Leadership
 - » TIP Discussion
 - » Certification/Risk Assessment
 - » Other Issues for Discussion
- **Wrap-Up**

Objectives for the Day



- **Provide an interactive forum to engage, ask questions, and offer ideas**
- **Discuss the respective roles of and expectations for Central Office, Districts, and MPOs**
- **Discuss on-going efforts and obtain feedback**
- **Evaluate meeting value to participants**

Rule for the Day



FMPP Statewide Collaboration Meeting

UPWP Kick-Off - FHWA

presented to



presented by

Stacie Blizzard

Transportation Planning Specialist
Florida Division, Federal Highway
Administration



Office of Policy Planning

December 1, 2017



Unified Planning Work Program

Florida Metropolitan Planning Partnership

December 1, 2017



U.S. Department of Transportation
Federal Highway Administration



What is Planning Grants Administration?

- **Policies and procedures** for the administration of activities undertaken by State departments of transportation and their sub-recipients, including metropolitan planning organizations (MPOs), with FHWA planning and research funds.
- **Two types of planning grants:**
- **SPR Work Program** -State planning and research (SPR) funds
- **Unified Planning Work Program**-Metropolitan planning (PL) funds

Federal-aid Highway Program

- Federally Assisted, State Administered, Locally Driven Program
- State Transportation Department
- Matching Requirements
- Reimbursement
- Contract Authority



Planning Grants Administration: What's Our Role?

- Provide technical assistance
- Review State/MPO's work program and Ensure compliance with federal requirements
- Consistency in reviews, technical assistance, and maximize reimbursement of federal funds
- Help to determine “reasonableness” of funding requests



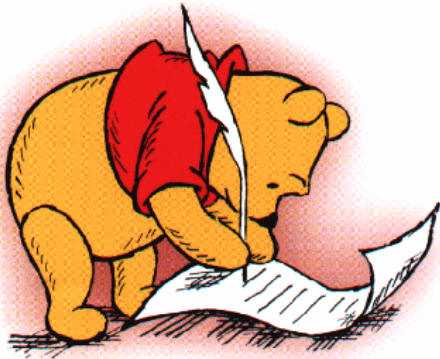
Planning Grants Administration: What's Our Role?

APPROVE your UPWP and
amendments

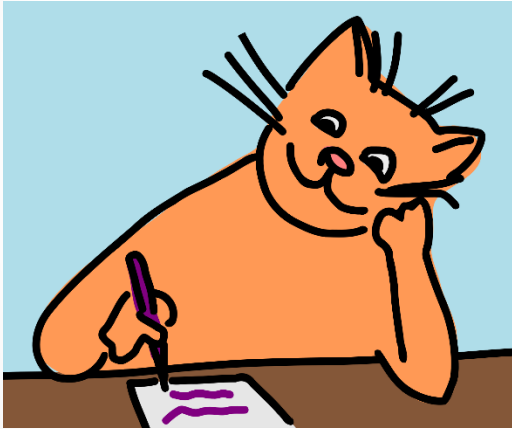


UPWP/SPR Review Change

- Scope and Planning Contract Reviews
 - Who will perform the work
 - the schedule for completing the work
 - the resulting products
 - the proposed funding by activity/task.
 - Identification of total amounts and sources of Federal and matching funds
- Goal: Provide enough detail so no need to review scopes later.



UPWP/SPR Review Change



- Approval letter changes
 - List of tasks needing further review and approval
- Starting with the new 2-year UPWP/SPR Programs

And just as a Reminder



Eligible Costs: 23 CFR 420.113

Costs will be eligible for FHWA participation provided that the costs:

1. Are for work performed for **activities eligible** under the section of title 23, U.S.C.,
2. Are **verifiable** from the State DOT's or the sub recipient's records;
3. Are **necessary** and **reasonable** for proper and efficient accomplishment of project
4. Are **included** in the approved budget, or amendment
5. Were not incurred prior to FHWA authorization.





TEAMWORK

Together Each Achieves More

Questions?



Stacie Blizzard, Transportation Planning
Specialist

Stacie.Blizzard@dot.gov

850-553-2223

FMPP Statewide Collaboration Meeting

UPWP Kick-Off - FDOT

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Statewide Metropolitan Planning
Coordinator

Florida Department of Transportation



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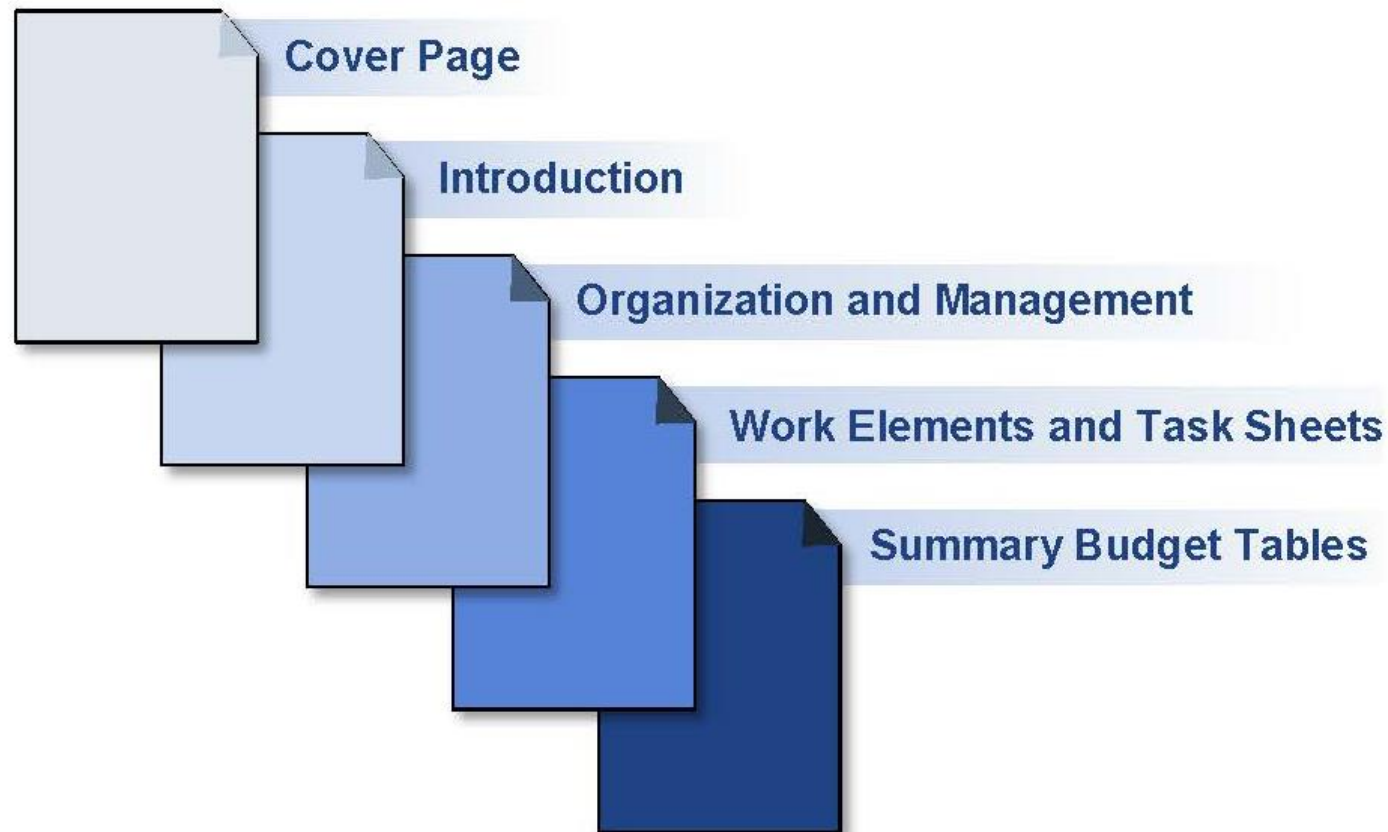
The Big Picture



- **Compliance with federal and state contracting and grant administration requirements**
- **Consistency in programming and administration of MPO funds**
- **Oversight of FHWA funds being provided to the MPOs**
- **Ability to ensure prompt payment**

UPWP Elements

- The UPWP consists of:



Roles & Responsibilities



MPOs

- Sub-recipients to FDOT
- Contractually obligated responsibility for compliance with all federal and state requirements

MPO Liaisons

- Grant Managers for MPO grants
- Responsible for programmatic and fiscal oversight of MPO grants

Statewide MPO Coord.

- Program Manager for MPO program
- Responsible for statewide oversight, guidance & technical assistance, and support for MPO grant managers
- Responsible for coordination with FHWA, MPOAC, and other FDOT offices on MPO issues

Timeline – UPWP Development, Review, and Approval



- **December/January:**

- » Central Office provides Planning Emphasis Areas
- » Central Office provides the Check PL sheet
- » Districts conduct UPWP kickoff meetings with MPOs
- » MPOs initiate development of their UPWPs

- **No later than March 15:**

- » MPOs transmit draft UPWP according to distribution table in the MPO Handbook



Timeline – UPWP Development, Review, and Approval



- **No later than April 15:**

- » District provides FDOT and other agency comments to the MPO

- **No later than May 15:**

- » MPO addresses comments and adopts final UPWP, with completed cost analysis
- » MPO distributes final UPWP according to distribution table in the MPO Handbook

- **Within 10 working days:**

- » District reviews final UPWP and identifies any outstanding issues
- » District distributes final UPWP according to distribution table in the MPO Handbook



Timeline – UPWP Development, Review, and Approval



- **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:**

- » MPO and District must resolve any outstanding issues or risk a delay in funding
- » FHWA and FTA approve the UPWP



MPO Agreements



- **FHWA Agreement**

- » MPO Agreement (Form 525-010-02) captures all FHWA funds listed in the UPWP, such as PL and SU, and acts as the basis for the administration of these funds

- **FTA Agreement**

- » Public Transportation Joint Participation Agreement (Form 725-030-06) between the MPO and FDOT to undertake the FTA-funded planning studies and activities in the UPWP

- **Other Agreements:**

- » Transportation Disadvantaged Program Agreement
- » Third-Party Agreements

FHWA Agreement

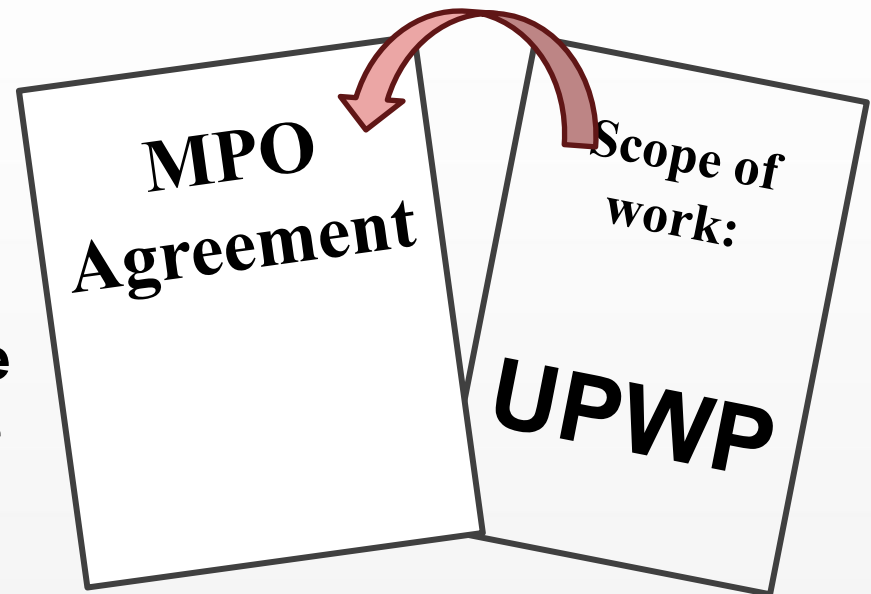


- **MPO Agreement is the standard contract between the MPO and FDOT to undertake FHWA-funded planning studies and activities listed in the UPWP**
- **MPO Agreement shall be executed every 2 years**
- **The Agreement was updated for the last UPWP cycle**
- **No plans to update it for this UPWP cycle**

UPWP & FHWA Agreement



- The UPWP acts as the scope of work for the MPO Agreement
- Deliverable: progress reports
- Progress is determined by completion of the tasks in the UPWP, as documented by the progress report and determined by the MPO Liaison



Invoice Documentation



- **MPOs must invoice on a monthly or quarterly basis**
- **Itemized Expenditure Report**
 - » Report of expenditures made during the invoice period, broken out by task and budget category based on the Estimated Budget Detail
- **Progress Report**
 - » Report of activities undertaken during the invoice period
- **Invoice will *not* include specific documentation of costs incurred (such as receipts), although the MPO must retain such documentation**

Monitoring & Oversight: UPWP Review



- **MPO Liaison to use checklist in the Handbook to perform review of draft UPWP**
- **The *cost analysis* must be performed prior to execution of the MPO agreement**
- **After performing review (and prior to execution of the MPO Agreement), the MPO Liaison shall sign the Cost Analysis Certification statement**

Monitoring & Oversight: UPWP Review



- **Allowable**

- » Authorized by federal and state law, rule, and/or regulation
- » Where more than one resource differs from another, the more restrictive resource applies

- **Reasonable**

- » Are there less expensive alternatives that would meet the need?
- » Would a prudent person or business pay the same price for similar services?

- **Necessary**

- » Is this crucial to the success of the program?

Monitoring & Oversight: Cost Eligibility



- MPO Liaison initially responsible for determining whether a cost is allowable, necessary and reasonable
- Determination of eligible activities:
 - » 2 CFR §200 Subpart E – Cost Principles
 - » DFS Reference Guide for State Expenditures

Note: FHWA holds ultimate responsibility for determining allowability, necessity, and reasonableness of costs for FHWA funds.

Monitoring & Oversight: Risk Assessment



- **Risk Assessment**

- » MPO risk assessed on a scale of low, moderate, elevated, and high
- » Fiscal Monitoring required by 2 C.F.R. §200.331

- **Part of the Joint Certification Process**

De-obligation



- **MPOs only need to de-obligate/close-out funds at the end of the UPWP's 2nd year**
- **If MPOs have a balance in year 1 that they want to use in year 2 (for same task) – leave balance in year 1 – funds will be available on July 1 of the second fiscal year**

Closeout



- **FDOT has until Sept 30 to have final invoices and close out documents to FHWA**
- **If MPO anticipates it won't have final invoices submitted in time, MPO must notify the District**
- **If District anticipates it won't have its close-out memo completed before Sept 30, the District must request an extension from FHWA**
- **As of July 11, 2016, the process for closing projects has been revised**
 - » See Federal Aid Technical Bulletin 16-03

Contact Information



Office of Policy Planning

Mark Reichert
850-414-4901
Mark.Reichert@dot.state.fl.us

Alex Gramovot
850-414-4801
Alexander.Gramovot@dot.state.fl.us

Office of Comptroller

Lisa Wilkerson
850-414-4391
Lisa.Wilkerson@dot.state.fl.us

thank
you!



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FMPP Statewide Collaboration Meeting

Certification/Risk Assessment

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Florida Department of Transportation



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December 1, 2017

Introduction



- **June 1 Presentation:**

- » Risk Assessment
 - Issues identified

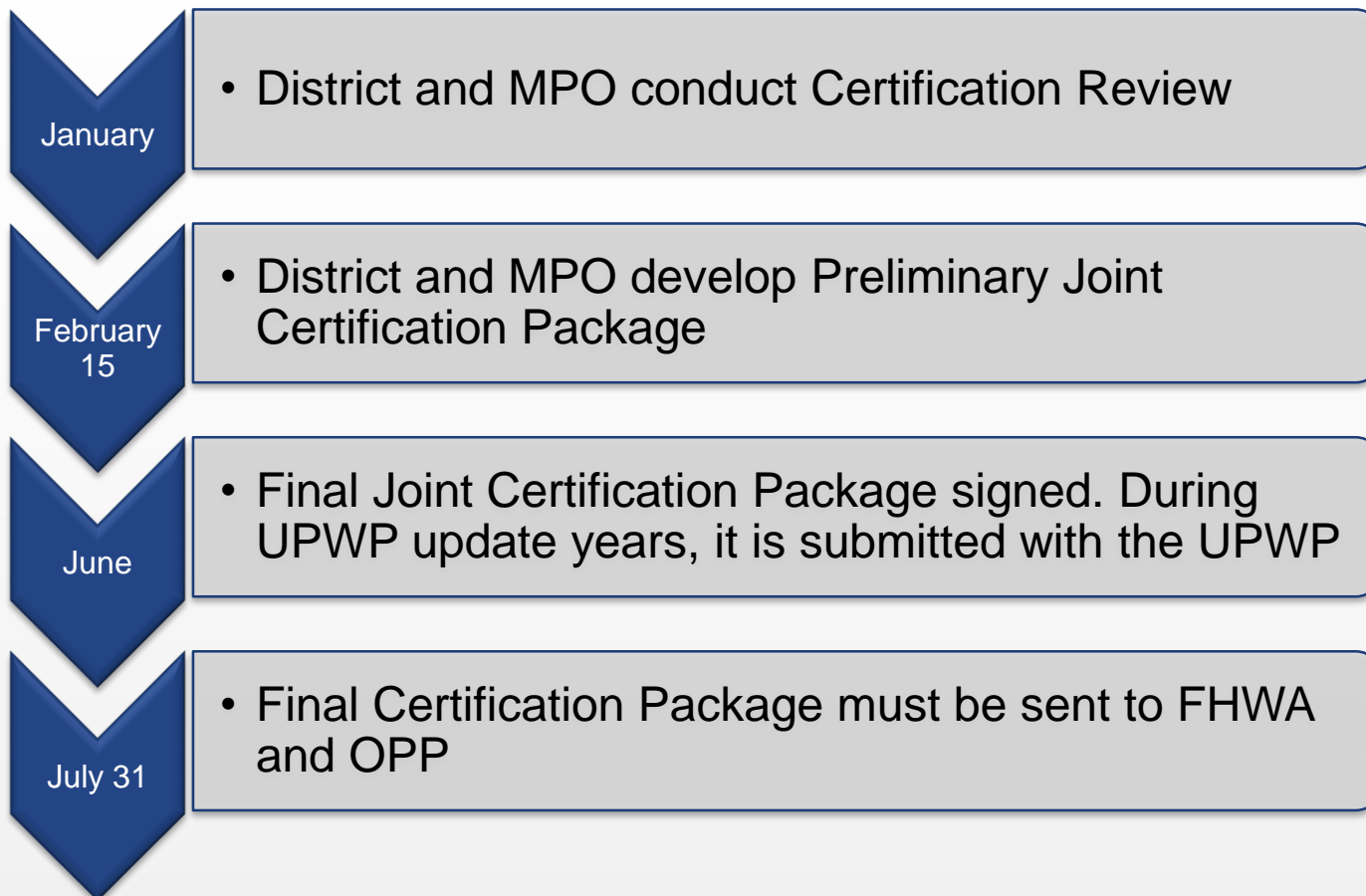
- **Since June:**

- » Need for consistent Joint Certification process
- » Incorporate Risk Assessment into Joint Certification

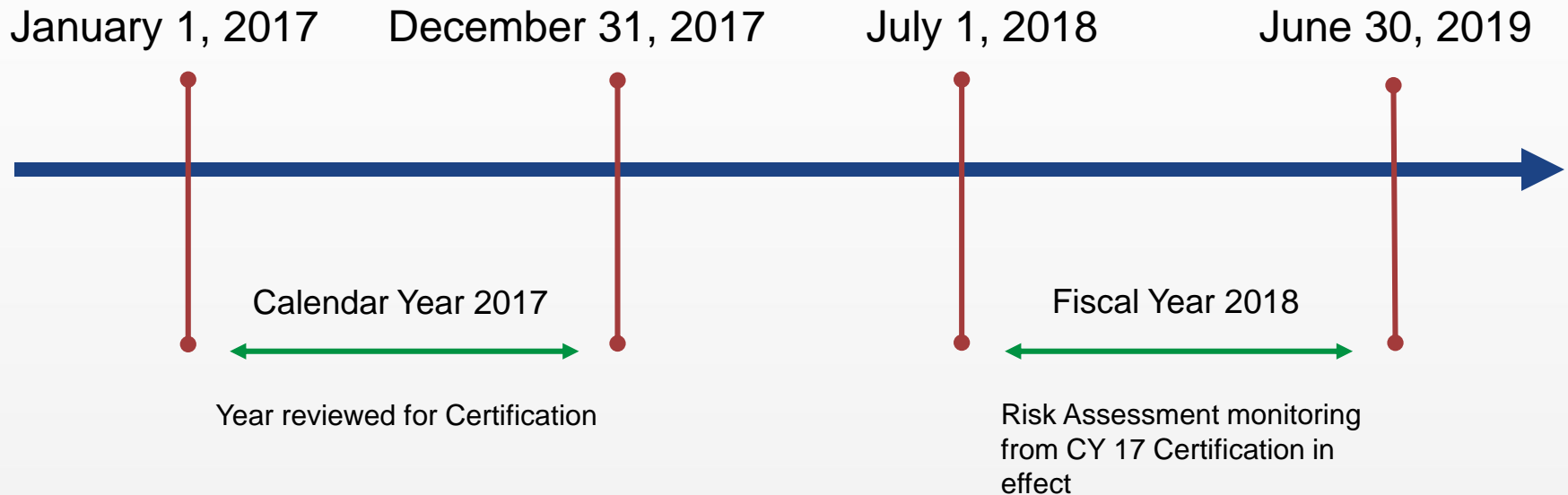
- **Where We Are Now:**

- » Joint Certification includes Risk Assessment
 - One streamlined, consistent process
 - Value added
 - Benefits the MPO, MPO Liaison, and Central Office

Joint Certification - Timeline



Risk Assessment - Timeline



Joint Certification



Policy & Process Management

Forms • Policies • Procedures • Manuals

FDOT

olicies ▼ Help Staff Contact Us Request for Form Action User: Alexander Gramovot

MPO Joint Certification Documents
Language for description goes here

Form Number ↑	Name	Description	Form Links	More Info
525-010-05a	MPO Joint Certification - Master Certification Document	MPO Joint Certification - Master Certification Document	Word	Details
525-010-05b	MPO Joint Certification - Statements and Assurances	MPO Joint Certification - Statements and Assurances	Word	Details

FLORIDA DEPARTMENT OF TRANSPORTATION
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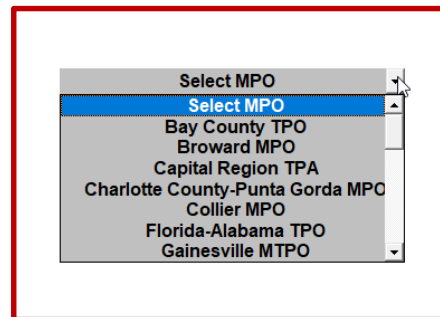
<https://fms.fdot.gov/Form/ConsolidatedForm?formId=2678>

Joint Certification



FLORIDA DEPARTMENT OF TRANSPORTATION
MPO JOINT CERTIFICATION

625-010-05
POLICY PLANNING
11/17



Joint Certification



FDOT Joint Certification

525-010-05
POLICY PLANNING
11/17

Section 1: MPO Overview

1. Does the MPO have up-to-date agreements such as the interlocal agreement that creates the MPO, the intergovernmental coordination and review agreement; and any other applicable agreements? Please list all agreements and dates that they need to be readopted.

[\[23 C.F.R. 450.314 \(a\) and \(e\)\]](#)

Please Check: Yes ☐ No ☐

PLEASE EXPLAIN

2. Does the MPO coordinate the planning of projects that cross MPO boundaries with the other MPO(s)?

[\[23 C.F.R. 450.314\(e\)\]](#)

Please Check: Yes ☐ No ☐

PLEASE EXPLAIN

Joint Certification



FDOT Joint Certification

525-010-05
POLICY PLANNING
11/17

Section 12: Attachments

Please attach any documents required from the sections above, or other certification related documents here. (Link to [MPO Joint Certification Statements and Assurances](#))

Attach Files



MPO Joint
Certification - Stater

Joint Certification



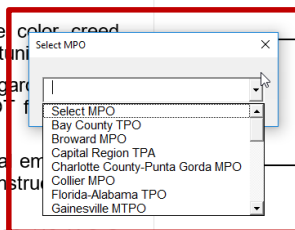
JOINT CERTIFICATION STATEMENT ON THE METROPOLITAN TRANSPORTATION PLANNING PROCESS

Pursuant to the requirements of 23 U.S.C. 134(k)(5) and 23 CFR 450.334(a), the Department and the MPO have performed a review of the certification status of the metropolitan transportation planning process for the [redacted] with respect to the requirements of:

1. 23 U.S.C. 134 and 49 U.S.C. 5303;
2. Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. 2000d-1) and 49 C.F.R. Part 21
3. 49 U.S.C. 5332 prohibiting discrimination on the basis of race, color, creed, national origin, sex, or age in employment or business opportunities;
4. Section 1101(b) of the FAST Act and 49 C.F.R. Part 26 regarding the involvement of disadvantaged business enterprises in USDOT-funded projects;
5. 23 C.F.R. Part 230 regarding the implementation of an equitable opportunity program on Federal and Federal-aid highway construction projects;
6. The provisions of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.) and the regulations found in 49 C.F.R. Parts 27, 37, and 38;
7. The Older Americans Act, as amended (42 U.S.C. 6101) prohibiting discrimination on the basis of age in programs or activities receiving Federal financial assistance;
8. Section 324 of 23 U.S.C. regarding the prohibition of discrimination on the basis of gender; and
9. Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794) and 49 C.F.R. Part 27 regarding discrimination against individuals with disabilities.

Included in this certification package is a summary of noteworthy achievements by the MPO, attachments associated with these achievements, and (if applicable) a list of any recommendations and/or corrective actions. The contents of this Joint Certification Package have been reviewed by the MPO and accurately reflect the results of the joint certification review meeting held on insert date.

Based on a joint review and evaluation, the Florida Department of Transportation and the [redacted] recommend that the Metropolitan Planning Process for the [redacted] be Select option.



[redacted]
Date
District Secretary (or designee)

[redacted]
Date
MPO Chairman (or designee)

Joint Certification



FLORIDA DEPARTMENT OF TRANSPORTATION
MPO JOINT CERTIFICATION
STATEMENTS & ASSURANCES

525-010-05
POLICY PLANNING
1/1/17

JOINT CERTIFICATION STATEMENT ON THE METROPOLITAN TRANSPORTATION PLANNING PROCESS

Pursuant to the requirements of 23 U.S.C. 134(k)(5) and 23 CFR 450.334(a), the Department and the MPO have performed a review of the certification status of the metropolitan transportation planning process for the **Bay County TPO** with respect to the requirements of:

1. 23 U.S.C. 134 and 49 U.S.C. 5303;
2. Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. 2000d-1) and 49 C.F.R. Part 21
3. 49 U.S.C. 5332 prohibiting discrimination on the basis of race, color, creed, national origin, sex, or age in employment or business opportunity;
4. Section 1101(b) of the FAST Act and 49 C.F.R. Part 26 regarding the involvement of disadvantaged business enterprises in USDOT funded projects;
5. 23 C.F.R. Part 230 regarding the implementation of an equal employment opportunity program on Federal and Federal-aid highway construction contracts;
6. The provisions of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.) and the regulations found in 49 C.F.R. Parts 27, 37, and 38;
7. The Older Americans Act, as amended (42 U.S.C. 6101) prohibiting discrimination on the basis of age in programs or activities receiving Federal financial assistance;
8. Section 324 of 23 U.S.C. regarding the prohibition of discrimination on the basis of gender; and
9. Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794) and 49 C.F.R. Part 27 regarding discrimination against individuals with disabilities.

Included in this certification package is a summary of noteworthy achievements by the MPO, attachments associated with these achievements, and (if applicable) a list of any recommendations and/or corrective actions. The contents of this Joint Certification Package have been reviewed by the MPO and accurately reflect the results of the joint certification review meeting held on insert date.

Based on a joint review and evaluation, the Florida Department of Transportation and the **Bay County TPO** recommend that the Metropolitan Planning Process for the **Bay County TPO** be
Select option:

- Select option
- certified
- certified with conditions

Secretary (or designee)

Date

Name: _____
Title: MPO Chairman (or designee)

Date

Wrap-Up



Questions?

Alex Gramovot

Statewide Metropolitan Planning Coordinator

Alexander.Gramovot@dot.state.fl.us

850-414-4801





FMPP

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