3. Unified Planning Work Program

Key Chapter Changes

The Unified Planning Work Program (UPWP) chapter was updated to streamline content and focus on the roles and responsibilities of Florida Department of Transportation (FDOT) District Metropolitan Planning Organization (MPO) Liaisons in the UPWP development, implementation, and closeout process. (October 5, 2026)

CHAPTER 3
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3.1 Introduction

The Unified Planning Work Program (UPWP) is a statement of work that identifies the transportation planning priorities, activities, and associated budgets for a metropolitan planning area. Federal and state regulations require each Metropolitan Planning Organization (MPO) to develop and maintain a UPWP.

Table 3.1 Citations for the Definition of a UPWP

Citation	Title
23 CFR 450.104	Definition of UPWP

Table 3.2 Key Resources in this Chapter

Resource Name	Description
District MPO Liaison Toolkit	Provides District MPO Liaisons with guidance, checklists, templates, and other tools needed to coordinate consistently and effectively with MPOs.
FDOT Disbursement Handbook for Employees and Managers	Provides guidance to FDOT employees on purchasing, expenses, travel reimbursement, and other disbursement procedures.
FDOT Procedural Document Library (PDL)	FDOT's official repository for all forms, policies, procedures, and manuals.
FDOT Work Program Instructions	Provides FDOT's official policies, procedures, and requirements used to implement the projects in FDOT's Five-Year Work Program.
Grant Applications Process (GAP)	FDOT's web-based system is used to submit and coordinate the review of draft and final TIPs, TIP revisions, and related materials.
MPO Partner Site	An information hub that promotes collaboration, information sharing, and coordination between District MPO Liaisons, MPOs, and federal partners.
Planning and Assistance Training Hub (PATH)	A centralized resource providing guidance materials, templates, and tools related to metropolitan transportation planning documents and processes.
Reference Guide for State Expenditures	Provides guidance to state agencies regarding the requirements applicable to the disbursement of funds from the State Treasury.

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The UPWP serves as the MPO's transportation planning work program, outlining the planning tasks, funding sources, and associated deliverables over two state fiscal years. This chapter outlines the role of the Florida Department of Transportation (FDOT) District MPO Liaisons in the development, implementation, and closeout of the UPWPs developed by each of Florida's 27 MPOs. District MPO Liaisons provide technical support and guidance to MPOs throughout each phase of the UPWP cycle. Some specific responsibilities are listed below.

- UPWP Development
  - Initiating early coordination with MPOs during the UPWP update cycle, including scheduling and holding a kickoff meeting
  - Reviewing draft and adopted UPWPs to ensure all federal and state requirements have been met
  - Facilitating the authorization and encumbrance of funds to be used by MPOs for planning activities
- UPWP Implementation
  - Reviewing UPWP amendments and modifications to confirm revisions are properly documented and processed
  - Monitoring task progress and reviewing invoices to verify completed work aligns with approved activities
- UPWP Closeout
  - Initiating and facilitating closeout procedures
  - Ensuring final invoices have been submitted and processed
  - Assisting with the de-obligation of unexpended funds

3.1.1 Overview of the UPWP Cycle

The UPWP cycle consists of three phases: preparation, implementation, and closeout. UPWP preparation includes the development, review, and approval of a UPWP, as shown in **Figure 3.1**. The implementation phase is when the MPO and FDOT administer the funds identified in the UPWP. UPWP closeout is the process by which the MPO and FDOT close out the agreement at the end of the two-year cycle.

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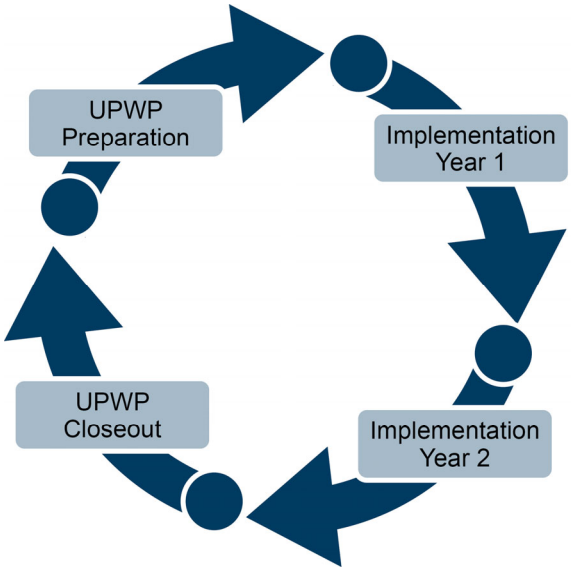
Table 3.3 Citations for the UPWP Cycle

Citation	Title
23 USC 134	Metropolitan Transportation Planning
s. 339.135, F.S.	FDOT Work Program Regulations

Figure 3.1 UPWP Cycle



Note: The many due dates and deadlines noted in this chapter are primarily driven by FDOT's requirements for Work Program development under Florida law, federal requirements, and the difference between the state **(July 1 – June 30)** and federal **(October 1 – September 30)** fiscal years. These due dates and deadlines are intended to provide adequate and reasonable time for the development, review, and approval of the UPWP and the documents necessary to administer UPWP funds efficiently. The due dates and deadlines reflect current practice and were established through consensus among FDOT, the Federal Highway Administration (FHWA), the Federal Transit Administration (FTA), and the MPOs. This is consistent with the continuing, cooperative, and comprehensive (3-C) metropolitan planning process mandated by federal law.

3.1.2 MPO Planning Funds

Funding for metropolitan transportation planning can come from federal, state, or local sources. Regardless of the source, all funds used for metropolitan transportation planning, including matching funds, must be documented in the UPWP. Any addition of funds requires a formal amendment to both the UPWP and the FDOT/MPO Agreement. District MPO Liaisons play an important oversight role in the use of federal and state funds for planning activities. Their responsibilities include:

- Verifying that all funding sources are accurately identified in the UPWP
- Ensuring that all funds are programmed and implemented in accordance with federal and state requirements
- Reviewing and processing amendments to add funding to an adopted UPWP and the FDOT/MPO Agreement
- Providing technical support and guidance related to funding

Table 3.4 Citations for MPO Planning Funds

Citation	Title
23 CFR 420 Subpart A	Administration of FHWA Planning and Research Funds
23 USC 120(i)	Credit for Non-Federal Share
23 USC 133	Surface Transportation Block Grant Program
23 USC 149	Congestion Mitigation and Air Quality Improvement Program
49 USC 5305(d)	Metropolitan Planning Funds (FTA)
49 USC 5307	Urbanized Area Formula Grants (FTA)
FTA Circular 8100.1D	Program Guidance for Metropolitan Planning Grants (FTA)

3.1.2.1 Federal Metropolitan Planning Funds

MPO planning activities are primarily funded with **FHWA Metropolitan Planning (PL) funds** and **FTA Section 5305(d) funds**. These funds are annually apportioned to FDOT, the direct recipient of FHWA and FTA funding. FDOT is responsible for administering and distributing the funds to Florida's MPOs

using formulas developed in consultation with the MPOs and approved by FHWA. More information about distribution formulas and programming requirements can be found in FDOT's Work Program Instructions.

To streamline administration of federal metropolitan transportation planning funds, FDOT participates in the **Consolidated Planning Grant (CPG) Program**, which allows FDOT and MPOs to combine FHWA PL and FTA 5305(d) funds into a single coordinated grant. FHWA is the lead grant agency administering the CPG Program in Florida. Under the CPG, FDOT will program FTA 5305(d) funds as PL funds in the Work Program. PL fund allocations for the upcoming fiscal year and the four following years appear in FDOT's Work Program Instructions under Schedule A. Refer to the Work Program Instructions for allocation formulas and additional information on FHWA PL and FTA 5305(d) funds.

Note: FTA will retain its responsibility to review the UPWP and UPWP amendments if FTA funds, other than those under 5305(d), are included in the UPWP. FHWA, as the lead grant administrator, is responsible for coordinating FTA document review. The CPG also eliminates FDOT's responsibility to develop and issue Public Transportation Grant Agreements (PTGAs) annually to MPOs for new 5305(d) funds.

3.1.2.2 Additional Federal Funds

3.1.2.2.1 SURFACE TRANSPORTATION BLOCK GRANT PROGRAM FUNDS

The Surface Transportation Block Grant Program (STBG) is a federal-aid highway funding program for a broad range of surface transportation capital needs, including roads, transit, airport access, vanpool, and bicycle and pedestrian facilities. STBG funds are allocated based on population. Urban (SU) funds are explicitly allocated to Transportation Management Areas (TMAs) based on population. With the concurrence of the District Work Program Office, an MPO may use STBG funds to supplement the PL allocations for planning tasks identified in a UPWP. FDOT will decide whether to allocate funds to the MPO and, if so, the amount of the allocation. For more information on programming and implementing STBG funds, see the Work Program Instructions.

3.1.2.2.2 OTHER FHWA PROGRAM FUNDS

FDOT may provide MPOs with additional FHWA program funds, such as Congestion Mitigation and Air Quality Improvement (CMAQ), Transportation Alternative (TA), or discretionary funds for metropolitan transportation planning. These funds must be reflected on the relevant tasks in the UPWP to ensure reimbursement of the MPO.

3.1.2.2.3 FTA 5307 FORMULA GRANTS

When FTA Section 5307 funds are used by the local transit agency (the direct recipient) for planning purposes, the funds must be included in the UPWP. The local transit agency should coordinate funding amounts and tasks with the MPO.

3.1.2.3 State Funds

The Work Program Instructions describe the use of state funds, such as District Dedicated Revenue (DDR) and State Modal Development Funds (DPTO). DDR and DPTO funds are provided to MPOs solely as a non-federal match for FTA or other federal grants.

Per guidance from the Office of Work Program and Budget, state (D) funds shall not be provided to the MPO to assist with carrying out metropolitan transportation planning processes, including the development and update of the LRTP, the Transportation Improvement Program (TIP), the Public Participation Plan (PPP), the Congestion Management Process/Plan (CMP), and the UPWP.

However, if an MPO performs a service on behalf of FDOT, D funds may be provided to the MPO as a vendor to FDOT. A vendor agreement must be executed between the MPO and FDOT in these instances. Any funds provided to the MPO as a vendor to FDOT must be reflected in the UPWP as an **informational** item. For more information, see the Work Program Instructions.

3.1.2.3.1 FLORIDA COMMISSION FOR THE TRANSPORTATION DISADVANTAGED

MPOs may receive State Transportation Disadvantaged grant funding from the Florida Commission for the Transportation Disadvantaged (CTD), an independent entity within FDOT. These funds are administered to the MPO through a CTD Joint Participation Agreement executed between the MPO and the CTD.

3.1.2.4 Matching Funds

3.1.2.4.1 SOFT MATCH

Currently, the State provides the required match to secure FHWA and FTA 5305(d) funds with toll credits as a “soft match.” The “soft match” is not actual dollars that can be expended, and the soft match credits do not appear in the Work Program. However, the MPO must include the soft-match amount in the UPWP.

FDOT uses the United States Department of Transportation (USDOT) sliding scale federal/non-federal match ratio for metropolitan planning funds: 81.93 percent federal and 18.07 percent non-federal. FDOT's policy is to use toll credits for the non-federal share of all FHWA sliding-scale-eligible funding programs.

3.1.2.4.2 CASH (HARD) MATCH

Specific federal funding programs require a hard match in the form of actual dollar contributions from the state or local government. The state and local funds used as a match must be shown in FDOT's Work Program and in the MPO's UPWP. For FTA 5307 funds, FTA provides 80 percent with a required 20 percent non-federal match. The 20 percent match is 10 percent state and 10 percent local funds.

3.1.2.5 Local Funds

Any funds other than federal or state funds applied to planning activities are considered local funds. Local funds that do not match federal grant funds should be included in the UPWP as an informational item. This includes local surtax dollars.

3.1.3 FDOT/MPO Agreement

The FDOT/MPO Agreement is the standard contract between FDOT and the MPO to undertake the FHWA planning studies and activities listed in the UPWP. The standard FDOT/MPO Agreement is **Form No. 525-010-02,** available for download from the FDOT Procedural Document Library. Detailed instructions for completing the FDOT/MPO Agreement and entering it into FDOT's Contract Funds Management (CFM) system can be found in the associated Desktop Procedure on the PATH website.

Table 3.5 Citations for the FDOT/MPO Agreement

Citation	Title
2 CFR 200	Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards
49 CFR 20	Restrictions on Lobbying
49 CFR 21	Nondiscrimination in Federally-Assisted Programs of the Department of Transportation
49 CFR 32.630	Debarment

Note: District MPO Liaisons must verify that any changes to the standard FDOT/MPO Agreement proposed by an MPO have been reviewed and approved by the FDOT Office of General Counsel.



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The FDOT/MPO Agreement captures all FHWA program funds listed in the UPWP (e.g., PL, 5305(d), STBG) and serves as the basis for administering these funds. The FDOT/MPO Agreement contains a body of standardized legal language and six Exhibits:

- **Exhibit A** is the adopted UPWP, which acts as the scope of work for the FDOT/MPO Agreement.
- **Exhibit B, Federal Financial Assistance (Single Audit Act),** documents the federal award amount for the FDOT/MPO Agreement, which is the two-year total for all FHWA program funds in the UPWP.
- **Exhibit C, Title VI Assurances,** includes the Title VI compliance requirements for the MPO and shall be included in any third-party agreements the MPO enters.
- **Exhibit D, Contract Payment Requirements,** outlines the documentation standards the MPO must fulfill in order to be reimbursed by the state for costs and expenditures incurred while implementing the UPWP. More information is available in the Florida Department of Financial Services Reference Guide for State Expenditures.
- **Exhibit E, Debarment and Suspension Certification,** assures that FHWA funds have not been used for procurement from persons who have been debarred or suspended.
- **Exhibit F, Lobbying Certification for Grants, Loans, and Cooperative Agreements,** certifies that no federal funds are being used to influence or attempt to influence (lobby) a member of Congress, their employees, or employees of any agency 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.

3.1.4 Other Agreements

Table 3.6 Citations for Other MPO Agreements

Citation	Title
23 CFR 450.314	Metropolitan Planning Agreements
23 USC 134	Metropolitan Transportation Planning
s. 339.175(2), F.S.	Metropolitan Planning Organization

3.1.4.1 Public Transportation Grant Agreement

The Public Transportation Grant Agreement (PTGA), including exhibits, extensions, and amendments (**Forms No. 725-000-01, 725-000-02, 725-000-03, 725-000-04**, available in the FDOT Procedural Document Library), is the standard contract between the MPO and FDOT for FTA-funded planning studies and activities listed in the UPWP. A PTGA is not required for FTA 5305(d) funds, as these funds are part of the CPG and are therefore captured in the FDOT/MPO Agreement.

3.1.4.2 Third-Party Agreements

Third-party agreements occur when the MPO enters into an agreement with a party other than FDOT to perform UPWP work activities, such as a planning consultant. MPOs must procure, develop, and execute consultant contracts in accordance with applicable federal and state requirements outlined in the FDOT/MPO Agreement.

3.1.5 Single Audit Threshold

MPOs that expend $1 million or more in federal awards during the fiscal year must conduct a single or program-specific audit in accordance with the provisions of 2 CFR Part 200, Subpart F. District MPO Liaisons must coordinate with the MPO annually to determine if the MPO will be required to prepare such an audit. If an MPO exceeds the $1 million threshold within a fiscal year, District MPO Liaisons must ensure the MPO prepares and submits an audit reporting package to the Federal Audit Clearinghouse (FAC) at **www.fac.gov** and FDOT at **FDOTSingleAudit@dot.state.fl.us**. Both submissions must be made within the earlier of 30 calendar days after receipt of the auditor's report or nine months after the end of the audit period.

If the MPO expends less than the $1 million threshold, the District MPO Liaison will direct the MPO to provide a single audit exemption statement to the Department at FDOTSingleAudit@dot.state.fl.us no later than nine months after the end of the MPO's audit period for each applicable audit year.

Table 3.7 Citations for MPO Single Audits

Citation	Title
2 CFR Part 200, Subpart F	Audit Requirements

For more information about the development, required content, and reporting procedures for MPO audits, refer to section 13 of the FDOT/MPO Agreement and 2 CFR Part 200, Subpart F – Audit Requirements.

3.2 UPWP Development

The steps involved in UPWP development, review/approval, execution of the FDOT/MPO Agreement, and authorization are illustrated in **Table 3.8**.

Table 3.8 UPWP Preparation Timeline

Step	Activity	Due Date
Preparation	The Office of Work Program and Budget provides funding allocation amounts.	Fall before UPWP development begins.
Preparation	The District MPO Liaison and MPO meet to begin developing a new two-year UPWP.	December-January
Draft UPWP	The MPO uploads the draft UPWP for review in the GAP system.	March 15
Draft UPWP	The District MPO Liaison and review agencies review the draft UPWP and provide comments in GAP.	April 15
Draft UPWP	The MPO addresses comments on the draft UPWP.	May 15
UPWP Amendment to De-obligate* Funds on Current UPWP	The MPO must notify the District MPO Liaison of the total funds the MPO plans to de-obligate.	March 15
UPWP Amendment to De-obligate* Funds on Current UPWP	The deadline for the MPO to approve a UPWP amendment to de-obligate funds from the current UPWP.	April 15
UPWP Amendment to De-obligate* Funds on Current UPWP	The deadline for the MPO to transmit a UPWP amendment to de-obligate funds from the current UPWP to the District.	May 1



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Step	Activity	Due Date
FDOT/MPO Agreement	The District MPO Liaison forwards the new FDOT/MPO Agreement to the MPO.	April 15
Final UPWP	The MPO adopts the final 2-year UPWP and signs the new FDOT/MPO Agreement.	May 15
Final UPWP	Within ten working days, the District MPO Liaison reviews the adopted UPWP and works with the MPO to resolve any outstanding issues. Then, the liaison provides a signed Cost Analysis Certification for the MPO to include in their adopted UPWP.	Within ten working days
Final UPWP	The MPO uploads the final UPWP, including the Cost Analysis Certification Statement, in GAP for FHWA and FTA review and approval.	June 1
Authorization	The District MPO Liaison executes the FDOT/MPO Agreement, notifies the District Financial Services Office by a Letter of Authorization, and requests that the contract be placed in Status 10 (executed) in the CFM system.	Early June-June 15
Authorization	The District MPO Liaison receives notification of 100 percent authorization from the Office of Work Program and Budget.	June 15
Authorization	**Critical Milestone:** If FHWA and FTA have not approved an MPO's UPWP by **June 15**, there will not be sufficient time to encumber the funds and issue a Letter of Authorization to the MPO before **June 30**.	June 15
Authorization	Funds must be authorized and encumbered before **July 1**. For detailed steps on authorizing funds, see Section 3.2.7 Programming and Authorizations.	Before July 1

3.2.1 Kick Off Meeting

To begin development of the new UPWP, District MPO Liaisons must initiate early coordination with the MPOs by **December or January** of Year 2 of the current UPWP. Districts are encouraged to hold a kickoff meeting with their respective MPOs during this time. If schedules and time permit, FHWA, FTA, and other transportation partners should be included in the kickoff meeting. As a reminder, at the beginning of the UPWP development cycle, District MPO Liaisons should ensure that MPOs have received their PL Balance Spreadsheet from the Office of Work Program and Budget, as well as information on regional projects.

3.2.2 Required Content

Various federal and state regulations, shown in **Table 3.9**, identify what an MPO must include in a UPWP. To assist in meeting these requirements, FDOT developed a **Guide for UPWP Development**, available on the PATH website**.** Other UPWP formats beyond what is described in this chapter and in the Guide for UPWP Development may also be acceptable, provided they **meet all federal and state requirements.** At minimum, UPWPs are required to include:

- A description of local and MPO planning priorities
- A description of work proposed for the next two years by major activity or task
- Who will perform the work (e.g., MPO, state, public transportation operator, local government, or consultant)
- A schedule for completing the work
- The resulting work products
- The proposed funding or cost estimate by activity or task
- A summary of the total amounts and sources of federal and matching funds.
- A summary that shows federal share by type of fund, matching rate by type of fund, state and/or local matching share, and other state or local funds.

Table 3.9 Citations for Required UPWP Content

Citation	Title
2 CFR 200.332	Requirements for Pass-Through Entities
23 CFR 420.111(b)	Documentation Requirements for Use of FHWA Planning and Research Funds
23 CFR 450.308(c)	Funding for Transportation Planning and UPWPs
s. 339.175(9), F.S.	Metropolitan Planning Organization UPWPs

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 23 CFR 420.111.

3.2.2.1 UPWP Checklist

A more detailed list of UPWP content requirements is available in the **UPWP Checklist** on the PATH website. The UPWP Checklist was designed by the FDOT Office of Policy Planning (OPP) to ensure that UPWPs meet all applicable federal and state requirements. District MPO Liaisons must complete and submit the checklist for each MPO's adopted UPWP. District MPO Liaisons are also encouraged to use the checklist to review draft versions of the UPWP. Using the checklist to guide the development of UPWPs will help ensure that the final adopted versions are accepted by FDOT and federal partners.

3.2.2.2 Regional Activities

When multiple MPOs collaborate on regional planning activities that involve transferring funds, such as PL, STBG, or FTA Section 5305(d) funds consolidated under the CPG, it is essential that these tasks are documented in a consistent manner across all participating UPWPs. District MPO Liaisons should ensure that each MPO's UPWP clearly identifies the lead agency, provides a concise description of the activity, and shows the associated funding in a uniform format. Consistency in documentation promotes transparency, accountability, and alignment among MPOs engaged in regional efforts. All regional tasks involving fund transfers must be supported by a Memorandum of Understanding (MOU) signed by the participating MPOs. Additional guidance on representing these activities is available in the Guide for UPWP Development.

3.2.3 Required Attachments

Table 3.10 Citations for Required UPWP Attachments

Citation	Title
2 CFR 200.332	Requirements for Pass-Through Entities
2 CFR 200.414	Indirect Costs
2 CFR 200.416	Cost Allocation Plans and Indirect Cost Proposals
23 CFR 450.308(b)	Funding for Transportation Planning and Unified Planning Work Programs
s. 112.061(14), F.S.	Per Diem and Travel Expenses
s. 216.3475, F.S.	Maximum Rate of Payment for Services

3.2.3.1 Resolution Adopting the UPWP

The UPWP must include a resolution from the MPO adopting the UPWP. The resolution should be signed by the MPO's Governing Board to demonstrate that the Governing Board has reviewed, approved, and committed to the tasks outlined in the UPWP.

3.2.3.2 Cost Analysis Certification Statement

The UPWP must include a Cost Analysis Certification Statement (**Form No. 525 010-06** on the FDOT PDL) signed by the District MPO Liaison, attesting to the allowability, reasonableness, and necessity of the costs presented in the UPWP. This certification statement is a statutory requirement of the Florida Department of Financial Services. This statement is to be signed by the District MPO Liaison for each of the following actions:

- Following the adoption of the UPWP and before the execution of the FDOT/MPO Agreement
- Following an MPO Board action amending the UPWP and before execution of said amendment to the FDOT/MPO Agreement
- Following all UPWP modifications

The date of signature on this statement must match the date of the MPO's most recent action on the UPWP. District MPO Liaisons are responsible for maintaining records related to all actions taken on the

UPWP, including complete cost analyses. These documents should be uploaded to the GAP system, as described in **Section 3.2.5 UPWP Review and Approval.**

3.2.3.3 MPO Adopted Travel Policy

If the MPO has adopted a travel policy that differs from the FDOT travel policy, the MPO must include the policy as an attachment to the UPWP. This provides the District MPO Liaison with the necessary information to review and process invoices. The MPO Board must approve travel policies. If the MPO follows the FDOT travel policy, refer to FDOT's **Disbursement Handbook for Employees and Managers.**

3.2.3.4 Cost Allocation Plan and Certificate of Indirect Costs

If the MPO has an approved Cost Allocation Plan, the MPO must include the plan as an attachment to the UPWP. This provides the District MPO Liaison with the necessary information to review and process invoices. Please see **Section 3.3.4 Indirect Costs** for details on Cost Allocation Plans.

3.2.4 De-Obligating Funds for the Next UPWP

As MPOs begin developing the new UPWP, they may wish to process a UPWP amendment to unencumber and de-obligate funds from the current UPWP, making them available in the new UPWP. Unencumbering and de-obligating releases funds that the MPO does not anticipate spending by the end of the current UPWP, allowing the MPO to add those funds into year one of the new UPWP. When unencumbering and de-obligating funds from the current UPWP for use in the next UPWP, District MPO Liaisons should keep in mind the following:

> **Unencumbering** is FDOT's process for freeing up funds and budgets programmed for a project. **De-obligating** is the permission given by the federal agency to remove unexpended, authorized funds. FDOT must unencumber funds before the federal agency can de-obligate them.

- De-obligated funds cannot be included in the new UPWP until the MPO has processed an amendment. However, District MPO Liaisons should ensure that MPOs identify the **anticipated** amount of de-obligated funds in the draft of the new UPWP. A common and acceptable approach is to note these amounts at the bottom of the funding table(s). For example: "The MPO plans to de-obligate $___ in PL funds and $___ in SU funds."

- De-obligated funds are anticipated to become available after the approval of the roll-forward budget amendment, typically within the first year of the new UPWP (subject to available budget). The funds must be re-authorized before the MPO can spend them.

- **De-obligation also occurs during UPWP closeout.** That process is discussed in **Section 3.4 UPWP Closeout**.

Detailed steps to unencumber and de-obligate funds are described below.

Step 1: MPO Notifies District MPO Liaison

By **March 15**, District MPO Liaisons should ensure MPOs have notified the District in writing if the MPO intends to unencumber funds from the second year of the current UPWP and how much money the MPO plans to unencumber/de-obligate. Care should be taken to ensure the MPO has adequate funding for the remainder of the current fiscal year before unencumbering funds.

Step 2: MPO Approves and Submits a UPWP Amendment

By **April 15**, the MPO board must approve an amendment to the UPWP to unencumber the funds. Part of this process involves amending the existing FDOT/MPO Agreement because the total funding amount in the UPWP is changing. The District MPO Liaison must prepare an amendment to the FDOT/MPO Agreement and submit it to the MPO for signature at the MPO board meeting.

District MPO Liaisons should ensure the MPO has submitted the signed UPWP amendment and amended FDOT/MPO Agreement to the District by **May 1**.

3.2.4.1 Unencumbering and De-Obligating Other STBG Funds

Currently, each FDOT District manages STBG funds (i.e., SU, SL, SM, SN, SA), including programming SU funds for the MPOs. If a District allows MPOs to de-obligate STBG funds, the process follows the same guidance above.

3.2.5 UPWP Review and Approval

UPWP review and approval is facilitated within the GAP system. Based on whether the UPWP is new, amended, or modified, it is processed through specific workflows in GAP to coordinate courtesy or required reviews with the appropriate staff at the relevant reviewing agency. The steps below outline the process for review and approval of a new UPWP.

Step 1: MPO uploads Draft UPWP

By **March 15**, the District MPO Liaison should ensure the MPO has uploaded the draft UPWP to GAP, initiating the UPWP review and approval process.

Step 2: District MPO Liaison Reviews Draft UPWP and Prepares New FDOT/MPO Agreement

By **April 15**, the District MPO Liaison must complete their review of the draft UPWP using the UPWP Checklist found on the PATH website The District MPO Liaison should work collaboratively with the MPO to resolve any comments. When reviewing the UPWP, District MPO Liaisons should employ the following system for providing comments:

- **Editorial**: These comments may be addressed, but such corrections would not affect approval of the document. Examples of editorial comments include grammatical, spelling, and other related errors.
- **Enhancement**: These comments may be addressed, but the document already meets the minimum requirements for approval. Enhanced comments would significantly improve the document's quality and public understanding. These comments may pertain to improving graphics, using plain language, reformatting for clarity, and removing redundant language, among other suggestions.
- **Critical**: These comments **must** be addressed to meet minimum federal and state requirements for approval. The District MPO Liaison must identify the applicable federal or state policies, regulations, guidance, procedures, or statutes with which the document does not conform.

While reviewing the draft UPWP, the District MPO Liaison must confirm the PL funding amounts in the draft UPWP against the PL Balance Spreadsheet provided by the Office of Work Program and Budget and all funds programmed for planning in the Tentative Work Program. Then, the District MPO Liaison should set up a new contract in the CFM system and prepare the new FDOT/MPO Agreement. Detailed instructions for preparing a new FDOT/MPO Agreement and entering it into the CFM system can be found in the applicable Desktop Procedures on the PATH website. The District MPO Liaison must forward the new FDOT/MPO Agreement to the MPO by **April 15** to ensure the MPO has sufficient time for their legal review and signature at their **May** MPO Board Meeting.

Step 3: MPO Adopts Final UPWP and Signs New FDOT/MPO Agreement

By **May 15**, the District MPO Liaison must ensure the following actions have been completed:

- The MPO has addressed all critical comments on the draft UPWP, adopted the final UPWP, and uploaded it to GAP.
- The MPO has emailed the new FDOT/MPO Agreement, signed by the MPO, to the District MPO Liaison.
- The **MPO has signed but not dated the new FDOT/MPO Agreement** at the MPO's **May** board meeting (FDOT District staff will date the FDOT/MPO Agreement when they subsequently sign it).

Step 4: FDOT Approves the UPWP, Sends the Signed Cost Analysis Certification Statement to the MPO, and Forwards the New FDOT/MPO Agreement Signed by the MPO to District Staff for Signature.

Within **ten working days** of the MPO uploading the adopted final UPWP into GAP, the District MPO Liaison must:

- Review the adopted final UPWP to confirm that the MPO has addressed all critical comments noted in the UPWP Checklist.
- Provide the MPO with the signed Cost Analysis Certification Statement (**Form No. 525-010-06** in the FDOT PDL) to be added to the adopted UPWP.

CHAPTER 3
Unified Planning Work Program

By **June 1**, the District MPO Liaison will review and recommend approval of the adopted UPWP in GAP. By **June 15,** the District MPO Liaison will forward the signed FDOT/MPO Agreement to internal District staff for their signatures. After the FDOT/MPO Agreement has been fully executed, the District MPO Liaison must notify the District Financial Services Office by a Letter of Authorization and request that the contract be placed in Status 10 (executed) in the CFM system. The executed FDOT/MPO Agreement must be uploaded into the Florida Accountability Contract Tracking System (FACTS) (see the **FACTS Desktop Procedure** on the PATH website).

> The **Letter of Authorization** provides approval for the MPO to expend a specified amount of money and the date by which the money can be spent. No work may begin until the Letter of Authorization is issued by FDOT and the FDOT/MPO Agreement is fully executed.

The District and MPOs must be aware that **failure to meet the submittal deadlines or resolve any outstanding issues by June 30 may jeopardize approval of the adopted UPWP, resulting in funding delays.**

Step 5: FHWA/FTA Approval

FHWA coordinates comments with FTA and approves the MPO's adopted UPWP on behalf of FTA. Once the District MPO Liaison reviews and recommends approval of the adopted UPWP in GAP by **June 1,** GAP will automatically notify FHWA/FTA that the final UPWP is ready for review.

After completing their review and approval, FHWA will send its approval letter to the District. The District MPO Liaison shall forward the approval letter to the MPO **within ten business days of receipt**.

Should FHWA and FTA conditionally approve the adopted UPWP due to issues with specific tasks, the MPO cannot receive reimbursement of FHWA funds for those UPWP tasks until FHWA and FTA grant concurrence.

3.2.6 *Programming and Authorizations*

Programming refers to FDOT's process for assigning and scheduling funds for transportation planning and projects. FDOT's Work Program Development and Operations Office establishes financial project numbers for each MPO's UPWP and programs the MPO's PL and 5305(d) funds on sequence -01 of these financial project numbers. District staff shall program all non-PL FHWA-program funds on subsequent sequences beyond -01. **Each fund type shall be programmed in its own sequence.**

Table 3.11 Citations for Fund Authorization

Citation	Title
23 CFR 420.115	FHWA Approval and Authorization Requirements

For example, if an MPO receives $500,000 in PL funds in Year 1 and Year 2, $15,000 in SU funds in Year 1 for two tasks, $10,000 in SU funds in Year 2 for one task, and $12,000 in TA funds in Year 1 for one task, the programming would reflect the following:

Table 3.12 Example Programming Sequence

FPN Sequence	Fiscal Year	Fund Type	Amount
-01	Year 1	PL	$500,000
-01	Year 2	PL	$500,000
-02	Year 1	SU	$15,000
-02	Year 2	SU	$10,000
-03	Year 1	TA	$12,000

District MPO Liaisons must consider these new programming guidelines when programming MPO funds. For further guidance, please refer to the Work Program Instructions.

Authorization is formal approval that allows an MPO to spend a specified amount of money starting at a specific date. FDOT authorizes **100 percent** of each MPO's total annual PL allocation on **July 1** each year, as directed by the Work Program Development and Operations Office. With the CPG, **100 percent** of FTA 5305(d) funds will also be available by July 1, provided the funds have been transferred from FTA to FHWA. District MPO Liaisons are responsible for tracking and initiating authorizations for all FHWA funds allocated to the MPO for planning.

3.2.6.1 Authorization of FHWA Planning Funds

Step 1: Request Authorization and Prepare Letter of Authorization

By **June 15**, the District MPO Liaison must work with the District Federal Aid Coordinator to request the MPO's annual authorization amount.

Note: The District Federal Aid Coordinator can only request authorization of funds once FHWA and FTA have approved the UPWP. If FHWA and FTA have not approved an MPO's UPWP by **June 15**, there will not be sufficient time to encumber the funds and issue a Letter of Authorization to the MPO before **June 30**. In this case, work performed or contracted out by the MPO before the Letter of Authorization date **cannot be** reimbursed.

The District MPO Liaison must also prepare the **Letter of Authorization.** For detailed instructions on preparing a Letter of Authorization, see the Desktop Procedure on the PATH website.

Step 2: District MPO Liaison Encumbers Funds

Next, the District MPO Liaison must encumber the authorized funds in the CFM to allow sufficient time for CFM's review, processing, and approval before July 1. For detailed instructions on encumbering funds in CFM, see the Desktop Procedure on the PATH website.

Once CFM approves the encumbrance, it will generate the FDOT Funds approval. The FDOT Funds approval will show a "REVIEWED" status for the first Letter of Authorization. Subsequent authorization will show "APPROVED." After legislative budget approval, the CFM system will automatically encumber funds on projects reviewed during **June**. A follow-up email will be sent to the originator stating that funds have been approved.

Step 3: District MPO Liaison Distributes Letter of Authorization and Uploads It to FACTS

By **June 30**, the District MPO Liaison must complete the following actions:

- Receive the FDOT Funds Approval and FHWA's Electronic Signature Document (ESD) Funds Approval.
- Prepare the Letter of Authorization and send it, along with the FDOT Funds Approval, to the MPO and to District Financial Services.

- Upload the Letter of Authorization into FACTS (see the Desktop Procedure on the PATH website).

It is critical to have the funds encumbered and the Letter of Authorization sent to the MPO so that the MPO can continue work when the new fiscal year starts on **July 1**. **The MPO will not be reimbursed for expenditures incurred before the date of federal authorization of PL funds and the fund encumbrance.** Thus, work that could generate charges for reimbursement must not start until after the MPO receives an approval letter from the District.

3.2.6.2 Additional FHWA Fund Authorizations

If the UPWP budget increases during the fiscal year, FDOT must request additional authorization from FHWA.

First, the District MPO Liaison will coordinate with the Office of Work Program and Budget in the Central Office to confirm funding availability. Next, the MPO will process a UPWP amendment and submit it in GAP for review and approval by FDOT and FHWA (refer to **Section 0 During the** two-year UPWP cycle, an MPO may need to revise its UPWP after the UPWP has already been approved by FDOT and FHWA/FTA. UPWP revisions fall into two categories: modifications and amendments. Both types of revisions are completed and submitted within the GAP system by following the steps below:

1. With the assistance of the District MPO Liaison, the MPO creates and submits the UPWP revision in GAP.
2. GAP notifies the District MPO Liaison that the revision is available for review.
3. If the revision documentation is complete and accurate, the District MPO Liaison approves the revision within GAP and selects who needs to subsequently sign (FDOT, FHWA, and/or FTA).
4. The revision form is automatically routed to each signer through DocuSign. Each signer will receive an email notification when it is their turn to review and sign.
5. Once all signatures are complete, the final signed revision form will appear in GAP for viewing or download.
6. If any reviewer declines or returns the revision, GAP will notify the MPO to make corrections and resubmit.

Table 3.13 Citations for UPWP Revisions

Citation	Title
2 CFR 200.308	Revision of Budget and Program Plans
29 CFR 1470.30	Changes

After FHWA approves the UPWP amendment, the District MPO Liaison must authorize the funds in the Federal Aid Management System using the same process described above. Once FHWA authorizes the funds, the next step is to encumber them using the same method described above. Upon completion, the District MPO Liaison will send a letter to the MPO authorizing the expenditure of funds based on the new budget amount, along with a copy of the ESD.

3.3 UPWP Implementation (Year 1 and Year 2)

After the UPWP has been developed, adopted, and approved, it enters the two-year implementation phase. During this phase, District MPO Liaisons are responsible for:

- Identifying when revisions to the UPWP are needed and coordinating with MPO staff and FDOT offices to process the revisions through the GAP system;
- Ensuring MPOs submit invoice packages on time and reviewing the packages for accuracy and completeness;
- Verifying that all costs incurred by the MPO meet federal and state requirements; and
- Confirming that the MPO documents and applies its indirect cost rate properly.

3.3.1 UPWP Revisions

During the two-year UPWP cycle, an MPO may need to revise its UPWP after the UPWP has already been approved by FDOT and FHWA/FTA. UPWP revisions fall into two categories: modifications and amendments. Both types of revisions are completed and submitted within the GAP system by following the steps below:

7. With the assistance of the District MPO Liaison, the MPO creates and submits the UPWP revision in GAP.
8. GAP notifies the District MPO Liaison that the revision is available for review.
9. If the revision documentation is complete and accurate, the District MPO Liaison approves the revision within GAP and selects who needs to subsequently sign (FDOT, FHWA, and/or FTA).
10. The revision form is automatically routed to each signer through DocuSign. Each signer will receive an email notification when it is their turn to review and sign.
11. Once all signatures are complete, the final signed revision form will appear in GAP for viewing or download.
12. If any reviewer declines or returns the revision, GAP will notify the MPO to make corrections and resubmit.

Table 3.13 Citations for UPWP Revisions

Citation	Title
2 CFR 200.308	Revision of Budget and Program Plans
29 CFR 1470.30	Changes

District MPO Liaisons must monitor UPWP implementation to determine when revisions are necessary. Revisions may be budgetary, programmatic, or both, and may be minor or major in scale. In general, minor revisions are processed as modifications, while more significant revisions must be processed as amendments. A significant change is one that alters the original intent of the task, project, or intended outcome.

District MPO Liaisons must review all UPWP revisions to ensure they are processed using the correct procedure and include all required information, as outlined in the following sections. For revisions that also require a TIP modification or amendment, District MPO Liaisons should refer to **Technical Memorandum 19-03 REV: Documentation of Federal Funding in the UPWP, the TIP, and the STIP** (available on the PATH website) as well as **Chapter 4: Transportation Improvement Program**.

3.3.1.1 FDOT/MPO Agreement Revisions

Because the UPWP serves as the scope of work for the FDOT/MPO Agreement, District MPO Liaisons must ensure that all UPWP amendments involving FHWA funds are also reflected in an amendment to the FDOT/MPO Agreement. District MPO Liaisons must coordinate execution of the FDOT/MPO Agreement amendment (**Form No. 525-10-02A** in the FDOT Procedural Document Library) and ensure required documentation is uploaded in the appropriate systems. For more information on the FDOT/MPO Agreement, refer to **3.1.3 FDOT/MPO Agreement** and the **FDOT/MPO Agreement Desktop Procedure** located on the PATH website.

If the UPWP amendment increases or decreases the FHWA-approved budget, the District MPO Liaison must ensure the change is recorded in CFM as a contract amendment. If the revision does not increase or decrease the FHWA-approved budget, no CFM action is required. For more information, refer to the **CFM Desktop Procedure** and **How to Encumber Funds Desktop Procedure** on the PATH website. District MPO Liaisons must also ensure all contract and UPWP change documentation is uploaded to FACTS in accordance with current FDOT procedures. For more information, refer to the **FACTS Desktop Procedure** on the PATH website.

3.3.1.2 UPWP Amendments

An **amendment** is a revision that significantly changes the task, scope, budget, or deliverables of a UPWP. Specifically, UPWP amendments are required for the following actions:

- Increasing or decreasing the UPWP budget ceiling by adding new funding or reducing previously approved funding;
- Adding/deleting a task/subtask;
- Transferring funds between tasks/sub-tasks that exceed a combined amount greater than or equal to $100,000 **OR** 10 percent of the total budget of that task/sub-task, whichever is more restrictive;
- Reducing the budget of a task/sub-task by more than 50 percent, or to the point that a task/sub-task could not be accomplished as it was originally approved;
- Change in the scope or objective of the program/task, even if there is no associated budget revision;
- Change in the MPO's staff director;
- Extending the period of performance past the approved UPWP period (i.e., no-cost time extension);
- Sub-awarding, transferring, or contracting out any of the activities in the UPWP;
- The disengagement from a project for more than three months or a 25 percent reduction in time devoted to the project by the approved project director; and
- The inclusion of costs that require prior approval (e.g., capital and equipment purchases) with a unit cost of $10,000 or more.

Financial and Non-Financial Amendments

District MPO Liaisons should recognize that UPWP amendments may be either financial or non-financial. Financial amendments affect the total amount of UPWP funding or involve the transfer of funds between tasks or subtasks. Non-financial amendments affect the content or administration of the UPWP without changing funding amounts.

3.3.1.2.1 PREPARING AND APPROVING UPWP AMENDMENTS

Step 1: District MPO Liaison Confirms the Proposed Revision Requires an Amendment

The District MPO Liaison must review the proposed revision and confirm that it meets the threshold for a UPWP amendment.

Step 2: District MPO Liaison Ensures the MPO Enters the Required Information in GAP

The District MPO Liaison ensures the MPO completes the UPWP Revision Form and uploads the required supporting documentation into the GAP system. For an amendment, required information includes:

- Current and proposed Task Pages (including task budget tables);
- Fund Summary Budget Table;
- Agency Participation Budget Table;
- Signed Cost Analysis Certification;
- MPO Meeting Agenda;
- TIP Modification (if necessary); and
- Amended FDOT/MPO Agreement.

The District MPO Liaison must also ensure the UPWP Revision Form identifies the amount of funds being increased or decreased, as applicable.

Step 3: District MPO Liaison Completes the Cost Analysis Certification

The District MPO Liaison performs cost analysis to confirm the allowability, reasonableness, and necessity of the costs presented in the modified UPWP. Once complete, the District MPO Liaison signs the Cost Analysis Certification Statement and ensures the MPO includes it as an attachment in the modified UPWP. **The date of the signature of the Cost Analysis Certification Statement must reflect the most recent update to the UPWP**. The MPO does not have authorization to use funds until the Letter of Authorization (LOA) has been received. For more information on the Cost Analysis Certification Statement, refer to **3.2.3.2 Cost Analysis Certification Statement.**

Step 4: District MPO Liaison Coordinates Review and Approval

After the amendment is entered into GAP, GAP will automatically notify FDOT, FHWA, and/or FTA that the amendment is ready for their review and approval. When transit planning funds are involved, FHWA coordinates with FTA on the required review and approval actions. Each agency is responsible for approving amendments relevant to its own jurisdiction.

3.3.1.3 UPWP Modifications

A **modification** is any revision that does not fall into the categories listed in **3.3.1.2 UPWP Amendments**.

3.3.1.3.1 PREPARING AND APPROVING UPWP MODIFICATIONS

Step 1: District MPO Liaison Confirms the Proposed Revision Qualifies as a Modification

The District MPO Liaison must review the proposed revision and confirm that it does not meet the threshold for an amendment, thus confirming it may be processed as a modification.

Step 2: District MPO Liaison Ensures the MPO Enters the Required Information in GAP

The District MPO Liaison ensures the MPO completes the UPWP Revision Form found within the GAP system. For a modification, required information includes:

- Current and proposed Task Pages (including task budget tables);
- Fund Summary Budget Table;
- Agency Participation Budget Table; and
- Signed Cost Analysis Certification.

Step 3: GAP Distributes the Modification for Informational Purposes

After the MPO enters the modification in GAP, the system notifies the District MPO Liaison and FDOT Central Office for informational purposes. The District MPO Liaison should review and must approve the UPWP modification to process it through the GAP workflow. **Failure to do so will prevent the MPO from submitting subsequent revisions.**

3.3.2 UPWP Invoicing

During UPWP implementation, MPOs will submit invoices to the Districts for reimbursement as they carry out their planning activities and functions. District MPO Liaisons are responsible for reviewing MPO Invoice Packages to confirm that reimbursement requests are complete, accurate, eligible, and consistent with the approved UPWP and FDOT/MPO Agreement. Invoice Packages are due to FDOT **at least quarterly**, although MPOs may elect to submit them monthly. Regardless of whether the MPO submits invoices monthly or quarterly, the Invoice Package must be submitted within 90 days after the end of the quarter being reported. Reporting periods and deadlines are summarized in **Table 3.14.**

Table 3.14 UPWP Invoice Reporting Periods and Deadlines

Quarter	Reporting Period	Invoice Package Due 90 Days After Quarter Ends
1	July 1 to September 30	December 31
2	October 1 to December 31	March 31
3	January 1 to March 31	June 30
4	April 1 to June 30	September 30

Table 3.15 Citations for UPWP Invoicing

Citation	Title
2 CFR 200.415	Required Certifications
23 CFR 420.117	Program Monitoring and Reporting Requirements
18 USC 1001	Statements or Entries Generally (related to submitting fraudulent documents)
23 USC 104(d)(2)(b)	Reimbursement
23 USC 134	Metropolitan Transportation Planning
31 USC 3729-3730	False Claims and Civil Actions for False Claims
31 USC 3801-3812	Administrative Remedies for False Claims and Statements

3.3.2.1 Invoice Packages

District MPO Liaisons must ensure that each Invoice Package includes, at a minimum, the following:

- An Invoice Summary using the required format described in the section below;
- An Itemized Expenditure Detail Report; and
- A Progress Report.

District MPO Liaisons may request additional supporting documentation as needed to verify that expenditures are eligible for reimbursement and comply with reporting requirements. This may include supporting documentation of expenditures, such as invoices from contracted service vendors.

To complete reviews of Invoice Packages, District MPO Liaisons must use the **MPO Invoice Review Checklist** and the **MPO Invoice Supporting Documentation Review Checklist**, which can both be found on the PATH website.

Note: The information in the Invoice Package is submitted in two separate processes to fulfill different requirements.

1. **For MPO Reimbursement:** The MPO submits an Invoice Package to the District MPO Liaison, who reviews it and submits it to the District Financial Services Officer (FSO) to seek reimbursement for the MPO's expenses. This can be done on a monthly or quarterly basis.

2. **For Progress Reporting to FHWA:** The District MPO Liaison uploads the Invoice Package, which acts as the Progress Report for FHWA, to the Liaison Toolkit for OPP to send to FHWA/FTA on a quarterly basis.

3.3.2.1.1 INVOICE SUMMARY

The Invoice Summary reflects the budgeted amounts, amounts due by task, and critical contract information. The invoice template is available on the PATH website. An example Invoice Summary is shown in **Figure 3.2**. District MPO Liaisons must review Invoice Summaries to ensure they include the following:

- MPO name and contact information, including address and phone number;
- Invoice number, using the following format: **FHWA - [Agreement Number] - [Invoice Number]** (for example, FHWA-G001-01, FHWA-G001-02, etc.);
- Invoice period;
- Contract number, including amendment number and modification number;
- Amount due by Financial Project Number;
- A listing of the tasks in the UPWP;
- The amount due by UPWP task and fund type;
- The amount of FHWA funds due by UPWP task;
- The amount of previous payments of FHWA funds by UPWP task;
- The amount of FHWA funds budgeted by task in the UPWP;
- Column totals; and

- The Request for Payment Certification, signed by an authorized MPO official and reflecting the location of the invoice's supporting documentation.

Figure 3.2 Example MPO Invoice

Metropolitan Planning Organization

1234 Main Street Parkway East
Your Town, Florida 32399-0004

Tel (777) 555-1212
Fax (777) 555-2121

Bill To:

Florida Department of Transportation
Office of Policy Planning
605 Suwannee Street
Tallahassee, FL 32399-0450
Tel: (850) 414-4900 Fax: (850) 414-4876
Email: Planning@dot.state.fl.us

Invoice No.: FHWA-Gxxxx-1
Invoice Period: Year 2
Contract No.: GXXXX
Revision No.: 1

FPNs	Previous Payments	Current Amount Due	TOTAL Expenditures	Total Current Authorization	Remaining Balance
XXXXXX-XX-XX-01		$ 398,450.00	$ **174,021.00**	$ 639,547.00	$ 465,526.00
XXXXXX-XX-XX-02		$ 253,753.05	$ **253,753.05**	$ 592,814.00	$ 339,060.95
TOTAL	$ -	$ 652,203.05	$ 427,774.05	$ 1,232,361.00	$ 804,586.95

2023/2024 Unified Planning Work Program Task	FHWA (PL) Current Amount Due	FHWA (SU) Current Amount Due	Total FHWA Current Amount Due	Total FHWA Previous Payments	Total FHWA Budget Amount	FHWA Remaining Balance
Task 100 - General Office Management	13,260.42	-	13,260.42	18,602.56	71,223.31	39,360.33
Task 110 - UPWP & Financial Management	20,514.98	-	20,514.98	19,512.63	82,059.91	42,032.30
Task 120 - Certification	1,957.88	-	1,957.88	800.77	7,831.53	5,072.88
Task 130 - Board & Committee Support	25,427.98	-	25,427.98	22,654.32	101,711.93	53,629.63
Task 140 - Legal & Legislative Services	-	-	-	-	-	-
Task 150 - Local Match For Program Administration	-	-	-	-	-	-
Task 200 - System Monitoring	31,663.41	-	31,663.41	33,412.85	126,653.65	61,577.39
Task 210 - Transit System Monitoring	-	-	-	-	-	-
Task 220 - Land Use Monitoring	1,125.91	-	1,125.91	999.65	4,503.66	2,378.10
Task 300 - Transportation Improvement Program	9,232.52	-	9,232.52	7,541.26	36,930.09	20,156.31
Task 400 - Long-Range Transportation Plan	25,893.19	-	25,893.19	23,158.95	103,572.76	54,520.62
Task 500 - Special Project Planning	68,750.00	-	68,750.00	67,520.25	275,000.00	138,729.75
Task 600 - Intergovernmental & Interagency Studies	7,325.31	-	7,325.31	4,500.12	29,301.26	17,475.83
Task 610 - Interregional Transportation Planning & Coordination	-	-	-	-	-	-
Task 620 - Intermodal Planning	-	-	-	-	-	-
Task 700 - Community Outreach	26,863.30	-	26,863.30	28,514.57	107,453.19	52,075.32
Task 800 - Land Use Planning	48,535.06	-	48,535.06	47,001.52	194,140.25	98,603.67
Task 810 - Transit Planning	-	-	-	-	-	-
Task 820 - Transportation Systems Management & Operations	86,358.62	66,253.05	152,611.67	165,212.32	785,454.00	467,630.01
Task 821 - Traffic Signal Retiming	-	187,500.00	187,500.00	175,000.62	750,000.00	387,499.38
Task 830 - Goods Movement Planning	1,993.46	-	1,993.46	1,994.25	7,973.84	3,986.13
Task 840 - Smart Growth Planning	40,153.79	-	40,153.79	41,252.02	160,615.16	79,209.35
Task 850 - Transportation Disadvantaged Planning	-	-	-	-	-	-
Task 860 - Air Quality Planning	2,766.81	-	2,766.81	1,959.47	11,067.26	6,340.98
Task 870 - Bicycle & Pedestrian Planning	26,912.31	-	26,912.31	25,656.15	107,649.24	55,080.78
Task 880 - Highway Planning	4,763.48	-	4,763.48	5,015.63	19,053.93	9,274.82
Totals:	**$ 443,498.43**	**$ 253,753.05**	**$ 697,251.48**	**$ 690,309.91**	**$ 2,982,194.97**	**$ 1,594,633.58**

Request for Payment Certification as Required by 2 CFR 200.415:

By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812)

Supporting Documentation is on file at: ☐ MPO ☐ District

3.3.2.1.2 ITEMIZED EXPENDITURE DETAIL REPORT

The Itemized Expenditure Detail Report demonstrates the costs incurred during the invoice period by budget line items included in the UPWP. FDOT does not prescribe a specific format for preparing an Itemized Expenditure Detail Report; however, it must reflect the service period in which the costs were incurred and be itemized by UPWP task, funding source, and expenditure line items. A **r**ecommended template is available on the PATH website.

District MPO Liaisons must ensure the expenditure line items shown in the report match the budget line items included in the applicable UPWP task tables. At minimum, District MPO Liaisons should ensure the Itemized Expenditure Detail Report includes the following for each expenditure line item:

- The amount of previous payments made on that line item;
- The current amount due for that line item; and
- The remaining balance available.

If the remaining balance for any expenditure line item is less than zero, the District MPO Liaison must coordinate with the MPO to determine whether a UPWP revision is required. Expenses not reflected in the Itemized Expenditure Detail Report are not eligible for reimbursement.

3.3.2.1.3 PROGRESS REPORTS

Progress Reports are used to monitor UPWP implementation. District MPO Liaisons shall review each Progress Report to confirm that it meets the minimum performance standards in the FDOT/MPO Agreement and the UPWP, that reported costs are properly documented, and that reimbursement requests are valid. Each Progress Report must also clearly demonstrate the connection between the UPWP tasks and the expenses listed in the itemized Expenditure Detail Report.

While FDOT does not provide a standard template for Progress Reports, District MPO Liaisons must ensure each Progress Report includes the following:

- Each FHWA (PL-funded) and FTA (Section 5305(d)/5307) funded task separately;
- A comparison of actual performance with established goals; and
- A description of progress in completing the UPWP task and meeting schedules and milestones.

Within 90 days after the end of the reporting period, District MPO Liaisons must upload Progress Reports, along with the Invoice Summary and Itemized Expenditure Detail Report, to the Progress Report page in the Liaison Toolkit. By the end of the quarter, FHWA will access these documents through the Federal Partners page on the Partner Site. If the materials cannot be transmitted by the 90-day deadline, the District MPO Liaison must notify OPP as soon as possible.

District MPO Liaisons must also ensure MPOs promptly report any events that significantly affect implementation of the UPWP, including problems, delays, or adverse conditions that will materially affect the ability to achieve the UPWP's objectives. A description of the action taken, or proposed to be taken, and any federal or state assistance needed to resolve the situation should accompany such disclosures.

3.3.2.1.4 INVOICE REVIEW, PAYMENT, AND RETURN

The steps below outline the District MPO Liaison's responsibilities for reviewing, processing, and returning Invoice Packages.

Step 1: District MPO Liaison Reviews the Invoice Package

Upon receipt of an Invoice Package, the District MPO Liaison must review it using the Invoice Review Checklist available on the PATH website. The District MPO Liaison must confirm that the Invoice Package is complete, accurate, and consistent with the approved UPWP and does not include unallowable or non-budgeted costs.

> **Note:** The state has **15 business days** to review and issue payment after receiving a complete and accurate request for reimbursement. To support this timeframe, District MPO Liaisons should complete their review and submit the invoice to the District Financial Services Office (FSO) within five business days of receipt. The District FSO then has five business days for further processing and submittal to the Department of Financial Services. The Department of Financial Services then has five business days to process payment.

District MPO Liaisons must also complete the Supporting Documentation Checklist (available on the PATH website) at a frequency determined by the risk assessment in the Annual Joint Certification. When completing the Supporting Documentation Checklist and reviewing direct expenses, the District MPO

Liaison must select at least five direct expense line items for review. Direct expenses must be recorded on the Itemized Expenditure Detail Report.

Step 2: District MPO Liaison Submits the Invoice Package for Further Processing

If there are no discrepancies, the District MPO Liaison must submit the Invoice Package to the District FSO for further processing. The District MPO Liaison must also complete and submit the CFM Summary of Contractual Services Agreement/Purchase Order form with the Invoice Package. District MPO Liaisons should verify the correct invoice submission address with their District FSO.

Step 3: District MPO Liaison Returns Incomplete or Inaccurate Invoices to the MPO (if necessary)

If the Invoice Package is incomplete or inaccurate, the District MPO Liaison must return it to the MPO for correction and work with the MPO to resolve the issue and obtain a corrected invoice as soon as possible. If a specific item cannot be resolved promptly, the District MPO Liaison may submit the invoice for payment excluding the disputed item and have the MPO resubmit the disputed amount in a subsequent invoice.

3.3.3 Eligibility of Project Expenditures

District MPO Liaisons must review MPO expenditures to confirm that costs charged to the UPWP are eligible, properly documented, necessary, reasonable, and consistent with the approved UPWP and applicable funding authorization. In general, costs are eligible for FDOT/FHWA participation only when they are:

- For work performed for activities eligible under the section of Title 23 USC applicable to the class of funds used for the activities;
- Verifiable from FDOT's or the MPO's records;
- Necessary and reasonable for proper and efficient accomplishment of the project;
- Included in the approved UPWP or amendment; and
- Not incurred before FHWA authorization.

Table 3.16 Citations for Project Expenditures

Citation	Title
2 CFR Part 200 Subpart E	Cost Principles
2 CFR 200.313	Property Standards - Equipment
2 CFR 200.314	Property Standards - Supplies
2 CFR 200.320(a)(1)	Micro-Purchases
2 CFR 200.439	Equipment and Other Capital Expenditures
23 CFR 420.113	Eligible Costs
23 USC 133	Surface Transportation Block Grant Program

District MPO Liaisons should use the applicable federal and state guidance to evaluate whether costs are eligible and allowable. Key resources include the **Florida Department of Financial Services (DFS) Reference Guide for State Expenditures, FDOT Work Program Instructions,** and **2 CFR 200 Subpart E – Cost Principles.** If the eligibility or allowability of a cost remains unclear after reviewing these guidance resources, District MPO Liaisons should consult the **FDOT Disbursement Handbook** and coordinate with OPP, as needed, for additional clarification.

When reviewing specific costs, District MPO Liaisons must determine whether the cost is both eligible under the applicable funding program and allowable under federal and state cost guidance. If federal and state guidance do not align, the stricter requirement should be applied. For example, if a cost is allowable under federal guidance but prohibited under state expenditure guidance, the cost should not be reimbursed using FDOT-administered funds.

Per FHWA guidance, STBG funds can be used to support MPO staff salaries if MPO staff are working on Surface Transportation Planning Program activities or supporting activities and the STBG funds are identified in the UPWP or the approved State Transportation Improvement Program (STIP) to support the selected activities. The details of the task must be thoroughly documented in the UPWP, outlining which activities will be paid using PL funds and which will be paid with STBG funds, unless specified in the STIP.

3.3.3.1 Micro-Purchases

District MPO Liaisons should be familiar with micro-purchase thresholds when reviewing MPO expenditures for supplies and services. Micro-purchases are low-dollar purchases made using simplified acquisition procedures. These procedures are intended to reduce administrative burden for small purchases.

The applicable micro-purchase threshold is established under current federal procurement guidance and may be adjusted over time. District MPO Liaisons should refer to **Technical Memorandum 20-01, Capital Expenditures, Purchasing Thresholds, State Purchasing Contracts, and Asset Liquidation & Disposal**, available on the PATH website, for current purchasing threshold information.

3.3.3.2 Atypical Expenses

District MPO Liaisons must review equipment, supplies, travel, and other direct cost items reflected in the UPWP to determine whether they are adequately described and whether additional review or approval may be required. Some purchases, including certain equipment, software, specialty materials, training, conferences, or travel, may warrant closer review because of their cost, purpose, or relationship to the approved work program. District MPO Liaisons should refer to **Technical Memorandum 20-01**, available on the PATH website, for additional guidance.

District MPO Liaisons must ensure that the supporting narrative for direct cost line items provides enough detail to evaluate the eligibility, necessity, and reasonableness of the purchase. If the UPWP does not include sufficient information to support review of a proposed atypical expense, the District MPO Liaison must coordinate with the MPO regarding the additional documentation or approval needed before the purchase is made.

3.3.3.2.1 TYPICAL V. ATYPICAL EXPENDITURES

District MPO Liaisons must ensure that typical and atypical expenditures are clearly reflected in the UPWP task tables and supporting narrative. Atypical expenditures should be shown separately from routine expenditures so they can be readily identified during eligibility review. District MPO Liaisons should also ensure that atypical expenditure requests include sufficient justification and, where appropriate, technical specifications to support review of the proposed purchase. If the UPWP does not contain enough information to support review of an atypical expenditure, additional documentation or review may be required before the purchase is made. The examples below are illustrative and are not intended to be all-inclusive.

Typical versus atypical equipment:

1. **Typical:** Equipment less than $5,000 per unit and affiliated with a project or deliverable (can include executing business or normal operations and managing the MPO). In other words, the equipment can be connected to project work. Technical specifications or justifications are not required to be included in the UPWP. Examples include but are not limited to the following:
    a. Example 1: A laptop computer
    b. Example 2: A standing desk
    c. Example 3: An office chair

2. **Atypical:** It is considered atypical if the cost does not fit the typical category or is equal to or greater than $5,000 per unit. Atypical expenditure requests should include justification and technical specifications in the UPWP if the MPO is seeking FHWA/FTA and FDOT approval of the item in the UPWP. Examples include but are not limited to the following:
    a. Example 1: Software and modeling programs
    b. Example 2: Security systems
    c. Example 3: Plotting printers
    d. Example 4: Real estate or real property

Typical and atypical supplies:

1. **Typical:** Supplies required for an office are less than $1,000 per unit. This can include, but is not limited to, the following:
    a. Example 1: Notepads and paper
    b. Example 2: Pens, pencils, and markers
    c. Example 3: Paper clips, staples, and tape
2. **Atypical:** It is considered atypical if the cost does not fit the typical category or is equal to or greater than $1,000 per unit. This can include, but is not limited to, the following:
    a. Example 1: Plotter paper and foam boards
    b. Example 2: Manual/electric binding machine

Typical and atypical travel:

1. **Typical:** Training in the United States that helps you do your job. This can include, but is not limited to, the following: Association of MPOs (AMPO), National Association of Regional Councils (NARC), Transportation Research Board (TRB), model training, or other training.
2. **Atypical:** Foreign travel, peer exchanges, facility tours, system tours, or other travel that requires additional review beyond routine domestic training. If an MPO does not have its own adopted travel handbook, the District MPO Liaison should review travel costs using the FDOT Disbursement Handbook.

3.3.3.3 Equipment Purchases Using Federal Funds

District MPO Liaisons must review proposed equipment purchases using federal funds to determine whether the purchase is properly documented in the UPWP and whether additional review or approval is required. For purposes of this section, equipment generally refers to tangible personal property with a useful life of more than one year and a per-unit acquisition cost of $5,000 or more. All equipment purchases, regardless of cost, must be programmed and itemized in the UPWP. District MPO Liaisons should refer to **Technical Memorandum 20-01**, available on the PATH website, for additional guidance on purchasing thresholds, equipment-related approvals, and UPWP documentation requirements.

The following information is required for FHWA to approve the purchase of equipment costing $5,000 or more. This information must be provided from the MPO to the District MPO Liaison **before** the purchase of the equipment:

- A list of the equipment to be purchased with its description and cost;
- The specifications or a detailed description of the equipment;
- Documentation that the MPO has performed a cost comparison between multiple sources for the equipment;
- Justification for the purchase and the proposed purpose/use of each piece of equipment; and
- Reference to the equipment purchase in the UPWP.

District staff will review the MPO's proposed purchase acquisition and forward their recommendation to FHWA. FHWA will consider the MPO's equipment purchase proposal and provide an approval or denial. **District MPO Liaisons must ensure the MPO does not procure equipment that uses federal funds for $5,000 or greater before FHWA's approval.**

District MPO Liaisons should also ensure that MPOs understand and follow applicable property management and recordkeeping requirements for equipment purchased with federal funds. MPOs must maintain property records, conduct a physical inventory at least once every two years, reconcile the inventory with their property records, and maintain appropriate controls to prevent loss, damage, or theft. Property records for federally funded equipment should include:

- Description of the property;
- Serial or other identification number;
- The source of funding for the property (including the Federal Award Identification Number);
- Title owner;
- Acquisition date;
- Cost of the property;

- Percentage of Federal participation in the project costs for the Federal award under which the property was acquired;
- Location, use, and condition of the property; and
- Disposition of the property, including the date of disposal and sale price (if applicable).

A control system must be developed to ensure adequate safeguards to prevent property loss, damage, or theft. Any loss, damage, or theft must be investigated. Equipment purchased with federal funds must be disposed of in accordance with state laws and procedures.

3.3.4 Indirect Costs

The federal regulations that govern how MPOs manage, spend, and audit federal funding classify expenditures as either direct or indirect costs, Direct costs are expenses specifically related to a particular project, such as consultant contracts, travel, and materials or equipment directly tied to the project's implementation. By contrast, indirect costs are general operating expenses that support the MPO as a whole and are not easily attributable to a single UPWP project or task. Rather than charging indirect costs individually to each project, MPOs can apply an indirect cost rate to recover indirect costs evenly across all UPWP projects. The District MPO Liaison's main responsibilities related to indirect costs are:

- Understanding which type of indirect cost rate an MPO uses;
- Ensuring the MPO's UPWP, invoices, and supporting documentation consistently reflect that indirect cost rate; and
- Verifying the MPO reports on their indirect cost rate as required in the annual FDOT/MPO Joint Certification.

Table 3.17 Citations for Indirect Costs

Citation	Title
2 CFR Part 200	Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards
2 CFR Part 200 Subpart D	Subrecipient Monitoring and Management
2 CFR Part 200 Subpart E	Cost Principles
2 CFR 200.414	Indirect Costs
Appendix VII to Part 200, Title 2	States and Local Government and Indian Tribe Indirect Cost Proposals

3.3.4.1 Indirect Cost Rates

In general, MPOs recover indirect costs in one of the following ways:

- Using a federally approved negotiated indirect cost rate;
- Using the allowable de minimis rate, if eligible; or
- Charging eligible administrative and overhead costs directly.

If an MPO uses a federally approved negotiated indirect cost rate, the District MPO Liaison must ensure the MPO maintains a cost allocation plan for direct costs as part of the indirect cost rate proposal. These documents must also be included as attachments to the UPWP. Typically, only MPOs that are hosted by agencies that receive direct federal funding in some form (not necessarily transportation) will have a federally approved indirect cost rate, negotiated between the federal funding agency and the MPO's host agency. FDOT's Office of Comptroller can help review and approve indirect cost rate proposals. Requirements for indirect cost rate proposals can be found in **Appendix VII to Part 200, Title 2.**

If an MPO submits an indirect cost rate proposal for approval, District MPO Liaisons should be aware that FDOT recommends using a fixed rate with carryforward. This method involves a year-end true-up, where the difference between actual indirect costs and costs charged based on a fixed rate is carried forward into the next fiscal year as an adjustment to the future rate.





CHAPTER 3
Unified Planning Work Program

MPOs may elect to use a de minimis indirect cost rate, currently set by the federal government at 15 percent of modified total direct costs. If an MPO chooses to use the de minimis rate, the District MPO Liaison must ensure the MPO applies the rate consistently to all eligible federal awards. In these cases, no indirect cost rate proposal is required. Instead, District MPO Liaisons should ensure the MPO completes and submits a cost policy statement and De Minimis Certification form the FDOT Office of Comptroller for review and approval.

If an MPO does not have a federally approved negotiated indirect cost rate and does not use the de minimis rate, the District MPO Liaison must ensure that eligible administrative and overhead costs are clearly reflected in the UPWP budget details as direct expenses. To reduce the need for frequent UPWP amendments or modifications, District MPO Liaisons should advise MPOs to group these direct administrative costs within one task or set of tasks, as appropriate.

Additionally, District MPO Liaisons must verify that MPOs report on their indirect cost rate as required in the annual FDOT/MPO Joint Certification. The FDOT/MPO Joint Certification Document template can be found on the PATH website. For more information about Joint Certifications, refer to **Chapter 7: Certification of the MPO Planning Process**.

3.4 UPWP Closeout

According to federal law, FHWA funds obligated and unexpended at the end of the two-year UPWP must be closed out within 90 days of grant termination. Because the UPWP is based on the state fiscal year (**July 1 to June 30**), District MPO Liaisons must ensure that MPOs submit their final invoices before **September 30** to allow FDOT sufficient time to process payment and complete the closeout process. With a two-year UPWP, closeout occurs every other year (e.g., 2024, 2026, 2028). Closeout between Year 1 and Year 2 is unnecessary.

> **Note: September 30 should not be treated as the deadline for submitting final invoices.** District MPO Liaisons must ensure that MPOs submit their final invoices no later than **September 15** to allow FDOT sufficient time for invoice processing and completion of all closeout procedures by the September 30 deadline.

Table 3.18 Citations for UPWP Closeout

Citation	Title
2 CFR 200.344	Federal Award Closeout

The District MPO Liaison is responsible for managing and completing the UPWP closeout process. The steps below outline District MPO Liaison responsibilities during the UPWP closeout. For additional details, refer to the Closeout of FHWA Funds Desktop Procedure on the PATH website.

Step 1: MPO Submits Final Invoice

In late July, the District MPO Liaison sends a reminder to the MPO that the UPWP must be closed out by September 30. If the MPO is not able to submit a final invoice by mid-September, the District MPO Liaison directs the MPO to submit a formal letter requesting an extension to October 31.

Step 2: District MPO Liaison Processes Final Invoice

The District MPO Liaison processes the MPO's final invoice. Payment to the MPO should be made within 15 days to avoid penalty.

Step 3: District MPO Liaison Confirms Final Invoice Paid in FIDO

The District MPO Liaison confirms that the final payment has been made by FDOT in the FLAIR Information Delivery Options (FIDO) website before preparing contract closeout documents.

Step 4: District MPO Liaison Prepares FHWA Contract Closeout Form and Obtains MPO Signature

The District MPO Liaison prepares FHWA Funds Closeout Confirmation Form (Form No. 525-010-07 on the Procedural Document Library) and sends to the MPO for review and signature.

Step 5: District MPO Liaison Confirms if Remaining Funds are Unencumbered

The District MPO Liaison confirms with District Financial Services that they unencumbered the remaining funds when the contract is placed in Status 50.

Step 6: District MPO Liaison Uploads FHWA Contract Closeout Form to CFM (FACTS)

Once the MPO signs the FHWA Funds Closeout Confirmation Form and returns it to the District, the District MPO Liaison uploads the form to CFM. CFM will automatically upload the closeout form into FACTS.

Step 7: District MPO Liaison Prepares and Routes FHWA Funds Internal Closeout Memo

District MPO Liaison prepares Contract Status Change and FHWA Funds Closeout Internal Memo in DocuSign.

Step 8: District MPO Liaison Verifies the Closeout Process is Complete

District MPO Liaison verifies that contract is in Status 50 and all funds have been unencumbered.

Following completion of all steps outlined in this process, the FHWA-funded UPWP agreement is considered fully closed out in accordance with state and federal requirements. This process ensures that all eligible costs have been reimbursed, remaining funds properly addressed, and required documentation completed, executed, and archived. More detail on these steps can be found in the Closeout of FHWA Funds Desktop Procedure available on the PATH website.

3.4.1 UPWP Amendment for Funds the MPO Chose to De-obligate at Closeout

Funds are de-obligated twice during a UPWP cycle. The first de-obligation occurs in the spring of Year 2 of the current UPWP to free up remaining funds for use in Year 1 of the new UPWP. This process is described in detail in **3.2.4: De-Obligating Funds for the Next UPWP**. The second de-obligation occurs during closeout of the current UPWP between July and September, after the current UPWP cycle has ended on June 30 and the new UPWP has taken effect on July 1. The steps below outline the process for the second de-obligation to make funds available for use in the new UPWP:

Step 1: MPO and District Identify Unexpended Funds at Closeout

As part of UPWP closeout, the District MPO Liaison should assist the MPO in identifying any unexpended funds remaining in the current UPWP that the MPO wishes to de-obligate and make available for use in the new UPWP.

Step 2: District Processes De-Obligation Request as Part of Closeout

The District processes the de-obligation request as part of the UPWP closeout process. For the process used to de-obligate funds before closeout, refer to **3.2.4: De-Obligating Funds for the Next UPWP**.

Step 3: MPO Processes UPWP Amendment for the New UPWP

De-obligated funds from UPWP closeout cannot be included in the new UPWP until the MPO has processed a UPWP amendment and received FHWA approval. The FDOT/MPO Agreement must also be amended.

Step 4: Office of Work Program and Budget Adjusts PL Balance

After FDOT and FHWA approve the de-obligation, the Office of Work Program and Budget adjusts the MPO's account and increases the MPO's available PL balance by the amount of the closeout funds.

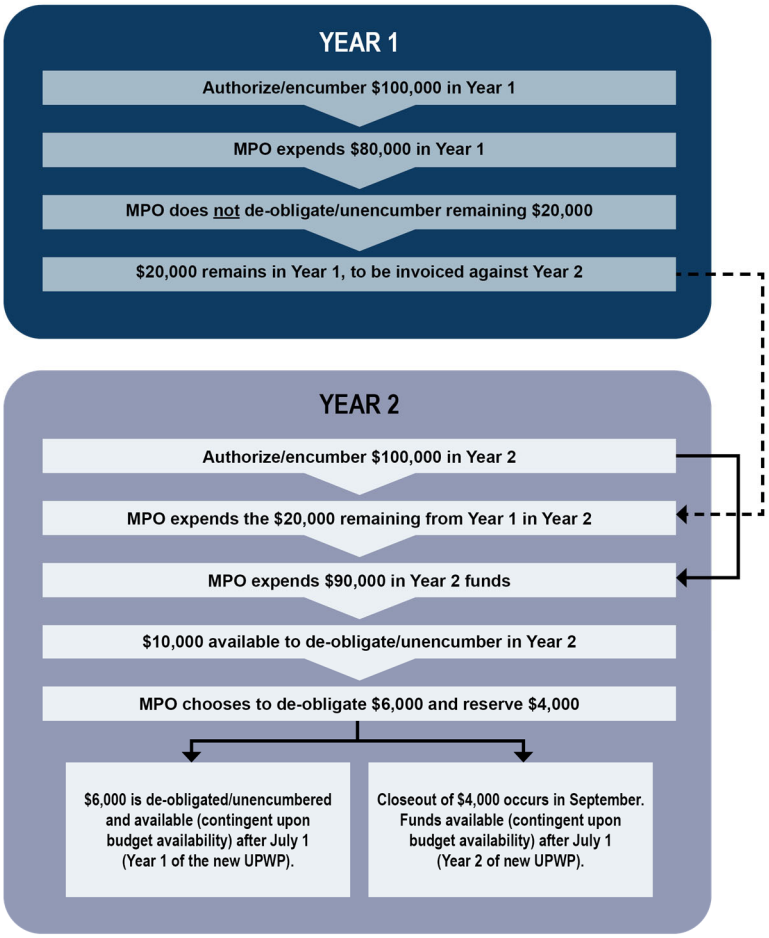
Step 5: Office of Work Program and Budget Notifies OPP

The Office of Work Program and Budget notify OPP when the closeout process is complete.

Closeout funds are typically available after July 1 in Year 2 of the new UPWP, after the closeout process is complete and the funds have been added to the new UPWP.

An example timeline of the authorization/encumbrance/de-obligation/closeout process can be found in **Figure 3.3**.

Figure 3.3 De-Obligation and Closeout Process Example



3.4.2 Closeout of FTA Funds

Please note that FTA funds (excluding FTA 5305(d) funds that are converted to FHWA PL funds through the CPG) **do not** undergo the same closeout process as FHWA funds. FTA funds are managed as a statewide grant and are not closed until all work approved under that grant has been completed. District MPO Liaisons should coordinate with the District Transit Office to check the status of an FTA grant. Once all work under the FTA grant is completed, the Central Office Transit Office manages the grant closeout process.