Wisconsin Department of Transportation

Unified Planning Work Program Handbook

Guidance for Metropolitan Planning Organizations on Unified Planning Work Programs

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Acronyms

BBS ..... Bureau of Business Services
CFR ..... Code of Federal Regulations
CMAQ ..... Congestion Mitigation and Air Quality
CMP ..... Congestion Management Process
CPZ ..... Controlled Parking Zones
CTH ..... County Trunk Highway
FHWA ..... Federal Highway Administration
FTA ..... Federal Transit Administration
FY ..... Fiscal Year
GIS ..... Geographic Information Systems
ICAP ..... Indirect Cost Allocation Plans
ITS ..... Intelligent Transportation System
LRTP ..... Long-Range Transportation Plan
MAP-21 ..... Moving Ahead for Progress in the 21st Century Act
MPO..... Metropolitan Planning Organization
NEPA ..... National Environmental Policy Act
OMB ..... Office of Management and Budget
PE ..... Professional Engineering
PPP..... Public Participation Plan
RPC ..... Regional Planning Commission
SAFETEA-LU ..... Safe, Accountable, Flexible, and Efficient Transportation Equity Act of 2005, a Legacy for Users
SIP ..... State Implementation Plan
TAC ..... Technical Advisory Committee
TAZ ..... Traffic Analysis Zone
TDM ..... Transportation Demand Management
TIP ..... Transportation Improvement Program
TE ..... Transportation Enhancement
TMA..... Transportation Management Area
TSM ..... Transportation System Management
UPWP ..... Unified Planning Work Program
USC ..... United States Code
USDOT ..... United States Department of Transportation

Introduction

What is the UPWP?

The UPWP lists the work activities to be performed by MPO staff or a member agency during a calendar year. The UPWP is an important document and can be considered a key indication of the level of effort and the seriousness with which the MPO takes particular planning tasks. Simply put, the UPWP translates good intentions for area transportation improvements into actual funded planning work.

Several elements common to all UPWPs include:

- Discussion of the planning process and planning priorities facing the MPO
- Discussion of developing or maintaining the MPO's:
    - Prospectus
    - Transportation Plan
    - TIP
    - Public Participation Plan
    - Title VI Program
    - Title VI Agreement
- Description of the MPO's planning process
- Description of programs and activities to be performed by MPO staff
- The schedule for completion of work performed by MPO staff
- All federally funded studies and relevant state and local planning activities conducted without federal funds
- Funding sources and amounts identified for each work activity
- Agency responsible for each work activity
- Staff and consultant resources scheduled for each work activity
- Product or outcome of each work activity

The UPWP also reflects local priorities. Because of this, certain content varies from one urbanized area to another. Some elements that may be included in the UPWP include:

- Transportation-related air quality planning activities and periodic reporting of activities anticipated within the next 1- or 2-year period, regardless of funding source (in nonattainment areas)
- Progress in developing and maintaining Congestion Management Process (in TMAs)

In Wisconsin the UPWP must be developed annually. The MPO is responsible for preparing the UPWP and ensuring it is consistent with federal and state regulations. WisDOT MPO liaisons are responsible for reviewing the draft UPWP and coordinating with the MPO, FHWA, and FTA for review.

The final UPWP must be approved by the MPO's Policy Board before submittal to WisDOT and FHWA for approval. FHWA and FTA are responsible for coordinating their review of the UPWP and issuing a joint concurrence for approval of the final UPWP.

Regulatory Basis

The following is regulatory basis for the development of the UPWP.

- 23 CFR 450.308 identifies the requirements for UPWPs to be prepared in TMAs.

- 23 CFR 420.111 governs work programs required for the expenditure of FHWA highway planning and research funds.

- MPOs are required to develop the UPWPs in cooperation with the State and public transit agencies [23 CFR 450.308 (c)].

- 23 CFR 420.111 identifies several requirements for projects receiving FHWA highway planning and research funds, including:
    - Description of the work to be performed;
    - Cost estimate for each activity; and
    - A financial summary indicating the shares of funding to be provided from Federal, state, and local sources.

Applicable federal regulations are included as Attachment B.

Overview of Development and Approval Process

The UPWP development and approval process is encompassed in three stages:

1. UPWP development
2. UPWP review
3. UPWP approval

MPOs typically begin UPWP development activities in July. Beginning the process then generally allows ample time to navigate the development and approval process in a timely manner. The UPWPs are developed for the eligible planning activities to be performed in the subsequent calendar year. Further discussion of this timeline appears in the next section. A UPWP checklist and sample UPWP materials have been included in the attachments and appendices to guide the UPWP development process.

UPWP Development

- Kickoff Letter *(Appendix I)*
    - Once annual federal and state planning funds are determined, WisDOT sends the kickoff letter to each MPO. Letters indicate the federal, state, and local funding allocation available for the next year's eligible planning activities.
- Development of draft UPWP
    - The MPO is responsible for submitting a draft copy of the UPWP within the timeframe specified in the kickoff letter to the following individuals:
        - WisDOT – MPO liaison
        - WisDOT – Travel forecasting liaison
        - WisDOT – Regional MPO liaison
        - WisDOT – Statewide MPO/RPC coordinator
        - FHWA – division planning representative(s)
        - FTA – regional representative

      The MPO is required to submit an electronic copy of the draft UPWP to WisDOT, FHWA, and FTA representatives.

UPWP Review

- Fall Work Program Meeting
    - The WisDOT MPO liaison organizes a Work Program Review Meeting with MPO, WisDOT FTA and FHWA staff. The draft document is then reviewed, and feedback provided to the MPO.
- Revisions
    - The MPO will revise the draft UPWP based on the comments received prior to and during the Work Program Review Meeting. Though not required, it is highly recommended that the MPO provide a copy of the final UPWP to WisDOT and FHWA for review of revisions before presenting it to their Policy Board for approval.

UPWP Approval

- Approval by MPO's Policy Board
    - A copy of the approved UPWP and Board Resolution will be forwarded to the WisDOT MPO liaisons; WisDOT Statewide MPO/RPC coordinator; FTA and FHWA division representative(s).

- Endorsement by WisDOT
    - The WisDOT MPO liaison recommends endorsement by WisDOT to the Statewide MPO/RPC coordinator. The coordinator verifies the UPWP budget is consistent with the federal and state allocations for the MPO. Once confirmed, the UPWP is sent to FHWA with an endorsement letter that requests FHWA approval of the document.
- Approval by FHWA/FTA
    - FHWA/FTA reviews the request sent by WisDOT. If approved by FHWA and FTA, FHWA sends an approval letter including any contingencies specified within their letter to WisDOT
- Authorization
    - WisDOT forwards an individual approval letter to each MPO with a copy of the FHWA/FTA approval letter attached. The MPO is authorized to perform the eligible activities within their approved UPWP beginning on the effective date of FHWA/FTA approval. Work activities performed prior to the effective date will not be eligible for reimbursement.

UPWP Development Timeline

UPWP development begins in July or early August depending on release date of final funding levels from FHWA. This timeline is dependent on the release of final State and Federal funding levels. WisDOT UPWP Kickoff letters will include the specific timeline for the next year's UPWP process. The MPOs complete the draft UPWPs by the end of September and subsequently submits them to WisDOT, FHWA, and FTA for review.

WisDOT, FHWA and FTA comments are either sent and/or provided to the MPOs during individual Fall Work Program Review Meetings. MPOs make revisions to the draft UPWP between September and October. The final UPWP is approved before November 30th through a formal resolution by the MPO Policy Board. WisDOT endorses and FHWA approves the UPWP. WisDOT sends individual approval letters to each MPO at the end of December.

MPO Work Program Development & Approval Timeline

ACTIVITY/EVENT	TIMEFRAME	RESPONSIBILITY
WisDOT sends UPWP Kickoff letters to the MPOs	Early August	WisDOT
Draft UPWPs are due to FHWA, FTA and WisDOT	September 1st – 30th	MPO
Fall Work Program Review Meetings	Completed by October 31st	WisDOT, FHWA, FTA
Final UPWP due to FHWA, FTA and WisDOT	November 15th -30th	MPO
Distribution of final UPWPs	November 30th	MPO
WisDOT sends endorsement letter to FHWA	Mid –December	WisDOT Planning
Project IDs established in FOS and funds entered in FMIS	Mid –December	WisDOT Planning & BBS
FHWA approves UPWPs and sends authorization letter to WisDOT	December 23rd	FHWA
WisDOT sends individual approval letters sent to MPOs	December 30th	WisDOT Planning

Contents of the UPWP

The Unified Planning Work Program should be inclusive in its development, including input from the public; MPO member agencies and local governments; other transportation agencies in the region, including local transit agencies; and WisDOT. While the MPO is responsible for the document, the Work Program should reflect continuing, cooperative, and comprehensive thinking among planning partners on work priorities, and commitment of staff and budgets to this work. The Work Program should demonstrate within the narrative that the related activities of planning partners are complementary; allow for leveraging and economy of scale; and are not duplicative.

The UPWP should be consistent with MPO's stated long term goals, strategies, and priorities as expressed in the long-range plan, and from public involvement and coordination with partners. Tasks should be prioritized and selected to achieve and produce the required products as identified in Federal transportation legislation; USDOT planning emphasis areas; and established performance measures.

The UPWP should include funded regionally significant transportation planning studies in the region, regardless of funding source or the agency conducting the study and include budget information that addresses those funding sources and expenditures. In addition, the Work Program should be based on sound financial analysis and fiscal planning principles

The Work Program should indicate—in sufficient detail—the work responsibilities, completion schedules, final products/deliverables, and the work tasks for which funds provided under Title 23, USC, and the Federal Transit Act.

The UPWP must be developed using the following structure:

1. Cover Page
    a. Name of the MPO and area represented
    b. Calendar year covered by the UPWP

2. Title Page
    a. Name of the MPO and area represented
    b. Name of the MPO contact person, corresponding phone number, and email address; this can be either the Executive Director or Transportation Director
    c. Calendar year covered by the UPWP
    d. Identification of agencies providing funds for the UPWP with the inclusion of agencies Logos (i.e. WisDOT, USDOT, etc).
    e. USDOT disclaimer noting that the document was prepared with Federal funds, but does not necessarily reflect the official views or policy of the U.S. Department of Transportation

3. Introduction/Preface
    a. Table of Contents.
    b. Fully executed MPO Resolution (*Appendix II*).
    c. Fully executed federal self certification document (*Appendix III)*.
    d. Prospectus which identifies and discusses the operational procedures and bylaws

e. List of MPO committees and membership, representatives, structure, purpose, officers, and voting procedures.
f. List or table indicating MPO staff, agency employees, contact information, and responsibility in the UPWP metropolitan area transportation planning process. The responsibilities can include work on LRTP, TIP, bike/ped, freight, CMP (for TMAs), etc. For each position, indicate the percent of their time that will be spent on MPO work activities. This list should also include contractors and/or consultants and their hours.
g. Map of MPO area identifying the planning area boundary, urbanized area boundary, and CMAQ boundary (if applicable). Denote the date map was most recently modified.
h. Discussion of the planning priorities for the metropolitan planning areas as well as the eight (8) planning factors from SAFETEA-LU and maintained in MAP–21 (*Appendix IV*).
i. Brief definition of the UPWP purpose.
j. Summary of previous year's accomplishments; this includes studies completed, model status, number of TIPs/LRTPs/Amendments, data collected, Title VI and EJ activities, etc.
k. Current overview of the status of comprehensive transportation planning activities including regional, county, and city level; this includes current activities as well as those projected through the end of the UPWP year.
l. List or table of scheduled MPO board and committee meetings (*Appendix XI)*.

4. Work Elements

The MPO Work Elements section consists of descriptions of the major work products and tasks the MPO proposes to undertake. These typically include, at a minimum, the following categories: Short Range Planning activities, Long Range Planning activities, TIP related activities, and Administration activities. The MPO may use other categories for their work elements as long as they encompass these four overarching categories.

This section should include individual task sheets that describe each task in the same format (*Appendix V*). Indicate the total number of staff hours that will be devoted to work activities within each category/element of the Work Program. List the projects to be undertaken as separate items within the category/element.

<u>Each Work Element must include:</u>

- Task number and title, including the budgeted dollars for the item and the staff (positions) working on that item. It is not necessary to show staff hours for each item—the total number of hours for the work category/element is acceptable. It is necessary to identify any tasks that will be performed by consultants.
- Purpose of the study or work item identifying at least 2 objectives
- Previous work completed if a continuing item
- Proposed methodology
    - How the task will be performed
    - Who will perform the task including both staff and/or consultants
- End product(s) including documents, new processes, model changes, etc.
- A schedule that describes when the activities will take place during the year including:
    - Schedule of milestones or benchmarks to be used to measure progress
    - Estimated completion date(s)
- Costs

- Estimate number of person-hours by position (e.g., planner, GIS, director)
- Responsible agency or agencies, if applicable, and proposed funding source(s) with anticipated costs for each work element.

Work Elements may include:

- **UPWP Development:** Tasks required to complete the UPWP for the next year and to coordinate activities/reports for the present document.

- **Administration:** The administration section describes task functions required to manage the transportation planning process on a continual basis including program administration, development, review and reporting, anticipated staff development and an annual audit as required by **23 CFR 420.121.** The annual audit shall be performed in accordance with **49 CFR 18.26, OMB Circular A133.**

- **Transportation Improvement Program (TIP):** This section provides an overview of work required to coordinate the development of the MPO's TIP. A description of planned public participation efforts for solicitation, review and approval of projects for the TIP should be provided.

- **Long-Range Transportation Plan (LRTP):** This section addresses the planned actions to be taken in this UPWP for developing the LRTP.

- **Congestion Management Process (required for TMAs) / ITS:** The CMP is a systematic process that provides information on transportation system performance and alternative strategies to alleviate congestion and enhance the mobility of persons/goods. A CMP includes methods to monitor/evaluate performance, identify alternative actions, assess & implement cost-effective actions, and evaluate the effectiveness of implemented actions. This section should include tasks used to promote transit and ridesharing programs, promote high occupancy vehicles, increase the efficiency of a traffic system, and develop performance measures to evaluate a transportation system, as well as provide approval of all capacity adding projects included in the LRTP and TIP.

- **Transit Planning:** If needed by the area, this should address tasks related to transit planning including ridership promotions and opportunities for the transportation disadvantaged.

- **Multimodal Planning:** This includes the tasks for bicycle/pedestrian, intermodal freight, and intermodal passenger planning. Included should be a discussion on how the MPO coordinates to provide assistance to the general public, municipal governments, and other state agencies in the planning and development of bicycle and pedestrian facilities/programs. Included should be a discussion on how the tasks address freight movement and issues in the MPO area.

- **Air Quality Planning:** This section, when applicable, includes a description of the metropolitan transportation air quality planning activities anticipated in the area, regardless of funding sources or agencies conducting air quality activities. Also included are activities necessary for the conformity analysis and documentation

for MPOs in nonattainment and maintenance areas and any tasks related to developing State Implementation Plan submissions.

- **Public Involvement:** This section describes the tasks necessary to implement the MPO's public involvement program during the development of the UPWP, LRTP, TIP, and other plans and programs as required. It should include a description of the public involvement process used in the development of the UPWP including a Title VI / Environmental Justice statement. This item is to be evaluated annually.

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

- **Project/Corridor Studies:** This includes the tasks necessary to perform project or corridor studies in the MPO area. It can include a discussion on planning tasks that develop a conceptual purpose and need statement, identify major environmental issues including environmental justice, initiate consultation with local officials, initiate agency coordination, involve the public early and often for projects in the long range plan, identify and evaluate alternatives, generate project cost estimates, and oversee outsourced activities. Included can be discussions on brief technical project studies, interchange justification studies, and/or other special studies. PL funded activities cannot be directly related to the implementation of specific construction projects.

- **Special Project Planning:** The special project planning section provides a more detailed description of planning tasks needed for projects such as bicycle, airport, port, freight or special transit studies.

- **TSM/TDM Planning:** TSM is a planning approach designed to improve transportation systems by moving people and goods more efficiently and effectively. This can include work items that improve the existing transportation system by reducing delay and/or eliminating the need to develop new expensive transportation facilities. TDM focuses on reducing or changing travel demand rather than increasing transportation supply, thereby increasing the efficiency of the transportation system. This includes work items that modify travel behavior, using measures which either eliminate trip making, change the time of day trips are made, or accommodate person trips in fewer vehicles.

- **Transportation Alternative Program (TAP):** These projects include, but are not limited to: provision of bicycle-pedestrian facilities; safe routes for non-drivers; conversion and use of abandoned rail corridors; construction of turnouts, overlooks and viewing areas; community improvement activities; environmental mitigation activities; and safe routes to school projects.

5. Performance Management

   MAP-21 requires states and MPOs to coordinate in establishing specific performance targets and collaboratively work toward meeting these established targets. Transportation Improvement Programs and Long Range Transportation Plans will need to address how

the MPO's project, goals and objectives will facilitate and advance efforts in meeting the established performance targets for the State and/or MPO.

6. Summary of Budget Revenues

   The UPWP should include the following tables:

   - Table 1 (Summary Table) - Identifies participating agencies with respective funding commitments by task with line and column totals (See an example in *Appendix VI*).
   - Table 2 (Funding Source) – Lists current funding by program source for each task with totals. The table should include funding sources, costs by work item, total man hours per week, the MPO agency or consultant doing the work, and a schedule or timetable when tasks are to be completed (See an example in *Appendix VII*).

7. Eligible Costs

   Costs will be eligible for federal participation provided the costs:

   - are for work performed for eligible metropolitan planning activities within or directly necessary to transportation planning and within the metropolitan planning area;
   - are verifiable from the MPO's records;
   - are necessary and reasonable for proper and efficient accomplishment of MPO project objectives and meet the other criteria for allowable costs in the applicable cost principles cited in 49 CFR 18.22;
   - are included in the approved work programs or amendment thereto; and
   - were not incurred prior to FHWA authorization.

   Federal funds may be used to fund eligible activities, not positions. Activities that lead directly to implementation of an infrastructure improvement, including project development activities (NEPA, PE, etc.), are not eligible metropolitan planning activities.

   Allowable costs for state and local agencies shall be determined in accordance with 2 CFR Part 225 – Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87).

8. Period of Availability

   Funding available for the MPO work programs is determined by the state's biennial budget, which begins on July 1 – the beginning of the state's fiscal year – and ends on June 30 of the subsequent fiscal year. WisDOT allocates funds to the MPOs on a calendar year basis, to align with the MPOs' annual work program cycle.

   Costs must be incurred between January 1 and December 31 of the work program year to be eligible for reimbursement. It is expected that work activities within the annual work program will be completed by the end of that calendar year and be paid for with current-year funds.

   Occasionally unforeseen circumstances may arise that significantly impact completion of planned work activities on schedule. A MPO should contact WisDOT and FHWA to discuss whether such circumstances warrant extension of the calendar year performance period to complete these activities. Discussion should occur no later than the fall work program

meeting. Considerations include whether the work is included in the approved work program, the extent to which the circumstances were beyond the MPO's control and availability of funding. If warranted, an extension will require a work program amendment.

Conditions for Extension of Period of Availability

- The MPO must submit a policy board approved Amendment to their current Work Program identifying the approved work activity and estimate of associated funding to be carried over to the next calendar year. The actual amount of funding carried over will be determined based on the fourth quarter work program invoice. The MPO amendment must be submitted to WisDOT by December 15 of the current work program year and must be approved by WisDOT and FHWA by December 31 of the year.
- Approved carry-over activity and unspent funds will remain eligible for reimbursement through the end of May of the subsequent year. Any unspent carry-over funds not invoiced on or before May 31 will not be eligible for reimbursement by WisDOT. Left over unspent funds will be returned to the pool of unspent PL dollars.
- The subsequent calendar year work program must clearly account for the approved activity carried over in the prior year work program, in particular the staff resources (hours) needed to complete the activity carried over. The cost of the activity carried over in the prior year work program should be accounted for in a footnote to the subsequent year budget table or a separate budget table. Costs carried over by amendment of the previous work program should not be comingled with the cost or funding for the subsequent year work program activities. WisDOT will distinguish the carry-over activity and associated funding separately in the invoicing spreadsheet for the subsequent year's program.

9. Indirect Cost Allocation Plans

Most municipalities and counties provide certain services to operating agencies and units on a centralized basis. The central services cost allocation plan identifies the central services applicable to each organizational unit and the basis for distributing the cost of each central service to the benefitting units.

Smaller agencies like RPCs develop an agency-wide cost allocation plan, typically accounting for administrative costs that benefit all functions and cannot be readily assigned to specific subunits or activities in the organization. Some MPOs have cause to develop a separate ICAP for MPO costs in a similar manner.

All costs and other data used to distribute the cost included in the plan should be supported by formal accounting and other records that will support the propriety of the costs assigned to Federal awards. The host agency is responsible for preparing and submitting the ICAP as outlined below.

Guidelines for cost allocation plans are provided in a brochure published by the Department of Health and Human Services entitled *Guide for State and Local government Agencies: Cost Principles and Procedures for Establishing Cost Allocation Plans and Indirect Cost Rates for Grants and Contract with the Federal Government.*
https://rates.psc.gov/fms/dca/asmb%20c-10.pdf

a. Direct Costs

Direct costs are those that can be isolated and attributed to a particular final cost objective (activity). Typical direct costs chargeable to Federal awards are:

- Compensation of employees for the time devoted and identified specifically to the performance of the activity.
- Cost of materials acquired, consumed, or expended specifically for the purpose of the activity.
- Equipment and other approved capital expenditures used specifically and exclusively to carry out the activity.
- Travel expenses incurred specifically to carry out the activity.
- Professional services acquired to perform eligible approved work on an activity.

b. Indirect Costs

MPO indirect costs are those eligible agency costs essential to the performance of the MPO metropolitan planning function that are also essential to other agency functions and cannot be readily assigned to each function individually without effort disproportionate to the results achieved. After direct costs have been determined and assigned directly to approved activities, indirect costs are those remaining to be allocated to all benefitting cost activities. A cost may not be allocated to a Federal award as an indirect cost if any other cost incurred for the same purpose, in like circumstances, has been assigned to a Federal award as a direct cost. MPO indirect costs are allowable if supported by a cost allocation plan and indirect cost proposal submitted and approved in accordance with the OMB requirements at 2 CFR Part 225 (Circular A-87).

All departments or agencies of the governmental unit desiring to claim indirect costs under Federal awards must prepare an indirect cost rate proposal and related documentation to support those costs. The proposal and related documentations must be retained for audit in accordance with the records retention requirement contained in the Common Rule (49 CFR Part 18).

Indirect cost proposals must be developed within six months after the close of the governmental unit's fiscal year, unless an exception is approved by the cognizant federal agency. See Appendix E, (2 CFR Part 225) for guidance on the submission and documentation needed for the indirect cost proposal. See Appendix A, (2 CFR Part 225) for guidance on determining allowable costs.

c. Processing Indirect Costs

A governmental unit must submit its indirect cost rate proposal for approval by any Federal cognizant agency officially designated. The OMB will periodically publish lists of governmental units identifying the appropriate Federal cognizant agencies. City and County governments in Wisconsin are included among these designations. The U.S. Economic Development Administration has established itself as the cognizant federal agency for at least some Wisconsin RPCs.

The default cognizant agency for all governmental units or agencies not otherwise identified will be determined based on the Federal agency providing the largest amount of Federal funds. In these cases, a governmental unit must develop an

indirect cost proposal in accordance with the OMB requirements and maintain the proposal and related supporting documentation for audit. These governmental units are not required to submit their proposals unless they are specifically requested to do so by the default cognizant agency.

Where a local government only receives funds as a sub-recipient, the primary recipient will be responsible for negotiating and/or monitoring the sub-recipient's plan. MPOs are a sub-recipient of metropolitan planning funding apportioned to WisDOT. Wisconsin MPOs should submit their governmental cost allocation plan and indirect cost rate proposal to WisDOT annually.

Whether submitted to a Federal cognizant agency or WisDOT or maintained on file by the governmental unit, a cost allocation plan or an indirect cost rate shall be certified by the governmental unit using the Certificate of Cost Allocation Plan or Certificate of Indirect Costs as set forth in Appendices C and E of 2 CFR Part 225 (Circular A-87). The certificate must be signed on behalf of the governmental unit by an individual at a level no lower than chief financial officer of the governmental unit that submits the proposal or component covered by the proposal.

WisDOT and federal agencies may not review ICAPs on an annual basis. MPOs should retain documentation of submittal and certification and may proceed with implementation of the indirect cost plan if not advised otherwise.

d. Documentation of Indirect Costs in UPWP

The MPO host agency generally determines whether and how Wisconsin MPOs deal with indirect costs. Most city-county hosted MPOs charge indirect costs based on the proportional share of agency indirect costs assigned to the MPO function in the host agency's central services cost allocation plan. Wisconsin RPCs develop an agency-wide RPC cost allocation plan and indirect cost rates which assign costs to the MPO activities based on direct labor costs charged to each activity. MPOs that use a MPO-specific indirect cost allocation plan develop and assign indirect costs similarly.

If the MPO will be charging indirect costs the UPWP should include information (typically an appendix) clearly explaining the basis and methodology.

Municipal and county hosted MPOs passing on a proportional share of indirect costs based on the host agency central services cost allocation plan should identify the plan and edition used as the basis for their indirect costs. If the central services plan is available online, include a link to the plan. If not, the MPO should maintain access to the central services plan for review by USDOT and WisDOT. The UPWP documentation should identify those central services that are passed on to the MPO function, the basis for allocation of each of those services and the amount of each cost the MPO is allocated. Indicate how the MPO proposes to bill the indirect costs, typically proportional to the billing period.

RPCs and MPOs with a MPO-specific ICAP should identify the fiscal year and basis for costs. This is typically the most recent audited year. Include a table identifying

the indirect cost categories and associated cost for the year. Explain personnel costs that are included as indirect.

e. Indirect Cost Rate

Clearly show how the indirect cost rate is calculated. Identify whether the rate is fixed, provisional or estimated for purposes of budgeting. Indicate whether the rate will be applied as established or applied based on actual costs accrued to date. Describe at what point the indirect costs will be trued up to actual audited costs and how any correction is applied.

Fringe benefits can be readily associated with individual staff and salaries either using actual costs or a fringe rate. Fringe benefit costs for those staff salaries charged as direct costs should be charged as direct cost. Fringe benefit costs for staff salaries charged as indirect should be changed as indirect.

The indirect cost rate typically distributes costs across activities based on direct salaries charged to each of the activities. Direct fringe benefit costs should be combined with salaries as the basis for distributing indirect costs in this manner. These direct fringe costs should not be included among the indirect cost categories.

10. Other documents to be included in UPWP:

There are other documents that should be included as part of the work program, preferably by reference and links to website locations. These include the Public Participation Plan, Cooperative Agreement, Title VI Agreement, Title VI Program, and CMP (in TMAs).

a. Title VI Nondiscrimination Agreement

As a sub-recipient of the Wisconsin Department of Transportation, each MPO is required to sign a Title VI and Related Statutes Nondiscrimination Agreement with the State to assure Title VI and other non-discrimination authorities' compliance (*Appendix VIII*). The Title VI Nondiscrimination Agreement must be signed annually by the MPO's signature authority. Normally, it will be submitted with the UPWP.

b. Title VI Program

This program specifically addresses the FTA Circular 4702.1B requirements.

Work Elements and Tasks within the UPWP should reflect and enhance the cooperative and collaborative priorities; along with the multi–modal transportation goals of the MPO's member communities, WisDOT and the FHWA. Demonstration of public participation in the development of the UPWP must be provided. WisDOT Region and Bureau of Planning are available for consultation or clarification of the requirements within the MPO's UPWP.

Reimbursement of Expenses

WisDOT reimburses the MPOs for the expenses they incur in completing the work activities in their Work Programs. MPO reimbursement requests are submitted on a quarterly calendar year basis. MPOs send a reimbursement request via email consisting of an invoice and progress report for the work activities they completed during the billing period. WisDOT Planning staff review the reimbursement requests and authorizes completed and accurate requests for payment. If the reimbursement request requires further clarification or is incomplete, WisDOT Planning staff will notify the MPO and assist in resolving any revisions or clarifications before authorizing payment. The date of receipt will be the date all complete and accurate reimbursement documentations have been received by WisDOT from the MPO.

The reimbursement requests must include the following five (5) documents:

1. An **Invoice**, which details the billing period timeframe, eligible work completed during that time, and the amount of dollars spent on those work activities. The invoice can be in the form of a preprinted invoice form used with accounting software or a simple Word document containing the required information. The invoice could contain a signature block for MPO staff sign-offs but isn't required to. (Signatures can be supplied on any of the other documents described below.)

2. The **WisDOT customized Reimbursement Spreadsheet (Excel Format)** completed by the MPO for the current billing period. WisDOT creates a customized workbook and Invoice spreadsheet template for each MPO at the beginning of the calendar year. The MPOs fill in the dollar amounts for each work element to complete the Invoice spreadsheet (see example in *Appendix IX*) and returns the workbook via email with each quarterly reimbursement request.

   The customized Invoice spreadsheet contains rows for each work element of the MPO Work Program activities. The work elements on the spreadsheet match the work elements within the approved UPWP. The quarterly billing periods are shown in the columns of the Invoice spreadsheet.

   The total of the quarterly work elements are calculated by designated Federal, State, and Local funding percentages. The percentage formulas for calculating the appropriate funding splits are based on the Federal, State, and Local allocations within the annual FHWA Work Program approval letter. The reimbursement request amount is the sum of the quarterly Federal and State totals.

3. A **table or spreadsheet showing the Breakdown of Staff Hours** spent on MPO Work Program activities during the billing period is required. This additional supporting documentation indicates how many work hours are being charged to MPO work element activities and how many are being charged to non-MPO work. This document can be an existing printout from the MPO's accounting/payroll software or a standalone document prepared by MPO staff.

   This document must show each MPO staff person by title (names are optional) and it must also indicate the staff persons' work status as full-time, part time, paid intern or consultant. Calculations (table) showing staff expenditures (salary and benefits), direct costs, and indirect costs matching Total Expenditures of the quarterly submittal must be included (see example in Appendix X).

4. A **Written Progress Report** summarizing the eligible work done by the MPO during the billing period. The headings in the MPO's progress report should align with the Work Elements in their Work Program. The descriptions of the various work activities within each work element must be updated for each submittal and include a level of detail about work activities that MPO staff engaged in and products that were developed and/or distributed during the billing period as well as the purpose and outcome of the activities and products.

   This written summary should describe the work the MPO completed and the expenditures for the work completed during the previous quarter with headings for each Work Element (i.e. Short-Range Planning, Long-Range Planning, TIP, Administrative or other). If you spent discretionary or carry-over dollars on a special project or study (other than as part of your regular work program activities), clearly indicate this in the written summary.

   It should be evident from the descriptions that work program activities are consistent with the scope, budget, and schedule stated in the approved work program. Make sure you list any significant products or milestones and indentify any changes/revisions that need to be made to the Work Program (e.g., a significant departure from the approved Work Program schedule).

5. The **MPO Reimbursement Request Checklist** (*Attachment C)*. This checklist must be completed and submitted with each quarterly reimbursement request.

MPOs must provide **two signatures** on the reimbursement requests—one by the preparer and a second by manager or officer—supervisor, financial person, director, etc., as a means of check-and-balance when the spreadsheets are prepared. These signatures may be captured on the invoice, the reimbursement spreadsheet, or the progress report.

Send your reimbursement requests via email to **both** the assigned WisDOT Bureau of Planning and Economic Development MPO Liaison and Statewide MPO/RPC Coordinator.

UPWP Changes & Amendments

Amendment Requirement Thresholds

If unanticipated changes in funding or work activities occur during the calendar year, the UPWP may need to be amended. The magnitude of the change determines the need for an Amendment.

<u>UPWP Amendments will be required if changes meet any of the following criteria:</u>

- Funding:
    - If it becomes necessary to:
        - add additional funds to perform existing or additional work program activities
        - reduce funds or delete work program activities
        - transfer funds from one Work Program element to another element, in an amount equal to or greater than 10% of the total work program budget
        - requesting extension of the period of availability.

- Work Activities:
    - When there will be a significant change in work activities.
        - Example: Change from having staff perform work program activities to hiring a consultant to perform work program activities
        - Example: Significant change in scope of work activities within a specific work element (i.e. Short Range Planning)
    - Requesting extension of the period of availability.

- FHWA Approval Letter contingencies:
    - Any additional contingencies included in the FHWA UPWP approval letter.

Work Program Amendment Process

Similar to the annual Work Program, a draft copy of the Work Program Amendment should be sent to the following for comment:

- WisDOT – MPO Planning Liaison
- WisDOT – Travel Forecasting Liaison
- WisDOT – Regional MPO Liaison
- WisDOT – MPO/RPC Statewide Coordinator
- FHWA – Division Planning representative(s)
- FTA – Regional representative

After review comments have been addressed within the Amendment; the MPO will obtain Policy Board approval through resolution and forward the Amendment and resolution to WisDOT FTA and FHWA requesting final approval.

WisDOT will forward an endorsement for approval to FHWA. FHWA will reply with their approval. WisDOT will forward a copy of the approval letter to the MPO.

UPWP Amendments shall be forwarded and approved by FHWA prior to incurring any expenses subject to approval of said amendment. WisDOT will place on hold any reimbursement request for which a UPWP Amendment was needed but not received.

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Attachments

A. **MPO UPWP Checklist**
B. **Applicable Federal Regulations**
C. **Reimbursement Request Checklist**

Attachment A – MPO UPWP Checklist

	COVER PAGE	Check
1	Name of MPO agency and area represented	
2	FY of UPWP	
3	Contact Information for MPO	
	TITLE PAGE	
4	Name of MPO Agency and area represented	
5	Contact person and information	
6	FY of UPWP	
7	Agencies providing funds or support – including agencies Logos	
8	USDOT Disclaimer	
	INTRODUCTION/PREFACE	
9	Table of Contents	
10	MPO Approval Resolution-signed	
11	Self Certification-signed	
12	Prospectus	
13	Committee Lists-responsibilities, meetings	
14	Staff-names, positions and responsibilities with percentage of time they will spend on MPO work activities	
15	Map-Regional MPO Coverage Area	
a.	Planning Boundary	
b.	Urbanized Area Boundary	
c. *	Air Quality Boundary	
16	Eight Planning Factors	
17	UPWP	
a.	Definition of UPWP purpose	
b.	Summary of previous Year's Accomplishments	
c.	Status of current activities	
18	WORK ELEMENTS (Description of major work products and tasks)	
a.	UPWP	
b.	Administration	
c.	TIP – Development/Maintenance	
d.	LRTP – Development/Maintenance	
e. *	Congestion Management Process/ITS	
f. *	Transit Planning	
g.	Multimodal Planning	
	i). Bicycle/Pedestrian	
*	ii). * Intermodal Freight	
*	iii). * Intermodal Passenger	
h. *	Air Quality Planning	
	i). Modeling	

*	ii). CMAQ Application Process	
i.	Public Involvement plan – Update	
j.	Surveillance (Data Collection)	
k.	Project/Corridor Studies	
l.	Special Studies	
m.	TSM/TDM Planning	
n.	TE Planning	
19	Performance Management	
20	Summary of Budget Revenues	
Table 1	Budget Summary	
Table 2	Funding Sources	
21	Indirect Cost Allocation Plan	
	Direct Costs	
	Indirect Costs	
	Indirect Cost Rate Proposal	
22	Carry-over of unspent funds	
23	Current Signed Title VI Nondiscrimination Agreement	
24	Link to current Title VI Program	
25	Annual Meeting Schedule	

* Denotes items present on as 'as needed' basis

Attachment B – Applicable Federal Regulations

- 23 CFR 420 (Planning and Research Program Administration
- 23 CFR 450.308 (Unified Planning Work Program)
- 31 USC Subtitle III, Financial Management
- 49 CFR 18 (Uniform Administrative Requirements for Grants and Cooperative Agreements to States and Local Governments)
- 49 CFR 29 (Government Debarment and Suspension (Non-procurement) and Government wide Drug-free Workplace)
- 23 USC 143
- 49 USC 5303
- Title VI of the Civil Rights Act of 1964 and the Title VI assurance executed by each state under Title 23 Section 324, USC and Title 29, Section 794, USC

Attachment C – MPO Reimbursement Request Checklist

Date	Name of MPO	MPO	Liaison
1	**Invoice**		
	Quarter or period of the request		
	Amount of reimbursement		
2	**Reimbursement Workbook**		
	Quarterly totals for work elements entered		
	Electronic copy of entire workbook submitted		
	Positive remaining balance		
	Work Element totals within 10% thresholds		
	Amount of reimbursement matches amount on invoice		
3	**MPO Staff Hour Table(s)**		
	Staff Titles		
	Staff Names – (optional)		
	Full-time, Part-time, Intern, Consultant indicated		
	Calculations (table) showing staff expenditures (salary and benefits), direct costs, and indirect costs matching Total Expenditures of the quarterly submittal		
4	**Written Progress Report**		
	Headings and description of work preformed aligned with Work Elements in UPWP		
	Work activities within approved Work Program		
	Significant work product completed or milestones		
	1.		
	2		
	3		
	Two Signatures included		
	Preparer		
	Supervisor, Director		
	MPO reviewer:	**Date Submitted**	
	Liaison reviewer:	**Date Approved**	

Appendices (Sample Documents)

I. UPWP Kick-off Letter
II. Policy Board Resolution
III. Annual MPO Certification
IV. Metropolitan Planning Factors
V. Sample Work Element
VI. Table 1 - Summary Budget
VII. Table 2 – Funding Sources
VIII. Title VI Nondiscrimination Agreement
IX. MPO Reimbursement Request – Invoice spreadsheet
X. Staff Time and Total Expenditure Table
XI. MPO Meeting Schedule

Appendix I – UPWP Kickoff Letter

Wisconsin Department of Transportation
Division of Transportation Investment Management

August 1, 2013

To: MPO Directors and Transportation Planners:

This memo contains planning activities for consideration in developing and obtaining approval of your 2014 Unified Planning Work Programs (UPWP); it also provides a table detailing the metropolitan planning (PL) funds available for calendar year 2014.

2014 UPWP Considerations:

When developing your 2014 Work Program, reference the guidance on WisDOT's website (http://www.dot.wisconsin.gov/projects/planorg/docs/unified-planning.pdf). In addition, consider the following planning activities and priorities when developing your 2014 UPWP:

- Include an updated schedule for your Long Range Transportation Plan. Include timelines, milestones, meetings, and public outreach events.
- Continue to allocate resources to the collection and analysis of data for performance indicators in your Long Range Transportation Plan.
- Include in the 2014 UPWP Administrative Work Element your participation in quarterly FHWA/MPO/WisDOT meetings to discuss transportation planning, policy, financial, and technical issues and questions.
- Include a table of tentative meeting dates for:
  - TAC meetings
  - MPO Policy Board meetings
  - Mid-year review meeting (May/June 2014)
  - Fall Work Program meeting (September/October 2014)
  - Quarterly MPO-RPC Directors Meetings (January 28, April 22, July 22, October 28)
- Identify the cost share distribution of local MPO members by municipality.
- Include the Cooperative Agreement for Continuing Transportation Planning, with signatures and approval date.
- Include the FHWA and FTA logos on the document, along with a credit / disclaimer statement noting that the document was prepared with Federal funds, but does not necessarily reflect the official views or policy of the U.S. Department of Transportation.
- Include a disclaimer that information is subject to change based on final disposition of the federal transportation reauthorization bill, MAP-21[1]

[1] We are not certain of how some MAP-21 regulations will play out after the 2-years authorization (September 30, 2014). Until then, prepare your 2014 Work Program under existing regulations and include a disclaimer that information is subject to change based on final disposition of the federal transportation reauthorization bill.

- Complete and include, with your final UPWP document, the UPWP Checklist shown on Page 13-14 of the guidelines. In the checkbox for each item, put the page number from your UPWP indicating where where in that item is located. Put 'N/A' in the check box if that item is applicable to your UPWP.

The table below shows the 2014 PL funding amounts based on the funding allocation formula agreed to at the April 23, 2013, MPO-RPC Directors Meeting. The final funding allocations use separate formulas for TMAs and non-TMA MPOs[2]. Also, starting in 2014, PL and FTA (5303) program funds will be allocated as a single funding source.

2014 Federal PL Funding and Non-federal Match[2]

MPO	Federal $	State $	Local $	Total $
Appleton-Oshkosh	$509,590	$34,025	$93,373	**$636,988**
Beloit	$113,099	$5,282	$22,992	**$141,373**
Dubuque	$3,751	$243	$695	**$4,689**
Eau Claire	$185,843	$12,040	$34,421	**$232,304**
Fond du Lac	$99,201	$6,427	$18,373	**$124,001**
Green Bay	$362,088	$24,176	$66,346	**$452,610**
Janesville	$160,000	$8,154	$31,846	**$200,000**
La Crosse	$172,577	$11,181	$31,963	**$215,721**
Madison	$704,226	$47,020	$129,036	**$880,282**
SEWRPC	$3,038,866	$202,901	$556,816	**$3,798,582**
Sheboygan	$160,000	$8,348	$31,652	**$200,000**
Duluth-Superior	$68,000	$3,166	$13,834	**$85,000**
Wausau	$160,000	$8,737	$31,263	**$200,000**
Total	**$5,737,241**	**$371,700**	**$1,062,610**	**$7,171,551**

Please submit your 2014 budget estimates by August 23, 2013. Indicate the amount of any federal funds for which you will not be able to provide local matching funds, so those funds can be reallocated as soon as possible.

Carry-over of 2013 UPWP Funds:

For any remaining work in your 2013 Work Program that you know will not be completed by the end of the year: Identify the funds for that work in your 2014 Budget Table, describe the work activities in your Work Element Activities section, and clearly indicate that unspent PL funds are being carried over for usage and reimbursement in 2014.

[2] PL Funding formula distributes base funds on population, and uses a transfer from the TMAs to the non-TMA MPOs to offset the difference between the funding distributed on population and the non-TMA MPOs' target funding threshold.

WisDOT's policy allows carryover of 2013 PL funds, with prior approval from WisDOT, provided that the carryover funds are invoiced by May 31, 2014. Any 2013 PL funds carried over will expire after that date and are not eligible for reimbursement, even if costs were incurred.

Table 2: 2014 Urban Planning Work Program Development & Approval Timeline

ACTIVITY/EVENT	TIMEFRAME - 2013	RESPONSIBILITY
Draft WP due to FHWA and WisDOT	Late August -Early September (Two weeks prior to scheduled Work Program Meeting)	MPO
Review period for Draft UPWP	September 6 through October 21	WisDOT, FHWA, FTA
Fall WP Review Meetings	Mid-September through Mid-October	WisDOT, MPO, FHWA, FTA
Final Federal $ estimates	October 1	FHWA and FTA
Adopted (Final) UPWP due to FHWA and WisDOT	November 20	MPO
Endorsement letter sent to FHWA	December 6	WisDOT Planning Section
Distribution of final UPWPs (Also post on MPO websites)	December 20	MPO
Contracts encumbered for each MPO	December 27	WisDOT Planning Section & BBS
FHWA authorization of PL funding, and FHWA UPWP approval letter sent to WisDOT	December 27	FHWA
Funding approval letters sent to MPOs	December 30	WisDOT Planning Section

Thank you. Your cooperation with these important planning efforts is greatly appreciated.

Sincerely,

Sandra K. Beaupré

Sandra K. Beaupré, Director
Bureau of Planning & Economic Development

cc: Dwight McComb, FHWA
Alexis Kuklenski, FHWA
MPO Transportation Planners
WisDOT Region Planning Chiefs

Appendix II – Policy Board Resolution

Resolution TPB No. 80
Approving the 2014 Unified Planning Work Program
and 2014-2016 Overall Program Design Report

WHEREAS a Unified Planning Work Program is a requirement for receiving various Federal and state planning financial assistance; and

WHEREAS the 2014 Unified Planning Work Program for the Madison Area Transportation Planning Board (TPB) is annually updated, and is the first year of the 2014-2016 Overall Program Design Report; and

WHEREAS separate grant applications will be required to apply for the 2014 programmed planning grant funds, including applications to the Federal Transit Administration, Federal Highway Administration, Wisconsin Department of Transportation, Dane County, and various local governmental units; and

WHEREAS the City of Madison is the administrative and fiscal agent for the Madison Area Transportation Planning Board and is a legally constituted entity under the laws of the State of Wisconsin and able to receive these funds;

NOW, THEREFORE, BE IT RESOLVED that the Madison Area Transportation Planning Board approves the 2014 Unified Planning Work Program and the 2014-2016 Overall Program Design Report dated November 2013, which incorporates the changes reflected in the change/correction sheet dated November 2013 into the draft 2014 Unified Planning Work Program dated September 2013; and

BE IT FURTHER RESOLVED that the Transportation Planning Manager of the Madison Area Transportation Planning Board is authorized and directed to submit necessary applications to appropriate state, local, and federal departments for planning activities indicated for 2014 and to execute appropriate agreements and contracts with said agencies on behalf of the Madison Area Transportation Planning Board; and

BE IT FURTHER RESOLVED that the Transportation Planning Manager of the Madison Area Transportation Planning Board is authorized to file appropriate supporting documents and requisitions and to perform other duties and acts, which may be required as part of these planning grant contracts; and

BE IT FURTHER RESOLVED that the planning agency agrees to abide by all the provisions, terms, and conditions of said contracts; and

BE IT FURTHER RESOLVED, in accordance with 23 CFR 450.334(a) the Madison Area Transportation Board hereby certifies that the metropolitan transportation planning process is addressing major issues facing the metropolitan planning area and is being conducted in accordance with all applicable requirements of:

1. 23 U.S.C. 134 and 49 U.S.C. 5303, and this subpart;
2. Title VI of the Civil Rights Act of 1964, as amended (42 USC 2000d-1) and 49 CFR part 21;
3. 49 USC 5332, prohibiting discrimination on the basis of race, color, creed, national origin, ex, or age in employment or business opportunity;
4. Sections 1101(b) of the Moving Ahead for Progress in the 21st Century Act (MAP-21) (Pub. L. 112-141) and 49 CFR Part 26 regarding the involvement of disadvantaged business enterprises in the US DOT funded projects;
5. 23 CFR 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 49 CFR 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 title 23, U.S.C regarding the prohibition of discrimination based on gender; and
9. Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794) and 49 CFR 27 regarding discrimination against individuals with disabilities.

11/13/2013
Date Adopted

Al Matano, Chair

Appendix III – Annual MPO Certification

Self-Certification Language

In accordance with 23 CFR 450.334(a) the *(name)* MPO hereby certifies that the metropolitan transportation planning process is addressing major issues facing the metropolitan planning area and is being conducted in accordance with all applicable requirements of:

1. 23 USC 134 and 49 USC 5303, and this subpart
2. In non-attainment and maintenance areas, Sections 174 and 176 (c) and (d) of the Clean Air Act as amended (42 USC 7504, 7506 (c) and (d)) and 40 CFR part 93;
3. Title VI of the Civil Rights Act of 1964, as amended (42 USC 2000d-1) and 49 CFR part 21;
4. 49 USC 5332, prohibiting discrimination on the basis of race, color, creed, national origin, ex, or age in employment or business opportunity;
5. Section 1101(b) of the MAP-21 (Pub. L. 112-141) and 49 CFR Part 26 regarding the involvement of disadvantaged business enterprises in the US DOT funded projects;
6. 23 CFR part 230, regarding the implementation of an equal employment opportunity program on Federal and Federal-aid highway construction contracts;
7. The provisions of the Americans with Disabilities Act of 1990 (42 USC 12101 *et seq*.) and 49 CFR Parts 27, 37, and 38;
8. The Older Americans Act, as amended (42 USC 6101), prohibiting discrimination on the basis of age in programs or activities receiving Federal financial assistance;
9. Section 324 of title 23, USC regarding the prohibition of discrimination based on gender; and
10. Section 504 of the Rehabilitation Act of 1973 (29 USC 794) and 49 CFR 27 regarding discrimination against individuals with disabilities.

By: _____ Date:_____

MPO Policy Board, Chair

Self-Certification Summary

The MPO Policy Committee is charged with implementing the metropolitan planning process in accordance with applicable requirements of MAP-21, the Clean Air Act, the Civil Rights Act, and the Americans with Disabilities Act. By federal law, agencies providing transportation services and/or receiving federal money must categorically adhere to the requirements as listed in the Self-Certification.

With the approval of the Self-Certification, the policy board is certifying that regulations and policies of the MPO as a sub-recipient of federal aid are in compliance with applicable federal and state employment opportunity laws and guidelines, affirmative action goals, equal employment opportunity requirements, employment practices, procurement activities, and transportation services. The Unified Planning Work Program includes documentation that as an agency the MPO Policy Committee adheres to the applicable requirements of MAP-21 and the Clean Air Act.

The ten requirements for self-certification are listed below.

(1) *23 U.S.C. 134, 49 U.S.C. 5303, and this subpart*. These citations summarize the metropolitan planning requirements. This region is currently certified and has an approved Transportation Improvement Program (TIP), Long Range Transportation Plan (LRTP), Unified Work Program (UPWP), Congestion Management Process (CMP), Public Participation Plan (PPP), required interagency agreements, approved metropolitan area boundaries, and annual listings of obligated projects.

(2) *In nonattainment and maintenance areas, Sections 174 and 176(c) and (d) of the Clean Air Act as amended (42 U.S.C. 7504, 7506(c) and (d) and 40 CFR 93):* All state and local transportation officials will take part in a 3-C planning process in nonattainment areas to determine which planning elements will be developed, adopted and implemented to maintain or improve the air quality for said area. In nonattainment areas that include more than one state, the affected states may jointly undertake and implement air quality planning procedures. For nonattainment areas, activities not conforming to approved State Implementation Plans (SIPs) will not be financially supported by the federal government. Priority of funding will be given to those projects or programs that achieve and maintain national primary ambient air quality standards. Refer to 42 USC §§ 7408. 7410, 7504, 7505a, 7506 (c) and (d), 7511, 7512, and §7604; 49 USC Chapter 53; and 23 USC §134.

(3) *Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. 2000d-1) and 49 CFR part 21:* Title VI of the Civil Rights Act of 1964 prohibits exclusion from participation, denial of benefits, and discrimination under federally assisted programs on grounds of race, color, or national origin. Title VI assurance regulations were also executed by each state, prohibiting discrimination on the basis of sex or disability. Refer to 23 USC §324 and 29 USC §794. The UPWP should include Title VI accomplishments from the previous year along with Title VI goals and activities for the next year.

(4) *49 U.S.C. 5332, prohibiting discrimination on the basis of race, color, creed, national origin, sex or age in employment or business opportunity:* The agency should document their adherence to these requirements on their website.

(5) *Section 1101(b) of the MAP-21 (Pub. L. 112-141) and 49 CFR Part 26 regarding the involvement of disadvantaged business enterprises in USDOT funded projects:* The Disadvantaged Business Enterprise (DBE) program ensures equal opportunity in transportation contracting markets, addresses the effects of discrimination in transportation contracting, and promotes increased participation in federally funded contracts by small, socially and economically disadvantaged businesses, including minority and women owned enterprises. The statute provides that at least 10 percent of the amounts made available for any federal-aid highway, public transportation, and transportation research and technology program be expended with certified DBEs.

(6) *23 CFR Part 230, regarding the implementation of an equal employment opportunity program on Federal and Federal-aid highway construction contracts*: The agency should document the MPO's Equal Employment Opportunity (EEO) policies on their website.

(7) *The provisions of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.) and 49 CFR parts 27, 37, and 38:* Programs and activities funded with federal dollars are prohibited from discrimination based on disability. Compliance with the applicable regulations is a condition of receiving federal financial assistance from the U.S. Department of Transportation. Refer to the American with Disabilities Act of 1900 as amended (PL 101-336); 49 CFR Parts 27, 37, and 38.

(8) *The Older Americans Act, as amended (42 U.S.C. 6101):* Confirms opportunity for employment with no discriminatory personnel practices because of age. Also, the Older American Act Amendments of 2006 included provisions relating to transportation in Title III-B (Grants for State and Community Programs on Aging, Title IV [Technical Assistance and Innovation to Improve Transportation for Older Individuals], Title V [Senior Community Service Employment Program], and Title VI [Native American Aging Programs].

(9) *Section 324 of title 23 U.S.C. regarding the prohibition of discrimination based on gender*: No one on the basis of sex shall be denied participation in or benefits of any program or activity receiving Federal assistance under Title 23.

(10) *Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794) and 49 CFR Part 27 regarding discrimination against individuals with disabilities:* This law protects *qualified* individuals from discrimination based on their disability. The nondiscrimination requirements of the law apply to employers and organizations that receive financial assistance from any Federal department or agency, including the U.S. Department of Health and Human Services (DHHS).

Appendix IV – Metropolitan Planning Factors

METROPOLITAN PLANNING FACTORS - The Federal Transportation Bill, the Safe, Accountable, Flexible, and Efficient Transportation Equity Act of 2005, A Legacy for Users (SAFETEA-LU) created the planning factors that were to be considered by Metropolitan Planning Organizations when developing transportation plans and programs. The Moving Ahead for Progress in the 21st Century Act (MAP-21) maintained these planning factors from the SAFETEA-LU legislation. The eight metropolitan planning factors from SAFETEA-LU include:

1. Support the economic vitality of the metropolitan area, especially by enabling global competitiveness, productivity, and efficiency.
2. Increase the security of the transportation system for motorized and non-motorized users.
3. Increase the safety aspects of the transportation system for its users.
4. Increase the accessibility and mobility options available to people and for freight.
5. Protect and enhance the environment, promote energy conservation, and improve quality of life.
6. Enhance the integration and connectivity of the transportation system, across and between modes, for people and freight.
7. Promote efficient system management and operations.
8. Emphasize the preservation of the existing transportation system.

The following matrix illustrates (Name of MPO)'s work elements and the metropolitan planning factors to be addressed in each project.

METROPOLITAN PLANNING FACTORS TO BE CONSIDERED IN THE 20xx UPWP									
UPWP Category	**UPWP Elements**	**Metropolitan Planning Factors**							
		1	**2**	**3**	**4**	**5**	**6**	**7**	**8**
3100	LRTP's Implementation	X	X	X	X	X	X	X	X
3100	TAZ Update			X			X	X	X
3100	Bicycle and Pedestrian Plan Implementation	X	X	X	X	X	X	X	X
3100	Urbanized Area and Planning Boundary Maps						X	X	X
3201	TIP Projects	X	X	X	X	X	X	X	X
3201	Performance Measures	X	X	X			X	X	X
3201	State Highway Safety Planning	X		X		X	X	X	X
3201	Standardizing Operations & Maintenance issues	X	X	X		X	X	X	X
3300	Transportation Improvement Program 20xx-20xx	X				X	X	X	X
3900	20xx Unified Planning Work Program	X	X	X	X	X	X	X	X
3900	Administration and Public Relations	X	X	X	X	X	X	X	

Appendix V – Sample Work Element

Task 1 – Short Range Transportation Planning

Objective
Develop short range transportation plans which address immediate transportation needs of the MPO communities. These plans are developed in conjunction with, or as a result of, the recommendations of the Long Range Transportation Plan.

Previous Work
Short Range projects have been developed in response to the requests made by the MPO communities. Examples of previous projects include access control plans for CTH "K," Stewart Avenue, and the Town of Weston; impact studies; river crossing feasibility for the Rib River; Cedar Creek Interchange analysis; traffic analysis and intersection turning movement studies, and assistance with preliminary design on road construction projects.

Methodology
This program consists of strategies to address short-range transportation concerns and issues as they arise. Strategies may include studies of traffic flow and operation improvements for arterials and collectors; development of plans to manage and control access to principal and minor arterials; development of plans to improve safety of motorists, bicyclists, and pedestrians; and traffic impact studies for proposed land use developments as requested by the MPO communities. In accordance with the multimodal emphasis of SAFETEA-LU, all system management plans will include multimodal analysis. Implementations of management systems identified in the LRTP also generate Short Range Planning projects. Intelligent Transportation System (ITS) strategies will be considered to possibly increase the efficiency of the area transportation system. Use of ITS may help solve transportation problems in the Wausau area as a whole.

Product
MPO staff will continue the implementation of the LRTP. This will be based on the recommendations set forth in the document. These implementation items will be working with the communities to develop the initial planning or review designs, or assist in public involvement of the projects identified in the LRTP.

MPO staff will assist WisDOT as required, in the continuing development of the Highway 51/29 project. This involvement will primarily be with public involvement. Assistance will be to help disseminate information regarding the County and MPO communities as it relates to the Highway 51/29 project.

MPO staff will utilize elements of the State Highway Safety Plan to inform and request that area communities look at standardizing safety issues regarding operations and maintenance in their community plan.

MPO staff will continue to use ITS strategies in the Wausau area, specifically those associated with the Highway 51/29 project. The I39 ITS Corridor Strategic Deployment Plan developed by WisDOT will be used. Examples of strategies which may be investigated are message boards, continuous count loop detectors, and bridge de-icing equipment.

MPO staff will undertake or assist on miscellaneous short range transportation studies requested by the MPO communities, such as: I-39 Interchange Access, Central Wisconsin Airport road access needs, the development of a local river crossing at Fox Glove Rd. and Military Rd. with associated facilities, North WI River Crossing Corridor Study, TIP identified reconstruction projects, grant applications.

MPO staff will create Performance Measures to monitor and track transportation and land use impacts and planning assumptions that are related to the projects, policies, and recommendations in the Long Range Transportation Plan.

Time Schedule

As Needed	ITS Strategies
All Year Long	Highway 51/29 Project
All Year Long	State Highway Safety Plan involvement
All Year Long	Development of LRTP Identified projects
All Year Long	Short Range Studies
All Year Long	Performance Measures

Estimated Time and Cost

M.C. CPZ Person-Weeks:	20
(2 Director, 13 Planner, 2 Secretarial, 3 Planning Technician)	
Preliminary Program Costs:	$ 30,066

Sources of Funds	**Amount**
FHWA	$ 21,347
WisDOT	$ 2,561
Local	$ 6,158
TOTAL	**$ 30,066**

Appendix VI – Table 1: Summary Budget

A summary budget table of the Janesville Area MPO's 2014 Work Program is provided below.

WORK PROGRAM ELEMENTS	BUDGET		FUNDING SOURCE					
	$	%	FHWA $	%	WisDOT $	%	Local $	%
100 Program Administration	$34,395	28%	$27,516	**80%**	$2,244	**6.5%**	$4,635	**13.5%**
200 Long Range Transportation Planning	$30,202	24%	$24,162	**80%**	$1,970	**6.5%**	$4,070	**13.5%**
300 Short Range Transportation Planning	$54,363	43%	$43,490	**80%**	$3,546	**6.5%**	$7,327	**13.5%**
400 Transportation Improvement Program	$6,040	5%	$4,832	**80%**	$394	**6.5%**	$814	**13.5%**
Total Without Discretionary	$125,000	100%	$100,000	**80%**	$8,154	**6.5%**	$16,846	**13.5%**
Discretionary Carryover (City of Milton Project)	$35,000		$28,000	**80%**	--	**0.0%**	$7,000	**20.0%**
Total	**$160,000**		**$128,000**	**80%**	**$8,154**	**6.3%**	**$23,846**	**14.9%**

Note: The MPO only bills for direct costs. Indirect costs (i.e. office rental) are not included in the MPO budget.

Appendix VII – Table 2: Funding Sources

TABLE 2 LONG-RANGE TRANSPORTATION PLANNING				
ACTIVITY	**OUTCOME**	**BUDGET**	**STAFF HOURS**	**SCHEDULE**
Continued Preparation of the *Year 2045 SATP* Due in April 2015	1. Refinement of the schedule for the MPO long-range transportation plan completion process (as needed). 2. Preparation of draft plan chapters. 3. Preparation of draft plan appendices. 4. Determination of existing needs and preparation of a deficiencies analysis of projects that are modeled and not modeled.* 5. Identification of future planned projects. 6. Analysis and refinement of results from the travel demand forecast model.* 7. Development of planning factors for the air quality conformity analysis on the next plan update.** 8. Hosting of one interagency environmental consultation meeting to explain key plan recommendations and evaluate their environmental impacts, with additional outreach as needed. 9. Hosting of one public information meeting regarding the planning process.	$115,000	2,092	May - June and September - October January - October July - December January - February March - April May July - September July - September May or September
Other Long-Range Transportation Planning Activities	1. Finishing work with the Sheboygan MPO Technical and Policy Advisory Committees to update the functional classification of streets and highways in the Sheboygan Urbanized Area. 2. Continuation of in-house travel demand forecast modeling activities, including in-house model learning, continued allocation of time to use the model internally and with external parties, and possible training activities. 3. Continuing to work with WisDOT on the implementation of *Connections 2030*, the state's long-range transportation plan.	$7,000	126	January - February January - December January - December
	Total	$122,000	2,218	

*In cooperation with the WisDOT Travel Forecasting Section and/or their consultant.
**In cooperation with the WDNR Bureau of Air Management.

Staff Hour Summary for Long-Range Transportation Planning:	
Staff Position:	**Total Work Program Hours:**
Executive Director	0
Transportation Planner III/MPO Transportation Planner	790
Transportation Planner I/Assistant Transportation Planner	908
Natural Resources Planner III	0
Community Assistance Planner III	0
GIS Coordinator	520
Office Accounts Coordinator	0
Total	**2,218**

Appendix VIII – Title VI Non-Discrimination Agreement

To retrieve the document, please go to the following link:

Sub Recipient Title VI
Non-Discrimination Ag

Appendix IX – MPO Reimbursement Request: Invoice Spreadsheet

Date 2014 UPWP was Adopted October 30, 2013	WisDOT BOPED 2014 REQUEST FOR REIMBURSEMENT EAU CLAIRE MPO - Final				
2014 UPWP PL 0095-45-83	2014 UPWP Quarter-1	2014 UPWP Quarter-2	2014 UPWP Quarter-3	2014 UPWP Quarter-4	YTD Remaining Balance
100 Short Range Planning					$110,629.00
200 Long- Range - PL					$93,721.00
300 TIP					$7,289.00
400 Transp. Program Administration					$20,665.00
Special Study					$0.00
Other - PL					$0.00
Quarterly Total Expenditures	$0.00	$0.00	$0.00	$0.00	$232,304.00
YTD Total Expenditures					$0.00
Total Annual Budget					$232,304.00

Reimbursement	Quarter 1	Quarter 2	Quarter 3	Quarter 4	YTD Remaining Balance
Federal	$0.00	$0.00	$0.00	$0.00	$185,843.00
State	$0.00	$0.00	$0.00	$0.00	$12,040.00
Local	$0.00	$0.00	$0.00	$0.00	$34,421.00
Total Reimbursement	$0.00	$0.00	$0.00	$0.00	$197,883.00
Prepared by:	Insert signature with title	Insert signature with title	Insert signature with title	Insert signature with title	
Authorized by:	Insert signature with title	Insert signature with title	Insert signature with title	Insert signature with title	
Date all Documents were submitted to WisDOT	Insert date	Insert date	Insert date	Insert date	

Note: Should the MPO expend funds in excess of the approved total budget those costs shall be borne solely by the MPO

WisDOT BOPED Metropolitan & Regional Planning Assistance Unit	2014 UPWP Quarter-1	2014 UPWP Quarter-2	2014 UPWP Quarter-3	2014 UPWP Quarter-4
Date Received by Liaison	Insert date	Insert date	Insert date	Insert date
Date Invoice & Report Approved	Insert date	Insert date	Insert date	Insert date
Liaison's Signature	Sign	Sign	Sign	Sign

Contacts	Hector Torres-Cacho - MPO-RPC Liaison	Jim Kuehn, MPO-RPC Statewide Coordinator
Phone	(608) 261-0260	(608) 266-3662

Appendix X – Staff Time and Total Expenditures Table

	Full or Part-Time	Short-Range Hours	Long-Range Hours	TIP Hours	Admin Hours	Special Study Hours	Total Hours
MPO Director	FT	55.00	17.00	25.00	24.00		121.00
Associate Planner	FT		302.00	35.00	3.50		340.50
Principal Planner	FT		70.00				70.00
GIS	FT		32.00		3.00		35.00
Total Hours		55.00	421.00	60.00	30.50		566.50
Total Base Salaries		1,925.02	10,325.22	1,622.23	1,119.99		14,992.46
FB Rate (81.00% of Base Salaries)	81.29%	1,564.85	8,393.37	1,318.71	910.44		12,187.37
Indirect Cost Rate (57.30% of Base Salaries)	57.32%	1,103.42	5,918.42	929.86	641.98		8,593.68
Direct Travel and Other Expenses		185.43	1,025.02	685.20	2,058.20		3,953.85
Consultant - invoice attached						4,528.05	4,528.05
		4,778.72	25,662.03	4,556.00	4,730.61	4,528.05	44,255.41

Appendix XI – MPO Meeting Schedule

Meeting Schedule for 2015

Meeting	Responsible Agency	Tentative Dates (2015)
Director Meetings	WisDOT	January 27, April 28, and October 27
Model User Group	WisDOT	Spring and Fall - TBA
Mid-year review & Tour	MPO/WisDOT/FHWA	May 18, 2009 @ 1:00 P.M.
TAC Meetings	MPO	March 10, July 14, September 8
Policy Board Meetings	MPO	August 11, October 13, November 10

Note: TAC meetings are tentatively scheduled for 10 a.m. in room 416 of the Municipal Building

All meetings hosted by the MPO are tentatively scheduled. To confirm the meeting date, time and location, agendas and information packets will be sent out to all members of the Technical Advisory Committee and Policy Board members, and a public notice will be published in the Janesville Gazette one week prior to the meeting as outlined in the MPO Bylaws.