



Guidelines for Developing Unified Planning Work Programs



Updated September 2009



TABLE OF CONTENTS

	Page
UPWP Development.....	3
Regulatory Basis.....	4
Contents of the UPWP.....	5
Work Elements.....	6
Title VI Nondiscrimination Agreement.....	10
Attachments.....	11
Attachment A – Required Deadlines for Submittal of UPWP.....	12
Attachment B – MPO UPWP Checklist.....	13
Attachment C – Applicable Federal Regulations.....	15
Attachment D – MPO Meeting Schedule.....	16
Appendices.....	17
Appendix I – Sample Task Work Element.....	18
Appendix II – Metropolitan Planning Factors.....	20
Appendix III – Summary Budget.....	21
Appendix IV – Funding Sources.....	22
Appendix V – Title VI Non-discrimination Agreement.....	23
Appendix VI – Annual MPO Certification.....	24
Appendix VII – Certification Summary.....	25
Appendix VIII – MPO Board Resolution.....	27
Appendix IX – SPR/PL for Travel.....	29

Wisconsin Department of Transportation

Unified Planning Work Program (UPWP)

UPWP DEVELOPMENT

The work program is an important document. It guides the activities of metropolitan planning organization (MPO) staff and allocates the financial resources of the MPO for the calendar year. It also can be considered a key indication of the level of effort and the seriousness with which the MPO takes particular planning tasks. The work program translates good intentions to make improvements into actual funded work.

The Unified Planning Work Program (UPWP) lists the transportation studies and tasks to be performed by the MPO staff or a member agency during each calendar year. Because the UPWP reflects not only federal and state priorities, but also local priorities, the content differs from one metropolitan area to another. However, the UPWP contains several uniform elements:

- The planning tasks and studies that will be conducted over the 1- to 2- year period.
- All federally funded studies as well as relevant state and local planning activities conducted without federal funds.
- Funding sources identified for each task.
- The agency responsible for each task or study.
- The anticipated work product for each item.

A work program must be developed annually for each MPO. The MPO is responsible for preparing the work program consistent with federal and state regulations. The respective federal (FHWA and FTA) and state planning representatives are responsible for reviewing the document and providing feedback to the MPO. ***FHWA and FTA are responsible for coordinating review and comments on the contents of the UPWP and issuing a joint concurrence for final UPWPs.***

The final UPWP shall be adopted by the MPO Policy Committee.

A checklist and applicable federal regulations are included in the attachments section of this document. Also included as appendices are sample documents to better illustrate some of the requirements addressed in this guide.

REGULATORY BASIS

23 CFR 420.109 governs UPWPs required for the expenditure of FHWA highway planning and research funds 23 CFR 450.314 identifies the requirements for UPWPs to be prepared in Transportation Management Areas (TMAs).

MPOs are required to develop the UPWPs in cooperation with the State and public transit agencies [23 CFR 450.314 (a)] and FHWA.

Elements to be included in the UPWP are:

- Discussion of the planning process and planning priorities facing the metropolitan planning area.
- The MPO's progress in developing and maintaining the Prospectus/MOU, Long-Range Transportation Plan, Transportation Improvement Program, public involvement process, and Congestion Management Process (in TMAs).
- Transportation-related air quality planning activities and periodic reporting of activities anticipated within the next 1- or 2-year period, regardless of funding source.
- Description of the planning process as well as the associated programs and activities to be performed by the MPO staff, the schedule for completion of the work, intended products with the costs attributed to individual work elements and the source of its funding.

23 CFR 420.109 identifies several requirements for projects receiving FHWA highway planning and research funds, including:

- Description of the work to be performed.
- Cost estimates for each activity.
- A financial summary indicating the funding to be provided from Federal, state, and local sources.

The UPWP 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 the State. Although the MPO is responsible for the document, it should reflect cooperative thinking among the planning partners on priorities for planning work and commitment of staff and budgets to this work. Cooperation might be demonstrated in the UPWP narratives on the process used to select planning tasks.
- Be consistent with the mission of the MPO and expressed long term strategies, goals, and priorities, for example, as expressed in the long-range plan, from public involvement, or coordination with partners. Tasks should be selected and prioritized to achieve the core mission of the MPO and to produce the required

products as identified in Federal transportation legislation and USDOT planning emphasis areas.

- Be based on sound financial analysis and fiscal planning principles.
- Include funded major transportation planning studies in the region, regardless of funding source or the agency conducting the study.
- Indicate that related activities of planning partners are coordinated, complementary, allow for leveraging and economies, and are not duplicative.
- Be transmitted to State and Federal agencies, in draft form, to allow for review and approval of the final document by mid-September, so that MPO activities continue uninterrupted.
- Indicate in sufficient detail responsibility for work, completion schedules, and products, and indicate the tasks to which funds provided under Title 23, U.S.C., and the Federal Transit Act 49 U.S.C. Chapter 53.
- Include budget information that addresses fund expenditures and funding sources.

CONTENTS OF THE UPWP

Cover Page

1. Name of the MPO agency and area represented (i.e. county(s), municipalities).
2. Calendar years the UPWP covers.

Title Page

3. Name of the MPO agency and area represented (i.e. municipalities, county(s)).
4. Name of the MPO contact person, corresponding phone number, and/or email address; this can be either the Executive Director or Transportation Director.
5. Calendar year(s) the UPWP covers.

Introduction/Preface

6. Table of Contents.
7. Fully executed MPO Resolution (*See Appendix VII*).
8. Fully executed Federal self certification (*See Appendix VI*).
9. Copy of the cooperative agreements between the state, transit operators and the MPOs.
10. List of MPO committees and membership, representatives, structure, purpose, officers, and voting procedures (optional).
11. List of the primary MPO staff.
12. A map of the regional MPO area identifying the planning area boundary and urbanized area boundary. Denote the last time the MPO planning area boundary map was modified and approved by the WisDOT Secretary and the last time the urbanized area boundary map was modified and approved by FHWA.
13. A discussion of the planning priorities for the metropolitan planning areas as well as the eight planning factors from SAFETEA-LU and subsequent legislation. This can also be accomplished using a matrix format as illustrated in *Appendix II*.

14. A brief definition of the UPWP purpose.
15. A summary of previous year's accomplishments; this can include studies completed, model status, number of TIPs/LRTPs/Amendments, data collected, Title VI and Environmental Justice (EJ) accomplishments, etc.
16. A current overview of the status of comprehensive transportation planning activities including the regional, county, and city level; this includes current activities from the date written and those projected through the end of the present UPWP year.

WORK ELEMENTS

The MPO Work Elements Section consists of descriptions of the major work products and tasks the MPO proposes to undertake. This section should include individual task sheets that describe each task in the same format (*See sample work element under Appendix I*). Each item shall have:

- A. Task number and title including budget money for the item and persons working on it.
- B. Purpose of the study or work item identifying at least two objectives.
- C. Previous work completed if a continuing item.
- D. Proposed methodology:
 - i. How the task will be performed
 - ii. Who will perform the task including consultants or staff members;
- E. End product(s) including documents, new processes, model changes, etc.
- F. A schedule that adequately describes when the activities will take place during the year including:
 - i. A schedule of milestones or benchmarks to be used to measure progress.
 - ii. Estimated completion date(s).
- G. Cost
 - i. Estimate the number of person-weeks by position (i.e. planner, GIS, executive).
 - ii. Responsible agency or agencies, if applicable; and proposed funding source(s) with anticipated costs for each task.

Work Elements section also includes as applicable:

17. **UPWP:** Tasks required to complete the UPWP for the next year and to coordinate activities/reports for the present document.
18. **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 C.F.R. 420.121*. The annual audit shall be performed in accordance with *49 C.F.R. 18.26, 49 C.F.R. part 90, OMB Circular A133*.

19. **Transportation Improvement Program (TIP):** Tasks required for the development and management of the TIP should be listed and described.
20. **Long-Range Transportation Plan (LRTP):** This section addresses the planned actions to be taken in this UPWP for developing the LRTP.
21. **Congestion Management Process (CMP) (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 and 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, develop performance measures to evaluate a transportation system, as well as provide approval of all capacity adding projects included in the LRTP and TIP.
22. **Transit Planning:** This should address tasks related to transit planning including ridership projections and opportunities for the transportation disadvantaged. What about Transit Development Programs, Coordinated Human Services Transit, ridership surveys, etc.
23. **Multimodal Planning:** This includes the tasks used for bicycle/pedestrian – such as Safe Routes to School, 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. Also included should be a discussion on how the tasks are addressing increasing freight problems in the MPO area.
24. **Air Quality Planning:** This section, where 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.
25. **Public Involvement:** This section describes the tasks necessary to implement the MPO's public involvement program/plan during the development of the UPWP, LRTP, TIP, and other plans and programs as required. It should also 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.

26. **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.
27. **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. Also included can be discussions on brief technical project studies, interchange justification studies, and/or other special studies.
28. **Special Project Planning:** The special project planning section provides a more detailed description of planning tasks needed for projects such as bicycle, airport, river-port, freight or special transit studies.
29. **Transportation Enhancement Planning:** This includes work tasks performed for projects utilizing transportation enhancement funds. These projects can include provision of bike/pedestrian facilities, acquisition of scenic easements and scenic or historical sites, scenic or historic highway programs, landscaping and other scenic beautification, historic preservation, rehabilitation and operation of historic transportation buildings, preservation of abandon railway corridors, control and removal of outdoor advertising, archaeological planning and research, mitigation of water pollution due to highway runoff or to reduce vehicle-caused wildlife mortality, and establishment of transportation museums.

WORK PROGRAM APPROVAL PROCESS

The planning work program approval process involves three stages: 1) work program development, 2) work program review, and 3) work program approval. Wisconsin's MPOs typically begin their work program development activities in July, which generally allows ample time to complete the approval process before the start of the next program year (*See Attachment I*).

The draft work program should be submitted to WisDOT, FHWA and FTA by the **second week in September. Electronic distribution is preferred.**

The fall work program review meetings are held in Madison, either at the Hill Farms State Transportation Building or via teleconference. WisDOT Bureau of Planning and Economic Development staff will work with the MPOs, FHWA, and other WisDOT offices to identify a convenient location and time for each meeting. These meetings are

held in September and early October. After the meeting, MPOs should make revisions to their draft work programs as agreed to at the review meeting.

Final work programs are due **mid to late November** and should be distributed as indicated above. The final **document should be accompanied by a work program approval resolution** adopted by the MPO policy board. The MPO submits the final UPWP, for approval, to the State and FHWA. By mid-December, FHWA will determine whether to authorize the funding necessary to execute the work program.

It should be noted that State and Federal approval of the work program alone does not constitute authorization to proceed with work activities. Reimbursable costs may be incurred only under an approved funding contract, and only on or after the authorization date of FHWA's approval letter.

If an MPO finds it necessary to modify their work programs - beyond the flexibility outlined in FHWA's approval letter - they should submit a work program amendment, accompanied by a work program amendment approval resolution, to the WisDOT Bureau of Planning and Economic Development. The distribution of the amendment should be the same as for the draft and final work programs. Upon receipt WisDOT will seek FHWA's approval to amend the work program.

INVOICING AND PROGRESS REPORTS

WisDOT expects each MPO to submit invoices and progress reports on a quarterly basis. However, MPOs have the flexibility of submitting these monthly or on a schedule developed in consultation with WisDOT.

Invoices and reports should be submitted to the attention of the appropriate MPO Liaison and to:

Claudia Orvis
WisDOT Bureau of Planning
Hill Farms State Transportation Building, Room 901
PO Box 7913
Madison, WI 53707-7913
E-mail: Claudia.orvis@dot.wi.gov

Electronic distribution is preferred.

The appropriate WisDOT region office should also receive a copy of each progress report.

Progress reports need to address in adequate detail the manner in which each funding agency's funds are applied during the reporting period. It should be evident that work is being completed consistent with the scope, budget, and schedule of the approved work program. Specifically, WisDOT expects that progress reports:

- Document the costs to accomplish the quarter's work.
- List all significant products produced or milestones achieved.
- Identify any areas where changes or revisions need to be made to the work program (e.g., if there is a significant departure in schedule from the approved work program).

WisDOT uses the information contained in the MPO work programs and progress reports to approve reimbursement requests and to justify its Federal grant applications.

The following budget tables summarize and identify agency participation and funding sources:

30. **Table 1 (Summary Table)** - Identifies participating agencies with respective funding commitments by task with line and column totals (*See Appendix III*).
31. **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 Appendix IV*).

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. Enclosed under *Appendix V* is a copy of the Title VI Nondiscrimination Agreement. This agreement will soon be available for downloading from WisDOT's website.

The Nondiscrimination Agreement acts as the MPO's Title VI Plan pursuant to 23 CFR Part 200 and the Federal Highway Administration's Title VI Implementation Guide. It includes all of the Title VI requirements that an MPO agrees to take on in return for receiving Planning (PL) funds from the State.

The Title VI Nondiscrimination Agreement must be signed annually by the MPO's signature authority and submitted to WisDOT's Bureau of Equity and Environmental Services, with a copy to the Bureau of Planning and Economic Development, by August 1 of each year

ATTACHMENTS

A. Required Deadlines for Submittal of UPWP

B. MPO UPWP Checklist

C. Applicable Federal Regulations

D. MPO Meeting Schedule

ATTACHMENT - A

REQUIRED DEADLINES FOR SUBMITTAL OF UPWP

ACTIVITY/EVENT	DATE	RESPONSIBILITY
Title VI Documentation	August 1	MPO
Environmental Justice Accomplishments Documentation	August 1	MPO
Draft UPWP due	Mid-September	MPO
Review period on draft UPWP	Mid – Late September	WisDOT, FHWA, FTA, Districts
Final Federal \$ estimates	October 1	FHWA and FTA
Conduct UPWP review meetings	Late September	WisDOT, MPO, FHWA, FTA, Districts
Final UPWP due	November 15 to November 30,	MPO
Distribution of final UPWP	1 st Week of December	MPO
Endorsement letter to FHWA due	2 nd Week of December	WisDOT
Approval of UPWPs by FHWA and authorization letters	Mid-December	FHWA
Funding approval letters sent to each MPO	2 nd Week of January	WisDOT
Project IDs are established and funds authorized	2 nd Week of January	WisDOT
Contracts encumbered for each MPO	Late January	WisDOT
FHWA authorization of PL funding	1 st Week of February	FHWA

ATTACHEMENT – B

MPO UPWP CHECKLIST

	COVER PAGE	Check
1	Name of MPO agency and area represented	
2	CY of UPWP	
	TITLE PAGE	
3	Name of MPO agency and area represented	
4	Contact person and information	
5	CY of UPWP	
	INTRODUCTION/PREFACE	
6	Table of Contents	
7	MPO Approval Resolution-signed	
8	Certification-signed	
9	Cooperative Agreement	
10	Committee Lists-responsibilities, meetings	
11	Primary MPO staff	
12	Map-Regional MPO Coverage Area	
	a. Planning Boundary	
	b. Urbanized Area Boundary	
	c. *Air Quality Boundary	
13	Planning Factors	
	UPWP	
14	a. Definition of UPWP purpose	
15	b. Summary of previous Year's Accomplishments	
16	c. Status of current activities	
	WORK ELEMENTS (Description of major work products and tasks)	
17	UPWP	
18	Administration	
19	TIP – Development/Maintenance	
20	PLAN – Development/Maintenance	
21	* Congestion Management Process/ITS	
22	* Transit Planning	
23	Multimodal Planning	
	a. Bicycle/Pedestrian	
	b. * Intermodal Freight	
	c. * Intermodal Passenger	
24	* Air Quality Planning	

	a. Modeling	
	b. CMAQ Application Process	
25	Public Involvement plan – Update	
26	Data Collection	
27	Project/Corridor Studies	
28	Special Project Planning	
29	TE Planning	
	SUMMARY	
30	Summary Budget Table	
31	Funding Source Table	
	APPENDICES (Sample Documents)	
	I. Work Element	
	II. Metropolitan Planning Factors	
	III. Table 1 (Summary Budget)	
	IV. Table 2 (Funding Source)	
	V. Title VI Nondiscrimination Agreement	
	VI. Annual MPO Certification	
	VII. Self-Certification Summary	
	VIII. MPO Board Resolution	
	IX. MPO Meeting Schedule	
*	As needed by each area	

ATTACHMENT – C

Applicable Federal Regulations

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

ATTACHEMENT - D

Sample Meeting Schedule for 2009

Meeting	Responsible Agency	Tentative Dates (2009)
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.

APPENDICES (Sample Documents)

- I. Sample Task Work Element**
- II. Metropolitan Planning Factors**
- III. Table 1 - Summary Budget**
- IV. Table 2 – Funding Sources**
- V. Title VI Nondiscrimination Agreement**
- VI. Annual MPO Certification**
- VII. Self-Certification Summary**
- VIII. MPO Board Resolution**
- IX. SPR/PL for Travel**

APPENDIX I

SAMPLE TASK 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: I39 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

<u>Sources of Funds</u>	<u>Amount</u>
FHWA	\$ 21,347
WisDOT	\$ 2,561
Local	\$ <u>6,158</u>

TOTAL	<u>\$ 30,066</u>
--------------	-------------------------

APPENDIX II

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. This year's UPWP is being developed considering the metropolitan planning factors from SAFETEA-LU. 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 the 2009 MPO work elements and the metropolitan planning factors to be addressed in each project.

METROPOLITAN PLANNING FACTORS TO BE CONSIDERED IN THE 2008 UPWP									
UPWP Category	UPWP Elements	Metropolitan Planning Factors							
		1	2	3	4	5	6	7	8
3100	LRTP's SAFETEA-LU Compliance	X	X	X	X	X	X	X	X
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
3202	WATS assistance	X	X	X	X	X	X	X	X
3300	Transportation Improvement Program 2010-2013	X				X	X	X	X
3900	2010 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 III

Summary Budget:

SUMMARY BUDGET

WORK PROGRAM ELEMENTS	BUDGET		FUNDING SOURCE					
	\$	%	FHWA \$	%	WisDOT \$	%	Local \$	%
100 Program Administration	\$25,880	100%	\$20,704	80%	\$2,588	10%	\$2,588	10%
200 Long Range Transportation Planning	\$28,989	100%	\$23,191	80%	\$2,899	10%	\$2,899	10%
300 Short Range Transportation Planning	\$38,651	100%	\$30,921	80%	\$3,865	10%	\$3,865	10%
400 Transportation Improvement Program	\$7,730	100%	\$6,184	80%	\$773	10%	\$773	10%
500 Discretionary / Special Projects	\$0	100%	--	--	--	--	--	--
Total	\$101,250	100%	\$81,000	80%	\$10,125	10%	\$10,125	10%
<i>Carryover of Discretionary Funds</i>	\$5,000	100%	\$4,000 *	80%	--	--	\$1,000 *	20%
<i>Janesville-Milton-Whitewater: Planning</i>	\$7,200	100%	\$5,760 **	80%	--	--	\$1,440 **	20%
Subtotal	\$113,450	100%	\$90,760	80%	\$10,125		\$12,565	11%
Consultant Services								
<i>Janesville-Milton-Whitewater: Consultant</i>	\$48,000	100%	\$38,400 **	80%	--	--	\$9,600 **	20%
Total with additional funding	\$161,450	100%	\$129,160	80%	\$10,125	6%	\$22,165	14%

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

- * A portion of the funding for the Spatial Crash Analysis System will be carried over to 2009 to allow for the inclusion of 2007 & 2008 crash data.
- ** The funding for the Janesville-Milton-Whitewater project would come from STRAP funds, which are non-PL. At the time of the preparation of this document, the MPO's application for funds was pending.

APPENDIX IV

Funding Sources:

SHORT-RANGE TRANSPORTATION PLANNING

ACTIVITY	OUTCOME	BUDGET	STAFF HOURS	SCHEDULE
Bike/Pedestrian	1 Data collection/map making for new trail segments and recommendations and update existing trail maps.	\$38,651	1,040	January-December
	2 Collect and analyze crash data as available and needed.			
	3 Assist in bike trail planning and design for Westside Bike Trail and other areas as developments are reviewed.			
	4 Prepare funding applications.			
	5 Implement recommendations of LRTP.			
Traffic, Intersection, Corridor Studies, & Neighborhood Plans	6 Review of downtown parking. Including the review of leased parking and timed parking.			
	7 Update parking maps and review and analyze parking request changes			
	8 Analyze crash data as available and needed			
	9 Participate in Air Quality monitoring activities			
	10 Assist with and collect data for Milwaukee/Court Street study			
	11 Prepare parking and occupancy studies			
	12 Prepare funding information and grant applications.			
	13 Provide plan assistance in low-income and minority areas.			
Census	14 Prepare and/or assist with miscellaneous studies and other activities			
	15 Update TAZ information for 2010 Census, and related tasks.			
GIS Development	16 Perform other tasks related to the 2010 Census as needed.			
	17 Develop & maintain data layers pertinent to the MPO (urbanized areas, low/mod areas)			
	18 Create base maps to be used in current and future MPO projects			
	19 Update data and maps as needed (centerline files, city boundaries, town parcels, etc.)			
	20 Create a spatial system for analysis of crash data (GIS)			
Transit	21 Work with WsDOT & the local units of government to gather GIS data and layers pertinent to the			
	22 Provide technical assistance (data collection) to transit department in regards to feasibility study for a new operations/maintenance/storage facility.			
	23 Miscellaneous data collection and assistance			
	24 Administer the Janesville-Milton-Whitewater transit project (TDP).			
	25 Implement applicable recommendations of JML TDP and LRTP			
LRTP	26 Implement recommendations of the LRTP (ie, facilitate transit changes, bike routes, road			
	27 Develop performance measures to evaluate the implementation of the LRTP.			
Contract Services	28 Planning Intern	\$0	Expense Only	
	Total	\$38,651	1,040	

APPENDIX V

Title VI Non-discrimination Agreement

For an electronic copy of this document, please contact:

Claudia Orvis
WisDOT Bureau of Planning
Hill Farms State Transportation Building, Room 901
PO Box 7913
Madison, WI 53707-7913
E-mail: Claudia.orvis@dot.wi.gov

APPENDIX VI

Annual MPO Certification

Self-Certification Language

In accordance with 23 CFR 450.334(a) the Janesville Area 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 U.S.C. 134 and 49 U.S.C. 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 U.S.C. 7504, 7506 (c) and (d)) and 40 CFR part 93;
3. Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. 2000d-1) and 49 CFR part 21;
4. 49 U.S.C. 5332, prohibiting discrimination on the basis of race, color, creed, national origin, ex, or age in employment or business opportunity;
5. Sections 1101(b) of the SAFETEA-LU (Pub. L. 109-59) 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 U.S.C. 12101 *et seq.*) and 49 CFR Parts 27, 37, and 38;
8. 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;
9. Section 324 of title 23, U.S.C regarding the prohibition of discrimination based on gender; and
10. Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794) and 49 CFR 27 regarding discrimination against individuals with disabilities.

By: _____

Date: _____

MPO Policy Board, Chair

APPENDIX VII

Self-Certification Summary

The MPO Policy Committee is charged with implementing the metropolitan planning process in accordance with applicable requirements of the SAFETEA-LU, the Clean Air Act, the Civil Rights Act, and the Americans with Disabilities Act. All agencies involved in the transportation planning process must also be held accountable to these federal requirements.

By federal law, agencies providing transportation services and/or receiving federal money must categorically adhere to the requirements as listed in the 'POLICY COMMITTEE: Self-Certification Resolution Number XXX-XX – A RESOLUTION CERTIFYING THE PLANNING PROCESS'.

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 is 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 Work Program includes documentation that as an agency and in partnership with members, the MPO Policy Committee adheres to the applicable requirements of SAFETEA-LU and the Clean Air Act.

The ten requirements for self-certification are listed in italics 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, Long Range Transportation Plan, Unified Work Program, Congestion Management Process, Public Participation Plan, 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 Part 93. State and local transportation officials take part in the 3C planning process to determine which planning elements will be implemented to improve air quality.

(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 prohibits exclusion from participation in, denial of benefits, and discrimination under federally assisted programs on grounds of race, color or national origin. The Unified Work Program must provide a description of how the affected member agencies meet these requirements.

(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 Unified Work Program must provide a discussion of how the affected member agencies meet these

requirements. Additionally, member agencies should document their adherence to these requirements on their websites.

(5) *Section 1101(b) of the SAFETEA-LU (Pub. L. 109-59) and 49 CFR Part 26 regarding the involvement of disadvantaged business enterprises in USDOT funded projects.* The DBE program ensures equal opportunity in transportation contracting markets and in the statute Congress established a national aspirational goal that 10% of the federal funds go to certified DBE firms. These policies must be included on all of the partner websites and in their policy practices. The Unified Work Program should provide a description of how the affected member agencies meet these requirements.

(6) *23 CFR Part 230, regarding the implementation of an equal employment opportunity program on Federal and Federal-aid highway construction contracts.* The Unified Work Program must provide a discussion of how the affected member agencies meet these requirements. Additionally, member agencies should document their adherence to these requirements on their websites.

(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. The Unified Work Program must provide a description of how the affected member agencies meet these requirements. Additionally, member agencies should document their adherence to these requirements on their websites.

(8) *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.* The Unified Work Program must provide a discussion of how the affected member agencies meet these requirements. Additionally, some member agencies are subject to triennial reviews by the FTA where this and other requirements are evaluated.

(9) *Section 324 of title 23 U.S.C. regarding the prohibition of discrimination based on gender.* The Unified Work Program must provide a discussion of how the affected member agencies meet these requirements. Additionally, some member agencies are subject to triennial reviews by the FTA where this and other requirements are evaluated.

(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.* The Unified Work Program must provide a discussion of how the affected member agencies meet these requirements. Additionally, some member agencies are subject to triennial reviews by the FTA where this and other requirements are evaluated.

APPENDIX VIII

MPO Board Resolution:

RESOLUTION OF ADOPTION & CERTIFICATION

ADOPTION OF THE 2009 UNIFIED WORK PROGRAM FOR SLATS & ANNUAL MPO CERTIFICATION

For the Period: January 1, 2009 thru December 31, 2009

WHEREAS, the Stateline Area Transportation Study is the Metropolitan Planning Organization for the Beloit (WI-IL) Urbanized Area, and the Policy Committee has the responsibility to direct, coordinate, and administer the transportation planning process in the urbanized area; and

WHEREAS, the Federal Highway Administration and Federal Transit Administration, under 23 CFR and 49 CFR 616, have determined the necessity for a Unified Planning Work Program; and

WHEREAS, the Stateline Area Transportation Study has been recognized as the Metropolitan Planning Organization for the Beloit, Wisconsin - Illinois Urbanized Area; and

WHEREAS, the Policy Committee has reviewed the clarifications of transportation planning activities outlined in the 2009 Unified Planning Work Program and finds them consistent with the transportation planning process.

NOW, THEREFORE, BE IT RESOLVED that the Policy Committee of the Stateline Area Transportation Study adopts this Unified Planning Work Program (**Version dated November 10, 2008**) and directs the staff to submit this document to the Wisconsin and Illinois Departments of Transportation and to the Federal Highway Administration and Federal Transit Administration; and

BE IT FURTHER RESOLVED that in accordance with 23 CFR 450.334(a) SLATS 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. In non-attainment 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 part 93;
3. Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. 2000d-1) and 49 CFR part 21;
4. 49 U.S.C. 5332, prohibiting discrimination on the basis of race, color, creed, national origin, ex, or age in employment or business opportunity;
5. Sections 1101(b) of the SAFETEA-LU (Pub. L. 109-59) 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 U.S.C. 12101 *et seq.*) and 49 CFR Parts 27, 37, and 38;

8. 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;
9. Section 324 of title 23, U.S.C regarding the prohibition of discrimination based on gender; and
10. Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794) and 49 CFR 27 regarding discrimination against individuals with disabilities.

Adopted this 10th Day of November, 2008

ATTEST: _____
Chair, Policy Committee,

SLATS Planning Coordinator

APPENDIX IX

SPR/PL for Travel

USDOT FHWA

The purpose of this information is to provide guidance on the eligibility of FHWA State planning and research (SPR) funds for travel and training by State DOTs. This is in response to several inquiries about use of SPR funds for attendance at AASHTO meetings, the annual bicycle/pedestrian coordinators meeting, the National Alliance of Highway Beautification Agencies, “technology transfer” activities, etc.

There are 2 aspects to consider for a cost to be charged to any Federal funds. First, is the proposed activity, project, etc, eligible for the category of Federal funds? Second, is the cost allowable to be billed the Federal funds under OMB cost principles?

Part A "highlights" key words from 23 U.S.C. 505 to provide guidance on what activities are eligible for SPR funds. If an activity is eligible and is being funded with SPR funds, then you need to look to Part B (which is based on OMB Circular A-87) to determine if the cost (e.g., travel, training, salaries, equipment, etc.) is necessary and reasonable to perform the SPR funded work. In addition, you need to determine if the cost is allowable to be charged to the Federal funds either, as a direct or indirect charge. Part C includes examples of travel or training that may or may not be charged to SPR funds. Part D provides further guidance on use of SPR funds for technology transfer related travel.

In short, travel or training for an employee who is working on an eligible SPR funded activity may be billed to SPR funds at the Federal matching ratio if the travel or training is necessary for performance of the SPR funded work and the cost is reasonable.

These same criteria would apply to other categories of FHWA funds, such as metropolitan planning (PL). However, in the case of PL funds, there is no list of eligible activities in the legislation; therefore, you determine if a proposed activity (e.g., collection of travel data, citizen participation, development of plans and programs, etc.) is necessary to carry out the metropolitan planning process required by 23 U.S.C. 134. If it is, then the cost of travel or training that is reasonable and necessary to perform that eligible work may be charged to PL funds.

Part - A

ELIGIBLE SPR PURPOSES

The following activities are eligible for SPR funds based on 23 U.S.C. 505, State planning and research. Component activities (e.g., traffic counting for transportation planning) necessary to perform these eligible purposes are also eligible even though not specifically listed:

Engineering **surveys and investigations**

Economic **surveys and investigations**

Planning of future **highway** programs

Planning of future **local public transportation** systems

Planning of the financing of future **highway** programs and **local public transportation** systems

Metropolitan and statewide planning under sections 134 and 135.

Development and implementation of **management systems** under section 303.

Studies of the **economy, safety, and convenience** of surface transportation systems

Studies of the **desirable regulation and equitable taxation** of surface transportation systems

Research, development, and technology transfer activities necessary in connection with the **planning, design, construction, management, and maintenance of highway, public transportation, and intermodal transportation systems.**

Study, research, and training on **engineering standards and construction materials** for highway, public transportation, and intermodal transportation systems

Study, research, and training on **evaluation and accreditation of inspection and testing materials** for highway, public transportation, and intermodal transportation systems

Study, research, and training on the regulation and taxation of highway, public transportation, and intermodal transportation systems

Part - B

COSTS THAT MAY BE BILLED TO AN ELIGIBLE SPR PROJECT

The provisions of DOT's grant regulations (49 CFR 18 for State, local, and tribal governments and 49 CFR 19 for institutions of higher education and non-profit organizations) apply to the Federal-aid highway program. These regulations incorporate the OMB cost principle circulars (A-87 for State, local and Indian tribal governments, A-21 for educational institutions, and A-122 for non-profit organizations) by reference. These OMB Circulars establish principles and provide guidelines for the types of costs that are allowed to be charged to a Federal grant (i.e., Federal-aid project). The circulars include general allowability criteria as well as information on specific items of cost that are allowed and unallowed to be billed to Federal funds.

Among the general criteria for a cost to be charged to a Federal-aid project are that it:

- 1 Is incurred **specifically for the award** [*i.e., Federal-aid project*].
- 2 Be **necessary and reasonable** for proper and efficient performance of the Federal award.
- 3 **Be allocable** to the Federal award. A cost is allocable **to a particular cost objective**, such as a grant, contract, project, service, or other activity, in accordance with the relative benefits received. [*Note: each Federal grant, as well as state-only funded work, is a cost objective*]
- 4 **Be treated consistently** with other costs incurred for the same purpose in like circumstances.

Applicability:

Travel, training, and attendance at meetings and conferences (when the primary purpose of the meeting or conference is the dissemination of technical information vs. general meetings such as the annual AASHTO meeting) are allowable if such costs meet the general criteria specified above. It must be emphasized that the employee who is attending the meeting or training must be working on the Federal-aid project, the cost must be reasonable, and the travel or training must be necessary to perform the Federally funded work. If these eligibility and allowable cost criteria are met, the costs may be billed at the Federal matching ratio directly to the Federal-aid project, which under the cost principle circulars is a **cost objective**. State or locally funded work (even if related to the Federal award) is a separate **cost objective** and the costs of travel, training and attendance at meetings and conferences by employees working on State or locally funded projects must be charged to State or local funds since the costs are **not incurred for the Federal award**, are **not allocable to the Federal award**, and must be billed directly to the State or local funds to meet the requirement for **consistent treatment**.

Salaries, travel, etc., of supervisory employees (e.g., Chief Engineer, chief state planner or research engineer, etc.) who are not actually working on the Federal-aid project are considered to be administrative/indirect costs that may be added to the project costs of work performed by the State employees through use of an approved indirect cost rate.

Part - C

Examples of SPR Eligible/Ineligible Travel and Training

1. An employee who is working on an SPR funded statewide planning project attends a short course on modeling may charge the cost of the course, including travel expenses, to SPR funds.
2. A State DOT employee is using SPR funds to develop and implement the bridge management system and attends a meeting on PONTIS. Since development of bridge management systems is eligible for SPR funds, travel and training necessary to perform the SPR funded work would be eligible.
3. Travel of a principal investigator working on a SPR funded research study who attends a conference where technical information that would benefit performance of the study is being presented or to make a presentation on the SPR study at the annual TRB meeting or other meeting would be eligible.
4. Attendance by State staff at a conference on financial management or audits would not be eligible since these areas are not eligible for SPR funding.
5. The head of the State's planning or research units or other similar management personnel who are not actually performing specific eligible SPR work may not charge their salaries to SPR funds and therefore, may not charge the cost of travel or training regardless of the subject.
6. Travel to attend annual AAHSTO meetings is considered to be an indirect cost and may not be charged to SPR funds. Similarly, attendance at ASSHTO committee meetings which would generally benefit multiple activities would be an indirect cost benefit, but employees who are working on an SPR funded activity may charge the cost of attendance at such meetings if attendance is necessary to perform the SPR funded work.

Note: See Part D for further guidance on use of SPR Funds for technology transfer related travel.

Part - D

Guidance on Use of SPR Funds for Technology Transfer Related Travel

Technology transfer means those activities that lead to the adoption of a new technique or product by users and involves dissemination, demonstration, training, and other activities that lead to eventual innovation.

State DOTs are encouraged to include in their SPR work program technology transfer programs to share the results of their own research efforts and promote the use of new technology

Sometimes, technology transfer activities can be included within the scope of individual SPR funded research projects. In such cases, travel costs incurred as part of the technology transfer activity (for instance, presenting the results of the study at a meeting or conference) should be included in the study budget and may then be charged to that study.

In many cases, however, technology transfer activities are designed as stand-alone projects to promote a technology or technique that has resulted from research performed by others or has been successfully demonstrated in another State. These activities need to be clearly defined and included in the State's SPR work program and approved by FHWA. The travel must be integral to the technology transfer function-e.g., travel to give a demonstration, conduct training, or disseminate the results of a study to a specific audience. It is inappropriate to use SPR funds under a technology transfer line item for travel to a general meeting, or even a meeting of a technical nature, unless the purpose is to conduct an previously approved SPR technology transfer activity or present the results of a completed SPR funded research study that is no longer included in the work program.

In addition as specified in 23 CFR part 420, subpart B, State DOT's are required to conduct peer exchanges of their RD&T management process on a periodic basis. Travel and other costs associated with the State DOT's peer exchange may be identified as a line item in the State DOT's work program and will be eligible for 100 percent SPR funding. The peer exchange team must prepare a written report of the exchange.

