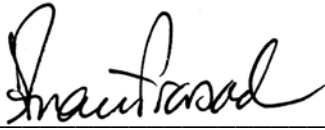


Approved:

Effective: February 17, 2011
Office: Transit
Topic No. 725-030-040-b



for Department of Transportation
Secretary

SECTION 5303 PROGRAM

PURPOSE:

To establish directives applicable to the application, approval, and use of Metropolitan Planning Program Section 5303 Grants and Unified Planning Work Programs. This procedure shall detail the Florida Department of Transportation Transit Office's administration and management of the Federal Transit Administration's Section 5303 Program **49 U.S.C. 5303**.

AUTHORITY:

Sections 20.23(4)(a) and 334.048(3), Florida Statutes (F.S.)

SCOPE:

The principal users of this procedure are public transportation staff at both the Central Office and District levels, specifically those involved in administering the Section 5303 Program. The requirements or processes related to this procedure may affect the State Transit Office, District Public Transportation Offices, District Planning Offices, Policy Planning, Statistics, Systems Planning, Comptroller, and Production Management.

REFERENCES:

- Chapter 341, F.S.
- Rule Chapter 14-73.001, Florida Administrative Code, Public Transportation
- FTA C 8100.1C, Federal Transit Administration (FTA) Circular, Program Guidance for Metropolitan Planning and State Planning and Research Program Grants
- FTA C 5010.1D, Federal Transit Administration Circular, Grant Management Requirements
- The most recent Master Agreement adopted by the Federal Transit Administration which is amended and published every October

- FDOT Procedure 725-000-005 Public Transportation Joint Participation Agreement
- FDOT Procedure 000-725-021 Public Transportation JPA Agreements with Deferred Reimbursement Provisions
- OMB Circular A-87, Federal Office of Management and Budget (OMB) Circular, Attachment E, State and Local Indirect Cost Rate Proposals
- FDOT MPO Program Management Handbook

BACKGROUND:

Metropolitan Planning Program (MPP) Section 5303 Grants may only be awarded to Metropolitan Planning Organizations (MPOs) and the Florida Metropolitan Planning Organization Advisory Council (MPOAC) that have adopted a Unified Planning Work Program (UPWP). Section 5303 funds shall only be used on approved work tasks within an adopted UPWP.

DEFINITIONS:

Category A: A grant status indicating an MPO has successfully completed the MPP Section 5303 Grants application process.

Category B: A grant status indicating an MPO has submitted either an incomplete or inaccurate request for federal assistance under the MPP Section 5303 Grants application process.

Category C: The grant status indicating an MPO either has not submitted a request for federal assistance under the MPP Section 5303 Grants application process or has withdrawn from the application process.

Central Office: For the purposes of this procedure, the Florida Department of Transportation (FDOT), Transit Office and/or staff.

District Director: For the purposes of this procedure, the District Director with responsibilities for oversight of the 5303 Program.

District Office: For the purposes of this procedure, the District Public Transportation Office and/or staff, or Planning Office and/or staff, or Modal Development Office if designated by the District Secretary to manage the program.

Eligible Grant Activities: FTA *Circular C 8100.1C* defines what grant activities are eligible for funding. This *Circular* lists eligible activities in Chapter II.

Planning Emphasis Areas: FTA *Circular C 8100.1C* states Planning Emphasis Areas (PEAs) are jointly established by the FTA and the Federal Highway Administration

(FHWA) to advance national goals as established by Federal law to reflect FTA and FHWA priorities, and to respond to congressional direction established through the appropriations process. PEAs are intended to highlight subjects that should be addressed in FTA and FHWA planning programs. PEAs are designed to encourage the application of some planning assistance to studies addressing national goals and priorities, in addition to goals and priorities directly benefiting local transportation operations or otherwise serving state and local needs. The FDOT may develop PEAs to advance State goals and priorities.

Unified Planning Work Program: Each MPO prepares a UPWP, which is a document describing metropolitan transportation and transportation related planning work expected to be undertaken in the MPOs metropolitan area during the next one (1) to two (2) year period, including all transportation related planning work to be financed with federal transportation planning assistance. The State's grant application to FTA for MPP (Section 5303) assistance must reflect the planning activities described in the approved UPWP's prepared by MPOs within the state.

GENERAL:

All MPP Grants (Section 5303) awarded to MPOs shall be approved by the Central Office. This approval must be coordinated with the District Office. All UPWPs shall be reviewed by the Central Office.

1. PROGRAM MANAGEMENT AND IMPLEMENTATION

1.1 Central Office Responsibilities Shall Include:

- 1.1.1 Maintaining continuous communication with the District Offices and the U.S. Department of Transportation on matters regarding the MPP (Section 5303) and the transit portions of the UPWP.
- 1.1.2 Examining the *Federal Register* for publication of the **Annual List of Certifications and Assurances** for FTA Grants and Cooperative Agreements (known as, **FTA Annual List of Certifications**). Distributing **FTA Annual List of Certifications** to the District Director within ten (10) days of publication in the *Federal Register*.
- 1.1.3 Determining how MPP Grants (Section 5303) should be allocated to each MPO according to a formula approved by the FTA. Distributing a copy of the MPP (Section 5303) Grants allocations to the District Director and the Office of Policy Planning within ten (10) days of publication in the *Federal Register*.

- 1.1.4 Contacting the FTA Regional Office and the FHWA Division Office to determine the current PEAs. List(s) of identified Federal PEAs shall be transmitted to the District Directors within ten (10) days of publication in the ***Federal Register***. The Central Office may develop and transmit State PEAs to the District Office within twenty (20) days of the publication of the Federal PEAs in the ***Federal Register***.
- 1.1.5 Making an initial application in a timely manner to FTA for Section 5303 funds so that Section 5303 funds shall be available for obligation on 1 July of state fiscal year following appropriation. Upon review and approval of a MPO's Section 5303 application, the initial application made to FTA shall be revised to reflect the approved MPO's 5303 application.
- 1.1.6 Reviewing draft and final UPWPs. Submit, in a timely manner, UPWP review comments to Districts.
- 1.1.7 Monitoring compliance with established procedures.
- 1.1.8 Providing technical assistance to Districts.
- 1.1.9 Providing a status of each MPO's grant status to the District once all the UPWP's and grant applications have been received and reviewed. Category A means the District may execute a Joint Participation Agreement (JPA) for the purpose of awarding and administering MPP Section 5303 Grants to an MPO in this category. Category B means the District shall not execute a JPA for the purpose of awarding and administering MPP Section 5303 Grants to an MPO in this category.

1.2 District Office Responsibilities Shall Include:

- 1.2.1 Maintaining communication with the Central Office on program status and implementation.
- 1.2.2 Distributing copies of the ***FTA Annual List of Certifications*** to MPOs either within ten (10) days of receipt of ***FTA Annual List of Certifications*** from the Central Office or within the District's Office staff annual notification and required document distribution process consistent with the FDOT ***MPO Program Management Handbook***.
- 1.2.3 Transmitting list of identified PEAs to MPOs either within ten (10) days of receipt from the Central Office, or within the District's annual process initiation package produced and distributed consistent with the FDOT ***MPO Program Management Handbook***.

- 1.2.4 Maintaining administration and monitoring records. Records shall include a either an electronic or hard copy of the MPP Grant (Section 5303) applications, adopted UPWPs, executed JPAs, invoices, and amendments to applications, work programs, and JPAs.
- 1.2.5 Notifying the Central Office in writing when an MPO's MPP (Section 5303) Grant is expended and the fiscal year account is closed.
- 1.2.6 Transmitting draft and final UPWPs to the Central Office. Transmittals shall include: date the District received the UPWP for review from an MPO; the submitted UPWP; and the date the District requests the Central Office to transmit its review of the draft UPWP to the District.
- 1.2.7 Responding to the Central Office's review comments in writing, within fourteen (14) calendar days.
- 1.2.8 Ensuring grants awarded to an MPO produce deliverables contained in approved UPWP and listed in the JPA.
- 1.2.9 Districts shall collect and collate annual work products from the MPOs and submit to the Central Office.

2. MPP GRANTS (SECTION 5303) PROCESS

The MPP Grants (Section 5303) process is divided into three phases: information gathering and distribution; application preparation and approval; and close out.

2.1 Information Gathering and Distribution

- 2.1.1 The Central Office shall examine the *Federal Register* for publication of the *Annual List of Certifications and Assurances for Federal Transit Administration Grants and Cooperative Agreements* and PEAs. The notices are usually published ten (10) days after the President signs the transportation budget allocations enacted by Congress. The signing of the transportation budget occurs after the Congress passes the transportation budget.

Each MPO Grant Application shall include the following:

- 2.1.2 The Central Office shall distribute to each District Director within ten (10) days of publication in the *Federal Register* a copy of the *Annual List of Certifications and Assurances for Federal Transit Administration Grants and Cooperative Agreements* and the current PEA.

2.1.3 The Central Office, in consultation with the MPOAC, shall determine how the MPP (Section 5303) Grants assistance shall be allocated to each MPO. This allocation shall be according to the formula approved by the FTA. The Central Office will distribute to each District Director and District Office Manager a copy of the MPP (Section 5303) assistance allocations.

2.1.4 District Directors or designee shall distribute copies of the Annual List of Certifications and Assurances for Federal Transit Administration Grants and Cooperative Agreements and the current PEAs to both the MPOs within the District and the appropriate District staff within ten (10) business days of their receipt or within the District's annual process initiation package, produced and distributed consistent with the FDOT ***MPO Program Management Handbook***.

2.2 Application Preparation and Approval

2.2.1 Each MPO requesting MPP Grants (Section 5303) shall submit an annual application to the District Office. The MPO shall submit two (2) copies of its annual application. Applications may be included as part of the UPWP or submitted separately, and shall include the items listed below. Applications submitted separately from the UPWP shall be consistent with the grant award amounts and deliverables included in the UPWP. Each MPP Grant Application shall include the following:

(A) A current ***Federal Certifications and Assurances for FTA Assistance*** form as printed in the ***Federal Register***. This form shall be completed and contain an original signature of an authorized MPO representative.

(B) The appropriate ***Federal Application for Federal Assistance*** form (currently Federal ***Form 424***). This form shall be completed and contain an original signature of an authorized MPO representative.

(C) A completed and accurate budget sheet for Section 5303 funds only. The budget shall provide technical classifications, accounting classifications, and fund allocations on the budget sheet.

(D) A completed and accurate FTA Grants Management Information System (GMIS) planning line item budget sheet for all Federal, State, and local funds. The budget shall provide technical classifications, accounting classifications, and fund allocations.

(E) A cost allocation plan if indirect costs (overhead) are to be charged to Section 5303 funds.

(F) The Federal lobbying certification and debarment certification if not already on file with the FDOT as part of an appropriately submitted UPWP.

(G) A complete and accurate list of work products which are funded with Section 5303 MPP Funds.

2.2.2 The District shall review the annual application for completeness and accuracy. After review the District shall forward the complete and accurate application to the Central Office.

2.2.3 The Central Office shall review the annual application for completeness and accuracy. If all elements of the application are completed and accurate, the Central Office shall approve the application. If the application is approved, the Central Office shall place the MPO's MPP Section 5303 Grant application in Category A and shall notify the District that a JPA may be executed. If the application is either incomplete or inaccurate, the Central Office shall place the MPO's MPP Section 5303 Grant application in Category B and shall notify the District that a JPA cannot be executed until the application is certified by the Central Office as complete and accurate. See **Section 2.3.3** on reversion of funds.

2.2.4 Applications for MPP Grants (Section 5303) shall only be approved for eligible grant activities.

2.2.5 The District Office shall ensure funds are programmed, write scope of services and budget, request encumbrance(s), and prepare the JPA.

2.3 UPWP Amendment Process

In the event that the FTA allocations are provided subsequent to the UPWP adoption cycle, the MPOs shall amend their UPWPs to reflect the deliverables, task activities and funding allocation amounts approved by the Central Office. If only minor changes to the allocation amounts are necessary to modify the UPWP, then a revision may be made to the UPWP without MPO Board action. However, if major changes are necessary to the UPWP which involve adding, modifying or deleting deliverables or task activities, then a full amendment and adoption of the revised UPWP by the MPO Board is required consistent with the ***MPO Program Management Handbook***.

2.4 Close Out

2.4.1 District Offices should bill out older MPP (Section 5303) grants, when possible, before new MPP (Section 5303) grants are billed.

- 2.4.2** When all funds of an MPP (Section 5303) grant are expended, the District Office shall notify the Central Office in writing within thirty (30) business days after the exhaustion of said funds that funds are exhausted and project is closed out.
- 2.4.3** If an MPO does not apply for allocated funds within two (2) fiscal years of the fund allocation and a JPA has not been executed, the funds shall revert to the Central Office for re-allocation during the subsequent state fiscal year in accordance with the formula approved by the FTA.
- 2.4.4** Unused funding, remaining after a project is completed or closed, shall revert to the Central Office for re-allocation during the next state fiscal year, unless specifically approved by the Central Office.

Sequence of Events Date Sequence	Office Actor	Event Action
1	Central	Examine Federal Register for List of Certifications and Federal Planning Emphasis Areas.
2	Central	Allocate Section 5303 Grants among MPOs.
3 Ten (10) Days After FTA Lists Published in Federal Register	Central	Distribute List of Certifications, Federal PEAs and State PEAs to District Directors.
4 Ten (10) Days After Receipt from Central Office or per the approved District schedule	District	Distribute Lists of Certifications, Federal PEAs and State PEAs to MPOs.
5	District	Distribute MPOs' draft UPWPs to Central Office for review and comment.
6 Set by the approved District schedule	Central	Review draft UPWPs and submit comments to Districts.
7	Central	If a draft Section 5303 application is submitted with the draft UPWP, the Central Office will review and provide relevant comments to the District at the same time it provides comments on the draft UPWP.
8	District	Distribute MPOs' Section 5303 grant application to Central Office for review, comment, and approval.
9 Ongoing	Central	Review MPOs' Section 5303 grant application and Categorize grant application in A, B, or C.

		Notify District of status.
10	Central	Submit FDOT Section 5303 Grant Application to FTA for approval.

3. TRAINING

There is no mandatory training for this program. The Central Office will provide training as needed and identified by the Districts.

4. FORMS

The only forms required are the FTA forms associated with the application for Section 5303 funds and JPA forms. These forms can be obtained from the Central Office.