

**NORTH CAROLINA**  
Department of Transportation

**The MPO-specific version of this training.**



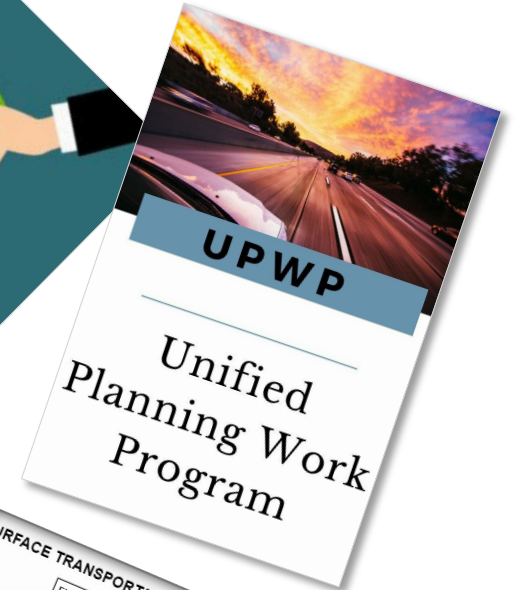
# Review of Procurement, Invoicing, PWP's, and 2 CFR 200 for MPO's.

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January, 2023

Transportation Planning Division

# Presentation sections



SURFACE TRANSPORTATION BLOCK GRANT PROGRAM					
Fiscal year	2016	2017	2018	2019	2020
Estimated funding	\$11,163 B	\$11,424 B	\$11,668 B	\$11,876 B	\$12,137 B

\*Calculated (sum of estimated individual State STBG appropriations)

**Program purpose**  
The FAST Act converts the long-standing Surface Transportation Program into the Surface Transportation Block Grant Program, acknowledging that this program has the most flexible eligibilities among all Federal-aid highway programs and aligning the program's name with how FHWA has historically administered it (FAST Act § 1108(a)). The STBG promotes flexibility in State and local transportation decisions and provides flexible funding to best address State and local transportation needs.

**Statutory citation**  
FAST Act § 1109, 23 U.S.C. 133

Non-TMA's skip this section

# Intro note

- This presentation focuses on **MPO-specific items**.
- **MPO's < 200k population can ignore the section detailing STBG-DA funds.**
  - DA funds are only available to MPO's over 200k in population.
- For more info, please refer to the **[MPO administration documents](#)**.

# Objectives

- To provide guidance, education, support, and direction to ensure non-federal entities (LPA's of MPO's) follow applicable requirements and guidelines
- To expedite reimbursements to non-federal entities
- To ensure reimbursements are documented properly to withstand third-party scrutiny. (i.e. audits)
- To achieve consistency among recipients of federal funds.

# Purpose

Provide review and resources (links) for MPO use in:

- Procurement
- Invoicing
- PWP
- Indirect cost
- For applicable MPO's: STBG-DA

# Big Picture

- Those receiving Federal funds are responsible for following state and federal regulations.
- Keep records for longer than you think.
- Audits occur *years* after you've finished a study/project.
- Regulations define Improper payment as: (click to go to reg)
  - “...any payment where insufficient or lack of documentation prevents a reviewer from discerning whether a payment was proper”.
- Remember to properly document.
  - If auditor discovers improper payment, LPA must pay that back to NCDOT.

## IIJA/BIL PL set-aside funds

- New Metro Planning set-aside for Increasing Safe & Accessible Transportation Options.
- New PL funds under federal program code Y410
  - A **different** federal program code from “traditional” PL funds
- **PWP (more info in PWP section of presentation)**
  - Separate line item identifying the funds
  - Specific description of work
- **Invoice** – These funds have a separate WBS #
  - needs separate accounting + separate description of work
    - More info in the invoice section of this presentation

# What is 2 CFR 200?

- 2 CFR 200 (**Updated sections to 2 CFR 200**)
  - **UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS**
  - ***Formerly:***
    - 44 CFR PART 13
    - 2 CFR 225 Cost Principles for State and Locals
    - OMB Circulars A-87, A-102, A-133
    - Federal Program Guidelines



# Update to 2 CFR 200

- Amended August 13, 2020.
- Amendment is published in [Federal Register](#)

# Among the updated sections...

- 200.318 – General procurement standards
  - The non-Federal entity **must have and use documented procurement procedures, consistent with State**, local, and tribal laws and regulations and the standards of this section,
- 200.320 Methods of procurement to be followed

# Among the updated, part 2

- 200.215 – Never contract with the enemy
- 200.216 - Prohibition on certain telecommunications and video surveillance services or equipment
  - telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities)

# Among the updated, part 3

- 200.322 Domestic preferences for procurements
  - (a) As appropriate and to the extent consistent with law, the non-Federal entity should, to the greatest extent practicable under a Federal award, provide a preference for the purchase, acquisition, or use of goods, products, or materials produced in the United States
- 200.414 Indirect (F&A) costs

# FHWA guidance regarding this update

- Awaiting additional FHWA-specific guidance regarding the August 13, 2020 update to 2 CFR 200.

# PROCUREMENT

## Definition:

- LPA = Lead Planning Agency = The City, Town, County, or other agency that provides MPO staff as outlined in the MPO's Memorandum of Understanding

# MPO process to hire a consultant

- This presentation is a brief overview.
- The fully detailed process can be found in [TPD's procurement process for MPO's](#)
- **Review the [procurement walk-through](#)**
- **“If one of the MPO's member agencies is carrying out the work, it is the responsibility of the LPA to ensure this process is followed”**

# If non-LPA will procure work

Best practice: Have an interlocal agreement between LPA and Town/non-LPA member organization

- Establishes reimbursement protocol (between LPA and Town), and
- Clarifies legal responsibilities
- Review the [procurement walk-through](#)
- Email your TPD coordinator if you have further questions.



# Non-LPA-led work -- payment flows

- Town(non-LPA) pays 100% (\$100k) of study cost
  - (let's assume 80%/20% for this example)
- Town would request/invoice 80% (\$80k) reimbursement from LPA quarterly (or monthly, etc).
- LPA pays Town the 80% (\$80k) reimbursement.
- LPA invoices NCDOT for that 80% (\$80k) amount paid to the Town in the regular quarterly invoice.
  - Be sure not to reduce amount requested by another 80%.
    - You want the full 80% (\$80k) back, not 80% of the 80% (\$64k) requested.

# How to invoice non-LPA amounts

Detail of Expenditures								
TASK	PL104 budget for FYxx			Staff	Professional	Supplies, Training, Advertising	Expenditures	80%
	20%	(80%)	Total	Salaries	Services		2nd qtr FYxx	reimbursement
				2nd Quarter				
II-A-1	\$12,000.00	\$48,000.00	\$60,000.00	\$1,379.97		\$5,000.00	\$6,379.97	\$5,103.98
II-A-2	\$3,000.00	\$12,000.00	\$15,000.00				\$0.00	\$0.00
II-A-3	\$30,000.00	\$120,000.00	\$150,000.00				\$0.00	\$0.00
II-B-1	\$3,000.00	\$12,000.00	\$15,000.00	\$173.15			\$173.15	\$138.52
II-B-2	\$19,000.00	\$76,000.00	\$95,000.00	\$4,510.90			\$4,510.90	\$3,608.72
II-B-3	\$11,000.00	\$44,000.00	\$55,000.00				\$0.00	\$0.00
III-A-1	\$5,000.00	\$20,000.00	\$25,000.00	\$827.98			\$827.98	
III-A-2	\$7,000.00	\$28,000.00	\$35,000.00				\$0.00	
III-B-1	\$6,000.00	\$24,000.00	\$30,000.00	\$5,612.10			\$5,612.10	
III-B-2	\$6,000.00	\$24,000.00	\$30,000.00				\$0.00	
III-B-3	\$5,000.00	\$20,000.00	\$25,000.00	\$883.17			\$883.17	\$706.54
III-C-1	\$2,000.00	\$8,000.00	\$10,000.00				\$0.00	\$0.00
III-C-2	\$2,000.00	\$8,000.00	\$10,000.00				\$0.00	\$0.00
III-C-3	\$0.00	\$0.00	\$0.00				\$0.00	\$0.00
III-C-4	\$0.00	\$0.00	\$0.00				\$0.00	\$0.00
III-C-5	\$0.00	\$0.00	\$0.00				\$0.00	\$0.00
III-C-6	\$4,000.00	\$16,000.00	\$20,000.00			\$1,081.61	\$1,081.61	\$865.29
III-C-7	\$0.00	\$0.00	\$0.00				\$0.00	\$0.00
III-D	\$50,000.00	\$200,000.00	\$250,000.00	\$165.60			\$165.60	\$132.48
III-E	\$35,000.00	\$140,000.00	\$175,000.00	\$12,361.43		\$602.80	\$12,964.23	\$10,371.38
<b>TOTALS</b>	\$200,000.00	\$800,000.00	\$1,000,000.00	\$25,914.30		\$6,684.41	\$32,598.71	\$26,078.97
								\$10,000.00
								\$36,078.97

(LPA paid Town of abc the 80% of the Town's approved expenses)

Town's total expenses this invoice period were \$12,500.

Page 1

# TPD's procurement procedure for MPO's.

- Following TPD's procedure ensures compliance with applicable State and Federal requirements regarding procurement of Private Engineering Firms.
- Involve TPD coordinator every step of the way
  - Includes OIG review of DRAFT cost proposal
    - reviews pay rates, overhead rates and other non-salary costs included in the consultant contracts.
    - Your TPD contact will coordinate the review.
  - Make sure prime and ALL subs are prequalified.

# Procurement walk-through

- TPD developed a step-by-step overview of the procurement process.
- (Link opens as PDF)
- The walk-through is only an overview.
- Be sure to follow pertinent State and Federal regulations.

## MPO/RPO procurement walk through.

2/15/2021

This information (and [TPD's training](#)) is based upon [TPD's published procedure](#), [NCDOT procurement policy](#), and Federal regulations and guidelines including 2 CFR 200 and 23 CFR 172. Notes in green relate the steps in this document to the steps noted in TPD's procedure. This does not take the place of TPD's procedure and is only intended to provide more clarity.

Whether the LPA or non-LPA jurisdiction procures the work, this document will refer to the contracting agency as the Project Manager (PM).

(assume 80%/20% split for this example)

1. **TPD Engineer** to make sure project is programmed in UPWP. Should be a line item in the table, and short description of the proposed study. If not, amend UPWP. (Procedure Step 1)
2. Is the LPA doing the work? (Procedure Step 2)
  - a. Yes – skip to next step.
  - b. No – work will be 100% paid by TCC-member jurisdiction (not LPA).
    - i. **TPD Engineer** to verify there is an interlocal agreement between the LPA and the jurisdiction (PM) doing the work. This will allow the LPA to reimburse the jurisdiction the 80% of the work.
      1. If there is no project-specific interlocal agreement, receive some verification (via email) that through some other agreement, payments between the LPA and the PM/local jurisdiction are possible/allowed between the two entities. This will show

# Include your TPD coordinator throughout the procurement process

- Remember to include your TPD coordinator in the:
  - review of draft scope
  - review of your RFLOI
  - consultant selection process and selection team
  - Draft cost proposal and draft contract review

# Overview of PEF procurement Process

1. LPA notify TPD coordinator of intent to acquire PEF.
2. TPD coordinator to verify project is in adopted UPWP with sufficient funds.
  - a) MPO to involve TPD coordinator in consultant selection process/ committee
3. LPA submit draft [RFLOI](#) to TPD coordinator
4. TPD to review RFLOI
5. TPD give approval to MPO staff to advertise work

## PEF Process, page 2

5. (con't) If work is less than \$50k, then LPA doesn't need to formally advertise, but still must target a pool of 5-6 prequalified firms and request proposals/letters of interest.
6. LPA staff transmits copy of proposals received to TPD coordinator for their review. (TPD staff are selection committee members)
7. TPD coordinator [verifies prequalification status](#) of firms for the work tasks identified.

## PEF Process, page 3

8. MPO Staff schedules PEF selection meeting.
9. PEF selection is made.
  - a) If service is for contracting out MPO operations, agreement shall not exceed a 2-year contractual period. Must be re-advertised every 2 years.
10. a) **MPO staff to submit draft contract, scope, manhours, etc to TPD coordinator.**
  - b) TPD Coordinator to email package to OIG for their review. OIG to review overhead, pay rates, [other non-salary costs](#), etc.



## Process, page 4

- c. After OIG review, TPD coordinator to transmit [Consultant Approval Memo](#)
  - i. TPD may approve, approve with comments, or not approve.
  - ii. If OIG has comments that need addressing, TPD coordinator may email LPA to address comments, and submit revised contract/cost proposal.
- 11. LPA to transmit executed contract to TPD coordinator.

# Process, page 5

12. TPD coordinator to submit to Planning Unit Head the following for entry into SAP:

- Executed contract
- OIG review letter
- TPD's Consultant Approval letter

# NCDOT Integrated Project Delivery (IPD)

## [Professional Engineering Firm Management - Guidance for Project Managers](#)


- The purpose of this document is to introduce new Project Managers with the Department to the basic concepts of PEF management

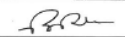
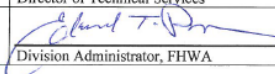


# Policies and Procedures for Procurement and Administration of Professional Services Contracts

POLICIES AND PROCEDURES FOR PROCUREMENT AND  
ADMINISTRATION OF MAJOR  
PROFESSIONAL OR SPECIALIZED  
SERVICES CONTRACTS

NORTH CAROLINA  
DEPARTMENT OF TRANSPORTATION



APPROVED		Date 6/30/16
APPROVED		Date 6/30/2016

Adopted by North Carolina Board of Transportation: June 30, 2016

# NCDOT Consultant information

The screenshot displays the 'Professional Services Management' hub on the NCDOT Connect website. The page features a navigation menu with categories like 'Doing Business', 'Bidding & Letting', 'Projects', 'Resources', and 'Local Governments'. The 'Consultants' section is highlighted, and the page title is 'Professional Services Management'. Below the title, a description states: 'Hub for Consultants doing business with NCDOT with tools for becoming prequalified, guidelines and forms, listings of advertised work, and selection results for consultant contracts.' A breadcrumb trail shows the path: 'Connect NCDOT > Doing Business > Consultants'. A central banner titled 'Professional Services Management' contains five circular images depicting various professional activities. Below the banner, there are two main sections: 'Contact PSMU Group' and 'For Consultant Partners'. The 'Contact PSMU Group' section provides the email address [psmu-411@ncdot.gov](mailto:psmu-411@ncdot.gov) and a link to 'View the PSMU Frequently Asked Questions'. The 'For Consultant Partners' section includes links for 'Prequalifying Private Consulting Firms', 'Small Business' (certification programs), 'Consultant Email Notifications' (sign up for DOT or LGA advertisements), and 'Anticipated Advertisement Schedule'.

Professional Services Management  
Hub for Consultants doing business with NCDOT with tools for becoming prequalified, guidelines and forms, listings of advertised work, and selection results for consultant contracts.

Connect NCDOT > Doing Business > Consultants

**Professional Services Management**

**Contact PSMU Group**  
If you have any questions please contact [psmu-411@ncdot.gov](mailto:psmu-411@ncdot.gov).

**FAQs**  
View the [PSMU Frequently Asked Questions](#).

**For Consultant Partners**

[Prequalifying Private Consulting Firms](#)  
Prequalification for Consultants (learn how to become Prequalified as a Private Consulting Firm with NCDOT)

[Small Business](#)  
Small Business -- Certification programs for small and underutilized businesses

[Consultant Email Notifications](#)  
Sign up here to receive a notification when a DOT or LGA Advertisement is posted

[Anticipated Advertisement Schedule](#)

# Guidelines, Forms, and Consultant Utilization

The screenshot shows the 'Connect NCDOT BUSINESS PARTNER RESOURCES' website. The navigation menu includes 'Doing Business', 'Bidding & Letting', 'Projects', 'Resources', and 'Local Governments'. A secondary menu includes 'Prequalify', 'Small Business', 'Consultants', 'Directory of Firms', 'Trucking', 'Fleet & Material Mgmt', 'DMV', 'Public Trans', and 'Purchase'. The main content area is titled 'Guidelines, Forms and Consultant Utilization' with the subtitle 'Resources for Consultants (guidelines, forms, and reports for doing business with NCDOT)'. A breadcrumb trail reads 'Connect NCDOT > Doing Business > Consultants > Guidelines, Forms and Consultant Utilization'. Under the 'Roadway' section, there are two expandable categories: 'Forms(32)' and 'Guidelines(23)'. Below these are several PDF links, including 'Changes to Direct Reimbursement CEI Contracts 7-30-2014.pdf', 'NCDOT eSignatures Policy.pdf', 'FHWA Order 4470.1A.pdf', 'Business Changes Required by NCBELS.pdf', 'Small Professional Services Firm Guidelines.pdf', 'Uniform Audit - Accounting Guide.pdf', 'Policy and Procedures for Procurement and Administration of Major Professional or Specialized Services Contracts.pdf', 'PEF Preconstruction Application Registration. 171102.pdf', 'NCDOT Invoices and Payment Memo.pdf', '180124 TS Neg and Fee Memo.pdf', and 'Contract to NTP Process.pdf'. On the right side, there are sections for 'Advertisement', 'Utilization Rep', and 'Applications'.

# Project Management

The screenshot shows the 'Project Management' page on the 'Connect NCDOT BUSINESS PARTNER RESOURCES' website. The page features a navigation menu with 'Projects' highlighted, a search bar, and a secondary menu with 'Project Management' selected. The main content area includes a 'Welcome' message, a 'Helpful Links' sidebar, and a 'Tools and Templates' section with sub-sections for 'Project Delivery Network' and 'Project Management Guide'.

**Connect NCDOT BUSINESS PARTNER RESOURCES**

Home Help Team Sites Site Map

Doing Business Bidding & Letting **Projects** Resources Local Governments Search...

Planning Construction Research Roadway Design Work Zone Contracts Toolkit Bike & Pedestrian **Project Management** Value Management

## Project Management

To provide resource information on project management to project managers working on NCDOT transportation projects.

Connect NCDOT > Projects > Project Management

### Welcome

Project management is critical to successful project delivery. This webpage provides the latest information and guidance to support project managers in their roles and responsibilities regarding scope, schedule, budget and project quality. New project management resources, guidance and tools will be added to this site as they are developed, so please check back often.

**SAVE THE DATE: NCDOT's Preconstruction Workshop will be held February 28th and March 1st, 2023 at the McKimmon Center. Registration coming soon!**

Policy/Resources **Tools/Templates** Quality Mgmt. Training Software Info

### Tools and Templates

**Project Delivery Network**

- Project Delivery Network (New update as of 10-24-22)
- PDN Latest Redline Changes (New update as of 10-24-22)
- PDN Interactive Network Diagram (CUSTOMIZABLE!!)
- Comment Form
- Transition Plan
- Consultant NC Learning Center Registration Job Aid

**Project Management Guide**

- PM Guide
- PM Activity Diagram
- PM Guide Video
- Comment Form
- Agenda and Meeting Minutes Template
- Executive Status Report Template

### Helpful Links

- NCDOT Workday Estimate Form (2022.09.22).aspx
- Move Forward List 8-30-22 by Division PDF
- PSMU - Lump Sum Invoice (NEW)
- PSMU - Cost Plus Invoice (NEW)
- Preconstruction Finance Guide PDF
- Preliminary Engineering SharePoint site (internal NCDOT only)
- Environmental Policy and Analysis Resources
- Email and Memo Templates (July 2022)
- Best Practices for Sharepoint Preconstruction Sites

### Newsletters & Communications

- Project Delivery Newsletter (August 2022) PDF
- 2022 May IPD Newsletter PDF
- 2022 April IPD Newsletter PDF
- 2022 February IPD Newsletter PDF

# Local Programs Management Handbook

Connect NCDOT  
BUSINESS PARTNER RESOURCES
Home Help Team Sites Site Map

Doing Business Bidding & Letting Projects Resources **Local Governments**

Search...

Bridge Reuse Interagency Leadership **Local Projects** Planning School Transportation State Airport Aid State Street-Aid (Powell Bill) Utilities

## Local Programs Management (LPM) Handbook and Updates

Understand the Requirements of NCDOT and the Federal Highway Administration for federally-funded Projects

Home > Connect NCDOT > Local Governments > Local Projects > Local Programs Management (LPM) Handbook and Updates

### Local Programs Management Handbook - 2009

(Does not include updates)

[Read More →](#)

### Updates to the 2009 Handbook

- **Instructions**
- **Webinar**
- **Updates (in red)**
  - Introduction (Including Contacts)
  - State Transportation Improvement Program
  - **Funding, Eligible Costs, and Match Requirements**
  - **Schedule**
  - Project Agreement
    - Project Information Data Sheet (see Forms & Templates)
- **Funding Authorization Overview**
- **Preliminary Engineering Authorization**
- **Professional Services**
  - **Project Specific Solicitation vs On-Call Contract (Overview)**
  - **GUIDELINES for COMPLETING RFLOI.pdf**
  - Template Request for Letters of Interest (see Forms & Templates)
  - Letter from LGA Requesting Review of Proposal (see Forms & Templates)
- **Environmental Documentation**
  - **LAP Guidance\_1.25.2022.pdf**
- **Project Types**

### FORMS & TEMPLATES

- Letter from LGA Requesting Concurrence with PEF Selection
- Letter from LGA Requesting NCDOT Concurrence with Construction Contractor
- Project Information Data Sheet
- Contract Provisions for Non-Federal Entities.pdf
- DBE-IS Subcontractor Payment Report
- RFLOI Form for LGAs
- Utility Certification Form for LGAs
- Letter from LGA requesting reimbursement
- Letter from LGA accepting Project from Contractor
- Letter from LGA Requesting Concurrence - Construction Complete
- LPMO Security Form for EBS Access
- FFATA Subrecipient Form

### PROGRAM LINKS



# On-call contracts – not exceed 5 years

- On-call contracts or **limited service agreements** (example: planning services on-call) **shall not exceed 5 years.**
- This includes the initial period plus all possible contract extensions.
- [23 CFR 172.9 \(a\) \(3\) \(i\)](#)

# RFLOI

- Short for Request for Letters of Interest
- NCDOT, RPO's, and MPO's use RFLOI's to procure consultant responses (the Letters of Interest) for a scope of work.
- We use RFLOI (not RFP or RFQ).
  - RFP and RFQ are used in the construction industry. RFLOI is only used for professional services, such as transportation planning studies, corridor studies, feasibility studies, etc.
- Engineering/Planning consultants are accustomed to RFLOI.

# Feasibility study=eligible, design=not eligible

- When applicable, be sure the RFOI **and subsequent contract** state that your study will ***not*** include more than about 10% design.
- Why? Design is not an eligible use for Planning funds
  - (PL, DA, and SPR)

# Preparing the RFLOI

- Be sure to list the specific Discipline Codes you seek within your RFLOI
- (see next slide)
- Use the RFLOI template

Page #1 of RFLOI template

**SYNOPSIS**

**SUBCONSULTANTS ARE / ARE NOT PERMITTED UNDER THIS CONTRACT.**

This contract shall be partially reimbursed with Federal-aid funding through the North Carolina Department of Transportation (hereinafter referred to as the Department). The solicitation, selection, and negotiation of a contract shall be conducted in accordance with all Department requirements and guidelines.

The primary and/or subconsultant firm(s) (if Subconsultants are allowed under this RFLOI) shall be pre-qualified by the Department to perform ALL / ANY COMBINATION of the Discipline Codes listed below. The Discipline Codes required are:

- Discipline Code Number – Discipline Code Description

WORK CODES for each primary and/or subconsultant firm(s) (if Subconsultants are allowed under this RFLOI) SHALL be listed on the respective RS-2 FORMS (see section 'SUBMISSION ORGANIZATION AND INFORMATION REQUIREMENTS').

Choose “All” or “Any combination”.

List discipline code numbers and description here.  
Ex: 45 – Corridor Planning

[NCDOT Local projects administration web page](#)

Version: 2019.11.04.RIS

Advised: 'MMMM dd, YYYY'

LOCAL GOV'T AGENCY (LGA) NAME

**REQUEST for LETTERS of INTEREST (RFLOI)**

CONTRACT NAME

TITLE: CONTRACT NAME

ISSUE DATE: 'MMMM dd, YYYY'

SUBMITTAL DEADLINE: 'MMMM dd, YYYY'

ISSUING AGENCY: LGA NAME

**SYNOPSIS**

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The primary and/or subconsultant firm(s) (if Subconsultants are allowed under this RFLOI) shall be pre-qualified by the Department to perform ALL / ANY COMBINATION of the

# Discipline Codes within the RFLOI

- The RFLOI must list the specific discipline codes indicating disciplines of work a consultant is prequalified with NCDOT. [\(new web-based listing\)](#)
- [Discipline Code excel file](#) (old) [NCDOT Local projects administration web page](#)

TRANSPORTATION PLANNING		Travis Marshall, PE (919) 707-0907 tmarshall@ncdot.gov					
Discipline Code	Discipline	Description of Work	Key Personnel Required	Employee Registration Required	Minimum Years of Experience	Firm Registration Required	Additional Requirements
6	Air Quality Conformity	Air Quality Conformity analysis is different from the project level noise studies and NEPA air quality studies.			5		Must show expertise and experience performing regional transportation air quality conformity analysis using travel demand model information. Must provide examples of the completed studies, information about the area (urban, MPO, or region), year it was developed and who was the leading expert. Must have a current TransCAD license.
45	Corridor Planning						Must show expertise and experience in corridor planning, coordinating existing and future land use and the multimodal transportation system to provide guidance as development occurs. Must have a current TransCAD license. Must show ability to use TransCAD, Micro Simulation and Public Participation.
75	Freight Forecasting						Must show ability to evaluate freight patterns by commodity and mode type between defined units of geography at the county and state level for existing and future road network.
140	Travel Demand Model Development	Travel Demand model development for small area models (under 50,000) and regional models. Development of a new					Must provide a list of travel demand model development projects for which the firm has worked on. Each project must contain: specific staff involved with the project and the role they played in the development; the type and size of the travel demand

# 1-17-2023 update to Discipline Code listing – new web page

[Connect.ncdot.gov, Doing business, Prequalify](https://connect.ncdot.gov/DoingBusiness/Prequalify)

**Prequalification**

Prequalification is necessary to ensure that a vendor has sufficient ability and experience to perform the work specified on NCDOT contracts. Once prequalified, vendor information and qualifications are listed in the Department's **Directory of Firms**.

Before you can become prequalified, your company must be registered in good standing with the Secretary of State or **receive a Certificate of Authority** with the Secretary of State if it is an out-of-state company. Search for your **firm's name here**.

The Prequalification application is online and if you are a new, you will need to follow the three (3) steps below to start your application. If you have already submitted an application before, you only need to update your existing application after logging back in (steps 1 & 2 not necessary). **Do not create a new one.**

- 1) **Acquire NCID.**
  - You must have a [business](#) NCID to prequalify using our online application.
  - We recommend you change your NCID password annually.
- 2) **Register NCID and Tax ID with us.**
- 3) **Fill out application online.**

**Types of Vendors**

When you start your application, you must select what type of vendor:

**Helpful Links**

- 1) [NCID Registration](#)
- 2) [Access Request to Application](#)
- 3) [Request for Consultant Application](#)
- Consultant Discipline Codes**
- 4) [Request for Bid](#)

[Contact Form](#)

Click here...

...takes you to the online listing

**Discipline Requirements**

Index

Discipline Requirements Department Index and Change Log

Change Log

- Asset
- Aviation
- Construction
- EAU
- EPU
- Feasability
- Ferry
- GIS
- General Services
- Geotechnical
- Hydrology and Survey
- Materials and Test
- Operations
- Pavement Management
- Photogrammetry
- Port
- Rail

# A note on Discipline Codes (use in RFLOI)

- List the work codes that the consultant should be prequalified in by NCDOT. There is a choice as to whether the consultant (or team of consultants) should be prequalified in **ALL** work codes or **ANY COMBINATION** of work codes.
  - If **ALL**, then the LGA should reject any submittal as “not responsive” if any of the work codes is missing.
  - If **ANY COMBINATION**, then the LGA has some flexibility to evaluate the consultants, even if they are not prequalified in all work codes

# General overview for consultants

## Consultants need to:

1. Be Pre-qualified in the discipline codes they wish to perform work in.
  2. Have submitted their information in the Consultant Rate System (CRS), so OIG can review their hourly rates, overhead etc on a given contract vs those values submitted to OIG via the CRS system.
- See slides in the “various regulations” section of this training that point consultants where to obtain forms for each of these areas.



# NCDOT prequalification

- Be sure your consultant is [pre-qualified](#) with NCDOT
  - or needs to obtain prequalification status prior to contract execution.
  - **Pre-qualified to do the work in a given discipline code**
  - Consultant prequalifies every 3 years.
- All Sub-contractors should be pre-qualified by NCDOT.  
(may be **required** to be, depending upon how the advertisement/RFI/OI was worded)
- [PREQUALIFICATION SEARCH PAGE](#)
  - Enter firm name and look for the discipline codes they are prequalified to perform.

# Search for pre-qualified consultant

Connect NCDOT  
BUSINESS PARTNER RESOURCES

Home Help Site Map

Doing Business Bidding & Letting Projects Resources Local Governments

Prequalify Small Business Consultants **Directory of Firms** Trucking Fleet & Material Mgmt DMV Public Trans Purchasing ROW Turnpike

### Directory of Firms

Complete listing of certified and prequalified firms.

Doing Business > Directory of Firms > Prequalified Consultants

**Prequalified Consultants**

A.

Firm Name:

[Click to show/hide additional search options](#)

Submit Search

View My Selections View All Options Reset

#### Start Your Directory Search

- Certified Firms
- Prequalified Bidders, PO Prime Contractors, & Subcontractors
- Prequalified Consultants

Firm Name

NCDOT Work Code

NAICS Code

Help

#### Download Vendor Listings

- DBE Directory
- SBE Directory
- Prequalified Bidders, PO Prime Contractors, & Subcontractors
- Prequalified Consultants

**DON'T USE "Bidders..."**  
**This if for construction contractors**



**USE THIS: "Prequalified consultants"** Click here for up-to-date listing



**DON'T USE "Firm name"**  
**This is historical info (not up-to-date listing)**



# 23 CFR 172.7 – Evaluation, Ranking, and Selection

(iv) *Evaluation, ranking, and selection.*

- (A) The contracting agency shall evaluate consultant proposals based on the criteria established and published within the public solicitation.
- (B) Although the contract will be with the consultant, proposal evaluations shall consider the qualifications of the consultant and any subconsultants identified within the proposal with respect to the scope of work and established criteria.
- (C) The contracting agency shall specify in the RFP discussion requirements that shall follow submission and evaluation of proposals and based on the size and complexity of the project or as defined in contracting agency written policies and procedures, as specified in [§ 172.5\(c\)](#). Discussions, as required by the RFP, may be written, by telephone, video conference, or by oral presentation/interview and shall be with at least three of the most highly qualified consultants to clarify the technical approach, qualifications, and capabilities provided in response to the RFP.
- (D) From the proposal evaluation and any subsequent discussions which may have been conducted, the contracting agency shall rank, in order of preference, at least three consultants determined most highly qualified to perform the solicited services based on the established and published criteria. In instances where only two qualified consultants respond to the solicitation, the contracting agency may proceed with evaluation and selection if it is determined that the solicitation did not contain conditions or requirements that arbitrarily limited competition. Alternatively, a contracting agency may pursue procurement following the noncompetitive method when competition is determined to be inadequate and it is determined to not be feasible or practical to re-compete under a new solicitation as specified in [paragraph \(a\)\(3\)\(iii\)\(C\)](#) of this section.
- (E) Notification must be provided to responding consultants of the final ranking of the three most highly qualified consultants.
- (F) The contracting agency shall retain supporting documentation of the solicitation, proposal, evaluation, and selection of the consultant in accordance with this section and the provisions of [2 CFR 200.333](#).

# Selection Criteria example

## SELECTION CRITERIA

All prequalified firms who submit responsive letters of interest will be considered.

In selecting a firm/team, the selection committee will take into consideration qualification information including such factors as:

1. **CRITERIA NUMBER 1 - 40%** = Past performance/ Demonstrated experience, proven record of success on similar projects. Firm's experience, knowledge, and familiarity with the desired services, including sub-consultants.
2. **CRITERIA NUMBER 2 - 30%** = Team Experience and qualifications - The team's experience and staff qualifications to perform type of work required including any subconsultants.
3. **CRITERIA NUMBER 3 - 30%** = Technical Approach - The team's understanding of, and approach to accomplish objectives of the plan, including their envisioned scope for the work and any innovative ideas/approaches.

# Independent Cost estimate – it's Federally required

- [23 CFR 172.7](#)

Title 23 / Chapter I / Subchapter B / Part 172

Contents

section and the provisions of [2 CFR 200.300](#).

- Timeline
- Go to Date
- Compare Dates
- Search

(v) **Negotiation.**

- (A) The process for negotiation of the contract shall comply with the requirements codified in [40 U.S.C. 1104\(b\)](#) for the order of negotiation.
- (B) **Independent estimate.** Prior to receipt or review of the most highly qualified consultant's cost proposal, the contracting agency shall prepare a detailed independent estimate with an appropriate breakdown of the work or labor hours, types or classifications of labor required, other direct costs, and consultant's fixed fee for the defined scope of work. The independent estimate shall serve as the basis for negotiation.

# Independent Cost Estimates

Selected consultant sends blank cost sheet – only staff names and hourly wages should be populated **(request that the consultant NOT populate the manhours)**

1. MPO staff uses this information to make their own estimate of manhours and thus total cost. (MPO staff do this step first)
  2. MPO staff to develop an estimate first, then the PEF to develop their estimate.
  3. Then, MPO staff may use theirs, the PEF's, or a new one as a result of negotiation.
- MPO staff to keep this documentation with their project files.

# Independent Cost Estimate pg 2

- The key components of negotiation are # of hours and what class of employee to perform those hours.(project manager, drafter, planner, engineer, etc)
- Ask consultant to provide you with spreadsheet with employee names, rates, overhead, and non-salary costs. (specifically request **no** man-hours be shown)
- Review [NCDOT's Negotiation and Fee memo](#) for a numerical sequence and description of steps in the process.






# Consultant Rates

- **Remember to ask consultant to provide the rates that are approved in the CRS system.**
  - (this is what the OIG office will compare rates against)
  - **Reminder: use prime and all subcontractor rates**
    - (Every sub on the contract needs rates reviewed by OIG)

# Negotiation and Fee memo

- For NCDOT: The firm's manday estimate must be within 5% of NCDOT's independent estimate but can go as high as 10%.
- Main elements of negotiation are classification (of employee) and manhours.



STATE OF NORTH CAROLINA  
DEPARTMENT OF TRANSPORTATION

ROY COOPER  
GOVERNOR

JAMES H. TROGDON, III  
SECRETARY

January 24, 2018

MEMORANDUM TO:            Division Engineers  
   Business Unit Heads

FROM:                            Christopher M. Werner, PE  
   Director of Technical Services Division

DocuSigned by:  
*Christopher M. Werner*  
2AC982A09DAA465

SUBJECT:                        Professional Service Contract Negotiations, Fees, and Limited  
   Notice to Proceed

This memo serves to establish updated procedures for task order negotiations, determination of task order fees and authority to issue a Limited Notice to Proceed.

*Justification for increasing standard fee*  
NCDOT's standard fee (profit margin) is 9%, with a maximum of 15%. Based upon Department Policy and Procedures, the establishment of a fee shall be project-specific and shall take into account the size, complexity, duration, degree of risk involved in the work and schedule. When a fee higher than the standard fee is utilized, it must be justified by the firm and approved in writing by the Professional Services Management Unit (PSMU) Unit Head, the NCDOT Business Unit Head or Division Engineer. This must occur prior to the cost proposal submittal using the attached Fee Negotiation template.

# Independent Cost Estimate/Contract Type

- [CFR 200.323](#)
  - a) “...the non-Federal entity must make independent estimates before receiving proposals.”
  - b) “The cost plus a percentage of cost and percentage of construction cost methods of contracting must not be used.”
    - **Use Lump Sum or**
    - **Cost-plus-overhead-plus-profit**
      - NCDOT uses this type of cost-plus, not cost and % of const. cost.
      - Please keep in mind to not use the form of cost-plus as defined in 200.323 (noted above)

# What type of contract? Cost-plus or lump-sum

Taken from [Policy and Procedures for Procurement and Administration of Major Professional or Specialized Services contracts](#)

- Lump Sum – This type of contract is suitable when the amount and character of required services can be reasonably defined and clearly understood by both NCDOT and the contracting Firm.
- Cost-plus-Overhead-plus-Profit (Cost-Plus) – This type of contract is suitable where the general magnitude of services is known but the scope of services or period of performance cannot be defined clearly and NCDOT needs more flexibility in expediting the work without excessive amendments to the contract.

# Lump sum or cost plus – page 2

[Taken from Preconstruction Finance Guide v1.2 dated Jan 3, 2022](#)

- The cost plus payment method is typically best employed with a Limited Services Contract (LSC) under which the Department may require certain services rather than tangible deliverables. An example of the services that could be provided when utilizing an LSC with a cost plus payment mechanism include: a General Engineering Services Consultant (GESc) **providing staff augmentation, project or program management services, or providing support to a Technical Services Unit.**
- The cost plus contract method reimburses the PEF based on the number of hours worked rather than on a deliverable basis.

# Lump sum or cost-plus page 3

- For a lump sum contract, the Project Manager is focused on deliverables. They will need to closely monitor the progress report and ensure that the percent complete reported seems accurate based on the stage of the project.
- For cost plus contracts, the Project Manager will need to review not only the progress report, but **also the time sheets of the PEF**. Are the persons used and the hours spent commensurate with the assigned task?

# Cost plus invoices should include:

[Source: Invoicing FAQ's](#)

With each Cost Plus Invoice, the PEF should provide:

- Progress Report
- Appropriate timesheet documentation (see timesheet requirements and the notes on a FAR compliant accounting system in the FAQ document),
- Clear calculations of the markups of applicable rates for overhead, fee, and cost of capital
- Direct costs, and
- Some form of timesheet summary.

# On call -- Limited Services Contract/Agreement

## On-call contracts are a 2-step process

1. Procure consultant(s) and enter into LSC/LSA (not to exceed 5 yr)
  - There's no hourly rates at this stage. Therefore, this step doesn't get an OIG check.
2. Issue task order on a per-study basis.
  - a. (Here is where the hourly rates get checked by OIG)

### 5.3. Limited Services Contract or Limited Services Agreement

According to the NCDOT's *Policies and Procedures for Procurement and Administration of Major Professional or Specialized Services Contracts*, a "Limited Services Contract" ("LSC") or "Limited Services Agreement" ("LSA") is defined as follows:

*"A Limited Services Contract is a contract for the performance of services for any number of projects, under task or work orders issued on an as-needed basis, for an established contract period."*

For the purposes of this document, the terms "Limited Services Contract" and "Limited Services Agreement," and their corresponding acronyms ("LSC" and "LSA") will be used interchangeably. Another term that is commonly used for these types of Contracts is "On-Call Contract." These

Source: [PEF Management Guide](#)



# Limited Service Contract vs Task Order

- Taken from [PEF Management Guide](#)

The LSC/LSA

Figure 1: Contract versus Task Orders (TO)



The individual study / plan / staff support, etc.  
(The contract type for a task order would be  
Lump sum or cost-plus.)

# NCDOT's project management webpage

- [NCDOT Workday estimate form 9-22-2022](#)
- [Lump Sum invoice](#)
- [Cost Plus invoice](#)
- [Preconstruction Finance Guide](#)
- [Project Management Guide](#)
- [Professional Engineering Firm Management Guide](#)
  - Linked from [Integrated Project Delivery webpage](#).

# Review of DRAFT cost proposal

- Per Federal regulations, NCDOT requires that your selected consultant/team draft cost proposal has been reviewed by NCDOT's OIG office to compare proposed rates vs approved.
  - Provide a draft cost proposal to your TPD coordinator.
  - Your TPD coordinator will submit the cost proposal for OIG review, and transmit any findings to you.
  - Have your consultant address the comments and provide a new draft contract with the changes to your TPD coordinator.

# OIG Review

- Prime and **all subcontractor rates** must be reviewed.
- **MPO should submit OIG's Review letter along with first study invoice** for NCDOT reimbursement.
  - This keeps these important documents as part of NCDOT's records (in SAP) and will assist the MPO in audits.

# Why OIG review—23 CFR172.11

## Allowable costs and oversight.

- 172.11 (b) Elements of contract costs
- b(1) *Indirect cost rates.* (i) **Indirect cost rates shall be updated on an annual basis** in accordance with the consultant's annual accounting period and in compliance with the Federal cost principles.
- FHWA Policy (order 4470.1A)
  - [FHWA Policy for Contractor Certification of Costs...](#)

# Format for proposed contract costs

## EXAMPLE OF A STANDARD PROPOSAL:

CLASSIFICATION	EMPLOYEE	MAN-HOURS	HOURLY RATE	TOTAL
Project Manager	Jane Doe	10	\$50.00	\$500.00
Sr. Engineer	John Doe	40	\$40.00	\$1,600.00
CADD	Adam Smith	80	\$20.00	\$1,600.00
Clerical	Eve Smith	20	\$15.00	\$300.00
<b>TOTAL DIRECT LABOR</b>				<b>\$4,000.00</b>
<b>OVERHEAD RATE</b>	130.00%	<i>(applied to DL)</i>		\$5,200.00
<b>SUB-TOTAL</b>				<b>\$9,200.00</b>
<b>FEE</b>	9.00%	<i>(applied to DL and OH)</i>		\$828.00
<b>COST OF CAPITAL</b>	1.23%	<i>(applied to DL)</i>		\$49.20
<b>SUB-TOTAL</b>				<b>\$10,077.20</b>
<b>DIRECT NON-SALARY COSTS:</b>				
TYPE	QUANTITY	UNIT PRICE	TOTAL	
Mileage	500	\$0.56	\$280.00	
Reproduction	100	\$0.04	\$4.00	
Per Diem	5	\$110.80	\$554.00	
<b>TOTAL DIRECT NON-SALARY COSTS</b>				<b>\$838.00</b>
<b>GRAND TOTAL</b>				<b>\$10,915.20</b>

These items vary from firm to firm

\* Note – not all firms have an overhead rate.

Consultant may use:

[NCDOT Scope and Manday estimate form](#)


-sometimes referred to as the “kitchen sink” spreadsheet

# Maximum allowable non-salary direct costs

\*This memo is periodically updated with the latest rates, which may cause the link to not function. A simple internet search will find the latest version.

**Car Rental Rate Includes Tax**

<u>Subsistence:</u>	<u>In-State</u>	<u>Out-State</u>
Breakfast	\$ 9.00	\$ 9.00
Lunch	\$ 11.80	\$ 11.80
Dinner	\$ 20.50	\$ 23.30
Lodging	\$ 78.90	\$ 93.20
	<u>\$ 120.20</u>	<u>\$ 137.30</u>



STATE OF NORTH CAROLINA  
DEPARTMENT OF TRANSPORTATION

ROY COOPER GOVERNOR      J. ERIC BOYETTE SECRETARY

**January 9, 2023**

**MAXIMUM ALLOWABLE NON-SALARY DIRECT COSTS**

CONSULTANTS ARE LIMITED TO THE LOWER OF THEIR ACTUAL RATES OR THE RATES IMPOSED BELOW

<b>Reproduction:</b>		Vellums	\$ 3.00
Copies (B&W)	\$ 0.09	Stick-ons	\$ 1.00
Copies (B&W)	\$ 0.15 11" x 17"	Covers	\$ 0.50
Copies (color)	\$ 0.83	Binding	\$ 0.50
Copies (color)	\$ 1.66 11" x 17"	Mylars	\$ 5.90
Blueprints	\$ 0.35	Mylars	\$ 21.00 3' x 4'
Blueprints	\$ 1.30 42" x 72"	Bond	\$ 3.50 34" x 68"
Bond	\$ 0.42		
<b>Computer:</b>		<b>Other:</b>	
CADD	\$ -	Film & Development	\$ 20.00 per roll
<i>recovered through overhead</i>			
<b>Mileage:</b>		<b>CEI/Technician-type contracts:</b>	
Sedan	\$ 0.655 per mile	2-WD Truck	\$1,015.00 per month
Carryall	\$ 0.675 per mile	4-WD Truck	\$1,088.00 per month
Car Rental	\$ 50.00 per day	2-WD Truck gas reimbursement	\$ 0.220 per mile
Gas for car rental	\$ 0.20 per mile	4-WD Truck gas reimbursement	\$ 0.250 per mile
		Phones, computers, iPads, Data Plans, Wi-Fi, etc., <i>recovered through overhead</i>	
<b>Subsistence:</b>		<i>Hotel reimbursement is limited to actual costs not to exceed:</i>	
Breakfast	In-State \$ 9.00    Out-State \$ 9.00	\$ 78.90 per day <b>plus tax</b> for in state	
Lunch	\$ 11.80    \$ 11.80	\$ 93.20 per day <b>plus tax</b> for out of state	

# Reminder – Federal Contract Provisions

- Once the cost proposal is approved by NCDOT's OIG office, and you receive TPD approval, then (**and only then**) present for governing body action / signature to enter into contract.
- TPD cannot review for required federal provisions.
- [Contract Provisions \(all contracts with Federal Funds\)](#)
  - This does not contain the exact language of all the provisions.
  - That must be determined by your LPA's legal representation.
- **The legal burden is upon (sub)recipients of federal funds to follow all federal regulations.**



# Contract Provisions

- **Refer to Appendix II to Part 200** – Contract Provisions for Non-Federal Entity Contracts Under Federal Awards
- Also, review [23 CFR 172.9](#)
  - (see next slide)

# Contract Provisions page 2 ([23 CFR 172.9](#))

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*Reduction in retention and the conditions for release of retention.*

**(c) Contract provisions.**

- (1) All contracts and subcontracts shall include the following provisions, either by reference or by physical incorporation into the language of each contract or subcontract, as applicable:
  - (i) Administrative, contractual, or legal remedies in instances where consultants violate or breach contract terms and conditions, and provide for such sanctions and penalties as may be appropriate;
  - (ii) Notice of contracting agency requirements and regulations pertaining to reporting;
  - (iii) Contracting agency requirements and regulations pertaining to copyrights and rights in data;
  - (iv) Access by recipient, the subrecipient, FHWA, the U.S. Department of Transportation's Inspector General, the Comptroller General of the United States, or any of their duly authorized representatives to any books, documents, papers, and records of the consultant which are directly pertinent to that specific contract for the purpose of making audit, examination, excerpts, and transcriptions;
  - (v) Retention of all required records for not less than 3 years after the contracting agency makes final payment and all other pending matters are closed;
  - (vi) Standard DOT Title VI Assurances (DOT Order 1050.2);
  - (vii) Disadvantaged Business Enterprise (DBE) assurance, as specified in [49 CFR 26.13\(b\)](#);
  - (viii) Prompt pay requirements, as specified in [49 CFR 26.29](#);
  - (ix) Determination of allowable costs in accordance with the Federal cost principles;
  - (x) Contracting agency requirements pertaining to consultant errors and omissions;
  - (xi) Contracting agency requirements pertaining to conflicts of interest, as specified in [23 CFR 1.33](#) and the requirements of this part; and
  - (xii) A provision for termination for cause and termination for convenience by the contracting agency including the manner by which it will be effected and the basis for settlement.
- (2) All contracts and subcontracts exceeding \$100,000 shall contain, either by reference or by physical incorporation into the language of each contract, a provision for lobbying

# Consultant Performance Evaluation

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(vii) Documenting contract monitoring activities and maintaining supporting contract records, as specified in [2 CFR 200.333](#).

- (2) **Performance evaluation.** The contracting agency shall prepare an evaluation summarizing the consultant's performance on a contract. The performance evaluation should include, but not be limited to, an assessment of the timely completion of work, adherence to contract scope and budget, and quality of the work conducted. The contracting agency shall provide the consultant a copy of the performance evaluation and an opportunity to provide written comments to be attached to the evaluation. The contracting agency should prepare additional interim performance evaluations based on the scope, complexity, and size of the contract as a means to provide feedback, foster communication, and achieve desired changes or improvements. Completed performance evaluations should be archived for consideration as an element of past performance in the future evaluation of the consultant to provide similar services.

# TPD staff – pay extra attention to:

- Is the project in the UPWP? Enough funds in the project line item? Description of work?
- Scope of work / discipline codes used -- eligible use of planning funds? (no design, “not more than 10%...”)
- Selection criteria meets federal regs ([23 CFR 172.7](#))?
- Are you on the selection committee? (Should be: yes)
- Did you receive a draft contract? Costs/overhead in proper format for OIG review? (non-salary items, etc)
- Contract provisions ([23CFR172.9](#)) in the draft contract?

# INVOICING

- This applies to:
- Invoices from consultants to LPA
- And, Invoices from LPA to NCDOT

# Error in Invoice and Resubmitting?

- Then be sure to revise the date of the cover letter.

**Revise this date when resubmitting an invoice to NCDOT**

**Invoice # reminder: Invoice number for this example should be: FY20Q5DA**

Received 7/30/21

July 28, 2021

Mr. Daryl Vreeland  
Transportation Engineer III  
North Carolina Department of Transportation  
Transportation Planning Branch  
1554 Mail Service Center  
Raleigh, North Carolina 27699-1554

**APPROVED**

*Daryl Vreeland*

Winston-Salem  
Department of Transportation  
City of Winston-Salem  
P.O. Box 2511

SUBJECT: Invoice #5 of the Surface Transportation Block Grant Program – Direct Available (STBG-DA) Transportation Planning Grant for Fiscal Year 2019-2020.  
NCDOT PO No. 7500023764  
WBS No. 50247.1.1

Mr. Vreeland:

# Invoicing 101

- Purchase Order (PO) – official confirmation of an order. A document sent from a purchaser to a vendor that authorizes a purchase. (PWP approval letter)
- Invoice – request payment for a purchase
- WBS – work breakdown structure – a breakdown of projects into smaller components (your MPO).
  - Consider it a bank account number for a given FY or project.
- **You will receive new WBS and PO numbers every fiscal year. Each funding source has different WBS numbers. (PL, DA, SPR will have different numbers)**

# Invoice contents

## Invoice package to NCDOT must contain:

- 1) **Cover letter** with PO and WBS numbers.
  - Total amount spent during invoice period
  - Net amount to be reimbursed for each WBS number.
- 2) Signed certification (by accounting manager)
- 3) Proof of payment(s) (for contractors, items, etc)
- 4) Statement/description of work performed
  - Include any consultant invoices and their statements of work
- 5) DBE form (for purchases/consultant expenses)



# Details on certain Cover letter requirements

- Invoice number
- Address on letterhead matching address on file with NCDOT's fiscal division.
  - If the letterhead on your cover letter does not match the address on file with NCDOT's SAP system, insert the following: **Remit checks to: (insert address filed on W-9 to NCDOT as the remittance address)**
    - Can insert this text on certification page
- NCDOT Key Invoice Components

# Invoice number -- What not to use!!!

- NCDOT's invoicing system only allows a particular invoice number **PER VENDOR**.

- Thus, **don't use**: “Invoice 1”, or “Invoice #2”



# Invoice numbers – good examples

FY23Q1PL

- FY23Q2DA

- FY23Q3SPR

- FY23Q4PLDA (for a combined invoice)

- Q4DAFY22

- (or the number auto-generated by your accounting Dept invoice)

**Preferred format**



Why: Your LPA will only ever have one invoice with this invoice number.

# Invoice numbers: *Basic Rules*

## On the cover letter to TPD:

- **Less than 16 characters**
- **No special characters** (letters and numbers only)
- Use a unique invoice number (each fiscal year) for each invoice you send to TPD.
- **Don't use the same invoice number twice. Ever.**
- **If applicable, use the invoice number on the invoice generated by your LPA's accounting department**
  - Otherwise, create an invoice number (use preferred format).

# Address on letterhead (invoice)

- Address on invoice must match address in SAP system.
- If LPA needs to change address or name of organization in NCDOT's system -LPA must fill out Substitute Form W-9 --(aka: Vendor Registration Form)
- Until the form is approved or if address on your letterhead doesn't match what's on file with NCDOT,  
**add to invoice (either cover letter or certification):**
  - Remit check to: (address on file in NCDOT's SAP/financial system).

# Generally Accepted Accounting Principles, or GAAP

- Per GAAP cost principles, an invoice should:
  - For 1 month of consultant or MPO work:
    - **State the time period being billed.**
      - Ex: “...for work performed from Jan 1, 2020 – Jan 31, 2020.”
    - Invoice is dated **after** the time period of work being invoiced.
    - Only include costs incurred for work done during the month being invoiced.
    - Include **specific meeting dates and title of meeting.**
    - Proof of payment (for counters, consultant payments, etc)

# Common invoice errors

- \$ Amount in cover letter does not correspond to \$ Amount in the table or back-up documentation.
- **Failure to describe work accomplished or what the funds were expended on. (applies to PWP also)**
- Dates in the Invoice or Cover Memo are incorrect.
  - Dates of invoice period is incorrect. Invoice for month of January can not have activity in December or Feb.
- Certification not signed by LPA's Financial Officer.
- Amount in PWP or invoice is greater than amount available. (or more than variance limits)

# Common invoice errors page 2

- Wrong PO and/or WBS numbers.
- **Not specifying dollar amount to be applied to which WBS/PO number (for those that have multiple WBS).**
- Forgetting to remove taxes paid from total expenses calculation.
- **Not specifying the WBS and PO number on the cover letter. (Both need to be stated on your invoice cover letter).**
- **Make sure Certification is signed and is for the 100% expenditure amount shown on the cover letter.**



# MPO invoices to NCDOT – basics

- Date of invoice should be after period of performance.
- Invoice for Federal funds must be for 80% of your quarterly expenditures. (spend 100%, invoice NCDOT for 80%)
  - Make sure your invoice is for 80% of the amounts of any attached consultant invoices. (unless you've paid another municipality the 80%, and asking reimbursement for that 80%)
- **Mileage/Hotel/meals – please indicate the date and location of the meeting**
  - Ex: “Mileage for SPOT workgroup meeting in Raleigh, Sept 1, 2022”**

# NCDOT has a **NEW** standard invoice form for consultant use

[Link to NCDOT's \*\*NEW\*\*  
standard invoice form  
\(Excel\) \(Lump Sum\)](#)

Recommended that your selected consultants use the new invoice form for consistency/standardization. Instructions and examples are provided in the excel file.

These templates are provided to ensure that NCDOT has a consistent format to expedite invoice processing and approval. The templates can be modified to add formulas in Excel, to add supplements beyond those already in the form, and to delete PO line item rows that are not needed or those which are not utilized by the Unit or Division being invoiced.

1 These templates are provided to ensure that NCDOT has a consistent format to expedite invoice processing and approval. The templates can be modified to add formulas in Excel, to add supplements beyond those already in the form, and to delete PO line item rows that are not needed or those which are not utilized by the Unit or Division being invoiced. The PEF should work with the NCDOT PM prior to initiation of invoicing activities.

2  
3  
4 *Company Letterhead/Logo (Optional)* Date Received (1) Date Stamp

5 Rec by (Init) (2) Optional

6 **North Carolina Department of Transportation**

7 **Invoice Form - Lump Sum**

8 **Consultant Professional Services Contracts**

9 NCDOT LSC No. (3)

10 NCDOT Purchase Order/Task Order No. (4)

11 *Contact Information:*

12 **Firm Name** (5) **NCDOT Client Name** (10)

13 **Firm Remittance Address** (6) **NCDOT Client Address** (11)

14 **Firm Contact Information (Name, Email and Phone)** (7) **NCDOT Client Contact Information (Email and Phone)** (12)

15 **Firm Vendor No.** (8)

16 **Firm Tax ID No.** (9) *Project Information (For Project Specific Assignments):*

17 **STIP Number** (13)

18 **WBS Number** (14)

19 **Partial Billing** **Final Billing** (18) **Federal Aid Number (if applicable)** (15)

20 **Firm's Invoice No. (DOT Reference)** (19) **County(ies)** (16)

21 **Date of Invoice** (20) **Project Description** (17)

22 **Invoice Period Covered** (21)

23  
24

25 *Work Completed This Invoice: (Insert additional item numbers, as needed.)*

P.O. Line Item No.	Activity	\$ Line Item Total	% Of Total Fee	% Of Line Item Fee Complete	% Fee Billed Last Invoice	% Fee Billed This Invoice	Subconsultant Name*	\$ Due Subconsultant This Invoice*	\$ Fee Billed This Invoice
(22)	(23)	(24)	(25)	(26)	(27)	(28)	(29)	(30)	(31)

# NCDOT's standard progress report template (word file)

To: **Name of NCDOT Project Manager, Unit/Title**  
From: **Your company name**  
Date: **Date Submitted to NCDOT**  
STIP and WBS Nos: **XX-9999, 12345.1.1**  
NCDOT Purchase Order/Task Order No. **XXXXX**  
County: **XXX**  
Project: **Project description**

**Progress Report No. Number sequentially**

**Reporting Period:** *First day to Last day*

**Completed Tasks to Date:**

- *A short summary of each task (if more than one page, there's too much detail). Reference PDN Stage and activities/deliverables for that stage where applicable.*
- *E.g., With completed NEPA documentation on 11/18, all Stage 2 activities complete except Field Inspection Meeting (scheduled for 12/15).*

**Completed Tasks for Reporting Period:**

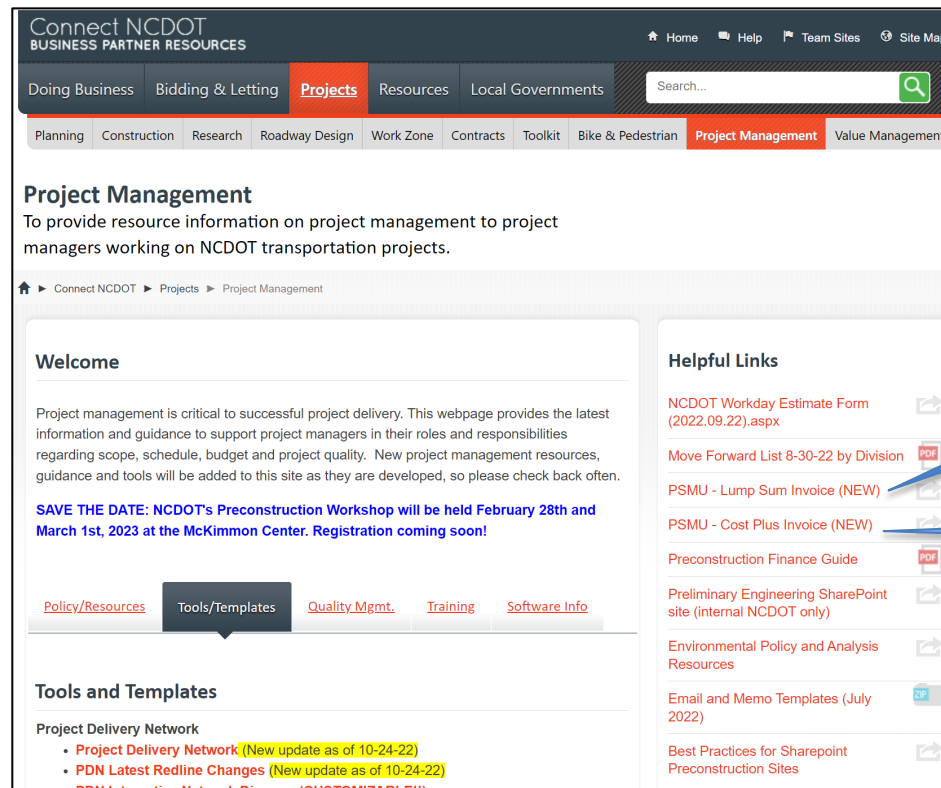
- *Listing of deliverables, key meetings, and decisions reached.*
- *E.g., Agency scoping meeting on 3/1 resulted in a path forward for informal aquatic species consultations with USFWS and a game plan for initial hydraulic planning.*

**Unusual Problems Encountered During Reporting Period:**

- *Note anything that could cause difficulty in meeting the current schedule/scope/budget.*

# Lump sum or Cost-plus invoice template

- Different invoice requirements depending upon contract type.



The screenshot shows the 'Connect NCDOT BUSINESS PARTNER RESOURCES' website. The 'Projects' tab is selected in the top navigation bar. Below the navigation, the 'Project Management' section is highlighted. The main content area includes a 'Welcome' message, a 'SAVE THE DATE' announcement for a Preconstruction Workshop, and a 'Helpful Links' sidebar. The sidebar contains several links, including 'PSMU - Lump Sum Invoice (NEW)' and 'PSMU - Cost Plus Invoice (NEW)', which are highlighted by blue callout boxes.

**Project Management**  
To provide resource information on project management to project managers working on NCDOT transportation projects.

**Welcome**

Project management is critical to successful project delivery. This webpage provides the latest information and guidance to support project managers in their roles and responsibilities regarding scope, schedule, budget and project quality. New project management resources, guidance and tools will be added to this site as they are developed, so please check back often.

**SAVE THE DATE: NCDOT's Preconstruction Workshop will be held February 28th and March 1st, 2023 at the McKimmon Center. Registration coming soon!**

**Helpful Links**

- [NCDOT Workday Estimate Form \(2022.09.22\).aspx](#)
- [Move Forward List 8-30-22 by Division](#)
- [PSMU - Lump Sum Invoice \(NEW\)](#)
- [PSMU - Cost Plus Invoice \(NEW\)](#)
- [Preconstruction Finance Guide](#)
- [Preliminary Engineering SharePoint site \(internal NCDOT only\)](#)
- [Environmental Policy and Analysis Resources](#)
- [Email and Memo Templates \(July 2022\)](#)
- [Best Practices for Sharepoint Preconstruction Sites](#)

**Tools and Templates**

**Project Delivery Network**

- [Project Delivery Network \(New update as of 10-24-22\)](#)
- [PDN Latest Redline Changes \(New update as of 10-24-22\)](#)
- [PDN Interactive Network Diagram \(CUSTOMIZABLE\)](#)

Lump sum invoice

Cost plus invoice

# NCDOT's project management webpage

- [NCDOT Workday estimate form 9-22-2022](#)
- [Lump Sum invoice](#)
- [Cost Plus invoice](#)
- [NCDOT's standard progress report template](#)
- [Preconstruction Finance Guide](#)
- [Project Management Guide](#)
- [Professional Engineering Firm Management Guide](#)
  - Linked from [Integrated Project Delivery webpage](#).

# MPO's – aim for 30-day to process consultant invoices

- Recommended to follow State guidelines:
- Consultants submit invoices within 30 days from the performance period, and paid within 30 days from receipt.
- [NCDOT memo regarding invoices and payment within 30 days](#)

## DBE-IS form is **required**

(if consultant / vendor used that quarter or invoice period)

- List payments to consultants (or vendors) that occurred in the quarter.
  - Includes any payments from LPA to MPO-member jurisdictions
    - (for MPO eligible work they may be project managing)
- Be sure the form is signed.
  - (certifying the payments listed are accurate)
  - [PDF of DBE-IS form](#)
- **Only needed with invoices containing payments to consultants or vendors.**

# Example DBE-IS form

**State of North Carolina  
Department of Transportation  
Subcontractor Payment Information**

with Invoice To: Bheshad Norowzi  
North Carolina Department of Transportation  
Transportation Planning Branch  
1554 Mail Service Center  
Raleigh, NC 27699-1554

Firm Invoice No. Reference \_\_\_\_\_  
NCDOT PO / Contract Number 7500017326  
WBS No. (State Project No.) 39225.1.10  
Date of Invoice \_\_\_\_\_  
Signed \_\_\_\_\_

Be sure to sign and date

Obtain PO and WBS numbers from TPD each FY

Redacted for privacy

Redacted for privacy

Invoice Line Item Reference	Payer Name	Payer Federal Tax Id	Subcontractor / Subconsultant / Material Supplier Name	Subcontractor / Subconsultant / Material Supplier Federal Tax Id	Amount Paid Subcontractant / Material Supplier This Invoice	Date Paid To Subcontractor / Subconsultant / Material Supplier This Invoice
Jul-14	City of Greenville	[Redacted]	MioVision	[Redacted]	\$ 5,263.00	8/20/2014
Jun-14	City of Greenville	[Redacted]	Transmap Engineering	[Redacted]	\$ 29,458.67	8/29/2014
<b>Total Amount Paid to Subcontractor Firms</b>					<b>\$ 34,721.67</b>	



# Proof of Payment

- Evidence of Payment
- Copy (front and back) of cancelled checks, or
- Copy of bank statement showing where checks have cleared, or
- A certified EBT (Electronic Benefits Transfer) statement
- 2CFR200.302 "...and the tracing of funds to a level of expenditures adequate to establish that such funds have been used according to the Federal statutes, regulations, and the terms and conditions of the Federal award. "

# When do I need to include Proof of Payment in the invoice package?

- When you've paid a consultant.
- When you've reimbursed an MPO-member jurisdiction (if non-MPO-staff-led project/study).
  - MPO-member jurisdiction will provide proof of payment to the consultant in their invoice to MPO staff.
- Making a purchase.

# Required by Federal regulations-2 CFR 200

- **2 CFR 200.302(b)(4) Financial Management**
  - The non-Federal entity must adequately safeguard all assets and **assure that they are used solely for authorized purposes.** See § 200.303 Internal controls.
- **2 CFR 200.400(d) Policy Guide**
- ...the accounting practices of the non-federal entity must ...provide for **adequate documentation to support costs charged to the federal award.**
- **2 CFR 200.53(b) Improper Payment**
  - ... **any payment where insufficient or lack of documentation prevents a reviewer from discerning whether a payment was proper.**

# MPO-Invoice detail requirements

Greenville Urban Area MPO  
Third Quarter Report, Fiscal Year 2015-2016  
January 1, 2016 - March 31, 2016

\*there are variance rules in  
the procedures\*

## Detail of Expenditures

TASK #	TASK	PL104 budget for FY16 Total	Staff	Professional	Supplies, Training, Advertising	Total 3rd qtr FY16	80% reimbursement	Amount of PL104 funds remaining after 3rd Quarter expenditures
			Salaries	Services	This Quarter			
II-A-1	Networks and Support Systems • Traffic Volu	\$60,000.00				\$0.00	\$0.00	\$40,718.24
II-A-2	Travelers and Behaviour • Dwelling Unit, Pop	\$15,000.00				\$0.00	\$0.00	\$15,000.00
II-A-3	Transportation Modeling • Travel Model Upda	\$150,000.00				\$0.00	\$0.00	\$150,000.00
II-B-1	Targeted Planning • Air Quality Planning/Con	\$15,000.00				\$0.00	\$0.00	\$14,826.85
II-B-2	Regional Planning • Community Goals and C	\$95,000.00	\$5,466.49			\$5,466.49	\$4,373.19	\$82,794.34
II-B-3	Special Studies	\$100,000.00				\$0.00	\$0.00	\$100,000.00
	Corridor study	\$20,000.00						
	Bike Plan	\$30,000.00						
	MTP update	\$50,000.00						
III-A-1	Planning Work Program	\$25,000.00	\$1,338.58			\$1,338.58	\$1,070.86	\$12,069.86
III-A-2	Metrics and Performance Measures	\$35,000.00				\$0.00	\$0.00	\$35,000.00
III-B-1	Prioritization	\$30,000.00	\$4,127.30			\$4,127.30	\$3,301.84	\$15,679.19
III-B-2	Metropolitan TIP	\$30,000.00	\$1,115.39			\$1,115.39	\$892.31	\$26,711.54
III-B-3	Merger/Project Development	\$25,000.00				\$0.00	\$0.00	\$23,896.04
III-C-1	Title VI Compliance	\$10,000.00				\$0.00	\$0.00	\$10,000.00
III-C-2	Environmental Justice	\$10,000.00				\$0.00	\$0.00	\$10,000.00
III-C-3	Minority Business Enterprise Planning	\$0.00				\$0.00	\$0.00	\$0.00
III-C-4	Planning for • Elderly	\$0.00				\$0.00	\$0.00	\$0.00
III-C-5	Safety/Drug Control Planning	\$0.00				\$0.00	\$0.00	\$0.00
III-C-6	Public Involvement	\$20,000.00			\$495.00	\$495.00	\$396.00	\$17,374.99
III-C-7	Private Sector Participation	\$0.00				\$0.00	\$0.00	\$0.00
III-D	Statewide and Extra-Regional Planning	\$50,000.00	\$892.38		\$706.79	\$1,599.17	\$1,279.34	\$48,235.23
III-E	Management Ops, Program Support Admin	\$100,000.00	\$10,653.01		\$265.93	\$10,918.94	\$8,735.15	\$71,159.76
	<b>TOTALS</b>	\$870,000.00	\$23,593.15		\$1,467.72	\$25,060.87	\$20,048.70	\$673,466.04

# Invoice checklist

- 1) Is invoice for 80% of total expended?
- 2) Invoice follows GAAP principles? (date of invoice, period of performance, etc)
- 3) Are there enough funds in the task code?**
- 4) Description of work and consultant invoices attached?
- 5) Project in UPWP and funds / fund source identified?
  - 1) Ex: If purchasing a traffic counter, is this noted in PWP task description?

## Invoice checklist, page 2

- 6) Proof of payment attached?
- 7) Taxes removed from total?
- 8) DBE-IS form attached (and signed)?
- 9) Invoice #, PO, and WBS in subject line?
- 10) Can only have 1 invoice per PO number (per FY of funds)
  - (TMA MPO's, are recommended to have 2 invoices each quarter to separate DA from PL funds)

# Invoice checklist, page 3

- STBG-DA, SPR, and PL funds have different WBS numbers (each fiscal year)—properly identify so the correct invoice amount is applied to proper WBS number
- In general, **we recommend submitting one invoice per WBS number.**
  - By doing so, all backup material for said invoice would only apply for that WBS.
  - Makes creating invoice package and processing easier.
  - Greatly reduces chance of invoicing errors.

# Invoice checklist – page 4

If requesting reimbursement for consultant work:

- **On the first invoice reimbursement request to NCDOT, include the OIG review letter for the study/project.**
  - This will keep this vital piece of documentation stored in NCDOT's payment system and help you with audits.
  - Don't need to resend with subsequent invoices for the study.
- (in addition to the usual consultant invoices, statements of work, **DBE form**, and other invoice elements, etc)



# Review – PO/WBS numbers

- PO numbers are one per fiscal year
- WBS numbers are one per project
  - Project #1 = yearly MPO operations (WBS# 1)
  - Project #2 = PL set aside (Y410 funds) (WBS #2)
  - Project #3 = STBG-DA funds (if TMA) (WBS#3)
  - Project #4 = Special SPR study (if applicable) (WBS#4)
- Each “project” has different WBS numbers
  - Recommend invoicing these separately so correct invoice amount is applied to the proper WBS number.

# This slide for TPD staff use – invoice processing tip

## Recommend you stamp invoice the DAY it is received.

Step 1

Step 3 – invoice is stamped received. (with date)

Step 2

Adobe Acrobat Pro DC (32-bit)  
Sign Window Help

Example2.pdf x

Stamp Stamps Palette Custom Stamps Bates Numbering

DC-107 (Rev. 9/83) North Carolina Department of Public Safety  
Enterprise Accounting Department  
2020 Yonkers Road/MSC Box #4225  
Raleigh, NC 27699-4225  
(919)324-1096

RECEIVED MAR 05 2021

INVOICE Invoice Nbr:453035

Customer ID	Purchased By	Date	Order No.	Customer PO	Requisition
1560-193	SEARON MCCOY	02/22/2021	426240	4200168016	001161179

Bill To: Name: TRANSPORTATION, DEPT OF ATTENTION: ACCOUNTS PAYABLES Address: 399 CRAFT DR DOT DIV 9 EQUIP AND REPAIR WINSTON SALEM, NC 27105

Ship To: Attention: WINSTON-SALEM EQUIP GAS & OIL Address: 399 CRAFT DR WINSTON SALEM, NC 27105

Carrier: Phone: (336)896-7921

Line	Qty	Unit	Item	Unit Price	Total
1	4	DRUM	OIL, MOTOR, MULTI VISCOSITY, SMO, 55 GAL DRUM	479.50	1,918.00

Item Subtotal \$ 1,918.00  
Discount 0.00  
Other Charges 0.00  
Shipping 0.00  
Tax 0.00  
Invoice Total \$ 1,918.00

PLEASE RETURN COPY OF INVOICE WITH PAYMENT

CREDIT CARD PAYMENTS ARE ACCEPTED UP TO \$5,000.00. IF PAYING BY CREDIT CARD, PLEASE FILL OUT THE INFORMATION BELOW AND FAX TO 1919324-4344  
Questions? Call (919)324-4344

MasterCard  Visa  MC Flex

Card# Exp. Date  
Name on Card Agency  
Card Statement Address Phone#  
City, St, Zip Signature

5202124637

APPROVED BY [Signature]

Click on Stamps palette

Stamps

Dynamic Import...

REVISED  
9:39 am, Mar 08, 2021

REVIEWED  
By Received at 9:39 am, Mar 08, 2021

RECEIVED  
By Received at 9:39 am, Mar 08, 2021

APPROVED  
By Received at 9:39 am, Mar 08, 2021

Click on Recieve stamp

DC-107 (Rev. 9/83) North Carolina Department of Public Safety  
Enterprise Accounting Department  
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Questions? Call (919)324-4344

MasterCard  Visa  MC Flex

Card# Exp. Date  
Name on Card Agency  
Card Statement Address Phone#  
City, St, Zip Signature

5202124637

APPROVED BY [Signature]

DC-107 (Rev. 9/83) North Carolina Department of Public Safety  
Enterprise Accounting Department  
2020 Yonkers Road/MSC Box #4225  
Raleigh, NC 27699-4225  
(919)324-1096

RECEIVED MAR 05 2021

INVOICE Invoice Nbr:453035

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MasterCard  Visa  MC Flex

Card# Exp. Date  
Name on Card Agency  
Card Statement Address Phone#  
City, St, Zip Signature

5202124637

APPROVED BY [Signature]

RECEIVED  
By Received at 9:46 am, Mar 08, 2021

# TPD processing instructions, page 2

**BGMP**  
Burlington - Graham Metropolitan Planning Organization

PO Box 1358 · Burlington, NC 27216-1358  
P (336) 513-5418 · F (336) 222-5004  
▶▶▶▶▶▶▶▶▶▶ [www.bgmpo.org](http://www.bgmpo.org)

**Can't use "invoice #x" anymore!**

John (Andy) Bailey  
Transportation Engineer  
Transportation Planning Division  
North Carolina Department of Transportation  
1554 Mail Service Center  
Raleigh, 27699-1554

*Daryl Vreeland*

**APPROVED**  
By Daryl Vreeland at 3:16 pm, Nov 03, 2021

Subject: State Planning and Research/PL 104(f), Burlington-Graham Urban Area  
Invoice: #6, FY 2019 - 2020  
Contract: # 7500023701/WBS#48476.1.2

**RECEIVED**  
By Daryl Vreeland at 4:22 pm, Nov 03, 2021

Dear Mr. Vreeland:

The Burlington-Graham Urban Area Planning Work Program provides for expenditure of Section 104(F) funds in the amount of \$328,801 for fiscal year 2019 - 2020. For the period of October 1 – June 30, 2021, a total of \$68,927.89 in Special Studies Subcontractor reimbursement costs has been incurred in the Section 104(F) funds account. This is to request reimbursement of Section 104(F) funds in the amount of \$68,927.89 for the period of October 1 – June 30, 2021.

Total Amount Eligible for Reimbursement to Date	\$328,800.00
Less Previous Payments	\$147,649.92
Amount Payable This Invoice	\$ 68,927.89

Sincerely,

## 3 steps:

Place the following on official invoice, if provided.

1. "Approved by <TPD coordinator name>"
2. Signature of TPD coordinator approving.
3. "Received on <insert date>"

(In this example, these three items were placed on the MPO's transmittal letter since they don't use an official invoice generated by their accounting department.)

# Elements of an invoice cover letter

MPO CFDA#  
for PL funds =  
20.205-5

FY, WBS, and PO#,  
invoice# in subject  
(Contract# = PO#)

Details of each  
WBS / funding  
source.

Invoice # (in this case auto-generated by Acct Dept.)

Remit and Make Check Payable To:  
City of Wilmington  
Collections Division  
P.O. Box 1810  
Wilmington, NC 28402-1810

Remember--Only  
1 PO number per  
invoice.

Include this if Letterhead  
address doesn't exactly  
match the address in  
NCDOT's financial system

Total expended is X. 80%  
reimbursement is Y.  
Be sure to mention the reporting  
period of <start date> to <end of  
date of reporting period>  
(typically one quarter)

TPD recommends submitting as  
separate invoices. (one per WBS  
number)

**Total reimbursement per account**

Wilmington, NC 28402  
Ph: (910) 341-3258  
Fax: (910) 341-7801  
www.wmpo.org

August 6, 2024

Ms. Nazia Sarder  
Transportation Planning Division  
North Carolina Department of Transportation  
1554 Mail Service Center  
Raleigh, NC 27619-1554

Re: Request for Reimbursement  
PL104 and STBG-DA – Quarter 4 of FY 2024  
Invoice #: 11223344 (or FY23Q4PLDA if you don't have an auto-generated invoice)  
Net Amount Payable This Invoice: \$242,400.00  
City of xxxxxx, Project #: <insert if LPA accounting requires this info>  
Contract No / PO #: 75000xxxxx  
WBS No: 11111.1.11 (PL 104) and 222222.2.2 (STBG-DA) and 33333.3.33 (PL-Y410)

Dear Ms. Sarder,

The Wilmington Urban Area Metropolitan Planning Organization's Unified Planning Work Program provides for the expenditure of PL 104(f) funds in the amount of \$300,000 and Surface Transportation Block Grant Program Direct Attributable (STBG-DA) funds in the amount of \$800,000 and \$10,000 in Metropolitan Planning set aside for Increasing Safe & Accessible Transportation Options (PL-Y410) for Fiscal Year 2023-2024.

This letter is to request reimbursement of PL104(f) and STBG-DA funds for costs incurred during the FY2024 4th Quarter billing period, April 1, 2024 – June 30, 2024. Attached are the 4th quarter's Invoice, # 11223344, Expenditure Reports and Narrative supporting the below cost allocations.

For the FY2024 4th Quarter billing period, April 1, 2024 – June 30, 2024, we have paid the following:

	PL104 (F)	STBG-DA	PL-Y410	Combined Total
Total Expenses:	\$ 100,000.00	\$ 200,000.00	3,000	\$ 303,000.00
Less Sales Tax:	\$ -	\$ -		\$ -
Less Ineligible Costs:	\$ -	\$ -		\$ -
Eligible Expenses:	\$ 100,000.00	\$ 200,000.00		\$ 303,000.00
80% of Eligible Expenses (DOT):	\$ 80,000.00	\$ 160,000.00	2,400	\$ 242,400.00
20% of Eligible Expenses (Local):	\$ 20,000.00	\$ 40,000.00	600	\$ 60,600.00
<b>TOTAL REIMBURSEMENT REQUEST:</b>	<b>\$ 80,000.00</b>	<b>\$ 160,000.00</b>	<b>\$2,400</b>	<b>\$ 242,400.00</b>


The total amount requested this invoice is \$242,400.00

# Example #1 (combined PL and DA) invoice cover letter, page 1

Certify expenditure for this amount – the amount expended in the quarter or time period of the invoice. (see page 2 next slide)

TPD recommends submitting separate invoices for each WBS # (one for PL, and another for DA funds). They can be combined (as shown here) but need to identify what expenses apply to which WBS number. This is more effort to keep track of in a combined invoice.

Wilmington, NC 28402  
 Ph: (910) 341-3258  
 Fax: (910) 341-7801  
 www.wmpo.org



August 6, 2024

Ms. Nazia Sarder  
 Transportation Planning Division  
 North Carolina Department of Transportation  
 1554 Mail Service Center  
 Raleigh, NC 27699-1554

Re: Request for Reimbursement  
 PL104 and STBGP-DA – Quarter 4 of FY 2024  
 Invoice #: 11223344 (or FY23Q4PLDA if you don't have an auto-generated invoice)  
 Net Amount Payable This Invoice: \$242,400.00  
 City of xxxxxxxx, Project #: <insert if LPA accounting requires this info>  
 Contract No / PO #. 75000xxxxx  
 WBS No: 11111.1.11 (PL 104) and 222222.2.2 (STBG-DA) and 33333.3.33 (PL-Y410)

Remit and Make Check Payable To:  
 City of Wilmington  
 Collections Division  
 P.O. Box 1810  
 Wilmington, NC 28402-1810

Dear Ms. Sarder,

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Less Ineligible Costs:	\$ -	\$ -		\$ -
Eligible Expenses:	\$ 100,000.00	\$ 200,000.00		\$ 303,000.00
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<b>TOTAL REIMBURSEMENT REQUEST:</b>	<b>\$ 80,000.00</b>	<b>\$ 160,000.00</b>	<b>\$2,400</b>	<b>\$ 242,400.00</b>

The total amount requested this invoice is \$242,400.00

# Example #1, page 2: Certification page

Continued from previous slide.

Certifying that 100% amount expended occurred in the quarter. **This is the same amount as the 100% expenditure noted on previous slide (page 1 of this example).**

Kindly review the enclosed documentation and if you have any questions, please contact me at: (111) 222-333.

Sincerely,

\_\_\_\_\_  
Date: \_\_\_\_\_

Executive Director's Name Here  
Executive Director, The Wilmington Urban Area Metropolitan Planning Organization

#### CERTIFICATION

This is to certify that from April 1, 2024 through June 30, 2024 reimbursable PL104 & STBG-DA costs in the amount of \$303,000.00 have been incurred by the Wilmington Urban Area Metropolitan Planning Organization in the FY 2023-2024 approved budget for transportation planning activities.

This is to certify that the City of Wilmington has conflict of interest statements on file with respect to purchases of goods and services and is not using vendors that have been debarred by Federal, State or local governments.

\_\_\_\_\_  
Date: \_\_\_\_\_

Accounting Manager's Name Here  
Accounting Manager, City of Wilmington

#### FINANCE OFFICER'S CERTIFICATION STATEMENT


This instrument has been preaudited in the manner required by The Local Government Budget and Fiscal Control Act.

\_\_\_\_\_  
Date: \_\_\_\_\_

Finance Director's Name Here  
Finance Director, City of Wilmington

# Invoice cover letter example #2 - page 1

FY, WBS, and PO#, invoice# in subject (Contract# = PO#)



**CHARLOTTE.**

October 15, 2023

Dominique Boyd  
 NC Department of Transportation  
 1554 Mail Service Center  
 Raleigh NC 27699-1554

Subject: Charlotte Regional Transportation Planning Organization (CRTPO), FY2024, Quarter 1  
**PO # 75000xxxxxxxxx** WBS# 11111.1.1 and 22222.2.2 | Invoice# FY24Q1PL CFDA No. 20.205-5

Dear Mr. Boyd,

The Charlotte Regional planning work program for FY 2024 provides for expenditure of Section 104(f) PL Funds in the amount of \$1,000,000 (80%= \$800,000) and an additional \$4,000 in Metropolitan Planning set aside for increasing Safe and Accessible Transportation Options (PL-Y410). Total 104(f)PL expenses incurred in Q1 of FY24 by CRTPO were \$40,000 (80%= \$32,000) and PL Y410 expenses were \$1,000. We are requesting reimbursement for FY24 Q1 in the total amount of \$160,000 for the time period of 07/01/2023- 9/30/2023 for PL funds.

This letter is to identify Section 104(f) PL expenses for Q1 of FY 2024.

	<u>PL 104</u> WBS 1111.11.1	<u>PL Y410</u> WBS 2222.22.2	Total
Total expenses	\$40,000	\$1,000	\$41,000
20% local	\$8,000	\$200	\$8,200
80% reimbursement	\$32,000	\$800	\$32,800

Sincerely,

Insert name  
 Budget/Finance Manager, Charlotte Department of Transportation

MPO's CFDA# = 20.205-5 (This is different than RPO).


This example invoice is only for PL funds. Would submit another invoice for STBG-DA funds.

Reminder: Certify quarterly amount expended (the 100% amount) (see next page)

# Cover Letter Ex#2, page2 (the certification)



**Certified Amount must match the amount on the invoice sent to NCDOT. (Certifying amount expended this quarter)**

**Include invoice number. If applicable, use invoice number provided by your accounting department.**

  
**CHARLOTTE.**

This is to certify that the LPA has a conflict of interest statement on file with respect to purchase of goods and services and is not using vendors that have been debarred by Federal, State or local governments.

This is to certify that for the period of July 1, 2023 to September 30, 2023, costs in the amount of \$41,000 (80%=\$32,800) have been incurred by the Charlotte Regional Transportation Planning Organization in the FY 2024 approved budget for transportation planning activities.

 **Invoice # FY24Q1PL** 

**Please remit checks to:**

City of Charlotte  
PO Box 31032  
Charlotte NC 28231-1032

**Remember to have Finance Manager sign!**

---

Insert name here  
Budget/Finance Manager, Charlotte Department of Transportation

**Include the address on file with NCDOT. (where a check should be submitted)**



# Invoice summary PL and PL set-aside

If combining invoices (both PL accounts), You'll need:

## **Separate statement of work for the set-aside funds**

- **For each funding source**
  - Describe the tasks accomplished for the funds expended
    - Keep in mind the eligibility of the new funds. (11206 (c))
    - **Separate description** from the usual PL description.
- Identify how much \$ requesting reimbursement **for each WBS #**
- (Or simply send separate invoices if it's easier for you)

# Recommend to submit separate invoices (per funding source/WBS) each quarter


- Generally, it's easier to organize invoice back-up material by account/WBS.
  - (It's easier to keep track of expenses by keeping the accounts separate / using separate invoices)
- Thus, we recommend sending NCDOT an invoice each quarter for each WBS number in a given fiscal year.

# If combining multiple WBS in 1 invoice

1. Cover letter, certification, invoice, etc

2. Section summary page for PL expenses

3. PL back up material



305 Chestnut Street  
PO Box 1810  
Wilmington, NC 28402  
Ph: (910) 341-3258  
Fax: (910) 341-7801  
www.wmpo.org

October 15, 2023

Ms. Nazia Sarder  
Transportation Planning Division  
North Carolina Department of Transportation  
1554 Mail Service Center  
Raleigh, NC 27699-1554

Request for Reimbursement  
PL104, PL-Y410, and STBG-DA – Quarter 1 of FY 2024  
**Invoice #: 11223344** (or FY23Q4PLDA if you don't have an auto-generated invoice)  
Net Amount Payable This Invoice: \$242,400.00  
Contract No / PO #: 75000xxxxx  
WBS No: 11111.1.11 (PL 104) and 22222.2.2 (STBG-DA) and 33333.3.33 (PL-Y410)

Dear Ms. Sarder,


The Wilmington Urban Area Metropolitan Planning Organization's Unified Planning Work Program provides for the expenditure of PL 104(f) funds in the amount of \$300,000 and Surface Transportation Block Grant Program Direct Attributable (STBG-DA) funds in the amount of \$800,000 and \$10,000 in Metropolitan Planning set aside for Increasing Safe & Accessible Transportation Options (PL-Y410) for Fiscal Year 2023-2024.

This letter is to request reimbursement of PL104(f) and STBG-DA funds for costs incurred during the FY2024 1st Quarter billing period, July 1, 2023 – September 30, 2023. Attached are the 1st quarter's Invoice, # 11223344, Expenditure Reports and Narrative supporting the below cost allocations.

For the FY2024 1st Quarter billing period, July 1, 2023 – September 30, 2023, we have paid the following:

	PL104 (F)	STBG-DA	PL-Y410	Combined Total
Total Expenses:	\$ 100,000.00	\$ 200,000.00	3,000	\$ 303,000.00
Less Sales Tax:	\$ -	\$ -		\$ -
Less Ineligible Costs:	\$ -	\$ -		\$ -
Eligible Expenses:	\$ 100,000.00	\$ 200,000.00		\$ 303,000.00
80% of Eligible Expenses (DOT):	\$ 80,000.00	\$ 160,000.00	2,400	\$ 242,400.00
20% of Eligible Expenses (Local):	\$ 20,000.00	\$ 40,000.00	600	\$ 60,600.00
<b>TOTAL REIMBURSEMENT REQUEST:</b>	<b>\$ 80,000.00</b>	<b>\$ 160,000.00</b>	<b>\$2,400</b>	<b>\$ 242,400.00</b>

The total amount requested this invoice is \$242,400.00



**WILMINGTON URBAN AREA  
METROPOLITAN PLANNING ORGANIZATION**

**PL104 Expenditures for WMPO**

1st Quarter, FY2024 July 1, 2023 - September 30, 2023

WBS# 12345.6.78 PO# 1200034567

CATEGORY	EXPENSES
Personnel & Benefits	\$ 98,000.00
Contract / Pro-Services	\$ -
Equipment*	\$ -
Operating*	
Supplies*	\$ 1,000.00
Travel*	\$ 1,000.00
<b>TOTAL</b>	<b>\$ 100,000.00</b>
<b>LOCAL SHARE (20%)</b>	<b>\$ 20,000.00</b>
<b>PL104 SHARE (80%)</b>	<b>\$ 80,000.00</b>

Back up material for the PL expenses:

- Consultant invoices,
- proof of payment,
- description of work, etc

# Combine WBS #'s, page 2

4. Section summary page for PL set aside (Y410) expenses

WILMINGTON URBAN AREA METROPLITAN PLANNING ORGANIZATION	
PL-Y410 Expenditures for WMPO	
PL Set aside - Increasing Safe & Accessible Transportation Options	
1st Quarter, FY2024 July 1, 2023 - September 30, 2023	
WBS# 12345.6.78 PO# 1200034567	
CATEGORY	EXPENSES
Personnel & Benefits	\$ 2,950.00
Contract / Pro-Services	\$ -
Equipment*	\$ -
Operating*	
Supplies*	\$ 50.00
Travel*	
<b>TOTAL</b>	<b>\$ 3,000.00</b>
LOCAL SHARE (20%)	\$ 600.00
PL104 SHARE (80%)	\$ 2,400.00

5. PL set-aside (Y410) back up material


Back up material for the PL set-aside (Y410) expenses:

- Consultant invoices,
- proof of payment,
- description of work, etc

Basically, a separate invoice, except there is a shared cover letter and certification.

# Combining WBS #'s, page 3

6. Section summary page for STBG-DA expenses

 <b>WILMINGTON URBAN AREA METROPOLITAN PLANNING ORGANIZATION</b>	
STBG-DA Expenditures for WMPO	
1st Quarter, FY2024 July 1, 2023 - September 30, 2023	
WBS# 12345.6.7 PO# 1200034567	
CATEGORY	EXPENSES
Personnel & Benefits	\$ 149,500.50
Contract / Pro-Services	\$ 50,000.00
Equipment*	\$ -
Operating*	\$ -
Supplies*	\$ 499.50
Travel*	\$ -
<b>TOTAL</b>	<b>\$ 200,000.00</b>
<b>LOCAL SHARE (20%)</b>	<b>\$ 40,000.00</b>
<b>STBG-DA SHARE (80%)</b>	<b>\$ 160,000.00</b>

7. STBG-DA back up material

Back up material for the STBG-DA expenses:

- Consultant invoices,
- proof of payment,
- description of work, etc

**Remember: Can only combine WBS if from same PO #.**

Basically, a separate invoice, except there is a shared cover letter and certification.

# Cover letter errors

- If the cover letter is inaccurate in some way TPD can not process. **If there are errors, you must resubmit the invoice package** with a corrected cover letter.
- Typical errors on the cover letter
  - wrong WBS,
  - wrong PO,
  - wrong period of performance,
  - wrong reimbursement amount (doesn't match spreadsheet).

## Invoices to NCDOT – request by funding source

- Invoices to NCDOT (PWP also) need to have description of work and who did the work (consultant or MPO staff)
  - In the PWP: who will do the work.
  - On the invoice: who did the work.
- On the invoice to NCDOT... **Each funding source needs to be identified and request reimbursement from each WBS**, as applicable.
  - Each funding account requires separate documentation, proof of payment, description of work accomplished (for those particular funds), etc.

# Multi-funding source example expenditure report (It's easier to submit separate invoices)

CODE	TASK/DESCRIPTION	Expenditures 1st Quarter-PL	Expenditures 1st Quarter-STP-DA
II-A	SURVEILLANCE		
1	Traffic Counts	\$5,000	\$5,484
2	Vehicle Miles of Travel	\$2,000	\$76
3	Street System Mileage Change	\$2,569	\$0
4	Traffic Crashes	\$4,322	\$0
5	Transit System Data	\$1,753	
6	Dwelling Unit, Pop/Empl Changes	\$5,380	
7	Air Travel	\$500	
8	Vehicle Occupancy Rates	\$0	
9	Travel Time Studies	\$4,363	
10	Mapping	\$8,453	\$3,325
11	Central Area Parking Inventory	\$2,000	\$1,479
12	Bike & Ped Facilities Inventory	\$3,291	\$2,093
13	Bike & Ped Counts	\$3,771	\$1,912

Statement of work #1 describing activities in this column

Each account / funding source needs a separate statement of work.

Statement of work #2 describing activities in this column



# Review – PO/WBS numbers

- PO numbers are one per fiscal year
- WBS numbers are one per project
  - Project #1 = FY22 MPO PL funds
  - Project #2 = FY22 STBG-DA funds
  - Project #3 = SPR-funded study
- MPO's may have PL, DA, and/or SPR funds in a FY.
  - They will EACH have different WBS numbers
  - Recommend invoicing these separately so correct invoice amount is applied to the proper WBS number.
  - IE, the recommendation is one invoice (each quarter) for each WBS number the MPO has in the fiscal year.

# PO/WBS number review, page 2

The recommendation is: **invoice each WBS number separately.**

The rule is:

- One quarterly invoice per PO number (ie, per fiscal year).
  - Can combine PL and DA. (TPD recommends separating)
  - Cannot combine expenses and make one invoice across multiple fiscal year accounts (because they have different PO numbers).

# Example for multi-year, multi-account.

## This example quarter has 4 invoices:

### Previous Fiscal year

Invoice(s) for expenditures incurred for these accounts this quarter:

**PO# 1234 (FY21)** Previous FY

**Previous FY**  
**FY21PLQ5**  
**WBS#**  
**Separate invoice**

**Previous FY**  
**FY21DAQ5**  
**WBS#**  
**Separate invoice**

Recommend submit separate PL and DA invoices: Ex: FY21Q5PL and FY21Q5DA

### Current Fiscal year

Invoice(s) for this quarter

**PO# 5678 (FY22)** Current FY

**Current FY**  
**FY22PLQ1**  
**WBS#**  
**Separate invoice**

**Current FY**  
**FY22DAQ1**  
**WBS#**  
**Separate invoice**

Recommend submit separate PL and DA invoices: Ex: FY22Q1PL and FY22Q1DA

Current FY for this example

# Table for 1<sup>st</sup> PL Invoice (FY22Q1PL)

sample Urban Area MPO

First Quarter Report, Fiscal Year 2021-2022

July 1, 2021 - September 30, 2022

## Detail of Expenditures

TASK	PL104 budget for FY22			PL funds Staff	PL Funds	PL funds Supplies, Training, Advertising	Total expenses 1st qtr FY22	80% reimbursement	Amount of total funds remaining after 1st Quarter expenditures
	20%	(80%)	Total	Salaries	Professional Services				
	1st Quarter								
II-A-1	\$12,000.00	\$48,000.00	\$60,000.00	\$1,379.97		\$17,681.00	\$19,060.97	\$15,248.78	\$40,939.03
II-A-2	\$3,000.00	\$12,000.00	\$15,000.00				\$0.00	\$0.00	\$15,000.00
II-A-3	\$30,000.00	\$120,000.00	\$150,000.00				\$0.00	\$0.00	\$150,000.00
II-B-1	\$3,000.00	\$12,000.00	\$15,000.00	\$173.15			\$173.15	\$138.52	\$14,826.85
II-B-2	\$19,000.00	\$76,000.00	\$95,000.00	\$4,510.90			\$4,510.90	\$3,608.72	\$90,489.10
II-B-3	\$11,000.00	\$44,000.00	\$55,000.00				\$0.00	\$0.00	\$55,000.00
III-A-1	\$5,000.00	\$20,000.00	\$25,000.00	\$827.98			\$827.98	\$662.38	\$24,172.02
III-A-2	\$7,000.00	\$28,000.00	\$35,000.00				\$0.00	\$0.00	\$35,000.00
III-B-1	\$6,000.00	\$24,000.00	\$30,000.00	\$5,612.10			\$5,612.10	\$4,489.68	\$24,387.90
III-B-2	\$6,000.00	\$24,000.00	\$30,000.00				\$0.00	\$0.00	\$30,000.00
III-B-3	\$5,000.00	\$20,000.00	\$25,000.00	\$883.17			\$883.17	\$706.54	\$24,116.83
III-C-1	\$2,000.00	\$8,000.00	\$10,000.00				\$0.00	\$0.00	\$10,000.00
III-C-2	\$2,000.00	\$8,000.00	\$10,000.00				\$0.00	\$0.00	\$10,000.00
III-C-3	\$0.00	\$0.00	\$0.00				\$0.00	\$0.00	\$0.00
III-C-4	\$0.00	\$0.00	\$0.00				\$0.00	\$0.00	\$0.00
III-C-5	\$0.00	\$0.00	\$0.00				\$0.00	\$0.00	\$0.00
III-C-6	\$4,000.00	\$16,000.00	\$20,000.00			\$1,081.61	\$1,081.61	\$865.29	\$18,918.39
III-C-7	\$0.00	\$0.00	\$0.00				\$0.00	\$0.00	\$0.00
III-D	\$10,000.00	\$40,000.00	\$50,000.00	\$165.60			\$165.60	\$132.48	\$49,834.40
III-E	\$20,000.00	\$80,000.00	\$100,000.00	\$12,361.43		\$602.80	\$12,964.23	\$10,371.38	\$87,035.77
<b>TOTALS</b>	\$145,000.00	\$580,000.00	\$725,000.00	\$25,914.30		\$19,365.41	\$45,279.71	\$36,223.77	\$679,720.29

Current FY for this example

# Table for 1<sup>st</sup> DA Invoice (FY22Q1DA)

TASK	STBG-DA budget for FY22			STBG-DA funds	STBG-DA Funds	FY22 DA funds	Total expenditure	80%	Amount of total funds
	20%	(80%)	Total	FY22 Staff Salaries	FY22 Professional Services	Supplies, Training, Advertising	1st qtr FY22 (100%)	reimbursement	remaining after
				1st Quarter					1st Quarter expenditures
II-A-1	\$0	\$0	\$0				\$0.00	\$0.00	\$0.00
II-A-2	\$0	\$0	\$0				\$0.00	\$0.00	\$0.00
II-A-3	\$0	\$0	\$0				\$0.00	\$0.00	\$0.00
II-B-1	\$0	\$0	\$0				\$0.00	\$0.00	\$0.00
II-B-2	\$0	\$0	\$0				\$0.00	\$0.00	\$0.00
II-B-3	\$0	\$0	\$0				\$0.00	\$0.00	\$0.00
Corridor study 1	\$20,000	\$80,000	\$100,000		\$10,000.00		\$10,000.00	\$8,000.00	\$90,000.00
Bike Plan 2	\$40,000	\$160,000	\$200,000		\$20,000.00		\$20,000.00	\$16,000.00	\$180,000.00
Feasibility Study 3	\$60,000	\$240,000	\$300,000		\$30,000.00		\$30,000.00	\$24,000.00	\$270,000.00
III-A-1	\$0	\$0	\$0				\$0.00	\$0.00	\$0.00
III-A-2	\$0	\$0	\$0				\$0.00	\$0.00	\$0.00
III-B-1	\$0	\$0	\$0				\$0.00	\$0.00	\$0.00
III-B-2	\$0	\$0	\$0				\$0.00	\$0.00	\$0.00
III-B-3	\$0	\$0	\$0				\$0.00	\$0.00	\$0.00
III-C-1	\$0	\$0	\$0				\$0.00	\$0.00	\$0.00
III-C-2	\$0	\$0	\$0				\$0.00	\$0.00	\$0.00
III-C-3	\$0	\$0	\$0				\$0.00	\$0.00	\$0.00
III-C-4	\$0	\$0	\$0				\$0.00	\$0.00	\$0.00
III-C-5	\$0	\$0	\$0				\$0.00	\$0.00	\$0.00
III-C-6	\$0	\$0	\$0				\$0.00	\$0.00	\$0.00
III-C-7	\$0	\$0	\$0				\$0.00	\$0.00	\$0.00
III-D	\$0	\$0	\$0				\$0.00	\$0.00	\$0.00
III-E	\$0	\$0	\$0				\$0.00	\$0.00	\$0.00
<b>TOTALS</b>	\$120,000	\$480,000	\$600,000		\$60,000.00		\$60,000.00	<b>\$48,000.00</b>	\$540,000.00

# Table for 5<sup>th</sup> PL invoice (FY21PLQ5) using funds from **previous fiscal year**

Note there is no staff time for previous Fiscal Year

sample Urban Area MPO  
Fiscal Year 2020-2021 (the previous FY)  
July 1, 2020 - September 30, 2021 (FY21)

PL104 budget for FY21				Detail of Expenditures						
TASK	20%	(80%)	Total	PL funds Staff	PL Funds	PL funds Supplies, Training, Advertising	Total expenses incurred inv# 5 FY21 (100%)	80% reimbursement	Amount of total funds remaining after 1st Quarter expenditures	20% local of expenditures
				Salaries	Professional Services					
				1st Quarter						
II-A-1	\$0.00	\$0.00	\$0.00				\$0.00	\$0.00	\$0.00	\$0.00
II-A-2	\$0.00	\$0.00	\$0.00				\$0.00	\$0.00	\$0.00	\$0.00
II-A-3	\$0.00	\$0.00	\$0.00				\$0.00	\$0.00	\$0.00	\$0.00
II-B-1	\$0.00	\$0.00	\$0.00				\$0.00	\$0.00	\$0.00	\$0.00
II-B-2	\$0.00	\$0.00	\$0.00				\$0.00	\$0.00	\$0.00	\$0.00
II-B-3	\$0.00	\$0.00	\$0.00				\$0.00	\$0.00	\$0.00	\$0.00
Previous FY study X	\$20,000	\$80,000	\$100,000		\$40,000.00		\$40,000.00	\$32,000.00	\$60,000.00	\$8,000.00
Previous FY study Y	\$40,000	\$160,000	\$200,000		\$50,000.00		\$50,000.00	\$40,000.00	\$150,000.00	\$10,000.00
III-A-1	\$0.00	\$0.00	\$0.00				\$0.00	\$0.00	\$0.00	\$0.00
III-A-2	\$0.00	\$0.00	\$0.00				\$0.00	\$0.00	\$0.00	\$0.00
III-B-1	\$0.00	\$0.00	\$0.00				\$0.00	\$0.00	\$0.00	\$0.00
III-B-2	\$0.00	\$0.00	\$0.00				\$0.00	\$0.00	\$0.00	\$0.00
III-B-3	\$0.00	\$0.00	\$0.00				\$0.00	\$0.00	\$0.00	\$0.00
III-C-1	\$0.00	\$0.00	\$0.00				\$0.00	\$0.00	\$0.00	\$0.00
III-C-2	\$0.00	\$0.00	\$0.00				\$0.00	\$0.00	\$0.00	\$0.00
III-C-3	\$0.00	\$0.00	\$0.00				\$0.00	\$0.00	\$0.00	\$0.00
III-C-4	\$0.00	\$0.00	\$0.00				\$0.00	\$0.00	\$0.00	\$0.00
III-C-5	\$0.00	\$0.00	\$0.00				\$0.00	\$0.00	\$0.00	\$0.00
III-C-6	\$0.00	\$0.00	\$0.00				\$0.00	\$0.00	\$0.00	\$0.00
III-C-7	\$0.00	\$0.00	\$0.00				\$0.00	\$0.00	\$0.00	\$0.00
III-D	\$0.00	\$0.00	\$0.00				\$0.00	\$0.00	\$0.00	\$0.00
III-E	\$0.00	\$0.00	\$0.00				\$0.00	\$0.00	\$0.00	\$0.00
<b>TOTALS</b>	\$60,000.00	\$240,000.00	\$300,000.00		\$90,000.00		\$90,000.00	\$72,000.00	\$210,000.00	\$18,000.00

Studies MUST have started in the previous FY

# Table for 5<sup>th</sup> DA invoice (FY21Q5DA) using funds from **previous fiscal year**

	STBG-DA budget for FY21 (the previous fiscal year)			STBG-DA funds	STBG-DA Funds	FY21 DA funds Supplies, Training, Advertising	Total expenditure incurred inv# 5 FY21 (100%)	80% reimbursement	Amount of total funds remaining after inv #5 expenditures	20% local of expenditures
				FY21 Staff Salaries	FY21 Professional Services					
			Total							
	\$0	\$0	\$0				\$0.00	\$0.00	\$0.00	\$0.00
	\$0	\$0	\$0				\$0.00	\$0.00	\$0.00	\$0.00
	\$0	\$0	\$0				\$0.00	\$0.00	\$0.00	\$0.00
II-B-2	\$0	\$0	\$0				\$0.00	\$0.00	\$0.00	\$0.00
II-B-3	\$0	\$0	\$0				\$0.00	\$0.00	\$0.00	\$0.00
Previous FY study A	\$20,000	\$80,000	\$100,000		\$60,000.00		\$60,000.00	\$48,000.00	\$16,000.00	\$12,000.00
Previous FY study B	\$40,000	\$160,000	\$200,000		\$70,000.00		\$70,000.00	\$56,000.00	\$17,000.00	\$14,000.00
III-A-1	\$0	\$0	\$0				\$0.00	\$0.00	\$0.00	\$0.00
III-A-2	\$0	\$0	\$0				\$0.00	\$0.00	\$0.00	\$0.00
III-B-1	\$0	\$0	\$0				\$0.00	\$0.00	\$0.00	\$0.00
III-B-2	\$0	\$0	\$0				\$0.00	\$0.00	\$0.00	\$0.00
III-B-3	\$0	\$0	\$0				\$0.00	\$0.00	\$0.00	\$0.00
III-C-1	\$0	\$0	\$0				\$0.00	\$0.00	\$0.00	\$0.00
III-C-2	\$0	\$0	\$0				\$0.00	\$0.00	\$0.00	\$0.00
III-C-3	\$0	\$0	\$0				\$0.00	\$0.00	\$0.00	\$0.00
III-C-4	\$0	\$0	\$0				\$0.00	\$0.00	\$0.00	\$0.00
III-C-5	\$0	\$0	\$0				\$0.00	\$0.00	\$0.00	\$0.00
III-C-6	\$0	\$0	\$0				\$0.00	\$0.00	\$0.00	\$0.00
III-C-7	\$0	\$0	\$0				\$0.00	\$0.00	\$0.00	\$0.00
III-D	\$0	\$0	\$0				\$0.00	\$0.00	\$0.00	\$0.00
III-E	\$0	\$0	\$0				\$0.00	\$0.00	\$0.00	\$0.00
<b>TOTALS</b>	\$60,000	\$240,000	\$300,000		\$130,000.00		\$130,000.00	\$104,000.00	\$170,000.00	\$26,000.00

Note there is no staff time for previous Fiscal Year

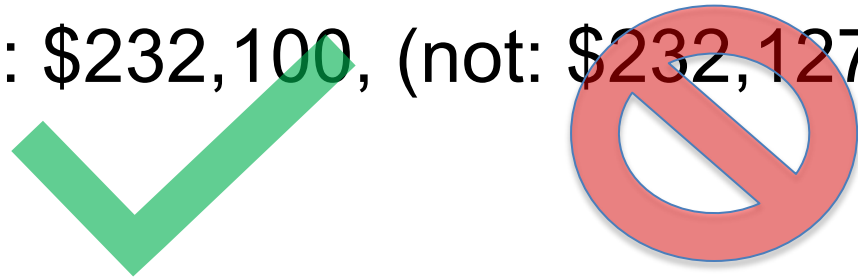
Studies MUST have started in the previous FY

# UPWP / PWP



# UPWP programming reminders

- Recommend programming ALL PL fund allocation.
  - Can always amend UPWP, if needed.
- If using less than full PL allocation, recommended to use an amount rounded to even hundreds.
  - Ex. for the 80% fed funds: \$232,100, (not: ~~\$232,127~~)



# Overmatching?

Providing more local funds than 20%? Then:

1. Overmatched % needs to end in a 5 or 0.
  - 75/25, 70/30, 65/35, 60/40, etc.
2. Overmatched project(s) need to be separated.
  - UPWP will need to show this by having a separate section with a different % split. (example next slide)
  - Project(s) will have a separate WBS number, and thus need to be invoiced separately. (to apply the different %)

# Overmatching – how to show in UPWP

Hidden rows in this example.

80/20 amounts would be one quarterly invoice. (an 80/20 WBS)

These special studies will be invoiced (separately from 80/20 amounts) using a 70/30 reimbursement. In this case, there would be \$70k in a separate WBS account.

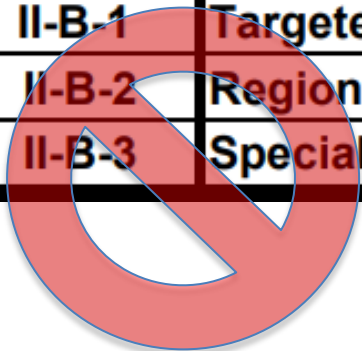
All 3 studies would have the same WBS (split as 70/30).

			MPO Planning and Admin - PL104		
FTA CODE	TASK CODE	TASK DESCRIPTION	Local 20%	Federal 80%	TOTAL 100%
	II-A	Data and Planning Support	\$ 45,000	\$ 180,000	\$ 225,000
44.24.00	II-A-1	Networks and Support Systems	\$ 12,000	\$ 48,000	\$ 60,000
44.27.00	III-C-6	Public Involvement	\$4,000	\$16,000	\$20,000
44.27.00	III-C-7	Private Sector Participation	\$0	\$0	\$0
44.27.00	III-D	Statewide & Extra-Regional Planning	\$ 50,000	\$ 200,000	\$ 250,000
44.27.00	III-E	Management Ops, Program Suppt Adm	\$35,000	\$140,000	\$175,000
TOTALS for 80/20 amounts			\$ 200,000	\$ 800,000	\$ 1,000,000

			MPO Planning and Admin - PL104		
FTA CODE	TASK CODE	TASK DESCRIPTION	Local 30%	Federal 70%	TOTAL 100%
	II-B-3	Special Studies	\$ 30,000	\$ 70,000	\$ 100,000
	II-B-3	Study A	\$ 12,000	\$ 28,000	\$ 40,000
	II-B-3	Study B	\$ 9,000	\$ 21,000	\$ 30,000
	II-B-3	Study C	\$ 9,000	\$ 21,000	\$ 30,000
TOTALS for 70/30 amounts			\$ 30,000	\$ 70,000	\$ 100,000
MPO grand total for the fiscal year			\$ 230,000	\$ 870,000	\$ 1,100,000


# PWP- What's wrong with this?

Task Code	Task Description	Section 104 (f) (PL Funds) Highway		
		Total	Local 20%	FHWA 80%
<b>II-A</b>	<b>Data and Planning Support</b>			
II-A-1	Networks and Support System	\$10,000	\$2,000	\$8,000
II-A-2	Travelers and Behavior	\$10,000	\$2,000	\$8,000
II-A-3	Transportation Modeling	\$150,000	\$30,000	\$120,000
<b>II-B</b>	<b>Planning Process</b>			
II-B-1	Targeted Planning	\$30,000	\$6,000	\$24,000
II-B-2	Regional Planning	\$50,000	\$10,000	\$40,000
II-B-3	Special Studies	\$400,000	\$80,000	\$320,000



What is the study or studies?  
Need to provide detail and cost of each study.

# What's wrong with this PWP task description?

Task Code	Prospectus Task Code Titles	Task Code Title Descriptions	Total Costs
II-B-3	Special Studies	 <p>Conduct feasibility studies/ corridor assessments as appropriate for project development and planning purposes. This may include a range of studies for project development and planning purposes on an as-needed basis. Develop and review Environmental Impact Statements (EIS), Environmental Assessments (EA), Categorical Exclusions (CE), FONSI, feasibility studies and other NCDOT and City planning documents. Assist MPO members with STP-DA funded projects process. Manage City Bond referendum studies and projects. Assist CCPB with small area plans transportation elements.</p>	\$1,295,500

Doesn't identify an individual study! This is not an acceptable study description.

# Each special study needs to be itemized

FTA CODE	TASK CODE	TASK DESCRIPTION	MPO Planning and Admin - PL104		
			Local 20%	Federal 80%	TOTAL
	<b>II-A</b>	<b>Data and Planning Support</b>	\$ 27,000	\$ 108,000	\$ 135,000
44.24.00	II-A-1	Networks and Support Systems	\$ 12,000	\$ 48,000	\$ 60,000
44.23.01	II-A-2	Travelers and Behavior	\$ 3,000	\$ 12,000	\$ 15,000
44.23.02	II-A-3	Transportation Modeling	\$ 12,000	\$ 48,000	\$ 60,000
	<b>II-B</b>	<b>Planning Process</b>	\$ 52,000	\$ 208,000	\$ 260,000
44.23.02	II-B-1	Targeted Planning	\$ 3,000	\$ 12,000	\$ 15,000
44.23.01	II-B-2	Regional Planning (CTP, MTP, etc)	\$ 13,000	\$ 52,000	\$ 65,000
44.27.00	II-B-3	Special Studies	\$ -	\$ -	
		SW Bypass corridor/small area plan	\$ 5,000	\$ 20,000	\$ 25,000
		PATS Community Transportation Plan	\$ 5,000	\$ 20,000	\$ 25,000
		Bike/Ped/Greenway Master Plan	\$ 26,000	\$ 104,000	\$ 130,000

# Another example

Title of each study is listed with cost estimate!

		FHWA STBG-DA Funds		
		Total 100%	Local 20%	FHWA 80%
II-B	Planning Process			
II-B-1	Targeted Planning	\$0	\$0	\$0
II-B-2	Regional Planning	\$0	\$0	\$0
II-B-3	Special Studies	\$1,560,000	\$312,000	\$1,248,000
	Village of Clemmons- Bicycle and Pedestrian Plan			
	FTA Pilot Transit-Oriented Development Grant			
	MTP & CTP Consultant	\$300,000	\$60,000	\$240,000
	Lewisville-Clemmons Road - Clemmons FS	\$100,000	\$20,000	\$80,000
	Montroyal Reconnection Study - Rural Hall	\$100,000	\$20,000	\$80,000
	Northridge Park Dr to Langenthal Dr. Connector Study Rural Hall	\$100,000	\$20,000	\$80,000
	Main Street Transportation Study - Walkertown	\$80,000	\$16,000	\$64,000
	MPO Freight Study Phase III	\$75,000	\$15,000	\$60,000
	PMP and Human Services Plan	\$100,000	\$20,000	\$80,000
	Downtown Streetscape Plan - Winston Salem	\$150,000	\$30,000	\$120,000
	Lewisville-Clemmons Road Interchange/Kinnamon Bridge Study - Clemmons	\$100,000	\$20,000	\$80,000
	Pedestrian Plan	\$175,000	\$35,000	\$140,000
	PTRM Household Survey - Winston-Salem MPO Share	\$50,000	\$10,000	\$40,000
	Bicycle Master Plan	\$30,000	\$6,000	\$24,000
	Salem Creek Greenway FS	\$200,000	\$40,000	\$160,000

# Yet Another Example – List each study

- ✓ Each study is listed in corresponding funding category.
- ✓ Each funding category shows funding % and total.

FTA CODE	TASK CODE	TASK DESCRIPTION	MPO Planning and Admin - PL104			Transit Planning - 5303				STBGDA (Flexed to PL)		
			Local	Federal	TOTAL	Local	State	Federal	Total	Local	Federal	Total
			20%	80%		(10%)	(10%)	(80%)				
	II-A	Data and Planning Support	\$ 7,305	\$29,221	\$ 36,526	\$2,363	\$2,362	\$18,900	\$23,625	\$ 6,566	\$ 26,266	\$ 32,832
44.24.00	II-A-1	Networks and Support Systems	\$ 1,623	\$6,494	\$ 8,117	\$1,890	\$1,890	\$15,120	\$18,900			
44.23.01	II-A-2	Travelers and Behavior	\$ 2,435	\$9,740	\$ 12,175	\$473	\$472	\$3,780	\$4,725			
44.23.02	II-A-3	Transportation Modeling	\$ 3,247	\$12,987	\$ 16,234					\$ 6,566	\$ 26,266	\$ 32,832
	II-B	Planning Process	\$ 17,046	\$68,182	\$ 85,228	\$740	\$740	\$5,920	\$7,400	\$ 61,618	\$246,473	\$ 308,092
44.23.02	II-B-1	Targeted Planning	\$ 9,740	\$38,961	\$ 48,702							
44.22.00	II-B-2	Regional Planning	\$ 4,870	\$19,481	\$ 24,351	\$740	\$740	\$5,920	\$7,400			
44.27.00	II-B-3A	Special Studies Operations	\$ 2,435	\$9,740	\$ 12,175					\$ 1,642	\$ 6,566	\$ 8,208
44.27.00	II-B-3B	Corridor Studies Pilot Operations	\$ -	\$0	\$ -					\$ 1,642	\$ 6,566	\$ 8,208
44.27.00	II-B-3C	Special Studies Pass-Through	\$ -	\$0	\$ -							
44.27.00	II-B-3D	TDM Coordinator								\$ 11,935	\$ 47,741	\$ 59,676
44.27.00	II-B-3E	Regional Transit Feasibility Study								\$ 20,000	\$ 80,000	\$ 100,000
44.27.00	II-B-3F	Asheville Bike Ped Count Equip.								\$ 12,000	\$ 48,000	\$ 60,000
44.27.00	II-B-3G	Waynesville Grnway Feas. Study								\$ 14,400	\$ 57,600	\$ 72,000
	III-A	Planning Work Program	\$ 3,247	\$12,987	\$ 16,234	\$202	\$203	\$1,620	\$2,025	\$ 3,283	\$ 13,133	\$ 16,416



In PWP: Total funds by funding source  
(have 20%, 80%, and 100% columns)

TASK CODE	TASK DESCRIPTION	MPO Planning and Admin - PL104		
		Local 20%	Federal 80%	TOTAL 100%
II-A	Data and Planning Support	\$ 45,000	\$ 180,000	\$ 225,000
II-A-1	Networks and Support Systems	\$ 12,000	\$ 48,000	\$ 60,000
II-A-2	Travelers and Behavior	\$ 3,000	\$ 12,000	\$ 15,000
II-A-3	Transportation Modeling	\$ 30,000	\$ 120,000	\$ 150,000

Make sure UPWP has these 3 columns for PL,  
PL set aside (Y410), STBG-DA, (and SPR if  
applicable) (ie, **for all funding sources**)

# PWP project description.

## What's wrong with this?

o **Greenville MPO Non-motorized Transportation Plan** This item is carried forward from the previous Fiscal Year, since it is not expected to be completed. While the total plan is estimated at \$140,00, it is expected that \$40,000 will be expended in the previous fiscal year, leaving \$100,000 for FY2017. An additional \$30,000 is programmed for project management, for a total expenditure of \$130,000 in FY17.

The City of Greenville plans to develop an integrated non-motorizedl transportation plan which will update the existing bike/ped plan, and will include greenways, and expand the scope of greenway planning throughout the MPO. A single combined bike/ped/greenway master plan will save in update costs over the years by integratating these plans into a comprehensive multi-modal transportation plan that will include these modes of transportation. The non-motorized transportation plan study will draw from existing transportation plans, but also involve gathering new information through data collection and public involvement. The resulting plan will identify key destinations throughout the MPO, and determine the best non-motorized transportation connections between these destinations

Should say: “The City of xxx will acquire a consultant..”  
or “A consultant will be used to ....”

# Special Study Narrative (in UPWP)

Special Study Narrative is not just the name of the study. It should include the name of the study and provide:

- a short description of the study
- who will do the study (consultant or MPO staff).

## 23 CFR 450.308

- “The UPWP shall identify work proposed for the next 1- or 2-year period by major activity and task (including activities that address the planning factors in § 450.306(b)), **in sufficient detail to indicate who** (e.g., MPO, State, public transportation operator, local government, or consultant) **will perform the work**, the schedule for completing the work, the resulting products, the proposed funding by activity/task, and a summary of the total amounts and sources of Federal and matching funds.”

# PL set aside funds (Y410) - narrative

- Remember to add planned description of work. Use the [federal eligibility](#) as a guide. (11206)

(c) Activities Described.--An activity referred to in subsection (b) is an activity to increase safe and accessible options for multiple travel modes for people of all ages and abilities, which, if permissible under applicable State and local laws, may include--

- (1) adoption of Complete Streets standards or policies;
- (2) development of a Complete Streets prioritization plan that identifies a specific list of Complete Streets projects to improve the safety, mobility, or accessibility of a street;
- (3) development of transportation plans--

[[Page 135 STAT. 525]]

(A) to create a network of active transportation facilities, including sidewalks, bikeways, or pedestrian and bicycle trails, to connect neighborhoods with destinations such as workplaces, schools, residences, businesses, recreation areas, healthcare and child care services, or other community activity centers;

(B) to integrate active transportation facilities with public transportation service or improve access to public transportation;

(C) to create multiuse active transportation infrastructure facilities, including bikeways or pedestrian and bicycle trails, that make connections within or between communities;

(D) to increase public transportation ridership; and

(E) to improve the safety of bicyclists and pedestrians;

(4) regional and megaregional planning to address travel demand and capacity constraints through alternatives to new highway capacity, including through intercity passenger rail; and

(5) development of transportation plans and policies that support transit-oriented development.

# PL set aside – narrative

- (1) Adoption of Complete Streets standards or policies.**
- (2) Development of a Complete Streets prioritization plan that identifies a specific list of Complete Streets projects to improve the safety, mobility, or accessibility of a street.**
- (3) Development of transportation plans to...**
  - (A) Create a network of active transportation facilities, including sidewalks, bikeways, or pedestrian and bicycle trails, to connect neighborhoods with destinations such as workplaces, schools, residences, businesses, recreation areas, healthcare and childcare services, or other community activity centers.**
  - (B) Integrate active transportation facilities with public transportation service or improve access to public transportation.**
  - (C) Create multiuse active transportation infrastructure facilities (including bikeways or pedestrian and bicycle trails) that make connections within or between communities.**
  - (D) Increase public transportation ridership; and**
  - (E) Improve the safety of bicyclists and pedestrians.**
- (4) Regional and megaregional planning (i.e., multi-jurisdictional transportation planning that extends beyond MPO and/or State boundaries) that address travel demand and capacity constraints through alternatives to new highway capacity, including through intercity passenger rail; and**
- (5) Development of transportation plans and policies that support transit-oriented development.**

# How to show PL set-aside (PL-Y410 funds) in the UPWP.

		MPO Planning and Admin - PL104			Safe & Acc Transp Options PL104 set aside (Program code Y410)
TASK CODE	TASK DESCRIPTION	Local 20%	Federal 80%	TOTAL 100%	Federal 100%
<b>II-A</b>	<b>Data and Planning Support</b>	\$ 45,000	\$ 180,000	\$ 225,000	
II-A-1	Networks and Support Systems	\$ 12,000	\$ 48,000	\$ 60,000	
II-A-2	Travelers and Behavior	\$ 3,000	\$ 12,000	\$ 15,000	
II-A-3	Transportation Modeling	\$ 30,000	\$ 120,000	\$ 150,000	
<b>II-B</b>	<b>Planning Process</b>	\$ 33,000	\$ 132,000	\$ 165,000	
II-B-1	Targeted Planning	\$ 3,000	\$ 12,000	\$ 15,000	
II-B-2	Regional Planning (CTP, MTP, etc)	\$ 19,000	\$ 76,000	\$ 95,000	
	Safe and Acc Transp Options	\$ -	\$ -		\$ 4,000
II-B-3	Special Studies				
	Corridor study A	\$ 5,000	\$ 20,000	\$ 25,000	
	Bike/Ped/Greenway Master Plan	\$ 6,000	\$ 24,000	\$ 30,000	
<b>III-A</b>	<b>Planning Work Program</b>	\$ 12,000	\$ 48,000	\$ 60,000	
III-A-1	Planning Work Program	\$ 5,000	\$ 20,000	\$ 25,000	
III-A-2	Metrics and Performance Measures	\$ 7,000	\$ 28,000	\$ 35,000	

# Task code variance\*

## MPO

- A difference of 100% or \$2,500, whichever is less, may be allowed if approved in advance by the TPD MPO Coordinator
- (per [NCDOT procedure for MPO invoice processing](#))



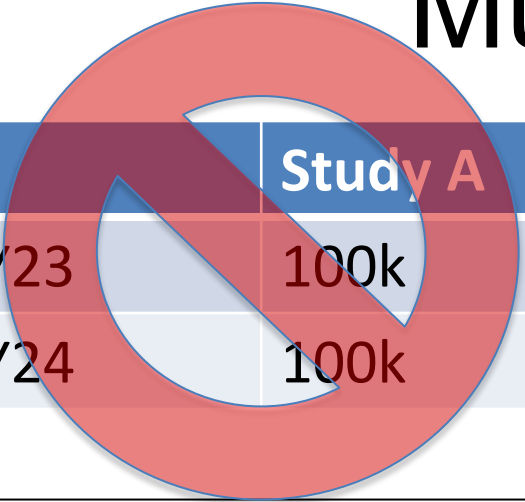
# MPO (U)PWP checklist

1. Include the budget
2. Include the Narrative
  - Describe what activities are planned for the budgeted amount you provide for each task code
3. 5-year planning calendar
4. Transit task narrative and any other FTA or IMD - required items (cover letter, etc)
5. Signed TAC adoption

# Multi-year funded studies

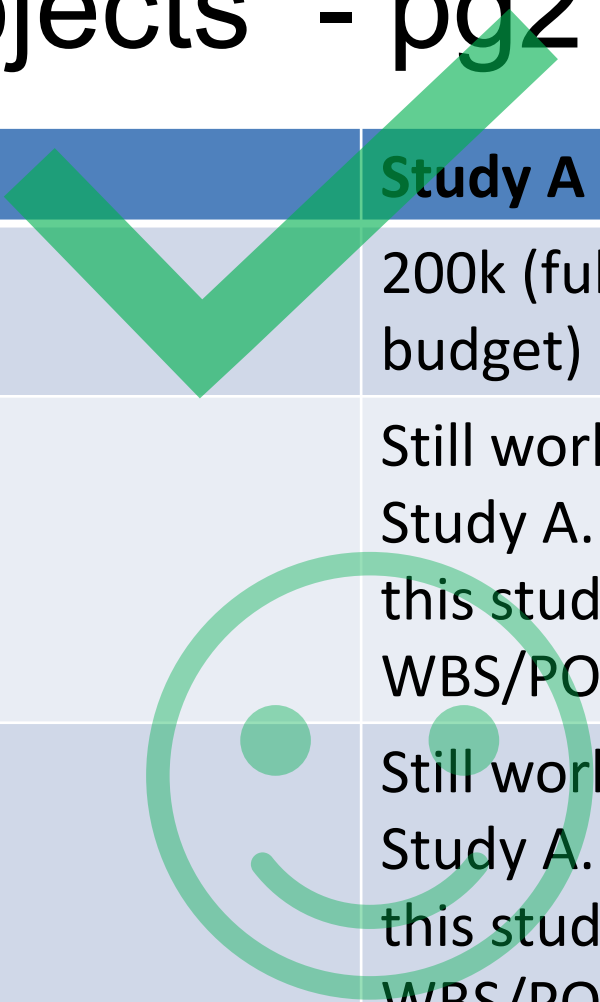
- Regardless of funding source (PL, DA, SPR, etc)
- FHWA can only authorize a project one time (year 1 of the study).
- Thus: Every study must be fully-funded in year 1.
- (Note this deals with planning tasks/studies only, not construction. For construction, please see [NCDOT's Local Programs Management Handbook](#).)
- See visual next slide

# Multi-year projects - pg2



	Study A
FY23	100k
FY24	100k

Can't fund as shown above.  
 (Unless each year is a separate contracting opportunity, RFLOI, etc). (IE, each year would be a separate study, or completely separate phase / consultant contract)



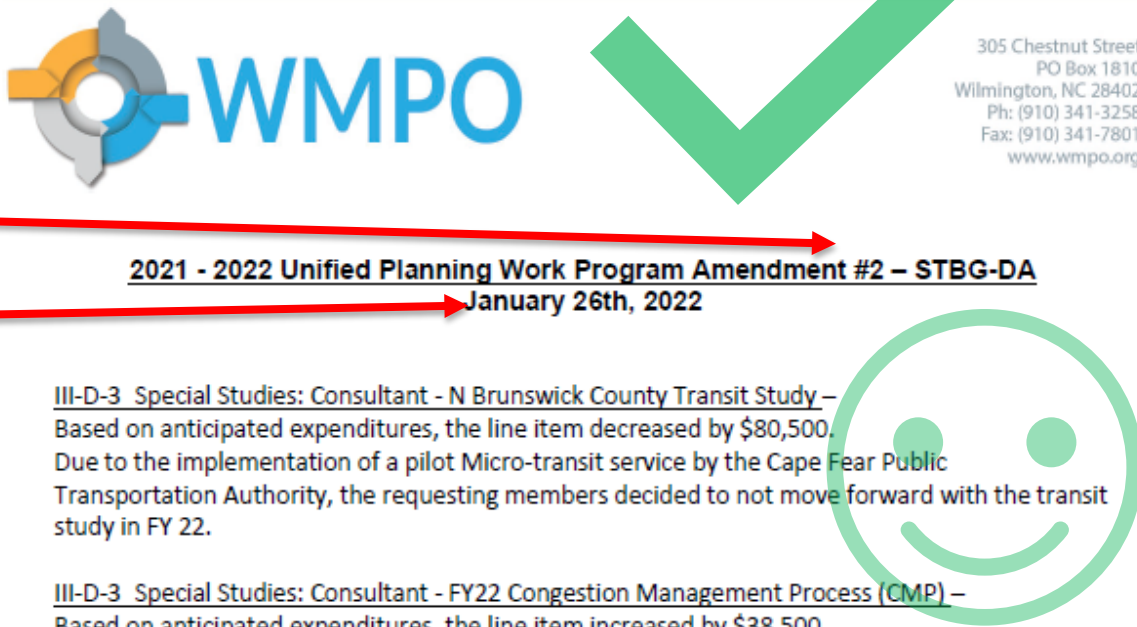
	Study A
FY23	200k (full study budget)
FY24	Still working on Study A. Invoice this study on FY23 WBS/PO
FY25	Still working on Study A. Invoice this study on FY23 WBS/PO

# UPWP Revisions - reminders

- Revisions to UPWP can only occur for the current fiscal year UPWP.
  - (Refer to date in TPD's calendar of important dates)
- Can't change UPWP for previous fiscal years.
- **Can't submit revisions for last (fiscal) year's PWP when turning in 4<sup>th</sup> quarter invoice in August.**
- Funds **can't** move between DA and PL.
  - Funds can move vertically (between task codes)
    - Not horizontally (not between funding sources)

# PWP revision – what to include

- Letter summarizing changes
  - Show “Amendment # x”
  - Restate date of the amendment
- This summary serves to update the task narrative description and describes the amendment for each affected task code)



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Wilmington, NC 28402  
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www.wmpo.org

**2021 - 2022 Unified Planning Work Program Amendment #2 – STBG-DA**  
January 26th, 2022

III-D-3 Special Studies: Consultant - N Brunswick County Transit Study –  
Based on anticipated expenditures, the line item decreased by \$80,500.  
Due to the implementation of a pilot Micro-transit service by the Cape Fear Public Transportation Authority, the requesting members decided to not move forward with the transit study in FY 22.

III-D-3 Special Studies: Consultant - FY22 Congestion Management Process (CMP) –  
Based on anticipated expenditures, the line item increased by \$38,500.  
The study will provide analysis of NPMRDS and HERE data sets to determine average travel time, average delay, and hot spot analysis on the 30 monitored CMP corridors in the WMPO. This data will be used to inform the 2022 Biennial Congestion Management Process Report. Additionally, the consultant will be developing a public facing dashboard for visualizing results on the WMPO’s website.

III-D-3 Special Studies: Consultant - Leland US 17 Ped Plan –  
Based on anticipated expenditures, the line item increased by \$20,000.  
This study will engage one of the WMPO’s on-call consultants to perform a pedestrian roadway safety audit in the vicinity of the US 17 and Ploof Rd/Waterford reduced conflict intersection to identify deficiencies for walking and biking in the existing design.

# PWP revision – what to include pt2

- Updated table and net (total) change (only if applicable).
- Signed resolution (by TAC) adopting the amendment

		2000	21000	21200			
	INCIDENTAL PLNG./PROJECT DEV.	-	-	-	-	-	-
-D-1	Transportation Enhancement Plng.	-	-	-	-	-	-
-D-2	Enviro. Analysis & Pre-TIP Plng.	100	400	500	-	-	-
-D-3	Special Studies: Staff Time - Planning	2,000	8,000	10,000	-	-	-
-D-3	Special Studies: Staff Time - Pender County Roadway Safety Audit	-	-	-	4,000	16,000	20,000
-D-3	Special Studies: Consultant - Strategic Plan Update *	-	-	-	500	2,000	2,500
-D-3	Special Studies: Consultant - Navassa Collector St.	-	-	-	15,000	60,000	75,000
-D-3	Special Studies: Consultant - N Brunswick County Transit Study	-	-	-	-	-	-
-D-3	Special Studies: Consultant - Kure Beach Bike Plan	-	-	-	8,000	32,000	40,000
-D-3	Special Studies: Consultant - FY22 Congestion Management Plan	-	-	-	7,700	30,800	38,500
-D-3	Special Studies: Consultant - Leland US 17 Ped Plan	-	-	-	4,000	16,000	20,000



Could also re-submit the entire PWP, and highlight the changes to numbers and text/narrative, be sure place “Amendment #x” in the title.

Changes to work program are clearly shown. (in red)

Greenville Urban Area MPO 2016-2017 PWP								
Metropolitan Planning (PL) 23 U.S.C. 104(f) Funding Source			ORIGINAL VERSION			MODIFIED VERSION (Sept 18, 2016)		
FTA CODE	TASK CODE	TASK DESCRIPTION	Highway / Transit			Highway / Transit		
			Local 20%	Federal 80%	TOTAL	Local 20%	Federal 80%	TOTAL
	II-A	<b>Data and Planning Support</b>	\$ 27,000	\$ 108,000	\$ 135,000	\$ 15,000	\$ 68,000	\$ 85,000
44.24.0	II-A-1	Networks and Support Systems • Traffic Volume Counts • Vehicle Miles of Travel (VMT) • Street System Changes • Traffic Crashes • Transit System Data • Air Travel • Central Area Parking Inventory • Bike/Ped Facilities Inventory • Collection of Network Data • Capacity Deficiency Analysis • Mapping	\$ 12,000	\$ 48,000	\$ 60,000	\$ 12,000	\$ 56,000	\$ 70,000
44.23.0	II-A-2	Travelers and Behaviour • Dwelling Unit, Population and Employment Changes • Collection of Base Year Data • Travel Surveys • Vehicle Occupancy Rates (Counts) • Travel Time Studies	\$ 3,000	\$ 12,000	\$ 15,000	\$ 1,000	\$ 4,000	\$ 5,000
44.23.0	II-A-3	Transportation Modeling • Travel Model Update • Forecast of Data to Horizon Year • Forecast of Future Travel Patterns • Financial Planning	\$ 12,000	\$ 48,000	\$ 60,000	\$ 2,000	\$ 8,000	\$ 10,000
	II-B	<b>Planning Process</b>	\$ 52,000	\$ 208,000	\$ 260,000	\$ 62,000	\$ 248,000	\$ 310,000
44.23.0	II-B-1	Targeted Planning • Air Quality Planning/Conformity Analysis • Alternative Fuels/Vehicles • Hazard Mitigation and Disaster Planning • Congestion Management Strategies • Freight Movement/Mobility Planning	\$ 3,000	\$ 12,000	\$ 15,000	\$ 3,000	\$ 12,000	\$ 15,000
44.23.0	II-B-2	Regional Planning • Community Goals and Objectives • Highway Element of the CTP/MTP • Transit Element of the CTP/MTP • Bicycle and Pedestrian Element of CTP/MTP • Airport/Air Travel Element of CTP/MTP • Collector Street Element of CTP/MTP • Rail, Waterway, or other Mode of the CTP/MTP	\$ 13,000	\$ 52,000	\$ 65,000	\$ 18,000	\$ 72,000	\$ 90,000
44.27.0	II-B-3	Special Studies	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		SW Bypass - Corridor / Small Area Plan	\$ 5,000	\$ 20,000	\$ 25,000	\$ 5,000	\$ 20,000	\$ 25,000
		Pitt County - Community Transportation Plan for the Pitt Area Transit System (PATS)	\$ 5,000	\$ 20,000	\$ 25,000	\$ -	\$ -	\$ -
		Active Transportation Master Plan	\$ 26,000	\$ 104,000	\$ 130,000	\$ 36,000	\$ 144,000	\$ 180,000
	III-A	<b>Planning Work Program</b>	\$ 12,000	\$ 48,000	\$ 60,000	\$ 12,000	\$ 48,000	\$ 60,000
44.21.0	III-A-1	Planning Work Program	\$ 5,000	\$ 20,000	\$ 25,000	\$ 5,000	\$ 20,000	\$ 25,000

PWP revisions – another way to show what changed

In this example:  
Green = increase  
Red = decrease

# Amended UPWP checklist

- Cover letter describing changes to each task code.
- Updated budget table showing changes/increase/decrease.
- Updated UPWP budget table with the change.
- Executed resolution
- TPD Staff: send “received” date of revised UPWP to Unit Head (can also pdf “stamp” it)
  - (This is needed or TPD can’t process)



# Various Regulations and guidance

# Remember these YEARLY items!

1. Self certification of planning process
  2. End-of-(fiscal) year summary
  3. Indirect Cost allocation plan (if applicable)
- **Send each of these as separate PDF's.**
    - Not bundled together with a quarterly invoice.

# Yearly self-certification of planning process

- Required each year.
- Typically, at the same meeting as initial UPWP adoption, MPO boards self-certify their planning process.
- Please submit executed/signed certification as a separate PDF.
- Submit this **separately** to TPD, at the same time when submitting adopted UPWP of the new fiscal year.
- Required of all MPO's.

# End-of-Year summary of work

- Required each year.
- A summary or compilation of each quarter of work (by task code), so it **describes the full fiscal year of work accomplished by task-code**.
- Please submit as a PDF.
- Submit this **separately** to TPD **at the same time as the 4<sup>th</sup> quarter invoice**.
  - (not a part of the quarterly invoice – this is a separate document)

# For consultants to get on CRS

(Consultant Rate System)

[CRS Preparation and Access memo](#)

[CRS Help document](#)

[CRS Access  
Authorization  
Request Form](#)

Consultant Rate Schedule System  
May 22, 2019  
Page 2

the same person for multiple prequalified vendor locations, if applicable). While some firms may have multiple offices in North Carolina, many are prequalified under a single office (Vendor Number). CRS receives prequalification data from the Prequalification System for each Vendor Number. Firms should reference the "[Private Engineering Firms - Steps to Prepare for the NCDOT Consultant Rate System](#)" for more information on how to prepare.

The critical initial step to begin the CRS process is that the firm must determine a "CRS User" responsible for maintaining overhead, cost of capital, and salary rates in CRS. To begin the CRS process, the firm's "CRS User" should complete the "[Consultant Rate System \(CRS\) Access Authorization Request Form](#)" and submit the form as directed in order to be granted access into CRS. Once access is granted to CRS, the firm's "CRS User" may enter the firm's rates for approval by NCDOT's Office of Inspector General (OIG). It is suggested that firms request access at least two months prior to the prequalification expiration month to allow sufficient approval time, especially for the initial data entry period.

Please plan to prepare your firm's staff information, rates and responsibilities for entry during your firm's next Prequalification period. Pages 2 and 3 of the document "[Private Engineering Firms - Steps to Prepare for the NCDOT Consultant Rate System](#)" will help you in this process, and will also include Discipline References and Career Banding Terms required to appropriately define the NCDOT "Project Work Role" of each or your firm's staff members entered into the CRS system.

Please disregard this memo if your firm only does work for Local Government Associations or private entities within the state of North Carolina and your firm does not plan to do work for NCDOT or work on projects with state or federal funding through NCDOT.

If you have questions about the Consultant Rate System, please contact the Professional Services Management Unit by email at [psmu-411@ncdot.gov](mailto:psmu-411@ncdot.gov).

## Consultant Rate Schedule Table of Contents

Navigation Basics	2
CRS System Overview	3
Display Application	5
Create New Application	6
Change Application	9

### Contact Information

For questions regarding CRS Application account creation, please contact

Professional Services Management Unit (PSMU)  
[psmu-411@ncdot.gov](mailto:psmu-411@ncdot.gov)

For password resets and other CRS Application account issues, please contact

SAP Support Services  
919-707-2208  
[ebssupport@ncdot.gov](mailto:ebssupport@ncdot.gov)

For Prequalification Application questions, please contact your company's Prequalification representative or

Prequalifications Management  
[prequal@ncdot.gov](mailto:prequal@ncdot.gov)

### Consultant Rate System (CRS) Access Authorization Request Form

Currently, the Consultant Rate System (CRS) requires an SAP User ID and Password for access to the CRS WEB App. CRS users are required to register and obtain an NCID Account at <https://ncid.nc.gov> and must provide their NCID User Name on this request form. For future password resets on their SAP account (not NCID), users must provide an all numeric Security Code.

Complete this form for an assigned CRS User ID and initial password if you are going to perform work within the System (i.e. submit a CRS application). E-mail the completed form to the CRS Security Coordinator for external users at [psmu-411@ncdot.gov](mailto:psmu-411@ncdot.gov).

#### CRS User ID Information

First Name *	Middle Name	Last Name *
Title: *		
Email: *		
Vendor/Firm's Name: *		
<a href="#">Click here to add more vendor locations</a>		
Vendor Location Address *		
Telephone: *	Extension:	Fax:
8-digit Security Code: *		NCID User Name:
I certify that the information above is accurate and I am the authorized person to process the Consultant Rate System application(s) for the Vendor and Location(s) listed above:		
Print Name: *		

[These 3 documents found on NCDOT's web page:](#)

Connect NCDOT  
BUSINESS PARTNER RESOURCES

Doing Business | Bidding & Letting | Projects | Resources | Local Govern

Prequalify | Small Business | **Consultants** | Directory of Firms | Trucking | Fleet & Materi

**Guidelines, Forms and Consultant Utilization**  
Resources for Consultants (guidelines, forms, and reports for doing business with NCDOT)

Home > Connect NCDOT > Doing Business > Consultants > Guidelines, Forms and Consultant Utilization

# Prequalification info for consultants

The screenshot shows the NCDOT Business Partner Resources website. The header includes the logo 'Connect NCDOT BUSINESS PARTNER RESOURCES' and navigation links for Home, Help, and Team Sites. A main navigation bar contains 'Doing Business', 'Bidding & Letting', 'Projects', 'Resources', and 'Local Governments'. A secondary navigation bar includes 'Prequalify', 'Small Business', 'Consultants', 'Directory of Firms', 'Trucking', 'Fleet & Material Mgmt', 'DMV', 'Public Trans', 'Purchasing', and 'ROW'. The main content area is titled 'NCDOT Prequalification Requirements' and states: 'You must prequalify your business before working with NCDOT.' A breadcrumb trail reads: 'Connect NCDOT > Doing Business > Prequalify'. The page is divided into two columns. The left column, titled 'Prequalification', contains three paragraphs of text and a list starting with '1) Acquire NCID.'. The right column, titled 'Helpful Links', contains a list of links: '1) NCID Registration', '2) Access Request to Application', '3) Prequalification Application', 'Consultant Discipline Codes', 'Contractor Work Codes', 'Directory of Firms', 'Helpful Documents', and 'Board of Engineers'.

Connect NCDOT  
BUSINESS PARTNER RESOURCES

Home Help Team Sites

Doing Business Bidding & Letting Projects Resources Local Governments Search...

Prequalify Small Business Consultants Directory of Firms Trucking Fleet & Material Mgmt DMV Public Trans Purchasing ROW

## NCDOT Prequalification Requirements

You must prequalify your business before working with NCDOT.

Connect NCDOT > Doing Business > Prequalify

### Prequalification

Prequalification is necessary to ensure that a vendor has sufficient ability and experience to perform the work specified on NCDOT contracts. Once prequalified, vendor information and qualifications are listed in the Department's **Directory of Firms**.

Before you can become prequalified, your company must be registered in good standing with the Secretary of State or **receive a Certificate of Authority** with the Secretary of State if it is an out-of-state company. Search for your **firm's name here**.

The Prequalification application is online and if you are a new, you will need to follow the three (3) steps below to start your application. If you have already submitted an application before, you only need to update your existing application after logging back in (steps 1 & 2 not necessary). **Do not create a new one.**

- 1) **Acquire NCID.**

### Helpful Links

- 1) [NCID Registration](#)
- 2) [Access Request to Application](#)
- 3) [Prequalification Application](#)

- [Consultant Discipline Codes](#)
- [Contractor Work Codes](#)
- [Directory of Firms](#)
- [Helpful Documents](#)
- [Board of Engineers](#)

[Link to NCDOT's Prequalification web page](#)

# Yearly FFATA submittal

- What: Submit [this form](#) to NCDOT.
  - Form NCDOT-SR-02
- Why: Federal Regulation (more info at [fsrs.gov](#))
  - Federal Funding Accountability and Transparency Act (FFATA)
  - Also...It's in the MPO's funding agreement with NCDOT

## 1. GENERAL PROVISIONS

### FEDERAL FUNDING ACCOUNTABILITY AND TRANSPARENCY ACT

All parties to this Agreement, including contractors, subcontractors, and subsequent workforces, associated with any work under the terms of this Agreement shall maintain an active registration in the System for Award Management (SAM) as required by the Federal Funding Accountability and Transparency Act (FFATA) (See Appendix A-B).

# Here's what the FFATA form looks like

**Federal Funding Accountability and Transparency Act (FFATA)  
North Carolina Department of Transportation  
Subrecipient Information Form**

**FFATA Subrecipient General Contact and Award Information**

1. Agency: Enter Agency Name
2. Agency Address: Street: Enter Street Address  
City, State, Zip: Enter City, State, Zip+four
3. Agency Reporting Contact Information: Name: Enter Contact Name  
Phone: Enter Phone Number  
Fax: Enter Fax Number  
E-Mail: Enter E-mail Address
4. Agency Reporting Backup Contact Information: Name: Enter Contact Name  
Phone: Enter Phone Number  
Fax: Enter Fax Number  
E-Mail: Enter E-mail Address
5. Agency U-E-I Number: Enter U-E-I Number
6. Agency Congressional District:

**FFATA Subrecipient Executive Compensation Reporting Information**

7. Subrecipient Indication of Reporting Applicability: *(See Instructions.)*
- 7a. **Executive Compensation Reporting:** If "Yes" to 8 above, the top five (5) most highly compensated officers should be included below:
 

Name: <u>Enter Full Name</u>	Officer Compensation: <u>Enter Total Compensation Amount</u>
Name: <u>Enter Full Name</u>	Officer Compensation: <u>Enter Total Compensation Amount</u>
Name: <u>Enter Full Name</u>	Officer Compensation: <u>Enter Total Compensation Amount</u>
Name: <u>Enter Full Name</u>	Officer Compensation: <u>Enter Total Compensation Amount</u>



# FFATA - instructions

- Form should be filled out and submitted according to the instructions noted on the second and third page of the document.

## Agency Submission:

BOX 8: **Name:** Name of the individual representing the Subrecipients that is responsible for validating and submitting the General Subrecipient and Executive Compensation Reporting Information.

BOX 9: **Title:** Title of the individual representing the Subrecipients that is responsible for validating and submitting the General Subrecipient and Executive Compensation Reporting Information.

BOX 10: **Signature:** Signature of the individual representing the Subrecipients that is responsible for validating and submitting the General Subrecipient and Executive Compensation Reporting Information.

# Send the FFATA form to....

For digital signatures, please sign digitally and email the form to [ffata@ncdot.gov](mailto:ffata@ncdot.gov). For non-digital signatures, fax this form to NCDOT Federal Funds Management at (919) 715-8718 and mail the original signed copy to: NCDOT Federal Funds Management, 1515 Mail Service Center, Raleigh, NC 27699-1515

**NCDOT-SR-02** *(09-06-2022)*

# Travel Policy for MPO staff

- <https://www.gsa.gov/travel/plan-book/per-diem-rates>

The following guidance **applies only for MPO staff use**. NCDOT and/or MPO **consultant contracts must use the State reimbursement rate**, as updated.

## Per Diem Rates for Federal fund sub-recipients

After reviewing the travel policies for each of the MPOs and RPOs, and based on the Travel Policy Workgroup recommendations, it was agreed that the NC DOT would use the GSA website (Federal Government) rates for mileage, meals, lodging, etc. These rates are set by fiscal year, effective October 1 each year, with the exception of the mileage rate, which is set by the IRS on January 1 each year. Each city/zip code has set, pre-determined amounts approved for meals and lodging as shown below.

# Travel Policy, page 2

The screenshot shows the GSA U.S. General Services Administration website. The top navigation bar includes links for Buy Through Us, Sell to Government, Real Estate, Policy & Regulations, Small Business, Travel, and Technology. The main content area is titled "Per Diem Rates" and includes a sidebar with links for Overview, FY 2023 Per Diem Highlights, FAQ, Per Diem Contacts, M&IE Breakdown, Factors Influencing Lodging Rates, Per Diem Boundaries, Fire Safe Hotels, and Per Diem Files. The main content area has two search sections: "Search by City, State or ZIP" and "Search by State". The "Search by City, State or ZIP" section includes a dropdown for "For Fiscal Year" (2023 (Current Year)), a "Select a State" dropdown, a "City (optional)" text input, an "OR" label, and a "ZIP" text input. A "Find Rates" button is located below these inputs. The "Search by State" section includes a dropdown for "For Fiscal Year" (2023 (Current Year)) and a map of the United States with state abbreviations. The map shows all states in blue, with some states in the Northeast (VT, NH, ME) and the South (MA, RI, CT, NJ, DE, MD, DC) shown in a lighter shade.

<https://www.gsa.gov/travel/plan-book/per-diem-rates>

# Equipment

- **§ 200.439 Equipment and other capital expenditures.**
- (1) Capital expenditures for **general purpose equipment**, buildings, and land are unallowable as direct charges...
- **§ 200.48 General purpose equipment.**
- “Examples include office equipment and furnishings, modular offices, telephone networks, information technology equipment and systems, air conditioning equipment, reproduction and printing equipment, and motor vehicles.”

# Taxes

- **NCDOT does not reimburse for NC sales tax.**
- In NC, Governmental Entities obtain reimbursement for NC sales tax paid via a different reimbursement mechanism ([NCGS 105-164.14](#))
- Thus, **be sure that NC SALES taxes are not submitted for reimbursement in your invoices.**
- Other fees and taxes (such as occupancy taxes) are reimbursable by NCDOT.
- Out of State sales taxes are also reimbursable by NCDOT.

# Sole Source?

- (applies for purchases, not professional services)
- Generally, a rare occurrence.
- Competition for goods may be waived under certain conditions. ([NCDOT's purchasing manual](#))
- For example, where a needed product is available from only one source of supply.
- Email me if you want an example waiver request.

# Purchase or Procurement - Examples

Purchasing Examples (NON-Engineering/Planning)	Procurement Examples (Engineering or Planning)
Traffic counting equipment	Corridor or Feasibility Studies
Traffic counting services	Area studies
Household Travel Surveys	Master Plans (bike/ped/greenway, etc)
Economic Data	MTP, CMP, and any other MPO- required documentation or planning study/effort
	MPO staff support

- [Follow the Informal Bid process in NCDOT purchasing manual](#)
- Purchases seek bids with costs.



# What's a project?

- Transportation planning examples:
  - Ex1: FY23 STBG-DA funds for <insert name>MPO
  - Ex2: FY23 PL funds for <insert name> MPO
  - Ex3: FY23 SPR funded study for <insert name> MPO
- ALL Projects have
  - a) (Federal) Authorization dates: Work on the project can begin.
  - b) End dates: Work must be completed by this date.
    - Work done/invoiced outside of these dates can not be reimbursed with Federal funds.
  - c) Projects need to remain “active” (invoiced quarterly).

# Finished with a project (the fiscal year)?

- (When a specific (individual) project (ex: FY20 STBGDA funds or PL funds) is completed, **indicate in your invoice cover memo to TPD that this is the final invoice for the project** (for the fiscal year in this case).
- Dear TPD staff
- Ex: “This is to notify you that this is the final invoice and therefore request closure of the FY23 xxxMPO WBS number of 1234.5.6.”
- Ex: **“This is the final invoice for FY23, and request TPD staff to close out the FY23 xxxMPO WBS number 1234.5.6.”**
- If you have any questions, please contact <MPO staff contact>.
- Sincerely,

# Project Funds Management Guide for State Grants (FHWA)

- The primary points of this guidance include:
- The project authorization must reflect the Federal funds needed based on an accurate cost estimate for the scope of work that is ready to proceed for an allowed purpose.
- An obligation is proper when supported by a documented binding agreement supporting the amount of Federal funds recorded to reflect the Federal Government's potential liability.
- A reasonable period of performance needs to be established in which the recipient is to incur eligible costs on the project.
- Projects must be monitored to ensure Federal funds and project agreement estimates reasonably align with current cost estimates and the performance schedule.
- Obligations should be adjusted and projects should be closed within a reasonable timeframe after all required work and applicable administrative actions (e.g., reporting and final billings) have been completed.
- The period of performance must be monitored to ensure cost are incurred during the authorized period and billed as provided in the regulations.
- **Records must be properly retained by the recipient or subrecipient in accordance with the regulations.**

# Records Retention

- [2 CFR 200.333](#)
- “Financial records, supporting documents, statistical records....must be retained for a period of 3 years from the date of submission of final expenditure report...”
  - **means 3 years AFTER NCDOT closes the project with FHWA.** (ie, after NCDOT closes the federal project)
  - There may be multiple WBS numbers assigned to single federal project
  - Therefore, federal project closure may occur after a long time period after your final invoice was submitted.
- 200.333(f) “...applies to indirect cost rate proposals...”

# A note on records retention -- Closing out the fiscal year

- Remember that item from the previous slide?
- Please note: Closing out the fiscal year in NCDOT's SAP financial system does not coincide with closing the project on the federal level.
- In other words:
- **Keep your project records longer than you think.**

# Inactive funds?

- Federal funds must be used effectively, and unused funds must be de-obligated to minimize misuse.
- Inactive projects = project with no activity (invoicing) will be quickly closed and deobligated!
- Project is flagged after 6 months of no activity, and project closure process begins at 9 months.
- On a quarterly basis, NCDOT reviews inactive projects.
- **IT'S IMPORTANT TO INVOICE NCDOT QUARTERLY!**

# Miscellaneous reminders

- PWP is to the nearest dollar
- Invoices are to the penny.
- PL, DA, and SPR funds are a REIMBURSEMENT program. You must spend 100% of costs first, then invoice NCDOT for reimbursement of the Federal 80%.
  - PL , DA, and SPR are not a “grant” program. It’s a reimbursement program.
  - Must show proof of expenditures (for procured items/services)

## (200.302 (a) Financial Management)

- **LPA's need to provide PROOF that the LPA payed the consultant** or equipment vendor
- "...tracing of funds to a level of expenditures adequate to establish that such funds have been used according to the Federal statutes..."
- **Provide scanned copy of cashed check issued by LPA to consultant/vendor in your invoice to TPD. (or other form of proof of payment)**
  - See also 200.502 - Basis for determining Federal awards expended



# Indirect Costs

# Federal-aid Essentials for Local Public Agencies

- FHWA resource with information and resources.

Unfortunately, the companion guide is from 2012 (outdated)

- References outdated regulations
- Understanding cost allocation and indirect cost rates
  - Good info from Rural Community Assistance Corporation (RCAC).

The screenshot shows the Federal Highway Administration website. The main heading is "Federal-aid Essentials for Local Public Agencies". Below this is a navigation bar with links for HOME, ABOUT, FEDERAL-AID ESSENTIALS VIDEO LIBRARY, STATE RESOURCES, and OUTREACH MATERIALS. The page is categorized under "Finance" and "Administrative Requirements". The featured video is "Developing an Indirect Cost Allocation Plan". The video thumbnail shows a diagram with "Indirect Cost" and "Direct Cost" sections. The "Indirect Cost" section includes a "Payroll Stub" and a "Legal Brief". The "Direct Cost" section includes "Jane Employee at LHM" and "Joe Contractor". A sidebar on the right lists various "FINANCE" topics, including "Administrative Requirements: Introduction to Cost Principles", "Administrative Requirements: Administrative Requirements", "Administrative Requirements: Transparency Act Sub Award Reporting", "Internal Control: Internal Control Regulations and Requirements", "Internal Control: Introduction to Internal Control", "Administrative Requirements: Single Audit", and "Administrative Requirements: Developing an Indirect Cost Allocation Plan".

# Indirect cost options

## 3 Options

1. De Minimis (Flat Rate) of 10% (200.414(f))
  - Of modified total direct costs (defined in 200.68)
2. Cost allocation plan
3. Don't invoice indirect costs

# De Minimis Rate

- If LPA elects to use the 10 percent de minimis rate, the Uniform Guidance requires that you use Modified Total Direct Costs as the cost base.
- Need to understand allowable costs and have an accounting system to properly account for direct and indirect costs
- Should have internal policies and procedures to manage and provide assurance (and consistency) that a cost is not being applied to both direct and indirect simultaneously.
- **This rate must be applied to all Federal awards.**

# Flat rate of 10%, page 2

If using flat rate:

- Must be applied to **both PL and DA** (as applicable)
  - (Those STBG-DA funds used for planning purposes)
  - Can't choose one, and not the other.
- Must be applied to total amount for each funding category (can't just use this to recover –as an example- \$10k of indirect cost to either the DA or PL category only.)
- **Must be shown in UPWP as a separate line item in the funding table.** (see next slide for example)

# Example UPWP showing indirect costs – example showing staff time only

There are hidden rows for this example UPWP

TASK DESCRIPTION		MPO Planning and Admin - PL104			Safe & Acc Transp Opt PL Set aside (Federal Program Y410)			STBG-DA		
		Local 20%	Federal 80%	TOTAL 100%	Local 20%	Federal 80%	TOTAL 100%	State (20%)	Federal (80%)	Total 100%
	Planning Support	\$ 45,000	\$ 180,000	\$ 225,000				\$0	\$-	\$0
II-A-1	Network and Support Systems	\$ 12,000	\$ 48,000	\$ 60,000	\$ -	\$ -		\$0	0	
II-A-2	Travelers and Behavior	\$ 3,000	\$ 12,000	\$ 15,000	\$ -	\$ -		\$0	0	
II-A-3	Transportation Modeling	\$ 30,000	\$ 120,000	\$ 150,000	\$ -	\$ -		\$0	0	
II-B	Planning Process	\$ 33,000	\$ 132,000	\$ 165,000	\$ 400	\$ 1,600	\$ 2,000	\$0	\$-	\$0
II-B-1	Targeted Planning	\$ 3,000	\$ 12,000	\$ 15,000	\$ -	\$ -		\$0	0	
II-B-2	Regional Planning (CTP, MTP, etc)	\$ 19,000	\$ 76,000	\$ 95,000	\$ -	\$ -		\$0	0	
	PL Set aside for Safe & Acc Transp Opt				\$ 400	\$ 1,600	\$ 2,000			
III-D	Statewide & Extra-Regional Planning	\$ 10,000	\$ 40,000	\$ 50,000	\$ -	\$ -		\$10,000	40000	\$50,000
III-E	Management Ops, Program Suppt Admin	\$20,000	\$80,000	\$100,000	\$0	\$0		\$10,000	40000	\$50,000
	<b>Total no overhead</b>	<b>\$ 140,000</b>	<b>\$ 560,000</b>	<b>\$ 700,000</b>	<b>\$ 400</b>	<b>\$ 1,600</b>	<b>\$ 2,000</b>	<b>\$20,000</b>	<b>\$80,000</b>	<b>\$100,000</b>
	<b>Overhead/Indirect Costs (10%) for this example</b>	<b>\$ 14,000</b>	<b>\$ 56,000</b>	<b>\$ 70,000</b>	<b>\$ 40</b>	<b>\$ 160</b>	<b>\$ 200</b>	<b>\$ 2,000</b>	<b>\$ 8,000</b>	<b>\$ 10,000</b>
	<b>TOTALS</b>	<b>\$ 154,000</b>	<b>\$ 616,000</b>	<b>\$ 770,000</b>	<b>\$ 440</b>	<b>\$ 1,760</b>	<b>\$ 2,200</b>	<b>\$22,000</b>	<b>\$88,000</b>	<b>\$110,000</b>

Equal or less than your yearly federal allocation

Equal or less than your yearly federal allocation

# Indirect costs+consultant studies in UPWP

There are hidden rows for this UPWP example

LPA staff time subject to LPA's indirect rate (everything above pink/purple line)

Contracts (including payments to MPO-member). Not subject to LPA's indirect rate

Equal or less than Allocation amount

TASK CODE	TASK DESCRIPTION	MPO Planning and Admin - PL104			Safe & Acc Transp Opt PL Set aside (Federal Program Y410)			STBG-DA		
		Local 20%	Federal 80%	TOTAL 100%	Local 20%	Federal 80%	TOTAL 100%	State (20%)	Federal (80%)	Total 100%
<b>II-A</b>	<b>Data and Planning Support</b>	\$ 45,000	\$ 180,000	\$ 225,000				\$0	\$-	\$0
II-A-1	Networks and Support Systems	\$ 12,000	\$ 48,000	\$ 60,000	\$ -	\$ -		\$0	0	
II-A-2	Travelers and Behavior	\$ 3,000	\$ 12,000	\$ 15,000	\$ -	\$ -		\$0	0	
II-A-3	Transportation Modeling	\$ 30,000	\$ 120,000	\$ 150,000	\$ -	\$ -		\$0	0	
<b>II-B</b>	<b>Planning Process</b>	\$ 27,000	\$ 108,000	\$ 135,000	\$ 400	\$ 1,600	\$ 2,000	\$0	\$-	\$0
II-B-1	Targeted Planning	\$ 3,000	\$ 12,000	\$ 15,000	\$ -	\$ -		\$0	0	
II-B-2	Regional Planning (CTP, MTP, etc)	\$ 19,000	\$ 76,000	\$ 95,000	\$ -	\$ -		\$0	0	
	PL Set aside for Safe & Acc Transp Opt				\$ 400	\$ 1,600	\$ 2,000			
II-B-3	Special Studies							\$0	0	
	Administration of Special Studies (staff time) (see below for specific studies)	\$ 5,000	\$ 20,000	\$ 25,000	\$ -	\$ -				
		\$ -	\$ -		\$ -	\$ -				
<b>III-D</b>	<b>Statewide &amp; Extra-Regional Planning</b>	\$ 10,000	\$ 40,000	\$ 50,000	\$ -	\$ -		\$10,000	40000	\$50,000
<b>III-E</b>	<b>Management Ops, Program Suppt Admin</b>	\$20,000	\$80,000	\$100,000	\$0	\$0		\$10,000	40000	\$50,000
	sub Totals with no indirect costs	\$ 134,000	\$ 536,000	\$ 670,000	\$ 400	\$ 1,600	\$ 2,000	\$ 20,000	\$ 80,000	\$ 100,000
	Overhead/Indirect Costs (10%) for this example	\$ 13,400	\$ 53,600	\$ 67,000	\$ 40	\$ 160	\$ 200	\$ 2,000	\$ 8,000	\$ 10,000
	sub TOTALS (all staff time activities)	\$ 147,400	\$ 589,600	\$ 737,000	\$ 440	\$ 1,760	\$ 2,200	\$ 22,000	\$ 88,000	\$ 110,000
<b>II-B-3</b>	<b>Special Studies contracts</b>									
	Special study #1 -Town of abc will procure consultant							\$20,000	\$ 80,000	\$ 100,000
	Special study #2 (consultant)							\$40,000	\$ 160,000	\$ 200,000
	Special study #3 (consultant)	\$20,000	\$80,000	\$100,000						
	Special study #4 - staff-led study by Town of xyz							\$24,000	\$ 96,000	\$ 120,000
	sub Total for Special Studies contracts (not subject to LPA's indirect rate)	\$20,000	\$80,000	\$100,000				\$84,000	\$336,000	\$420,000
	<b>Total UPWP expenses</b>	<b>\$167,400</b>	<b>\$669,600</b>	<b>\$837,000</b>	<b>\$ 440</b>	<b>1,760</b>	<b>\$ 2,200</b>	<b>\$106,000</b>	<b>\$424,000</b>	<b>\$530,000</b>

# Indirect cost allocation plans

- (If this is the agency's choice for charging indirect costs)
- Each major local government (LPA) is required to submit a plan to its cognizant agency (NCDOT in MPO case) for indirect costs **annually**.
- MPO invoices to TPD need to present the indirect cost on the invoice, if applicable.
- [Sample cost allocation plan template](#) (Dept of Interior)
- [Cost allocation plan webinar training presentation](#)
  - (Florida Government Finance Officer Association)



# Indirect cost allocation plans – MPO guidance

- Indirect Cost Allocation Plan
  - **Each MPO is required to annually submit current fiscal year's Indirect Cost Allocation Plan to designated NCDOT staff by February 28th, along with draft PWP.** This plan is different for each MPO. The fiscal director for the MPO be familiar with this plan and work with MPO staff to submit the plan. Indirect costs are allowable with the submittal and approval of an indirect cost allocation plan. NCDOT will accept the indirect cost rate of the MPO that is approved by the cognizant agency. The Indirect Percentage Rate approved for use in the UPWP cannot exceed the percentage rate approved by the Cognizant Federal Agency. If an MPO does not have a cognizant agency letter, NCDOT will approve or negotiate an indirect cost rate based upon the indirect cost plan.”

# Indirect cost allocation plans-annual req's

- Indirect Costs Annual Requirements due with draft PWP (February 28)
  - 1) Cognizant Federal Agency Letter approving/acknowledging Indirect Cost Rate
  - 2) Cost Allocation Plan (or documentation/worksheets supporting the calculation of the Indirect Cost Rate)
  - 3) Certificate of Indirect Costs
- An LPA may choose to not charge indirect costs.

# Resources, page 1

- [FHWA regulations regarding consultant services](#)
- [NCDOT eSignature Policy](#)
- [Doing Business with NCDOT-consultant forms](#)
  - (includes [DBE form](#), [NCDOT scope and manday estimate form](#), [Invoice template](#), [RS-2\(prime\)](#), [RS-2\(subconsultant\)](#))
  - [Consultant Rate System-May 22, 2019 update](#)
    - [Steps for firms to prepare for the CRS](#)
- [NCGS 159-34](#) (State law requiring use of GAAP)
- [Maximum allowable non-salary direct costs](#)
- [Procurement walk-through](#)

# Resources page 2

- [NCDOT Discipline Codes](#)
- [NCGS 143 Article3D procurement of engineering services](#)
- [23 CFR 172](#) (Procurement, management, and administration of engineering and design related services)
- [2 CFR 200](#)
- [TPD procedure for Procurement of consultant services by MPO/RPO's.](#)
- [Prequalification search](#)

# Resources, page 3

- [MPO and RPO administration manuals](#)
- [FHWA Order 4470.1A Policy for Contractor Certification of Costs](#)
- [Contract Provisions \(for contracts using Federal Funds\)](#)
- [NCDOT memo regarding invoices and payment \(within 30 days\)](#)
- [RFLOI template](#)
- [Vendor Registration Form](#) (substitute form W-9)

## Resources, page 4

- [Accounting Standards Codification](#): The FASB's centralized reference tool for GAAP
- [FASAB Handbook](#): Standards & guidelines for financial reporting at federal government organizations
  - an approximate 2,500-page PDF
- [FHWA Consultant Services](#)
- [NC Treasurer - Compliance Supplement page.](#)
- [NCDOT procedure for MPO invoice processing](#)
- [NCDOT's purchasing manual](#) (for non-PEF procurement)

# Resources, Page 5

- [Federal-aid Essentials for Local Public Agencies](#)
- [Understanding cost allocation and indirect cost rates](#)
- [FHWA's Project Funds Management Guide for State Grants](#)
- [Sample cost allocation plan template](#) (word doc)
- [Cost allocation plan webinar training presentation](#)
- [Key invoice components \(NCDOT Fiscal\)](#)
- [MPO Allowable Expenditures](#)

# Resource, page 6

- [NCDOT – IPD – Professional Engineering Firm Management – Guidance for Project Managers](#)
- [2 CFR 200](#) (**Updated sections to 2 CFR 200**)
  - UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS
  - *Formerly:*
    - 44 CFR PART 13
    - 2 CFR 225 Cost Principles for State and Locals
    - OMB Circulars A-87, A-102, A-133
    - Federal Program Guidelines



# Resource, Page 7

## Mini-Brooks Qualifications Based Selection


- North Carolina “Mini-Brooks”
  - G.S. 143-64.31 et seq.
  - Became law in 1987 for the procurement of architectural and engineering services based on qualifications.
- **Applies to State and Local Governmental Units.**
  - Announce (advertise)
  - **competitors' qualifications are evaluated and the most qualified competitor is selected**
  - **price is not used as a selection factor**

# Resources, Page 8 – Audit info

- On the Schedule of Expenditures for Federal and State Awards include program name and CFDA number.
- MPO's: Metropolitan Planning/ PL 104(f) funds – CFDA Number (20.205-5)
  - <https://files.nc.gov/nctreasurer/documents/files/SLGFD/LGC/LocalGovFiscalMngmt/AnnualAud/2020ComplianceSupp/20.205-5.pdf>
- NC Treasure's Compliance Supplement page:  
<https://www.nctreasurer.com/divisions/state-and-local-government-finance-division/lgc/local-fiscal-management/annual-audit>

# Resources page 9 – Assistance Listing

- Terminology “CFDA” has now been replaced with [“Assistance Listing Number \(ALN\)”](#)



**CFDA Transition**  
Frequently Asked Questions

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### Overview

The Catalog of Federal Domestic Assistance (CFDA) provides a full listing of all federal programs available to state and local governments (including the District of Columbia); federally-recognized Indian tribal governments; Territories (and possessions) of the United States; domestic public, quasi-public, and private profit and nonprofit organizations and institutions; specialized groups; and individuals.


**When did CFDA retire?**  
Now, all CFDA features are available on beta.SAM.gov as of May 25, 2018.

**Why has CFDA gone away?**  
CFDA was consolidated with nine other systems to streamline the federal government awards process, reducing the burden of doing business with the government. The integrated website will simplify daily tasks and increase business knowledge by providing one powerful search tool, one robust reporting tool, and one workspace for managing your work.

**How does this transition affect me?**  
The goal of integrating and migrating the systems is to reduce the burden of doing business with the government. When we migrated over the functions of CFDA, we made significant improvements to the system, including:

- Improved the overall search engine and keyword search
- Enhanced the search summary, now provided directly in the search results
- Enabled advanced search filtering, enabling search by “active” and “inactive” among others
- Created a funded/not funded indicator that allows users to quickly filter results
- Made it easier to read financial information section with a bar graph and table
- Improved the history section


[CFDA transition FAQ PDF link](#)



An official website of the United States government [Here's how you know](#)

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UNITED STATES OF AMERICA

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## ASSISTANCE LISTINGS

### Metropolitan Transportation Planning and State and Non-Metropolitan Planning and Research

**⚠ Note:** This Assistance Listing was not updated by the issuing agency in 2022. Please contact the issuing agency listed under "Contact Information" for more information.

Assistance Listing

**Popular Name**  
Metropolitan Transportation Planning and State and Non-Metropolitan Planning

**Sub-tier**  
FEDERAL TRANSIT ADMINISTRATION

**CFDA Number**  
20.505

**Related Federal Assistance**  
20.205 , 20.500 , 20.507 , 20.514

**Assistance Listing**

- Overview
- Authorizations
- Financial Information
- Criteria for Applying
- Applying for Assistance
- Compliance Requirements
- Contact Information
- History

# Resources Page 10

- [PSMU - Hub for consultants doing business with NCDOT.](#)
- [Policy and Procedures for Procurement and Administration of Major Professional or Specialized Services contracts](#)
- [Invoicing FAQ's](#)
- [Preconstruction Finance Guide v1.2 dated Jan 3, 2022](#)

# Resources Page 11

- [NCDOT's project management webpage](#)
- [NCDOT Workday estimate form 9-22-2022](#)
- [Lump Sum invoice](#)
- [Cost Plus invoice](#)
- [NCDOT's standard progress report template](#)
- [Preconstruction Finance Guide](#)
- [Project Management Guide](#)
- [Professional Engineering Firm Management Guide](#)
  - Linked from [Integrated Project Delivery webpage.](#)

# STBG-DA section

- This part only pertains to MPO's that are TMA's
  - Transportation Management Area
  - MPO's that receive STBG-DA funds (greater than 200k in population)
- Deals with only those DA funds that are flexed for planning purposes / programmed in UPWP.
- This section deals only with those DA funds used to supplement the MPO's UPWP.

# Start, End, and Inactive

- Remember DA-funded studies have the same 3 elements as PL funds
  1. **Start date** (no work on study prior to start / authorization date)
  2. **End date** (must be finished well in advance)
    - Typically, 5 years from start of fiscal year (federal authorization date)
  3. **Inactivity** (Keep project active to avoid federal closure)
    - Invoice NCDOT at least every 6 months to keep project active

# Overmatching (more than 20% local)

If overmatching, same principles apply as PL funds.

– (please reference slides in UPWP module of this training)

1. Overmatched % needs to end in a 5 or 0.

– 75/25, 70/30, 65/35, 60/40, etc.

2. Overmatched project(s) need to be separated.

– Would have separate WBS than the 80/20 work in your UPWP.

- UPWP: Make a different section showing the different % split.
- Refer to slide 121
- This means a separate invoice package for that WBS.



# DA supplemental funds are requested by the MPO

- DA funds must be shown in the STIP, so work with your STIP coordinator
- So you don't have to do this every year, we encourage multi-year funding requests (to STIP)
- Funds are shown in the Federal FY when NCDOT will request obligation (FFY begins Oct 1, SFY: July 1)
- For example, DA supplemental funds for the FY24 UPWP would be programmed in the STIP/TIP FY23

# STBG-DA funds--Did you modify UPWP?

- If you are adding additional DA funds (for planning purposes), you need to coordinate with NCDOT STIP unit so they can amend the STIP for the new/additional amount. You **MUST** also let various TPD staff know (see below)
- MPO Checklist:
  - Did the MPO contact NCDOT's STIP unit to modify the STIP for additional STBG-DA funding amount?
  - Did the MPO modify the TIP?
  - Did the MPO modify the UPWP?

# Process to authorize additional STBG-DA funds for planning purposes

1. Once your UPWP, TIP, and STIP are amended, then MPO's must email a PDF copy of all 3 items to:
  - Jamal Alavi – [jsalavi@ncdot.gov](mailto:jsalavi@ncdot.gov)
  - Your TPD coordinator
  - Daryl Vreeland – [dvreeland@ncdot.gov](mailto:dvreeland@ncdot.gov)

# STBG-DA funds authorization process pt2

2. TPD will then use the modified UPWP and TIP and seek federal authorization of the modified amount.
3. Important note: **Funds MUST be federally authorized and available for use to the MPO PRIOR to the MPO beginning any work using those funds.**
  - a) Remember that FHWA must approve the UPWP amendment, so allow additional time before encumbering dollars.
4. Please work with your TPD coordinator to check the SAP system to determine if the funds have been authorized. (There's no automated notification system).

# UPWP how-to amend summary

- **Prior** to using any funds in amended UPWP:
- MPO staff must ensure UPWP has been approved by FHWA
- MPO staff is responsible for ensuring that funds have been federally authorized **PRIOR** to the MPO encumbering those funds.
  - Otherwise the MPO will not be able to receive federal funds for unauthorized work.
  - IE, it's MPO responsibility to make sure the funds are available in the WBS (federally-authorized) **before** starting any study using those funds or in any way using the funds.

# What happens to unused DA funds (those used to supplement PL planning)?

- If the MPO has flexed DA funds for planning purposes, and some of those remain unspent....
- When the “project” (the bank account for the fiscal year) is closed, those funds go back to the MPO’s Federal DA fund account.
- Upon closure, the STIP unit will be able to see the new, (higher, in this case) balance of the MPO’s DA funds.
- TMA MPO’s can not “lose” DA funds (those funds supplementing planning/PL) because they were unspent – (unless rescission or some other action)

# Finished with a FY of DA funds?

- (When a specific (individual) project (ex: FY20 STBG-DA project year) is completed, indicate that in your invoice cover memo to TPD that this is the final invoice for the project.
- Dear TPD staff
- According to our records, the final invoice for <project> has been paid and all deliverables have been met. This is to notify you that we request closure of the FY22 xxxMPO STBG-DA WBS number 1234.5.6.
- Or add this line to the final invoice cover letter **“This is the final invoice for WBS 1234.5.6 (xxxMPO FY22 DA funds). Please close out this account”**
- If you have any questions, please contact <MPO staff contact person>.
- Sincerely,

# Change Log – Feb 21, 2023

- Updated non-salary direct costs to Jan 9, 2023 memo
- Discipline codes are no longer an excel spreadsheet
  - They now reside on [NCDOT's web site](#). (new slide 38)
- Added new slide #68 to note the focus areas in the procurement process
- Deleted previous slide #154 (DUNS number no longer a requirement for FFATA submittal)
- Added slide 160 – Procurement or Purchase examples
- New #134 and updated slide 135 to show 100% for PL set aside and narrative example



# Thank you

- Any Questions?

# Appendix for DA funds

- This appendix is for your reference for the process if MPO has to add new DA funds (mid-cycle) to a study that was originally under-budgeted.
  - Specifically, the Non-LPA entity procured a consultant and is negotiating cost.
- This is noted here as reference, since this is a rare case.
- Please be doubly-sure of your study estimates and you will not have to go through this process.

# Estimate of study cost

- Example...MPO member leading the (DA-funded) planning study....procured consultant and is negotiating cost. MPO discovers that additional funds needed.
- Discovers cost estimate in UPWP does not provide enough funds. **PROVIDED NO CHANGE TO SCOPE OF WORK**, Here's how to handle:
  1. Obviously, local government is not to enter into contract. (besides...wouldn't have submitted a cost proposal nor received TPD approval.)

# Study cost estimate adjustment page 2

2. Local gov't to request LPA to consider adding additional funds in UPWP. (per MPO's applicable procedures)
3. LPA to work with STIP unit to determine if additional DA funds available and (if so) request additional amount be programmed by NCDOT's STIP unit.
4. Local government may require local budget amendment so the local government leading the study has sufficient funds to pay 100% of the study. (DA is reimbursement program)

# Study cost estimate adjustment page 3

5. Interlocal agreement between local entity and LPA may need to be amended for increased reimbursement amount.
6. MPO modifies/amends UPWP and TIP (to match the STIP).
7. LPA sends to TPD
  - Amended TIP (just the applicable page)
  - Amended STIP (just the applicable page)
  - MPO's Executed UPWP amendment

# Study cost estimate adjustment page 4

8. Ask Consultant to develop draft contract and cost proposal.
9. Upon cost agreement, submit draft cost proposal to TPD for their submission to Office of Inspector General for review of rates.
10. Receive OIG letter, adjust cost proposal as/if noted.
11. MPO to Determine Federal authorization status.
  - It is the responsibility of the LPA to determine that the total amount of the project is federally authorized PRIOR to executing the contract.

# Study cost estimate adjustment page 5

12. Request TPD approval to execute contract.
  - It is LPA's responsibility to ensure funds have been federally authorized prior to issuing Notice-to-Proceed to consultant.
13. (If received approval) Start study
  - Short version: **Be doubly sure of a study's initial cost estimate** to avoid having to go through the above process.