



**NORTH CAROLINA**  
Department of Transportation



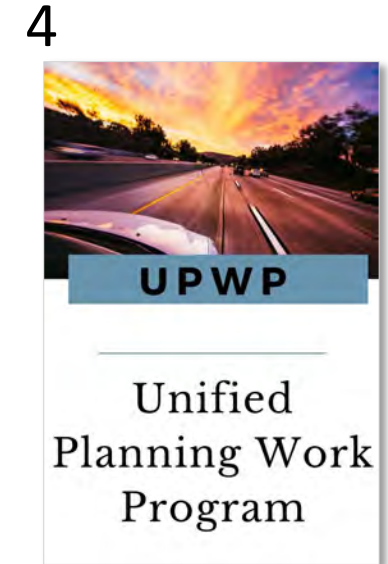
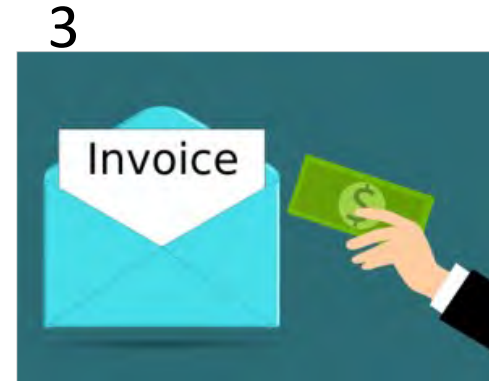
# Review of Procurement, Invoicing, PWP's, and 2 CFR 200 **for RPO's.**

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October 29, 2021

Transportation Planning Division

# Presentation sections



# Intro note

- This presentation focuses on RPO-specific items.
  - Slides regarding federal fund regulations also apply to MPO's.
- For more info, please refer to the [RPO administrative procedures manual](#).

# Objectives

- To provide guidance, education, support, and direction to ensure non-federal entities (RPO'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 RPO use in:

- Invoicing
- PWP
- Indirect Cost Allocation Plan
- Procurement

# Big Picture

- Those receiving Federal funds (RPO's use 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, the RPO's COG or County agency must pay that back to NCDOT.

# 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

- Currently awaiting additional FHWA-specific guidance regarding the August 13, 2020 update to 2 CFR 200.
- [Redlined reference document](#) (not OMB guidance).
  - From performance.gov

# INVOICING

This applies to:

- Invoices from consultants to RPO
- And, Invoices from RPO to NCDOT



# 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 RPO).
  - Consider it a bank account number for a given FY or project.
- **You will receive new WBS and PO numbers every fiscal year.**

# 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 (ie, per RPO)**.
- Thus, **don't use**: "Invoice 1", or "Invoice #1"

# Invoice numbers: *Basic Rules*

## On the cover letter to TPD:

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



# Invoice number examples

- Example invoice number:
- ~~Invoice 1~~ **(DON'T USE THIS)**
- Invoice No. FY22Q4, Q4FY22,
  - If a second invoice in the same quarter for a SPR-special study, could use: FY20STUDY1, FY22STUDY2, etc
- Invoice FY20Q2 (if no special study this FY– remember to NOT submit the same invoice number twice)
- Invoice 20191215 (year/month/day) **(LEAST PREFERRED FORMAT)**

# Address on letterhead (invoice)

- Address on invoice must match address in SAP system.
- If COG needs to change address or name of organization in NCDOT's system -then 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 RPO work:
  - **State the time period being billed.**
    - Ex: “...for work performed from Jan 1, 2020 – Jan 31, 2020.”
  - Be 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 RPO'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.**



# RPO 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, 2017”

# NCDOT has a standard invoice form for consultant use

[Link to NCDOT's standard invoice form \(Excel\)](#)

It is not a requirement that RPO's selected consultants use this.

Department of Transportation

Permit to:

**INVOICE FORM**

**LUMP SUM FEE**

Partial Billing ☐  
 Final Billing ☐  
 T.I.P. No. \_\_\_\_\_  
 WBS No. (State Project No.) \_\_\_\_\_  
 Federal Project No. \_\_\_\_\_  
 Lump Sum Fee\* \_\_\_\_\_

DOT Contract No. \_\_\_\_\_  
 DOT Invoice No. \_\_\_\_\_  
 Firm Invoice No. \_\_\_\_\_  
 Date of Invoice \_\_\_\_\_  
 Tax ID # \_\_\_\_\_  
 Firm Name \_\_\_\_\_  
 Signed \_\_\_\_\_

Put Printed Signature Here in this Block

Line Item	Activity	Unit	Rate	Amount	% of Fee	% Complete Last Report	% Complete to Date	% of Fee Complete	Sub-consultant Name	Sub-consultant This Invoice
10										
20										
30										
40										
50										
60										
70										
80										
Total				100%						
Fee \$										
Less Prior Billings										
<b>TOTAL AMOUNT DUE</b>										
Total Amount Paid (SEE) (This Invoice)										
Grand Total Paid (SEE) (This Invoice)										
Complete as Applicable										
Original Fee										
List any Supplements										
*Total Lump Sum Fee										

**NCDOT APPROVAL**  
 X COMPLETE APPROVED  
 By: \_\_\_\_\_ Date: \_\_\_\_\_

Includes original fee and all supplements (if any)  
Submit: 1 Original & 1 Copy of Invoice; 1 Monthly Progress Report (for every billing anniversary)  
**NOTE:** These invoices are entered into our Financial system. Please do not highlight or shade the figures.  
**Please do not fold invoice or highlight/shade any information**

# RPO'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 COG to RPO-member jurisdictions
    - (for RPO 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

Be sure to sign  
and date

## 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

Obtain PO and WBS  
numbers from TPD  
each FY

Redacted for  
privacy

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

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 Subcontractor / Subconsultant / Material Supplier This Invoice	Date Paid To Subcontractor / Subconsultant / Material Supplier This Invoice
Jul-14	City of Greenville		MioVision		\$ 5,263.00	8/20/2014
Jun-14	City of Greenville		Transmap Engineering		\$ 29,458.67	8/29/2014
Total Amount Paid to Subcontractor Firms					\$ 34,721.67	



# 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 RPO-member jurisdiction (if non-RPO-staff-led project/study).
  - RPO-member jurisdiction will provide proof of payment in their invoice to RPO 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.

# 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) Remember, only 1 invoice per quarter (or 2 invoices per quarter if you have a separate special study using SPR funds).
  - IE, separate invoice per WBS number, per quarter

# Invoice checklist – page 3

- 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)



# This slide for TPD staff use – invoice processing tip

Recommend you stamp invoice the DAY it is received.

Step 1

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

Example2.pdf x

Stamp Stamps Palette Custom Stamps Bates Numbering

DC-187 (Rev. 9/92) North Carolina Department of Public Safety  
Enterprise Accounting Department  
2020 Yonkers Road/HSC Box #4225  
Raleigh, NC 27699-4225  
(919)324-1096

RECEIVED MAR 05 2021

INVOICE Invoice No: 453035

Customer ID	Purchased By	Date	Order No.	Customer PO	Requisition
1562-183	SEANON MCCOY	02/22/2021	426240	420248816	0011841179

Bill To: TRANSPORTATION, DEPT OF  
Attention: ACCOUNTS PAYABLE  
Address: 399 CRAFT DR  
DOT DIV 9 EQUIP AND REPAIR  
WINSTON-SALEM, NC 27105

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

Customer: (336)892-7821

Delivery Method: 426240-001 Ship Date: 02/22/2021 Received By: MICHAEL LAMM

Line	Qty	Unit	Item	Unit Price	Total
1	4	DRUM	OIL, MOTOR, MULTI VISCOSITY, SAE, 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 REQUESTED UP TO \$5,000.00. IF PAYING BY CREDIT CARD, PLEASE FILL OUT THE INFORMATION BELOW AND FAX TO (919)324-4244. Questions Call (919)324-1096.

☐ MasterCard ☐ Visa ☐ MC Pin Exp. Date

Name on Card Agency  
Card Statement Address  
City, St, Zip Signature

APPROVED BY [Signature]

5202126677

Step 2

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-187 (Rev. 9/92) North Carolina Department of Public Safety  
Enterprise Accounting Department  
2020 Yonkers Road/HSC Box #4225  
Raleigh, NC 27699-4225  
(919)324-1096

RECEIVED MAR 05 2021

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Attention: ACCOUNTS PAYABLE  
Address: 399 CRAFT DR  
DOT DIV 9 EQUIP AND REPAIR  
WINSTON-SALEM, NC 27105

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

Customer: (336)892-7821

Delivery Method: 426240-001 Ship Date: 02/22/2021 Received By: MICHAEL LAMM

Line	Qty	Unit	Item	Unit Price	Total
1	4	DRUM	OIL, MOTOR, MULTI VISCOSITY, SAE, 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

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☐ MasterCard ☐ Visa ☐ MC Pin Exp. Date

Name on Card Agency  
Card Statement Address  
City, St, Zip Signature

APPROVED BY [Signature]

5202126677

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

DC-187 (Rev. 9/92) North Carolina Department of Public Safety  
Enterprise Accounting Department  
2020 Yonkers Road/HSC Box #4225  
Raleigh, NC 27699-4225  
(919)324-1096

RECEIVED MAR 05 2021

INVOICE Invoice No: 453035

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Other Charges: 0.00  
Shipping: 0.00  
Tax: 0.00  
Invoice Total: \$ 1,918.00

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☐ MasterCard ☐ Visa ☐ MC Pin Exp. Date

Name on Card Agency  
Card Statement Address  
City, St, Zip Signature

APPROVED BY [Signature]

5202126677

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

# Review – PO/WBS numbers

- PO numbers are one per fiscal year
- WBS numbers are one per project
  - Project #1 = yearly RPO operations
  - Project #2 = Special SPR study
- RPO quarterly operations and SPR special studies have different WBS numbers
  - Invoice separately so correct invoice amount is applied to the proper WBS number.

# Invoice cover letter example #1, pg 1

**Reminder--Only  
1 PO number per  
invoice.**

Remember to insert  
PO# and WBS#, and  
Invoice #

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

Insert LPA letterhead here

Insert date

Name of your TPD coordinator here  
NC Department of Transportation  
1554 Mail Service Center  
Raleigh NC 27699-1554

Subject: xyz Rural Planning Organization (xyzRPO), FY2021, Quarter 1  
PO # 75000xxxxxxxxx WBS# 11111.1.1 Invoice# FY21Q1 CFDA No. 20.205-8

Dear Mr. or Ms. <insert your TPD coordinator's last name here>,

The xyzRPO planning work program for FY 2021 provides for expenditure of Statewide Planning and Research (SPR) Funds in the amount of \$100,000 (80%= \$80,000). Total SPR expenses incurred in Q1 of FY21 by xyzRPO were \$10,000.00 (80%= \$8,000.00). We are requesting reimbursement for FY21 Q1 in the total amount of \$8,000 for the time period of 07/01/2020- 9/30/2020 for SPR funds.

**FY21 SPR funds: WBS 11111.1.1**

Total (100%) SPR funds Expended Q1:	\$ 10,000.00
80% SPR funds reimbursement Q1	\$ 8,000.00

Sincerely,

<insert appropriate name, could be finance manager or RPO coordinator, etc>

<insert title>

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.

The CFDA number for RPO work (SPR-funded) is 20.205-8. (This is different than MPO's)

Update the FY, Quarter (Q1, Q3, etc), time period, and \$\$\$ amounts throughout the letter – each quarter!

# Inv Cover letter example #1, pg. 2 (certification letter)

This is to certify that from July 1, 2021 - September 30, 2021 costs in the amount of \$10,000(80%=\$8,000) have been incurred by the xxxx Rural Planning Organization in the FY 2021 approved budget for transportation planning activities.

**Invoice # FY21Q1**

**Please remit checks to:**

City of xxxxxx (or xxxxxx Council of Governments)  
PO Box 123456  
<insert city> NC <insert zip code>

<insert name>

Budget/Finance Manager, <insert name of entity, ex City of xxxxxx, or COG>

Amount must match the amounts on the invoice sent to NCDOT.

Remember to have Finance Manager sign!

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

Include the address on file with NCDOT's financial system. (where a check should be submitted)



# RPO sample cover letter (ex#2) (for special study only)

Insert LPA letterhead here

Insert date

Name of your TPD coordinator here  
NC Department of Transportation  
1554 Mail Service Center  
Raleigh NC 27699-1554

Subject: xyz Rural Planning Organization (xyzRPO), FY2021, Quarter 1  
<insert name of special study here>

PO # 75000xxxxxxxxx WBS# 22222.2.2 Invoice# FY21 study1 CFDA No. 20.205-8

Dear Mr. or Ms. <insert your TPD coordinator's last name here>,

The xyzRPO planning work program for FY 2021 provides for expenditure of Statewide Planning and Research (SPR) Funds for the <insert name of special study> in the amount of \$50,000 (90% = \$45,000). Total SPR expenses incurred in Q1 of FY21 by xyzRPO were \$10,000.00. We are requesting reimbursement for FY21 Q1 in the total amount of \$9,000.00 (80% SPR = \$8,000, 10% State funds = \$1,000) for the time period of 07/01/2020- 9/30/2020 for SPR funds.

**FY21 SPR funds: WBS 22222.2.2 for <insert name of special study>**

Total (100%) SPR funds Expended Q1:	\$ 10,000.00
80% SPR funds reimbursement	\$ 8,000.00
10% State funds reimbursement	\$ 1,000.00
<b>Total Q1 reimbursement request</b>	<b>\$ 9,000.00</b>

Sincerely,

<insert appropriate name, could be finance manager or RPO coordinator, etc>

<insert title>

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.

Remember to insert  
PO# and WBS#, and  
Invoice #

Remember to add  
certification page  
(not shown this  
example)

The CFDA number for RPO  
work (SPR-funded) is 20.205-8.  
(This is different than MPO's)

Remember to include the back  
up material to show the RPO's  
proof of payment, and  
consultant invoices, description  
of work, etc

Special study invoices are only  
for consultant expenses. Staff  
time spent on the study would  
be in the RPO operational  
quarterly expenses.

# Submit two (2) invoices if RPO has a special study

- Send NCDOT an invoice for each WBS number (every quarter).
  - This helps TPD process your invoice(s) quicker and more efficiently.
  - If RPO has 2 WBS numbers, then would submit 2 quarterly invoices (if there are expenditures against both WBS's in that quarter)



# Invoice cover letter example #3, page 1

Use your  
Organization's  
letterhead

August 6, 2021

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

Remit and Make Check Payable To:  
<LPA Name>  
Collections Division  
<Insert address on file that exactly  
matches the one filed with NCDOT's  
financial system>

Re: Request for Reimbursement  
PL104 and STBGP-DA – Quarter 4 of FY 2021  
Draw 4 Invoice #: 13112  
Net Amount Payable This Invoice: \$80,000.00  
City of xxxxxx, yyyyyyy County, Project #: <insert if LPA accounting requires>  
WBS No: 11111.1.11 (SPR); Contract No. 75000xxxx

Ms. Sarder,

The xxx Rural Planning Organization's Planning Work Program provides for the expenditure of SPR funds in the amount of \$150,000 for Fiscal Year 2020-2021.

This letter is to request reimbursement of SPR funds for costs incurred during the FY2021 4th Quarter billing period, April 1, 2021 – June 30, 2021. Attached are the 4th quarter's Invoice, # 13112, Expenditure Reports and Narrative supporting the below cost allocations.

For the FY2021 4th Quarter billing period, April 1, 2021 – June 30, 2021, we have paid the following:

	SPR 11111.1.1
Total Expenses:	\$ 100,000.00
Less Sales Tax:	\$ -
Less Ineligible Costs:	\$ -
Eligible Expenses:	\$ 100,000.00
80% of Eligible Expenses (DOT):	\$ 80,000.00
20% of Eligible Expenses (Local):	\$ 20,000.00
<b>TOTAL REIMBURSEMENT REQUEST:</b>	<b>\$ 80,000.00</b>

The total amount requested this invoice is \$80,000.00

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

In this example,  
the RPO has an  
auto-generated  
invoice number.

# Cover letter example #3 page 2 certification

Accounting manager  
certifies that the 100%  
amount was indeed  
expended.

Sincerely,

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

Executive Director's Name Here  
Executive Director, The XXXXXXX Rural Planning Organization

## CERTIFICATION

This is to certify that from April 1, 2021 through June 30, 2021 reimbursable PL104 & STBG-DA costs in the amount of \$100,000.00 have been incurred by the ~~xxxxx~~ Rural Planning Organization in the FY 2020-2021 approved budget for transportation planning activities.

This is to certify that the <insert LPA name> 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, <name of LPA>

## 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, <insert LPA name here>

## Enclosures:

Invoice #: 13112

SPR Reimbursement Request & Documentation for the 4th Quarter of FY2021

# 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 – one invoice per WBS number

- Invoices to NCDOT need to have description of work and who did the work (consultant or RPO staff)
  - In the PWP: who will do the work.
  - On the invoice: who did the work.
- On the invoice to NCDOT...Identify the PO number and WBS, as applicable.
  - Each WBS (funding account) requires separate documentation, proof of payment, description of work accomplished (for those particular funds), etc.

# RPO Example for multi-year, multi-account.

**This example quarter has 3 invoices:**

## Previous Fiscal year

Separate (fifth) Invoice (ex: #FY21SPRstudy5)  
for this quarter

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

**Previous FY** **Invoice# FY21study5**  
**FY21 SPR special study**  
**WBS#**

This separate invoice would be for consultant work on a special SPR study for expenses incurred after the FY it was awarded.

## Current Fiscal year

Invoices for this quarter

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

**Invoice# FY22Q1**  
**FY22 RPO**  
**operations**  
**WBS# xxxx**  
**Current FY**

**Invoice# FY22study1**  
**FY22 RPO SPR**  
**special study WBS#**  
**Current FY**

Recommend submitting separate invoices – one for the Study, one for quarterly expenses.







# Invoicing – entering expenditures

Enter amounts in the rows where the RPO has quarterly expenditures. In this example, only 2<sup>nd</sup> quarter column is available to enter values.

FY 2021 (July 1, 2020-June 30, 2021)				
2nd QUARTER - QUARTERLY EXPENDITURE SUMMARY				
<insert name> RPO				
RPO Expenditures				
1st QUARTER EXPENDITURES	2nd QUARTER EXPENDITURES	% BUDGET SPENT TO DATE	TO DATE EXPENDITURES	BUDGETED AMOUNT
I. DATA COLLECTION AND ASSESSMENT				
\$ 46.49	\$ -	0.72%	\$ 46.49	\$ 6,500.00
\$ -	\$ -		\$ -	
\$ -	\$ -		\$ -	
\$ -	\$ -		\$ -	
\$ 46.49	\$ -		\$ 46.49	
II. TRANSPORTATION PLANNING				
\$ 440.60	\$ -	4.90%	\$ 440.60	\$ 9,000.00
\$ -	\$ -		\$ -	
\$ 4.97	\$ -		\$ 4.97	
\$ -	\$ -		\$ -	
\$ 435.63	\$ -		\$ 435.63	
\$ -	\$ -		\$ -	
\$ 1,285.22	\$ -	9.89%	\$ 1,285.22	\$ 13,000.00
\$ 1,285.22	\$ -		\$ 1,285.22	
\$ 405.92	\$ -	10.15%	\$ 405.92	\$ 4,000.00
\$ 84.86	\$ -		\$ 84.86	
\$ 321.06	\$ -		\$ 321.06	
\$ 3,444.84	\$ -	13.78%	\$ 3,444.84	\$ 25,000.00
\$ 1,193.36	\$ -		\$ 1,193.36	

# Invoicing – description of work.

Enter work descriptions for those tasks where an expenditure occurred.

FY 2021 (July 1, 2020-June 30, 2021)		
PLANNING WORK PROGRAM		
2nd Quarter Narrative		
<insert name> RPO		
<b>I. DATA COLLECTION AND ASSESSMENT</b>		
<b>I-1 DATA COLLECTION AND ASSESSMENT</b>		\$ -
I-1.1	Highway	\$ -
	<input type="text"/>	
I-1.2	Other Modes	\$ -
I-1.3	Socioeconomic	\$ -
I-1.4	Title VI	\$ -
<b>II. TRANSPORTATION PLANNING</b>		
<b>II-1 COMPREHENSIVE TRANSPORTATION PLAN (CTP) DEVELOPMENT</b>		\$ -
II-1.1	Develop CTP Vision	\$ -
II-1.2	Conduct CTP Needs Assessment	\$ -

# PWP

# RPO PWP, page 1 (The budget)

Properly signed  
and dated

FY 2021-2022  
PLANNING WORK PROGRAM  
ANNUAL PROPOSED FUNDING SOURCES TABLE  
Down East Rural Planning Organization

TASK CODE	WORK CATEGORY	RPO PROGRAM FUNDS		
		LOCAL 20%	STATE 80%	TOTAL
<b>I. DATA COLLECTION AND ASSESSMENT</b>				
<b>I-1</b>	<b>DATA COLLECTION AND ASSESSMENT</b>	\$ 835	\$ 3,340	\$ 4,175
I-1.1	History			
I-1.2	Other Modes			
I-1.3	Socioeconomic			
I-1.4	Title VI			
<b>II. TRANSPORTATION PLANNING</b>				
<b>II-1</b>	<b>COMPREHENSIVE TRANSPORTATION PLAN (CTP) DEVELOPMENT</b>	\$ 1,600	\$ 6,400	\$ 8,000
II-1.1	Develop CTP Vision			
II-1.2	Conduct CTP Needs Assessment			
II-1.3	Analyze Alternatives and Environmental Screening			
II-1.4	Develop Final Plan			
II-1.5	Adopt Plan			
<b>II-2</b>	<b>PRIORITIZATION</b>	\$ 3,600	\$ 14,400	\$ 18,000
II-2.1	Project Prioritization			
<b>II-3</b>	<b>PROGRAM AND PROJECT DEVELOPMENT</b>	\$ 2,400	\$ 9,600	\$ 12,000
II-3.1	STP Participation			
II-3.2	Merger / Project Development			
<b>II-4</b>	<b>GENERAL TRANSPORTATION PLANNING</b>	\$ 4,100	\$ 16,400	\$ 20,500
II-4.1	Regional and Statewide Planning			
II-4.2	Special Studies, Projects and Other Trainings			
<b>III. ADMINISTRATION OF TRANSPORTATION PLANNING AND POLICIES</b>				
<b>III-1</b>	<b>ADMINISTRATIVE ACTIVITIES</b>	\$ 4,049	\$ 16,198	\$ 20,247
III-1.1	Administrative Documents			
III-1.2	TCC / TAC Work Facilitation, Ethics Compliance			
III-1.3	Program Administration			
<b>IV. DIRECT COSTS</b>				
<b>IV-1</b>	<b>PROGRAMMATIC DIRECT CHARGES</b>	\$ 2,761	\$ 11,045	\$ 13,806
IV-1.1	Program-Related Direct Costs			
<b>IV-2</b>	<b>ADVERTISING</b>	\$ 54	\$ 216	\$ 270
IV-2.1	Newspaper Ads			
IV-2.2	Lodging, Meals, Incidentals			
IV-2.3	Hotel Costs			
IV-2.4	Other Costs			
<b>IV-3</b>	<b>REGISTRATION</b>	\$ 200	\$ 800	\$ 1,000
IV-3.1	Registration			
<b>IV-4</b>	<b>TRAINING</b>	\$ 200	\$ 800	\$ 1,000
IV-4.1	Conference Registration			
IV-4.2	Meeting / Workshop / Training Fee			
<b>IV-5</b>	<b>TRAVEL</b>	\$ 880	\$ 3,520	\$ 4,400
IV-5.1	Mileage Reimbursement			
IV-5.2	Car Rental Costs			
IV-5.3	Other Travel Expenses			
<b>V. INDIRECT COSTS</b>				
<b>V-1</b>	<b>INDIRECT COSTS APPROVED BY COORDINATING AGENCY FY 20-21</b>	\$ 7,174	\$ 28,697	\$ 35,871
V-1.1	Incurred Indirect Costs			
<b>TOTAL</b>		\$ 27,874	\$ 111,890	\$ 139,764

Approved by the TAC on:

Mar 30 2021

*[Signature]*  
Signature, TAC Chairman

*[Signature]*  
Signature, RPO Secretary

This is what the first  
page of a PWP  
should look like.  
(initial submission –  
no amendments)

Note there are no  
amendment tables.

## RPO PWP's

An initial PWP submittal as shown will be rejected by TPD.

PLANNING WORK PROGRAM ANNUAL PROPOSED FUNDING SOURCES TABLE XXXX Rural Planning Organization FINAL PWP June 11, 2020					PLANNING WORK PROGRAM AMENDMENT TABLE Mid Carolina RPO FY 2021 FINAL PWP Date: Day/Month/20XX					PLANNING WORK PROGRAM AMENDMENT TABLE Mid Carolina RPO FY 2021 FINAL PWP Date: Day/Month/20XX					PLANNING WORK PROGRAM AMENDMENT TABLE Mid Carolina RPO FY 2021 FINAL PWP Date: Day/Month/20XX					PLANNING WORK PROGRAM AMENDMENT TABLE Mid Carolina RPO FY 2021 FINAL PWP Date: June 11, 2021				
TASK CODE	WORK CATEGORY	LOCAL 20%	STATE 80%	TOTAL	Original Budgeted Amount	Net Change	New 1st Quarter Budgeted Amount	Original Budget With Previous Q	Net Change	New 2nd Quarter Budgeted Amount	Original Budget With Previous Q	Net Change	New 3rd Quarter Budgeted Amount	Original Budget With Previous Q	Net Change	New 4th Quarter Budgeted Amount	Original Budget With Previous Q	Net Change	New 4th Quarter Budgeted Amount					
<b>I. DATA COLLECTION AND ASSESSMENT</b>																								
I-1	DATA COLLECTION AND ASSESSMENT	\$ 1,300	\$ 5,200	\$ 6,500	\$ 6,500	\$ -	\$ 6,500	\$ 6,500	\$ -	\$ 6,500	\$ 6,500	\$ -	\$ 6,500	\$ 6,500	\$ -	\$ 6,500	\$ 6,500	\$ -	\$ 6,500					
I-1.1	Highway																							
I-1.2	Other Modes																							
I-1.3	Socioeconomic																							
		\$ 3,200	\$ 12,800	\$ 16,000																				
		\$ 5,000	\$ 20,000	\$ 25,000																				
		\$ 900	\$ 3,600	\$ 4,500																				
	PLANNING	\$ 3,200	\$ 12,800	\$ 16,000																				
<b>II. TRANSPORTATION PLANNING</b>																								
II-1	ADMINISTRATIVE ACTIVITIES	\$ 2,840	\$ 11,360	\$ 14,200	\$ 12,500	\$ -	\$ 12,500	\$ 12,500	\$ -	\$ 12,500	\$ 12,500	\$ -	\$ 12,500	\$ 12,500	\$ -	\$ 12,500	\$ 12,500	\$ -	\$ 12,500					
II-1.1	Administrative Documents																							
II-1.2	TCC / TAC Work Facilitation; Ethics Compliance																							
II-1.3	Program Administration																							
II-2	PROGRAMMATIC DIRECT CHARGES	\$ 5,500	\$ 22,000	\$ 27,500	\$ 22,500	\$ -	\$ 22,500	\$ 22,500	\$ -	\$ 22,500	\$ 22,500	\$ -	\$ 22,500	\$ 22,500	\$ -	\$ 22,500	\$ 22,500	\$ -	\$ 22,500					
II-2.1	Program-wide Direct Costs																							
II-2.2	ADVERTISING				\$ 1,500	\$ -	\$ 1,500	\$ 1,500	\$ -	\$ 1,500	\$ 1,500	\$ -	\$ 1,500	\$ 1,500	\$ -	\$ 1,500	\$ 1,500	\$ -	\$ 1,500					
II-2.3	Mass Media Ads				\$ 1,500	\$ -	\$ 1,500	\$ 1,500	\$ -	\$ 1,500	\$ 1,500	\$ -	\$ 1,500	\$ 1,500	\$ -	\$ 1,500	\$ 1,500	\$ -	\$ 1,500					
II-3	LODGING, MEALS, INCIDENTALS				\$ 2,000	\$ -	\$ 2,000	\$ 2,000	\$ -	\$ 2,000	\$ 2,000	\$ -	\$ 2,000	\$ 2,000	\$ -	\$ 2,000	\$ 2,000	\$ -	\$ 2,000					
II-3.1	Hotel Costs																							
II-3.2	Meal Costs																							
II-3.3	Incidentals																							
II-4	POSTAGE	\$ 30	\$ 120	\$ 150	\$ 2,500	\$ -	\$ 2,500	\$ 2,500	\$ -	\$ 2,500	\$ 2,500	\$ -	\$ 2,500	\$ 2,500	\$ -	\$ 2,500	\$ 2,500	\$ -	\$ 2,500					
II-4.1	Mailings																							
II-5	REGISTRATION / TRAINING	\$ 230	\$ 920	\$ 1,150	\$ 2,500	\$ -	\$ 2,500	\$ 2,500	\$ -	\$ 2,500	\$ 2,500	\$ -	\$ 2,500	\$ 2,500	\$ -	\$ 2,500	\$ 2,500	\$ -	\$ 2,500					
II-5.1	Conference Registration																							
II-5.2	Meeting / Workshop / Training Fees																							
II-6	TRAVEL	\$ 300	\$ 1,200	\$ 1,500	\$ 4,000	\$ -	\$ 4,000	\$ 4,000	\$ -	\$ 4,000	\$ 4,000	\$ -	\$ 4,000	\$ 4,000	\$ -	\$ 4,000	\$ 4,000	\$ -	\$ 4,000					
II-6.1	Mileage Reimbursement																							
II-6.2	Car Rental Costs																							
II-6.3	Other Travel Expenses																							
II-7	INDIRECT COSTS	\$ 4,252	\$ 17,008	\$ 21,260	\$ 26,260	\$ -	\$ 26,260	\$ 26,260	\$ -	\$ 26,260	\$ 26,260	\$ -	\$ 26,260	\$ 26,260	\$ -	\$ 26,260	\$ 26,260	\$ -	\$ 26,260					
II-7.1	Indirect Costs Approved by Cognizant Agency																							
II-7.2	Unallocated Indirect Costs																							
TOTAL		\$26,752	\$107,008	\$133,760	\$133,760	\$ -	\$133,760	\$133,760	\$ -	\$133,760	\$133,760	\$ -	\$133,760	\$133,760	\$ -	\$133,760	\$133,760	\$ -	\$133,760					
Approved by the TAC on: _____ 20__																								
Signature, TAC Chairman																								

Remember to include the

Do not include  
amendment tables  
for INITIAL PWP  
submission

Missing  
signature

Initial PWP submittals do not have  
amendment tables.

Remember to include the text  
narrative/description of each  
task (additional pages)



# RPO PWP – don't include quarterly amendments in initial PWP submittal

PLANNING WORK PROGRAM AMENDMENT TABLE Mid Carolina RPO FY 2021 FINAL PWP 1st Quarter Amendment Table Date: Day/Month/20XX			PLANNING WORK PROGRAM AMENDMENT TABLE Mid Carolina RPO FY 2021 FINAL PWP 2nd Quarter Amendment Table Date: Day/Month/20XX			PLANNING WORK PROGRAM AMENDMENT TABLE Mid Carolina RPO FY 2021 FINAL PWP 3rd Quarter Amendment Table Date: Day/Month/20XX			PLANNING WORK PROGRAM AMENDMENT TABLE Mid Carolina RPO FY 2021 FINAL PWP 4th Quarter Amendment Table Date: Jan 11, 2021		
Original Budgeted Amount	Net Change	New 1st Quarter Budgeted Amount	Original Budget With Previous Q Amendment	Net Change	New 2nd Quarter Budgeted Amount	Original Budget With Previous Q Amendment	Net Change	New 3rd Quarter Budgeted Amount	Original Budget With Previous Q Amendment	Net Change	New 4th Quarter Budgeted Amount
\$ 6,500	\$ -	\$ 6,500	\$ 6,500	\$ -	\$ 6,500	\$ 6,500	\$ -	\$ 6,500	\$ 6,500	\$ -	\$ 6,500
I. DATA COLLECTION AND RESEARCH			I. DATA COLLECTION AND RESEARCH			I. DATA COLLECTION AND RESEARCH			I. DATA COLLECTION AND RESEARCH		
Provide explanation for moving funds from one category to another.			Provide explanation for moving funds from one category to another.			Provide explanation for moving funds from one category to another.			Provide explanation for moving funds from one category to another.		
\$ 15,000	\$ -	\$ 15,000	\$ 15,000	\$ -	\$ 15,000	\$ 15,000	\$ -	\$ 15,000	\$ 15,000	\$ 1,000	\$ 16,000
II. TRANSPORTATION PLANNING			II. TRANSPORTATION PLANNING			II. TRANSPORTATION PLANNING			II. TRANSPORTATION PLANNING		
Provide explanation for moving funds from one category to another.			Provide explanation for moving funds from one category to another.			Provide explanation for moving funds from one category to another.			Additional funds for CTP Development will allow for slightly higher expenses than expected.		
\$ 20,000	\$ -	\$ 20,000	\$ 20,000	\$ -	\$ 20,000	\$ 20,000	\$ -	\$ 20,000	\$ 20,000	#####	\$ 25,000
Provide explanation for moving funds from one category to another.			Provide explanation for moving funds from one category to another.			Provide explanation for moving funds from one category to another.			Provide explanation for moving funds from one category to another.		
\$ 4,000	\$ -	\$ 4,000	\$ 4,000	\$ -	\$ 4,000	\$ 4,000	\$ -	\$ 4,000	\$ 4,000	\$ 500	\$ 4,500
Provide explanation for moving funds from one category to another.			Provide explanation for moving funds from one category to another.			Provide explanation for moving funds from one category to another.			STP participation expenditures were slightly higher than expected.		
\$ 15,500	\$ -	\$ 15,500	\$ 15,500	\$ -	\$ 15,500	\$ 15,500	\$ -	\$ 15,500	\$ 15,500	\$ 500	\$ 16,000
Provide explanation for moving funds from one category to another.			Provide explanation for moving funds from one category to another.			Provide explanation for moving funds from one category to another.			General Transportation Planning was slightly higher than expected.		
\$ 12,500	\$ -	\$ 12,500	\$ 12,500	\$ -	\$ 12,500	\$ 12,500	\$ -	\$ 12,500	\$ 12,500	\$ 1,700	\$ 14,200
III. ADMINISTRATION OF TRANSPORTATION PLANNING			III. ADMINISTRATION OF TRANSPORTATION PLANNING			III. ADMINISTRATION OF TRANSPORTATION PLANNING			III. ADMINISTRATION OF TRANSPORTATION PLANNING		
Provide explanation for moving funds from one category to another.			Provide explanation for moving funds from one category to another.			Provide explanation for moving funds from one category to another.			Administrative Activities were slightly higher than expected.		
\$ 22,500	\$ -	\$ 22,500	\$ 22,500	\$ -	\$ 22,500	\$ 22,500	\$ -	\$ 22,500	\$ 22,500	#####	\$ 27,500
IV. DIRECT COSTS			IV. DIRECT COSTS			IV. DIRECT COSTS			IV. DIRECT COSTS		
Provide explanation for moving funds from one category to another.			Provide explanation for moving funds from one category to another.			Provide explanation for moving funds from one category to another.			Provide explanation for moving funds from one category to another.		
\$ 1,500	\$ -	\$ 1,500	\$ 1,500	\$ -	\$ 1,500	\$ 1,500	\$ -	\$ 1,500	\$ 1,500	#####	\$ -
Provide explanation for moving funds from one category to another.			Provide explanation for moving funds from one category to another.			Provide explanation for moving funds from one category to another.			Administrative Costs were slightly higher than expected.		
\$ 1,500	\$ -	\$ 1,500	\$ 1,500	\$ -	\$ 1,500	\$ 1,500	\$ -	\$ 1,500	\$ 1,500	#####	\$ -
Provide explanation for moving funds from one category to another.			Provide explanation for moving funds from one category to another.			Provide explanation for moving funds from one category to another.			Travel was limited due to the Covid travel restrictions/cancellations.		
\$ 2,000	\$ -	\$ 2,000	\$ 2,000	\$ -	\$ 2,000	\$ 2,000	\$ -	\$ 2,000	\$ 2,000	#####	\$ 150
Provide explanation for moving funds from one category to another.			Provide explanation for moving funds from one category to another.			Provide explanation for moving funds from one category to another.			Travel was limited due to the Covid travel restrictions/cancellations.		
\$ 2,500	\$ -	\$ 2,500	\$ 2,500	\$ -	\$ 2,500	\$ 2,500	\$ -	\$ 2,500	\$ 2,500	#####	\$ 1,150
Provide explanation for moving funds from one category to another.			Provide explanation for moving funds from one category to another.			Provide explanation for moving funds from one category to another.			Travel was limited due to the Covid travel restrictions/cancellations.		
\$ 4,000	\$ -	\$ 4,000	\$ 4,000	\$ -	\$ 4,000	\$ 4,000	\$ -	\$ 4,000	\$ 4,000	#####	\$ 1,500
Provide explanation for moving funds from one category to another.			Provide explanation for moving funds from one category to another.			Provide explanation for moving funds from one category to another.			Travel was limited due to the Covid travel restrictions/cancellations.		
\$ 26,260	\$ -	\$ 26,260	\$ 26,260	\$ -	\$ 26,260	\$ 26,260	\$ -	\$ 26,260	\$ 26,260	#####	\$ 21,260
V. INDIRECT COSTS			V. INDIRECT COSTS			V. INDIRECT COSTS			V. INDIRECT COSTS		
Provide explanation for moving funds from one category to another.			Provide explanation for moving funds from one category to another.			Provide explanation for moving funds from one category to another.			Provide explanation for moving funds from one category to another.		
\$ 133,760	\$ -	\$ 133,760	\$ 133,760	\$ -	\$ 133,760	\$ 133,760	\$ -	\$ 133,760	\$ 133,760	\$ -	\$ 133,760
VI. TOTAL COSTS			VI. TOTAL COSTS			VI. TOTAL COSTS			VI. TOTAL COSTS		
Provide explanation for moving funds from one category to another.			Provide explanation for moving funds from one category to another.			Provide explanation for moving funds from one category to another.			Provide explanation for moving funds from one category to another.		
Approved by the TAC on: 20_			Approved by the TAC on: 20_			Approved by the TAC on: April 2, 2019			Administrative Modification Request		

Only include an amendment table if (and when) the PWP has been amended.



# Check the print area of the excel table

WPP+SPR Expense Report\_10-13-21

File Home Insert Page Layout Formulas Data Review View

Default

Keep Exit New Options

Normal Page Break Preview Page Custom

Sheet View Workbook Views

G4

FY 2021 (July 1, 2020-June 30, 2021) PLANNING WORK PROGRAM ANNUAL PROPOSED FUNDING SOURCES TABLE Cape Fear RPO					
TASK CODE	WORK CATEGORY	RPO PROGRAM FUNDS			
		LOCAL 20%	State 0%	FEDERAL 80%	TOTAL
<b>I. DATA COLLECTION AND ASSESSMENT</b>					
I-1	DATA COLLECTION AND ASSESSMENT	\$1,500	\$ -	\$ 6,000	\$ 7,500
I-1.1	Highway				
I-1.2	Other Modes				
I-1.3	Socioeconomic				
I-1.4	Title VI				
<b>II. TRANSPORTATION PLANNING</b>					
II-1	COMPREHENSIVE TRANSPORTATION PLAN	\$1,800	\$ -	\$ 7,200	\$ 9,000
II-1.1	Develop CTP Vision				
II-1.2	Conduct CTP Needs Assessment				
II-1.3	Analyze Alternatives and Environmental Screening				
II-1.4	Develop Final Plan				
II-1.5	Adopt Plan				
II-2	PRIORITIZATION	*****	\$ -	\$10,400	\$13,000
II-2.1	Project Prioritization				
II-3	PROGRAM AND PROJECT DEVELOPMENT	\$ 800	\$ -	\$ 3,200	\$ 4,000
II-3.1	STIP Participation				
II-3.2	Merger / Project Development				
II-4	GENERAL TRANSPORTATION PLANNING	*****	\$ -	*****	*****
II-4.1	Regional and Statewide Planning				
II-4.2	Special Studies, Projects and Other Trainings				
<b>III. ADMINISTRATION OF TRANSPORTATION PLANNING AND POLICIES</b>					
III-1	ADMINISTRATIVE ACTIVITIES	*****	\$ -	\$21,200	*****
III-1.1	Administrative Documents				
III-1.2	TCC / TAC Work Facilitation; Ethics Compliance				
III-1.3	Program Administration				
<b>IV. DIRECT COSTS</b>					
IV-1	PROGRAMMATIC DIRECT CHARGES	*****	\$ -	\$ 8,000	\$10,000
IV-1.1	Program-wide Direct Costs				
IV-2	ADVERTISING	\$ 200	\$ -	\$ 800	\$ 1,000
IV-2.1	News Media Ads				
IV-3	LODGING, MEALS, INCIDENTALS	\$ 300	\$ -	\$ 1,200	\$ 1,500
IV-3.1	Hotel Costs				
IV-3.2	Meal Costs				
IV-3.3	Incidentals				
IV-4	POSTAGE	\$ 20	\$ -	\$ 80	\$ 100
IV-4.1	Mailings				
IV-5	REGISTRATION / TRAINING	\$ 200	\$ -	\$ 800	\$ 1,000
IV-5.1	Conference Registration				

Click on  
"View"

Then click on  
"Page Break  
Preview"

Finally, drag the blue  
lines to show the exact  
area you want printed  
or made into a PDF.

# PWP – reminders for top of “PWP and Amendments” tab

FY 2021 (July 1, 2020-June 30, 2021)			
PLANNING WORK PROGRAM			
ANNUAL FUNDING SOURCES TABLE			
<insert name> RPO			
WORK CATEGORY	RPO PROGRAM FUNDS		
	LOCAL	State	FEDERAL
	20%	0%	

Be sure to change this when developing the NEW PWP (for the next fiscal year).

Be sure to insert the RPO name here.

# RPO PWP - The narrative

FY 2021-2022 PLANNING WORK PROGRAM Narrative High Country Rural Planning Organization	
<b>I. DATA COLLECTION AND ASSESSMENT</b>	
<b>I-1 DATA COLLECTION AND ASSESSMENT</b>	\$ 8,000.00
I-1.1 Highway	
Project Mapping, E911 Centerline Database Management	
I-1.2 Other Modes	
I-1.3 Socioeconomic	
Maintain Socioeconomic Data for all Counties	
I-1.4 Title VI	
Maintain Compliance with Title VI	
<b>II. TRANSPORTATION PLANNING</b>	
<b>II-1 COMPREHENSIVE TRANSPORTATION PLAN (CTP) DEVELOPMENT</b>	
II-1.1 Develop CTP Vision	
Complete Yancey County CTP Planning Process, Begin Ashe County CTP Planning Process	
II-1.2 Conduct CTP Needs Assessment	
II-1.3 Analyze Alternatives and Environmental Screening	
II-1.4 Develop Final Plan	
II-1.5 Adopt Plan	
<b>II-2 PRIORITIZATION</b>	\$ 21,000.00
II-2.1 Project Prioritization	
Solicitation of Priority P&B Projects, Scoring and Ranking of Projects, Development of HCRPO Priority Needs List, Local Point Allocation, Methodology Updates	
<b>II-3 PROGRAM AND PROJECT DEVELOPMENT</b>	\$ 5,000.00
II-3.1 STIP Participation	
Review and Report Status of STIP projects to RTCC/RTAC, Attend STIP Meetings	
II-3.2 Merger / Project Development	
Attend Merger Meetings and Provide Local Input on Projects	
<b>II-4 GENERAL TRANSPORTATION PLANNING</b>	\$ 14,500.00
II-4.1 Regional and Statewide Planning	
Attend NCARPO Quarterly Meetings	
II-4.2 Special Studies, Projects and Other Trainings	
NCARPO Administrative Document Committee Participation, NCDOT Resiliency Plan Participation	
<b>III. ADMINISTRATION OF TRANSPORTATION PLANNING AND POLICIES</b>	
<b>III-1 ADMINISTRATIVE ACTIVITIES</b>	\$ 20,957.00
III-1.1 Administrative Documents	
Prepare, Obtain Approval and Submit PWP and any Necessary Amendments. Prepare and submit quarterly reports to NCDOT TPD	
III-1.2 TCC / TAC Work Facilitation; Ethics Compliance	
Facilitate HCRPO Meetings, Membership, and RTAC Ethics Requirements	
III-1.3 Program Administration	
Provide Transportation Information and Data, Coordinate with NCDOT staff Regarding Inquiries from Local Officials, Citizens, and RTCC/RTAC Members.	
<b>IV. DIRECT COSTS</b>	
<b>IV-1 PROGRAMMATIC DIRECT CHARGES</b>	\$ 100.00
IV-1.1 Program-wide Direct Costs	
Regular Costs of Operation of the HCRPO Program	
<b>IV-2 ADVERTISING</b>	\$ 100.00
IV-2.1 News Media Ads	
HCRPO Meeting Notices	
<b>IV-3 LODGING, MEALS, INCIDENTALS</b>	\$ 1,200.00
IV-3.1 Hotel Costs	
Hotel Costs for NCARPO Quarterly Meetings and Office Meetings and Trainings	

Narrative describes / provides detail about the work that will be accomplished for each task code where you have budgeted funds for the fiscal year.

If PWP is amended, you may need to update the narrative for affected task codes.

# Special study narrative

For any special study, be sure to provide detailed description in the narrative.

II-3	DEVELOPMENT
II-3.1	STIP P
II-3.2	Merge
II-4	GENERAL TRANSPORTATION PLANNING
II-4.1	Regional and Statewide Planning
II-4.2	Special Studies, Projects and Other Trainings
III. ADMINISTRATION OF TRANSPORTATION PLANNING AND	
III-1	ADMINISTRATIVE ACTIVITIES
III-1.1	Administrative Documents
III-1.2	TCC / TAC Work Facilitation; Ethics Compliance

Provide the narrative in the “PWP Narrative” tab. Provide a few sentences summarizing a special study.

II-4 GENERAL TRANSPORTATION PLANNING	
II-4.1 Regional and Statewide Planning	Participate in a regional and statewide planning process including the MTP, GSATS TCC and MPT, Brunswick County Transportation Planning Board, PAS-TRAN TAB, East Coast Greenway Alliance, Mountain NCARPO, APA-NC, NCDOT committees, Eastern NC MPO/RPO Coalition, etc. Review local/regional/statewide news related to transportation, land use, demographics, socioeconomic, and economic activity
II-4.2 Special Studies, Projects and Other Trainings	Assist member jurisdictions with transportation, land use, environmental, demographic/socio-economic, and mapping components of land use plans and ordinances; develop local bicycle and pedestrian plans; develop corridor studies; develop parking inventories and plans; update transit LCPs (as needed); administer and participate in NC 211/East Coast Greenway Feasibility Study; transportation- and GIS- related training, including NCAMPO conference, APA-NC conference, NCAUG fall conference (if held at Carolina Beach, as usual), NCPTA conference NCDOT PTD training conference, NC Transportation Summit, etc.

For any special study, be sure to provide detailed description in the narrative.

TASK CODE	WORK CATEGORY	SPR PROGRAM FUNDS			
		LOCAL	STATE	FEDERAL	TOTAL
		5%	15%	80%	100%
VI. SPECIAL STATE PLANNING & RESEARCH FUNDS					
VI-1	SPECIAL SPR ALLOCATION	\$ 5,000	\$ 15,000	\$ 80,000	\$ 100,000
VI-1.1	If applicable, insert name of SPR Special Project here				
SPECIAL SPR TOTAL		\$ 5,000	\$ 15,000	\$ 80,000	\$ 100,000
PWP TOTAL		\$ 30,360	\$ 15,000	\$ 181,440	\$ 226,800



# Special Studies examples

- Typically: Corridor studies, Transportation plans, feasibility studies.

EXAMPLE SPR SPECIAL STUDIES
Bike/Ped/Greenway plans
Freight Mobility Plan
Tolling Needs Study
Regional ITS study
Greenway Feasibility Study
Rail-Trail study
Neuse River Trail study
East Coast Greenway Feasibility Study

# RPO PWP – entering budget amounts

Insert original budget amount here

Insert Q1 amendment amount here. (as applicable)

Insert Q2 amendment amount here. (as applicable)

FY 2021 (July 1, 2020-June 30, PLANNING WORK PROGRAM ANNUAL FUNDING SOURCES TABLE <insert name> RPO						Amendment			Q2 Amendment		
TASK CODE	WORK CATEGORY	RPO PROGRAM FUNDING				Date: Day/Month/20XX			Date: Day/Month/20XX		
		LOCAL 20%	State 0%	FEDERAL 80%	TOTAL	Original Budgeted Amount	Net Change	New 1st Quarter Budgeted Amount	Original Budget With Previous Q Amendment(s)	Net Change	New 2nd Quarter Budgeted Amount
I. DATA COLLECTION AND ASSESSMENT						I. DATA COLLECTION AND ASSESSMENT			I. DATA COLLECTION AND ASSESSMENT		
I-1	DATA COLLECTION AND ASSESSMENT	\$ 1,300	\$ -	\$ 5,200	\$ 6,500	\$ 8,500	\$ (2,000)	\$ 6,500	\$ 6,500	\$ -	\$ 6,500
I-1.1	Highway					Provide explanation for moving funds from one category to another.			Provide explanation for moving funds from one category to another.		
I-1.2	Other Modes										
I-1.3	Socioeconomic										
I-1.4	Title VI										
II. TRANSPORTATION PLANNING						II. TRANSPORTATION PLANNING			II. TRANSPORTATION PLANNING		
II-1	COMPREHENSIVE TRANSPORTATION PLAN (CTP)	\$ 1,800	\$ -	\$ 7,200	\$ 9,000	\$ 8,000	\$ 1,000	\$ 9,000	\$ 9,000	\$ -	\$ 9,000
II-1.1	Develop CTP Vision	+				Provide explanation for moving funds from one category to another.			Provide explanation for moving funds from one category to another.		
II-1.2	Conduct CTP Needs Assessment										
II-1.3	Analyze Alternatives and Environmental Screening										
II-1.4	Develop Final Plan										
II-1.5	Adopt Plan										
II-2	PRIORITIZATION	\$ 2,600	\$ -	\$ 10,400	\$ 13,000	\$ 13,000	\$ -	\$ 13,000	\$ 13,000	\$ -	\$ 13,000
II-2.1	Project Prioritization					Provide explanation for moving funds from one category to another.			Provide explanation for moving funds from one category to another.		
II-3	PROGRAM AND PROJECT DEVELOPMENT	\$ 800	\$ -	\$ 3,200	\$ 4,000	\$ 4,000	\$ -	\$ 4,000	\$ 4,000	\$ -	\$ 4,000
II-3.1	STIP Participation					Provide explanation for moving funds from one category to another.			Provide explanation for moving funds from one category to another.		
II-3.2	Merger / Project Development										
II-4	GENERAL TRANSPORTATION PLANNING	\$ 5,000	\$ -	\$ 20,000	\$ 25,000	\$ 25,000	\$ -	\$ 25,000	\$ 25,000	\$ -	\$ 25,000
II-4.1	Regional and Statewide Planning					Provide explanation for moving funds from one category to another.			Provide explanation for moving funds from one category to another.		



# RPO PWP – entering Special Study details

Modify this field for the name of your study. (It's unlocked)

Enter the total (100%) amount of the study in this box.


TASK CODE	WORK CATEGORY	SPR PROGRAM FUNDS				Original Budgeted Amount
		LOCAL	STATE	FEDERAL	TOTAL	
		5%	15%	80%	100%	
VI. SPECIAL STATE PLANNING & RESEARCH FUNDS						VI. SPEC
VI-1	SPECIAL SPR ALLOCATION	\$ 5,000	\$ 15,000	\$ 80,000	\$ 100,000	\$ 100,000
VI-1.1	If applicable, insert name of SPR Special Project here					Can not mod
	SPECIAL SPR TOTAL	\$ 5,000	\$ 15,000	\$ 80,000	\$ 100,000	\$ 100,000
	PWP TOTAL	\$ 30,360	\$ 15,000	\$ 181,440	\$ 226,800	\$ 227,800

Click in this cell and select the Percentage from the drop-down box.

# Narrative

- 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 what will be studied and who (consultant or RPO staff) will do the 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		\$1,295,500
		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.	

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

Not acceptable by TPD.



# 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 ...."

## 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 <or RPO>, 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.”

# RPO PWP checklist

- 1. Include the budget
  - Must be signed and dated
  - Do not include the quarterly changes in initial submittal
- 2. Include the Narrative
  - Describe what activities are planned for the budgeted amount you provide for each task code
- (Yes, the RPO PWP could be as short as 2 pages, but be sure to provide enough detail in the narrative.)



# Task code variance\*

- RPO:
  - A variance of up to \$5,000 compared to current programmed amount for any category in the PWP is considered a minor revision and is allowed without amendment **if approved in advance** by the TPD RPO Coordinator. (per [RPO manual](#))
  - NCDOT staff will send e-mail to RPO with revision approval.
  - In general, do not exceed the budgeted amount in a line item.
    - Amend the PWP to move funds from an underutilized line item to a different line item. Be sure to transmit to TPD staff.
    - Be sure there is no net change (no change to program total).

# PWP Revisions

- Revisions to PWP can only occur for the current fiscal year PWP.
- Can't change PWP 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.**

# RPO PWP amendment note

Don't modify the Special Study amount

Don't change or modify the amounts of a special study.

TASK CODE	WORK CATEGORY	SPECIAL STUDY FUNDS			
		LOCAL	STATE	FEDERAL	TOTAL
		10%	10%	80%	100%
VI. SPECIAL STATE PLANNING & RESEARCH FUNDS					
VI-1	SPECIAL SPR ALLOCATION	\$10,000	\$10,000	\$ 80,000	\$100,000
VI-1.1	SPR Special Project				
SPECIAL SPR TOTAL		\$10,000	\$10,000	\$ 80,000	\$100,000
PWP TOTAL		\$36,594	\$10,000	\$186,375	\$232,969

Q1 Amendment			
Date: Day/Month/20XX			
Original Budgeted Amount	Net Change	New 1st	
VI. SPECIAL STUDY SPR FUNDS			
\$ 100,000	\$ -	\$ 100,000	
\$ 100,000	\$ -	\$ 100,000	
\$ 232,969	\$ -	\$ 232,969	

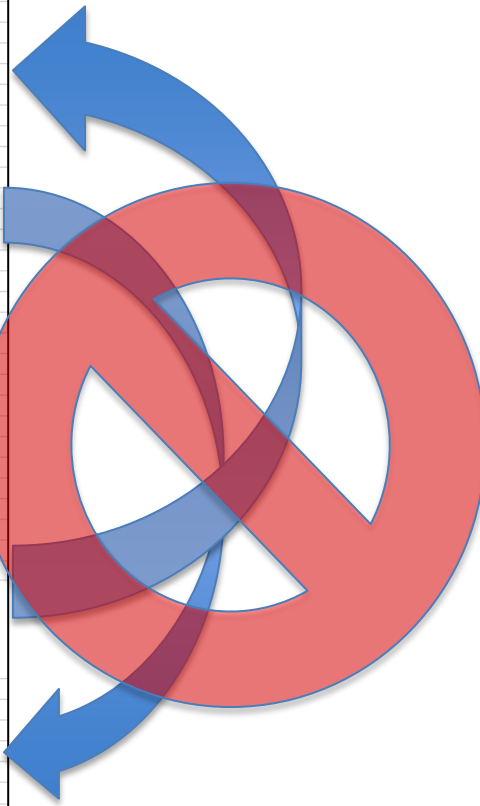
Q2 Amendment			
Date: Day/Month/20XX			
Original	Net	New 2nd	
VI. SPECIAL STUDY SPR FUNDS			
\$ 100,000	\$ -	\$ 100,000	
\$ 100,000	\$ -	\$ 100,000	
\$ 232,969	\$ -	\$ 232,969	

Q3 Amendment			
Date: Day/Month/20XX			
Original	Net	New 3rd	
VI. SPECIAL STUDY SPR FUNDS			
\$ 100,000	\$ -	\$ 100,000	
\$ 100,000	\$ -	\$ 100,000	
\$ 232,969	\$ -	\$ 232,969	

This highlights the importance of developing a properly-researched cost estimate prior to applying for SPR special study funds. **IMPORTANT:** Don't go over the total amount!

# Can't transfer \$ between Special Study and Quarterly operations

II-3	PROGRAM AND PROJECT DEVELOPMENT	\$ 800	\$ -	\$ 3,200	\$ 4,000
II-3.1	STIP Participation				
II-3.2	Merger / Project Development				
II-4	GENERAL TRANSPORTATION PLANNING	\$ 5,000	\$ -	\$ 20,000	\$ 25,000
II-4.1	Regional and Statewide Planning				
II-4.2	Special Studies, Projects and Other Trainings				
III. ADMINISTRATION OF TRANSPORTATION PLANNING AND POLICIES					
III-1	ADMINISTRATIVE ACTIVITIES	\$ 5,300	\$ -	\$ 21,200	\$ 26,500
III-1.1	Administrative Documents				
III-1.2	TCC / TAC Work Facilitation; Ethics Compliance				
III-1.3	Program Administration				
IV. DIRECT COSTS					
IV-1	PROGRAMMATIC DIRECT CHARGES	\$ 2,000	\$ -	\$ 8,000	\$ 10,000
IV-1.1	Program-wide Direct Costs				
IV-2	ADVERTISING	\$ 200	\$ -	\$ 800	\$ 1,000
IV-2.1	News Media Ads				
IV-3	LODGING, MEALS, INCIDENTALS	\$ 300	\$ -	\$ 1,200	\$ 1,500
IV-3.1	Hotel Costs				
IV-3.2	Meal Costs				
IV-3.3	Incidentals				
IV-4	POSTAGE	\$ 20	\$ -	\$ 80	\$ 100
IV-4.1	Mailings				
IV-5	REGISTRATION / TRAINING	\$ 200	\$ -	\$ 800	\$ 1,000
IV-5.1	Conference Registration				
IV-5.2	Meeting / Workshop / Training Fees				
IV-6	TRAVEL	\$ 840	\$ -	\$ 3,360	\$ 4,200
IV-6.1	Mileage Reimbursement				
IV-6.2	Car Rental Costs				
IV-6.3	Other Travel Expenses				
V. INDIRECT COSTS					
V-1	INDIRECT COSTS	\$ 6,034	\$ -	\$ 24,135	\$ 30,169
V-1.1	Incurred Indirect Costs				
RPO PROGRAM TOTAL		\$26,594	\$ -	\$106,375	\$132,969
VI. SPECIAL STATE PLANNING & RESEARCH FUNDS					
VI-1	SPECIAL SPR ALLOCATION	\$10,000	\$10,000	\$ 80,000	\$100,000
VI-1.1	SPR Special Project				
SPECIAL SPR TOTAL		\$10,000	\$10,000	\$ 80,000	\$100,000
PWP TOTAL		\$36,594	\$10,000	\$186,375	\$232,969



- These funds cannot be transferred or “moved” because they are separate WBS numbers and federal authorizations.
- Recommended to invoice special study separately from operations.

# Various Regulations and guidance

# End-of-Year summary of work

- Required each year.
- A summary or compilation of each quarter of work (by task code). It describes what was accomplished for each task code over the full fiscal year.
- Please submit as a PDF.
- Submit this separately to TPD.
- RPO's – use the “yearly narrative” tab in the PWP Excel document.



# RPO end-of-year (yearly) narrative

	FY 2020-2021	
	PLANNING WORK PROGRAM	
	Yearly Narrative	
	Cape Fear RPO	
	(TEMPLATE)	
<b>I. DATA COLLECTION AND ASSESSMENT</b>		
<b>I-1 DATA COLLECTION AND ASSESSMENT</b>		\$ 2,046.49
I-1.1 Highway		\$ -
I-1.2 Other Modes		\$ -
I-1.3 Socioeconomic		\$ -
I-1.4 Title VI		\$ 2,046.49
<b>II. TRANSPORTATION PLANNING</b>		
<b>II-1 COMPREHENSIVE TRANSPORTATION PLAN (CTP) DEVELOPMENT</b>		\$ 440.60
II-1.1 Develop CTP Vision		\$ -
II-1.2 Conduct CTP Needs Assessment		\$ -
II-1.3 Analyze Alternatives and Environmental Screening		\$ -
II-1.4 Develop Final Plan		\$ 435.63
II-1.5 Adopt Plan		\$ -
<b>II-2 PRIORITIZATION</b>		\$ 7,085.22
II-2.1 Project Prioritization		\$ 7,085.22
<b>II-3 PROGRAM AND PROJECT DEVELOPMENT</b>		\$ 405.92
II-3.1 STIP Participation		\$ 84.86
II-3.2 Merger / Project Development		\$ 321.06
<b>II-4 GENERAL TRANSPORTATION PLANNING</b>		\$ 3,444.84
II-4.1 Regional and Statewide Planning		\$ 1,193.36
II-4.2 Special Studies, Projects and Other Trainings		\$ 2,251.48
<b>III. ADMINISTRATION OF TRANSPORTATION PLANNING AND POLICIES</b>		
<b>III-1 ADMINISTRATIVE ACTIVITIES</b>		\$ 7,868.66

Populate each field where funds were spent in the year. If no expenditures in the task code, there would be no text in that task code.

Detail the work accomplished in the ENTIRE fiscal year.

This could take a few pages. Submit completed narrative as a separate PDF.

# Yearly FFATA submittal

- What: Submit [this form](#) to NCDOT.
- Why: Federal Regulation (more info at [fsrs.gov](https://fsrs.gov))
  - Federal Funding Accountability and Transparency Act (FFATA)
  - Also...It's in the RPO'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).

# FFATA, page 2

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

## Agency Submission:

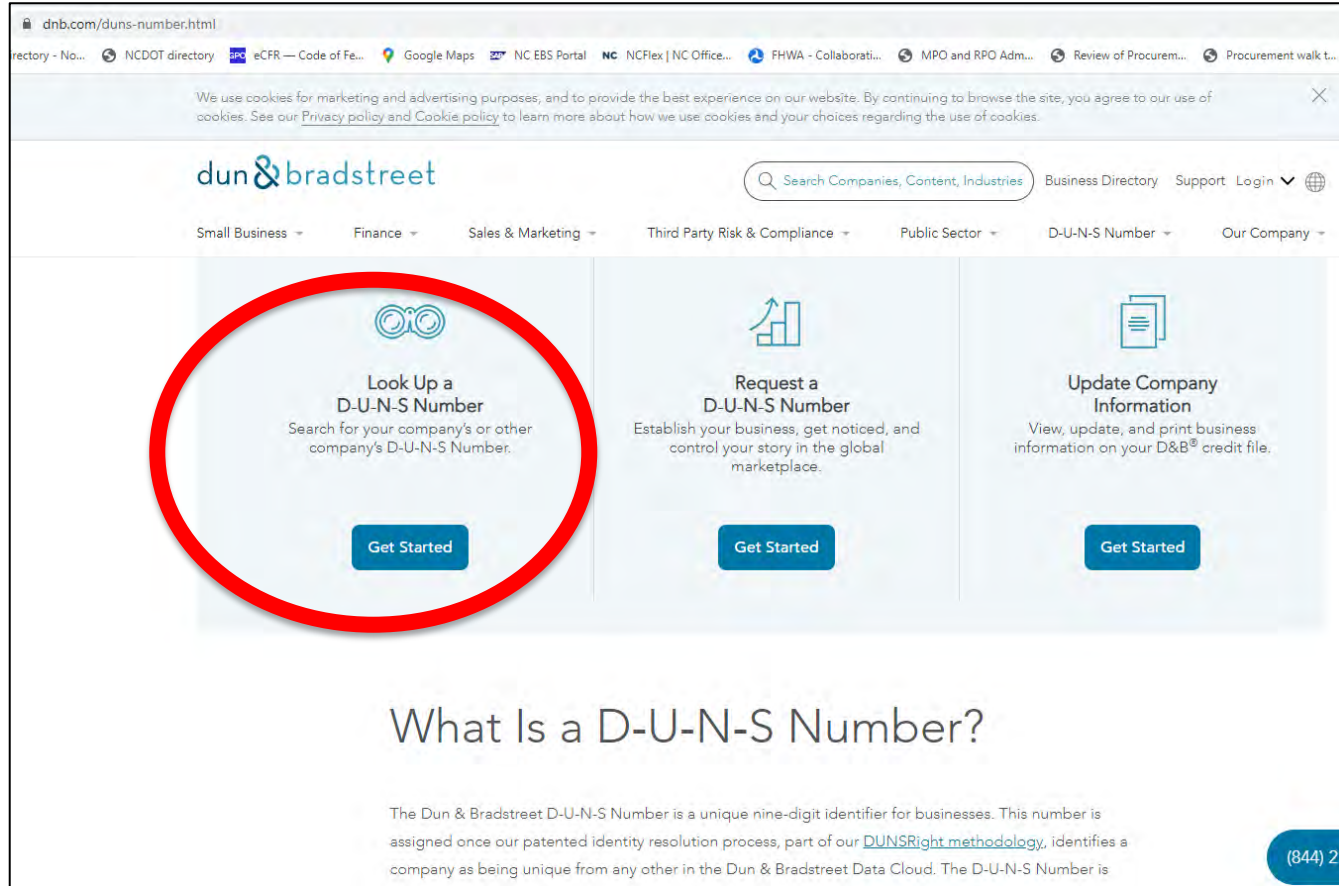
- BOX 8: **Name:** Name of the individual representing the Subrecipients that is responsible for validating and submitting the General Subrecipient and Executive Compensation Reporting Information.
- BOX 9: **Title:** Title of the individual representing the Subrecipients that is responsible for validating 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.

# FFATA, page 3

- The form (currently) requests DUNS #.

If unknown:

[Dun and Bradstreet website](https://www.dunbradstreet.com/duns-number.html)



The screenshot shows the Dun & Bradstreet website with the URL [dnb.com/duns-number.html](https://dnb.com/duns-number.html). The page features a navigation bar with links to various services. The main content area has three columns, each with an icon, a title, a description, and a 'Get Started' button. The first column, 'Look Up a D-U-N-S Number', is circled in red. Below the columns is a section titled 'What Is a D-U-N-S Number?' with a brief explanation of the number's purpose. A phone number '(844) 21' is visible in the bottom right corner.

dnb.com/duns-number.html

We use cookies for marketing and advertising purposes, and to provide the best experience on our website. By continuing to browse the site, you agree to our use of cookies. See our [Privacy policy](#) and [Cookie policy](#) to learn more about how we use cookies and your choices regarding the use of cookies.

dun & bradstreet

Search Companies, Content, Industries Business Directory Support Login

Small Business Finance Sales & Marketing Third Party Risk & Compliance Public Sector D-U-N-S Number Our Company

**Look Up a D-U-N-S Number**  
Search for your company's or other company's D-U-N-S Number.  
[Get Started](#)

**Request a D-U-N-S Number**  
Establish your business, get noticed, and control your story in the global marketplace.  
[Get Started](#)

**Update Company Information**  
View, update, and print business information on your D&B® credit file.  
[Get Started](#)

**What Is a D-U-N-S Number?**

The Dun & Bradstreet D-U-N-S Number is a unique nine-digit identifier for businesses. This number is assigned once our patented identity resolution process, part of our [DUNSRight methodology](#), identifies a company as being unique from any other in the Dun & Bradstreet Data Cloud. The D-U-N-S Number is

(844) 21

# 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 taxes they 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.

# What's a project?

- Transportation planning examples:
  - Ex1: FY22 SPR special study for an RPO
  - Ex3: FY21 SPR funds for <insert RPO name> (yearly RPO operations)
- 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.

# Finished with a project (the fiscal year)?

- (When a specific (individual) project (ex: FY20 SPR-funded RPO operations) 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 the final invoice for FY22, and hereby request TPD to close out the FY22 xxxRPO WBS number 1234.5.6.”**
- If you have any questions, please contact <RPO 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 de-obligated!
- 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.
- SPR funds are a REIMBURSEMENT program. You must spend 100% of costs first, then invoice NCDOT for reimbursement of the Federal 80%.
  - PL 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)

- **RPO's need to provide PROOF that the RPO 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 RPO 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



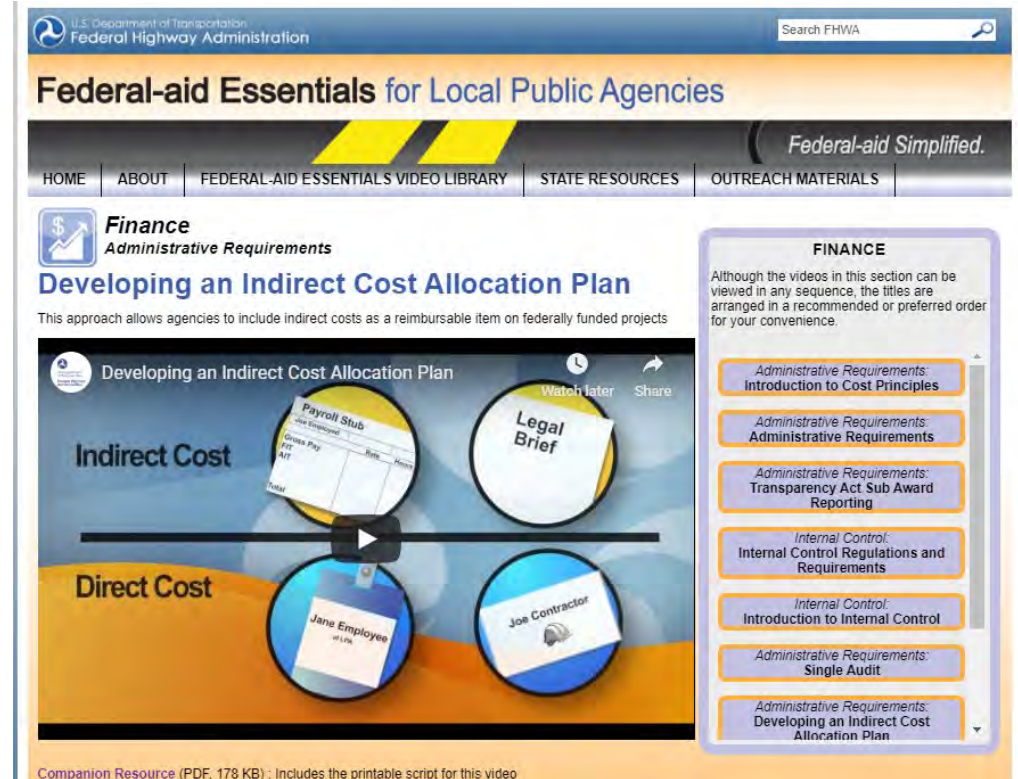
# Indirect Costs

# 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).



# 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 RPO 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.**

# Indirect cost allocation plans

- (If this is the agency's choice for charging indirect costs)
- Each COG or local government entity is required to submit a plan to its cognizant agency for indirect costs annually.
- RPO 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

- 2018 RPO manual
- (a) Indirect Cost Allocation Plan
  - Each RPO 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 RPO. The fiscal director for the RPO should know what this plan is and work with you. Indirect costs are allowable with the submittal and approval of an indirect allocation plan. NCDOT will accept the indirect cost rate of the RPO approved by the cognizant agency. The Indirect Percentage Rate approved for use in the PWP cannot exceed the percentage rate approved by the Cognizant Federal Agency. If an RPO 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

- 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
- A COG or local governing entity may choose to not charge indirect costs.

## Budgeting indirect cost

- Assume rate of 1.234%
- Total Allocation \$50,000
- Less capital outlay and subcontracts (5,000)
- Amount available for other expenses 45,000
- Amount subject to indirect cost 44,451
- (\$45,000 divided by 101.234%) 

---
- Budgeted amount for indirect cost \$549

# Verification

- Amount subject to indirect cost      \$ 44,451
- Indirect Cost rate      X 0.01234
- Maximum indirect cost for this  
project as currently budgeted      \$      549

# PROCUREMENT



# RPO 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/RPO's](#) (applies to RPO's as well)
- Review the [procurement walk-through](#)
- If one of the RPO's member agencies is carrying out the work, it is the responsibility of the RPO's COG or County agency to ensure this process is followed.

## If non-RPO staff will procure work

- Best practice: Have an interlocal agreement between COG or County and RPO-member organization that would be managing the study.
- Establishes reimbursement protocol (between COG or County and RPO-member jurisdiction), and
- Clarifies legal responsibilities
- Review the [procurement walk-through](#)
- Email your TPD coordinator if you have further questions.

## Non-RPO-staff managed work -- payment flows

- RPO-member jurisdiction pays 100% (\$100k) of study cost
  - (let's assume 80%/20% for this example)
- RPO member jurisdiction would request/invoice 80% (\$80k) reimbursement from COG (or County) quarterly (or monthly, etc).
- COG or County pays Town the 80% (\$80k) reimbursement.
- COG or County 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.

# TPD's procurement procedure

- 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 contract
    - 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.
- Review the [procurement walk-through](#) for an overview of the procurement process.
- (Link opens as PDF)

## 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



# Overview of PEF Procurement Procedure

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

## PEF Procedure, page 2

5. (con't) If work is less than \$50k, then RPO doesn't need to formally advertise, but still must target a pool of 5-6 prequalified firms and request proposals/letters of interest.
6. RPO 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 Procedure, page 3

8. RPO Staff schedules PEF selection meeting.
9. PEF selection is made.
  - a) If service is for contracting out RPO operations, agreement shall not exceed a 2-year contractual period. Must be re-advertised every 2 years.
10. a) **RPO 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.

## PEF Procedure, page 4

- c. After OIG review, TPD coordinator to transmit [Consultant Approval Memo](#)
  - i. OIG is fully staffed, and they will perform all these reviews.
  - ii. If OIG has comments that need addressing, TPD staff will work with RPO staff to address comments and submit revised contract/cost proposal.
- 11. RPO to transmit executed contract to TPD coordinator.

# PEF Procedure, 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



# On-call contracts

- **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 used only for professional services, such as transportation planning studies, corridor studies, etc.
- Engineering/Planning consultants are accustomed to RFLOI.

# 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.

I

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 for the LGA NAME. 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').

List discipline codes here.  
(number and description)

NCDOT Local projects  
administration web page

Version: 2019.11.04.RJS

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**

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 within the RFLOI

- The RFLOI must list the specific discipline codes indicating disciplines of work a consultant is prequalified with NCDOT.
- [Discipline Code listing](#)

[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



# 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

# 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**
- Sub-contractors also **ALL** need to be pre-qualified.
- **PREQUALIFICATION SEARCH PAGE**
  - Enter firm name and look for the discipline codes they are prequalified to perform.

# Review of DRAFT cost proposal

- Per Federal regulations, NCDOT requires that your **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 cost proposal with the changes to your TPD coordinator.

# Can TPD review draft cost proposal?

- No.
- TPD staff must send the cost proposal to NCDOT's Office of Inspector General (OIG) for review.
- Prime and **all subcontractor rates** must be reviewed.
- The OIG-issued review letter should be submitted along with first study invoice for NCDOT reimbursement.
  - This keeps these important documents as part of NCDOT's records and will assist in audits.

# Why OIG review—23 CFR172.11

## Allowable costs and oversight.

- 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...](#)
- 172.11 (b) Elements of contract 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%	(applied to DL)	\$5,200.00
<b>SUB-TOTAL</b>				<b>\$9,200.00</b>
<b>FEE</b>		9.00%	(applied to DL and OH)	\$828.00
<b>COST OF CAPITAL</b>		1.23%	(applied to DL)	\$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

## Subsistence:

	<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

July 1, 2021

### MAXIMUM ALLOWABLE NON-SALARY DIRECT COSTS

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

#### Reproduction:

Copies (B&W)	\$ 0.09	
Copies (B&W)	\$ 0.15	11" x 17"
Copies (color)	\$ 0.83	
Copies (color)	\$ 1.66	11" x 17"
Blueprints	\$ 0.35	
Blueprints	\$ 1.30	42" x 72"
Bond	\$ 0.42	

Vellums	\$ 3.00	
Stick-ons	\$ 1.00	
Covers	\$ 0.50	
Binding	\$ 0.50	
Mylars	\$ 5.90	
Mylars	\$ 21.00	3' x 4'
Bond	\$ 3.50	34" x 68"

#### Computer:

CADD \$ -  
recovered through overhead

#### Other:

Film & Development \$ 20.00 per roll

#### Mileage:

Sedan	\$ 0.560	per mile
Carryall	\$ 0.580	per mile
Car Rental	\$ 45.00	per day
Gas for car rental	\$ 0.20	per mile

#### CEI/Technician-type contracts:

2-WD Truck	\$ 835.00	per month
4-WD Truck	\$ 915.00	per month
2-WD Truck gas reimbursement	\$ 0.16	per mile
4-WD Truck gas reimbursement	\$ 0.19	per mile

Phones, computers, iPads, Data Plans, Wi-Fi, etc.,  
recovered through overhead

#### Subsistence:

	<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>

#### Hotel reimbursement is limited to actual costs not to exceed:

\$ 78.90 per day plus tax for in state  
\$ 93.20 per day plus tax for out of state  
\$ 85.00 per day  
for hotel will be proposed for ALL NCDOT proposals.

# 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)**
- RPO staff uses this information to make their own estimate of manhours and thus total cost.
- PEF to develop their estimate, and RPO staff to develop one.
- Then, RPO staff may use theirs, the PEF's, or a new one as a result of negotiation.
- RPO staff to keep this documentation with their project files.

# Independent Cost Estimate/Contract Cost

- [CFR 200.323](#)
  - a) “...the non-Federal entity must make independent estimates before receiving bids or proposals.”
  - d) “The cost plus a percentage of cost and percentage of construction cost methods of contracting must not be used.”
    - **Use Lump Sum**



# 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 RPO's legal representation.
- **The legal burden is upon (sub)recipients of federal funds to follow all federal regulations.**



# Federal 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](#)

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

Title 23 Chapter I Subchapter B Part 172 Previous Next Top

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**(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

# 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

- [2018 RPO manual](#) (updated Jan, 2020)
- [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](#) (applies to RPO's as well)
- [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](#) (applies to RPO's as well)

# 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.
- RPO's: SPR funds (RPO program) - State Planning and Research – RPO program - CFDA Number (20.205-8)
  - <https://files.nc.gov/nctreasurer/documents/files/SLGFD/LGC/LocalGovFiscalMngmt/AnnualAud/2020ComplianceSupp/20.205-8.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 -- FFATA links

- [Yearly FFATA form to submit to NCDOT](#)
  - (includes instructions on how to fill it out and how to submit)
- [Federal Subaward Reporting System website](#)
- [Dun and Bradstreet website](#)
  - (can look up DUNS number)

# Thank you

- Any Questions?

# Change log